U.S. Department of Education FY 2015 Annual Performance Report and FY 2017 Annual Performance Plan

U.S. Department of Education
John B. King, Jr.
Acting Secretary

February 9, 2016

This report is in the public domain. Authorization to reproduce it in whole or in part is granted. While permission to reprint this publication is not necessary, the citation should be: U.S. Department of Education, *Fiscal Year 2015 Annual Performance Report and Fiscal Year 2017 Annual Performance Plan:* Washington, DC, 2016.

This report is available at http://www.ed.gov/about/reports/annual/index.html. On request, the report also is available in alternative formats, such as Braille, large print, or computer diskette. For more information, please contact our Alternate Format Center at 202-260-0852 or by contacting the 504 coordinator via e-mail at om_eeos@ed.gov.

To become connected to the Department through social media, please visit the Department's website at www.ed.gov. Our Twitter page is at @usedgov, and our blog is at Homeroom.

Notice to Limited English Proficient Persons

Notice of Language Assistance: If you have difficulty understanding English, you may request language assistance services, free of charge, for this Department information by calling 1-800-USA-LEARN (1-800-872-5327) (TTY: 1-800-877-8339), or e-mail us at: Ed.Language.Assistance@ed.gov.

[SPANISH]
Aviso a personas con dominio limitado del idioma inglés: Si usted tiene alguna dificultad en entender el idioma inglés, puede, sin costo alguno, solicitar asistencia lingüística con respecto a esta información llamando al 1-800-USA-LEARN (1-800-872-5327) (TTY: 1-800-877-8339), o envíe un mensaje de correo electrónico a: Ed.Language.Assistance@ed.gov.

[CHINESE]
給英語能力有限人士的通知: 如果您不懂英語，或者使用英语有困难，您可以要求獲得向大眾提供的語言協助服務，幫助您理解教育部資訊。這些語言協助服務均可免費提供。如果您需要有關口譯或筆譯服務的詳細資訊，請致電 1-800-USA-LEARN (1-800-872-5327) (聽語障人士專線：1-800-877-8339)，或電郵: Ed.Language.Assistance@ed.gov.

[VIETNAMESE]
Thông báo dành cho những người có khả năng Anh ngữ hạn chế: Nếu quý vị gặp khó khăn trong việc hiểu Anh ngữ thì quý vị có thể yêu cầu các dịch vụ hỗ trợ ngôn ngữ cho các tin tức của Bộ dành cho công chúng. Các dịch vụ hỗ trợ ngôn ngữ này đều miễn phí. Nếu quý vị muốn biết thêm chi tiết về các dịch vụ phiên dịch hay thông dịch, xin vui lòng gọi số 1-800-USA-LEARN (1-800-872-5327) (TTY: 1-800-877-8339), hoặc e-mail: Ed.Language.Assistance@ed.gov.

[KOREAN]
영어 미숙자를 위한 공고: 영어를 이해하는 데 어려움이 있으신 경우, 교육부 정보 센터에 일반인 대상 언어 지원 서비스를 요청하실 수 있습니다. 이러한 언어 지원 서비스는 무료로 제공됩니다. 통역이나 번역 서비스에 대해 자세한 정보가 필요하신 경우, 전화번호 1-800-USA-LEARN (1-800-872-5327) 또는 청각 장애인용 전화번호 1-800-877-8339 또는 이메일주소 Ed.Language.Assistance@ed.gov 으로 연락하시기 바랍니다.

[TAGALOG]
Paunawa sa mga Taong Limitado ang Kaalaman sa English: Kung nahihirapan kayong makaintindi ng English, maaari kayong humingi ng tulong ukol dito sa inpormasyon ng Kagawaran mula sa nagbibigay ng serbisyo na pagtulong kaugnay ng wika. Ang serbisyo na pagtulong kaugnay ng wika ay libre. Kung kailangan ninyo ng dagdag na impormasyon tungkol sa mga serbisyo kaugnay ng pagpapaliwanag o pagsasalin, mangyari lamang tumawag sa 1-800-USA-LEARN (1-800-872-5327) (TTY: 1-800-877-8339), o mag-e-mail sa: Ed.Language.Assistance@ed.gov.

[RUSSIAN]
Уведомление для лиц с ограниченным знанием английского языка: Если вы испытываете трудности в понимании английского языка, вы можете попросить, чтобы вам предоставили перевод информации, которую Министерство Образования доводит до всеобщего сведения. Этот перевод предоставляется бесплатно. Если вы хотите получить более подробную информацию об услугах устного и письменного перевода, звоните по телефону 1-800-USA-LEARN (1-800-872-5327) (служба для слабослышащих: 1-800-877-8339), или отправьте сообщение по адресу: Ed.Language.Assistance@ed.gov.

Please submit your comments and questions regarding this plan and report and any suggestions to improve future reports, including suggestions for additional links that will increase the usefulness of the report to the public, to APP_APRComments@ed.gov or:

U.S. Department of Education
Performance Improvement Officer
400 Maryland Ave, SW
Washington, DC 20202

The following companies were contracted to assist in the preparation of the U.S. Department of Education *FY 2015 Annual Performance Report and FY 2017 Annual Performance Plan:*

For general layout and web design: ICF Macro

Foreword

As required by the *Government Performance and Results Act (GPRA) Modernization Act of 2010,* each federal agency must report annually on its progress in meeting the goals and objectives established by its Strategic Plan. The United States Department of Education's (the Department's) *Fiscal Year (FY) 2015 Annual Performance Report and FY 2017 Annual Performance Plan* presents to Congress, the President, and the American people detailed information about progress in meeting the Department's strategic goals and objectives and performance metrics. This report accompanies the administration's budget request to Congress. The complete budget request for the Department will be available at http://www.ed.gov/about/overview/focus/performance.html.

This year, the Department is consolidating its *FY 2015 Annual Performance Report* and the *FY 2017 Annual Performance Plan* to report on its *U.S. Department of Education Strategic Plan for Fiscal Years 2014–2018*. The data included in this report for the *FY 2014–18 Strategic Plan* metrics are the most current data available to the Department. The Department's FY 2015 annual reporting includes these three documents:

FY 2015 Summary of Performance and Financial Information [available February 2016]

This document provides an integrated overview of performance and financial information that consolidates the *FY 2015 Agency Financial Report* (AFR) and the *FY 2015 Annual Performance Report* (APR) and *FY 2017 Annual Performance Plan* (APP) into a user-friendly format.

FY 2015 Annual Performance Report and FY 2017 Annual Performance Plan
[available February 2016]

This report is produced in conjunction with the FY 2017 President's Budget Request and provides more detailed performance information and analysis of performance results.

FY 2015 Agency Financial Report **(AFR)** [published November 13, 2015]

The AFR is organized into three major sections:

- The Management's Discussion and Analysis section provides executive-level information on the Department's history, mission, organization, key activities, analysis of financial statements, systems, controls and legal compliance, accomplishments for the fiscal year, and management and performance challenges facing the Department.
- The Financial section provides a Message From the Chief Financial Officer, consolidated and combined financial statements, the Department's notes to the financial statements, and the Report of the Independent Auditors.
- The Other Information section provides improper payments reporting details and other statutory reporting requirements.

All three annual reports will be available on the Department's website at http://www2.ed.gov/about/reports/annual/index.html.

Contents

Mission and Organizational Structure 2
Our Mission 2
Our Organization in Fiscal Year 2015 4
Overview 5
About This Report 5
About the *Agency Financial Report* 5
FY 2015 Financial Highlights and Information 5
Analysis of Controls, Systems, and Legal Compliance 5
Performance Results Details 6
Performance Management Framework 6
FY 2014–18 Strategic Plan 7
The Department's Agency Priority Goals 9
Cross-Agency Priority (CAP) Goals 16
The Department's Approach to Data Collection and Analysis 17
Support for the Department's Evaluations 18
Performance Plan Summary 19
Looking Ahead and Addressing Challenges 19
Data Verification and Validation 19
Reporting on Progress 20
Goal 1. Postsecondary Education, Career and Technical Education, and Adult Education 21
Goal 2. Elementary and Secondary Education 42
Goal 3. Early Learning 57
Goal 4. Equity 75
Goal 5. Continuous Improvement of the U.S. Education System 87
Goal 6. U.S. Department of Education Capacity 101
Management Priorities and Challenges 114
Lower-Priority Program Activities 116
Appendix A: Data Validity and Verification 119
Appendix B: Changed Performance Goals 135
Appendix C: Summary Data Table 140
Appendix D: Additional Programs by Goal 162
Appendix E: Summary of Performance Evaluations Conducted During FY 2015 and Expected During FY 2016–17 167
Appendix F: Selected Department Web Links and Education Resources 214
Appendix G: Glossary of Acronyms and Abbreviations 218

This page intentionally left blank.

FY 2015 Annual Performance Report and FY 2017 Annual Performance Plan

Mission and Organizational Structure

Our Mission

The U.S. Department of Education's mission is *to promote student achievement and preparation for global competitiveness by fostering educational excellence and ensuring equal access.*

Who We Are. In 1867, the federal government formally recognized that furthering education was a national priority and created a federal education agency to collect and report statistical data. The Department was established as a cabinet-level agency in 1979. Today, the Department supports programs that address access and equity in education.

The Department engages in four major types of activities: establishing policies related to federal education funding, including the distribution of funds, collecting on student loans, and using data to monitor the use of funds; supporting data collection and research on America's schools; identifying major issues in education and focusing national attention on them; and enforcing federal laws prohibiting discrimination in programs that receive federal funds.

Our Public Benefit. The Department is committed to helping all students throughout the nation succeed in school and, in doing so, preparing them for work, life, and citizenship. While recognizing the primary role of states and school districts in providing a high-quality education, the Department supports efforts to employ effective teachers and administrators, establish challenging content and achievement standards, and monitor students' progress against those standards.

The Department's largest financial asset (and expenditure) is a portfolio of student loans. The second-biggest expenditure is student grants and other aid to help pay for college through Pell Grants, Work Study, and other campus-based programs. Grants to states based on legislated formulas are the third-largest expenditure of the Department, mostly for elementary and secondary education. The Department also administers competitive grant programs to promote innovation, performs research, collects education statistics, and enforces civil rights statutes.

Offices by Function. Federal Student Aid (FSA) administers need-based financial assistance programs for students pursuing postsecondary education and makes available federal grants, direct loans, and work-study funding to eligible undergraduate and graduate students.

The offices of Elementary and Secondary Education (OESE), Educational Technology (OET), Special Education and Rehabilitative Services (OSERS), Innovation and Improvement (OII), English Language Acquisition (OELA), Postsecondary Education (OPE), and Career, Technical, and Adult Education (OCTAE) provide leadership, technical assistance, and financial support to state and local education agencies, institutions of higher education (IHEs), adult education programs, and state vocational rehabilitation agencies for reform, strategic investment, and innovation in education and employment of youth and adults from all backgrounds and those with disabilities.

The Institute of Education Sciences (IES) is the research and statistics arm of the Department. The Department's goal is to provide rigorous and relevant evidence on which to ground education practice and policy and share this information broadly. By identifying what works,

what doesn't, and why, IES aims to improve educational outcomes for all students, particularly those at risk of failure. Its goal is to transform education into an evidence-based field in which decision makers routinely seek out the best available research and data before adopting programs or practices that will affect significant numbers of students.

The Office for Civil Rights (OCR) works to ensure equal access to education and to promote educational excellence throughout the nation through vigorous enforcement of civil rights laws. OCR serves student populations facing discrimination and the advocates and institutions promoting systemic solutions to civil rights issues.

The Office of Planning, Evaluation and Policy Development (OPEPD) serves as the principal adviser to the Secretary on all matters relating to policy development, performance measurement and evaluation, and budget formulation, policy, and process. The Budget Service and the Policy and Program Studies Service (PPSS) are housed within OPEPD.

The White House Initiatives. A number of committees and other groups—composed of individuals who are knowledgeable of education in elementary and secondary schools; postsecondary institutions, including community colleges; or adult education programs—assist and advise the President and the Secretary and provide valuable guidance to the Department on policy and program issues: Center for Faith-based and Neighborhood Partnerships, White House Initiative on Educational Excellence for African Americans, White House Initiative on Educational Excellence for Hispanics, White House Initiative on Asian Americans and Pacific Islanders, White House Initiative on Historically Black Colleges and Universities, and White House Initiative on American Indian and Alaska Native Education.

Support Service Offices. The Department's support services offices are major partners with the grant-making and other principal offices as they provide services to external and internal customers. These offices include: Office of the Secretary; Office of the Deputy Secretary; Office of the Under Secretary; Office of the General Counsel; Office of Legislation and Congressional Affairs; Office of the Chief Financial Officer; Office of the Chief Information Officer; Risk Management Service; Office of Management; and Office of Communications and Outreach.

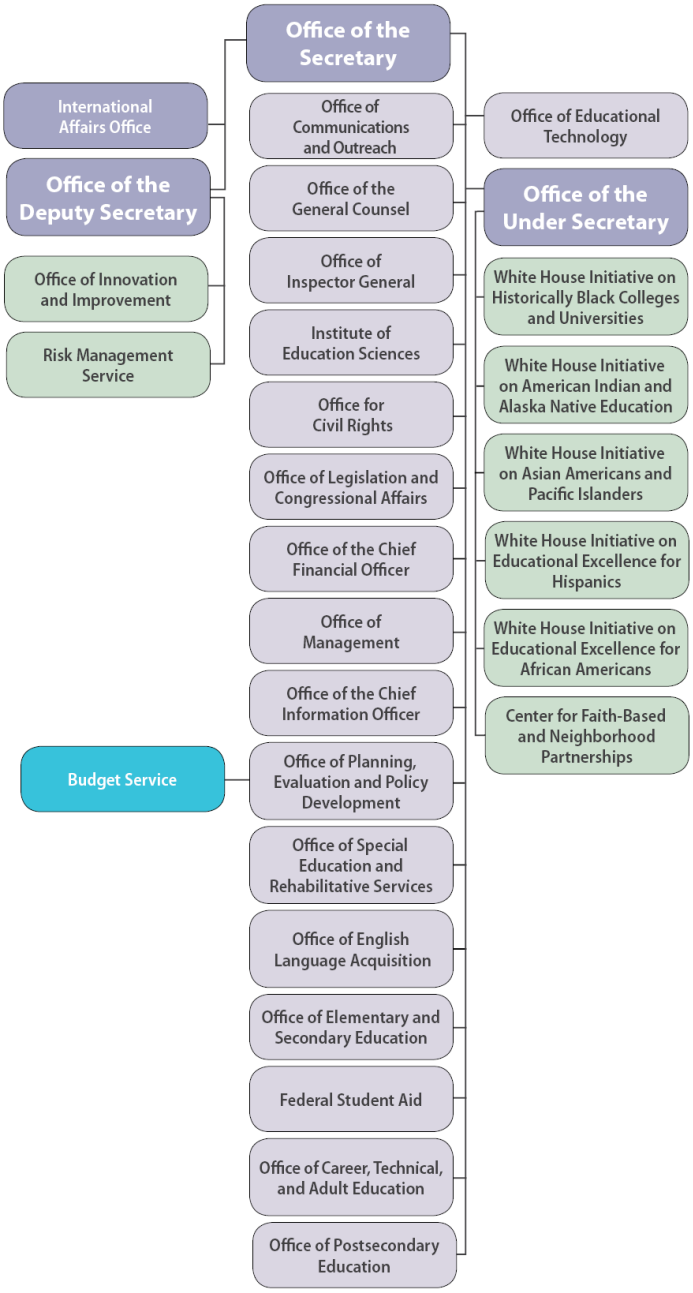
Office of Inspector General. The *Department of Education Organization Act* (P.L. 96-88) established the Office of Inspector General (OIG) within the Department. The OIG's mission is to promote the efficiency, effectiveness, and integrity of the Department's programs and operations by conducting independent and objective audits, investigations, inspections, and other activities.

Regional Offices. The Department has 10 primary regional offices that provide points of contact and assistance for schools, parents, and citizens. Those regional offices and certain other locations offer support through communications, civil rights enforcement, law enforcement, and federal student aid services to promote efficiency, effectiveness, and integrity in the programs and operations of the Department.

Descriptions of the principal offices and overviews of the activities of the Department and its programs can be found on the Department's website.

Our Organization in Fiscal Year 2015

This chart reflects the organizational structure of the U.S. Department of Education. Interactive and text versions of the coordinating structure of the Department are available online.



Overview

About This Report

The United States Department of Education's (the Department's) *FY 2015 Annual Performance Report* (APR) and *FY 2017 Annual Performance Plan* (APP) provide information relative to the *FY 2014–18 Strategic Plan*.

Again this year, the Department has consolidated its APR and APP in an effort to provide a more complete and meaningful picture of the Department's past performance and plans for the 2017 fiscal year. Because there is typically a delay of at least one year to allow for data collection for many of the Department's performance metrics, annual trend data are not available for all metrics.

About the *Agency Financial Report*

The *FY 2015 Agency Financial Report* (AFR), released in November 2015, provides detailed information on the Department's financial performance and stewardship over its financial resources. Former Secretary Arne Duncan outlined accomplishments, ongoing initiatives, and management challenges for the Department in FY 2015 in his letter published in the AFR.

FY 2015 Financial Highlights and Information

The Financial Highlights section of the AFR provides an overview and analysis of the Department's sources of funds and financial position, including a section on trend analysis, to depict key financial activities for FY 2015 and to identify and explain significant trends.

As an 11-time recipient of the Association of Government Accountants Certificate of Excellence in Accountability Reporting and having earned unmodified[1] (or "clean") audit opinions for 14 consecutive years, the Department remains committed to continuous improvement in its financial management, operations, and reporting.

The AFR also provides a review of the Department's financial summary and complete financial statements, including required supplementary stewardship information and notes to the principal financial statements for the fiscal years ended September 30, 2015, and September 30, 2014.

Analysis of Controls, Systems, and Legal Compliance

The Department is the smallest of 15 cabinet-level agencies in terms of government staff, with approximately 4,100 employees. In contrast, it has the third-largest grant portfolio among the 26 federal grant-making organizations. To demonstrate effective stewardship of these resources, the Department has to implement effective controls over operations, systems, and financial reporting, as described in the Analysis of Controls, Systems, and Legal Compliance section of the AFR.

For more information regarding compliance with the *Federal Managers' Financial Integrity Act of 1982* (P.L. 97-255) and Office of Management and Budget (OMB) Circular A-123, *Management's Responsibility for Internal Control*, see the Management Assurances section of the AFR.

[1] "Unmodified" has the same meaning as the previous terminology, "unqualified."

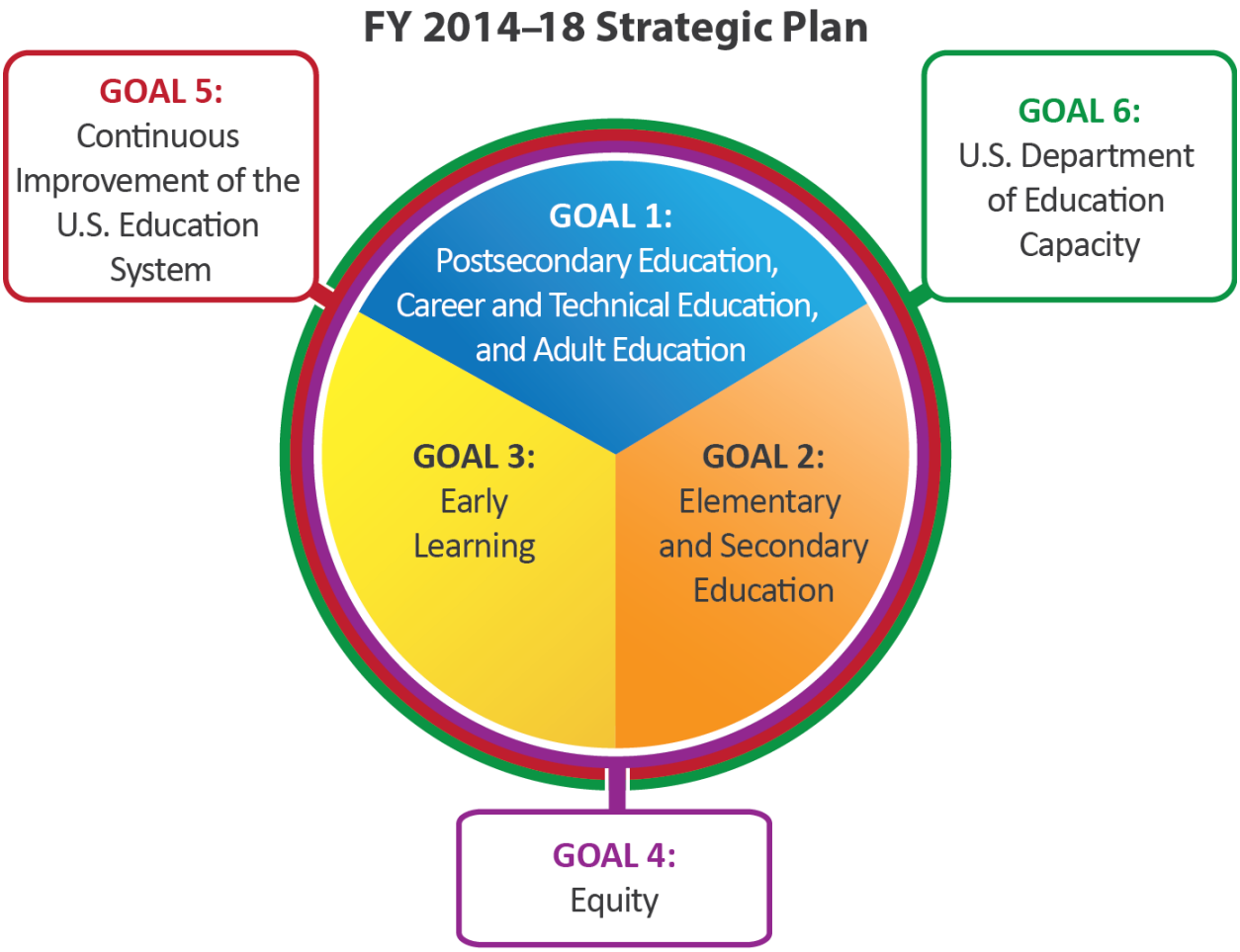
Performance Results Details

Performance Management Framework

In accordance with the *GPRA Modernization Act of 2010*, the Department's framework for performance management starts with the *Strategic Plan,* including its Agency Priority Goals (APGs), which serve as the foundation for establishing long-term priorities and developing performance goals, objectives, and metrics by which the Department can gauge achievement of its stated outcomes. Progress toward the Department's *Strategic Plan* is measured using data-driven review and analysis. This focus promotes active management engagement across the Department. Additional information is available in the *Department's Annual Performance Plans and Annual Performance Reports*.

The *FY 2014–18 Strategic Plan* addresses six strategic goals that influence the day-to-day work of the Department's staff. The Department continues to welcome input from Congress, state and local partners, and other education stakeholders about the *Strategic Plan.* Questions or comments about the *Strategic Plan* should be e-mailed to APP_APRComments@ed.gov.

.



FY 2014–18 Strategic Plan[2]

AGENCY MISSION

Mission: To promote student achievement and preparation for global competitiveness by fostering educational excellence and ensuring equal access

FY 2014–18 STRATEGIC PLAN

Strategic Goals	Strategic Objectives	FY 2014–15 and FY 2016–17 APGs
Goal 1: ***Postsecondary Education, Career and Technical Education, and Adult Education.*** Increase college access, affordability, quality, and completion by improving postsecondary education and lifelong learning opportunities for youths and adults.	**Objective 1.1:** ***Access and Affordability.*** Close the opportunity gap by improving the affordability of and access to college and/or workforce training, especially for underrepresented and/or underprepared populations (e.g., low-income and first-generation students, English learners, individuals with disabilities, adults without high school diplomas, etc.). **Objective 1.2:** ***Quality.*** Foster institutional value to ensure that postsecondary education credentials represent effective preparation for students to succeed in the workforce and participate in civic life. **Objective 1.3:** ***Completion.*** Increase degree and certificate completion and job placement in high-need and high-skill areas, particularly among underrepresented and/or underprepared populations. **Objective 1.4:** ***Science, Technology, Engineering, and Mathematics Pathways.*** Increase STEM pathway opportunities that enable access to and completion of postsecondary programs.	• Increase college degree attainment in America (FY 2014–15, FY 2016–17) • Federal Student Aid Transparency (FY 2016–17)
Goal 2: ***Elementary and Secondary Education.*** Improve the elementary and secondary education system's ability to consistently deliver excellent instruction aligned with rigorous academic standards while providing effective support services to close achievement and opportunity gaps, and ensure all students graduate high school college- and career-ready.	**Objective 2.1:** ***Standards and Assessments.*** Support implementation of internationally benchmarked college- and career-ready standards, with aligned, valid, and reliable assessments. **Objective 2.2:** ***Effective Teachers and Strong Leaders.*** Improve the preparation, recruitment, retention, development, support, evaluation, recognition, and equitable distribution of effective teachers and leaders. **Objective 2.3:** ***School Climate and Community.*** Increase the success, safety, and health of students, particularly in high-need schools, and deepen family and community engagement. **Objective 2.4:** ***Turn Around Schools and Close Achievement Gaps.*** Accelerate achievement by supporting states and districts in turning around low-performing schools and closing achievement gaps, and developing models of next-generation high schools. **Objective 2.5:** ***STEM Teaching and Learning.*** Increase the number and quality of STEM teachers and increase opportunities for students to access rich STEM learning experiences.	• Support implementation of college- and career-ready standards and assessments (FY 2014–15, FY 2016–17) • Improve learning by ensuring that more students have effective teachers and leaders (FY 2014–15)

[2] This report addresses the Department's progress on the FY 2014–15 APGs and introduces the FY 2016–17 APGs. Quarterly updates for the APGs are available on performance.gov.

FY 2014–18 STRATEGIC PLAN		
Strategic Goals	Strategic Objectives	FY 2014-15 and FY 2016-17 APGs
Goal 3: *Early Learning.* Improve the health, social-emotional, and cognitive outcomes for all children from birth through 3rd grade, so that all children, particularly those with high needs, are on track for graduating from high school college- and career-ready.	**Objective 3.1: *Access to High-Quality Programs and Services.*** Increase access to high-quality early learning programs and comprehensive services, especially for children with high needs. **Objective 3.2: *Effective Workforce.*** Improve the quality and effectiveness of the early learning workforce so that early childhood educators have the knowledge, skills, and abilities necessary to improve young children's health, social-emotional, and cognitive outcomes. **Objective 3.3: *Measuring Progress, Outcomes, and Readiness.*** Improve the capacity of states and early learning programs to develop and implement comprehensive early learning assessment systems.	• Support comprehensive early learning assessment systems (FY 2014-15) • Increase enrollment in high-quality state preschool programs (FY 2016-17)
Goal 4: *Equity.* Increase educational opportunities for underserved students and reduce discrimination so that all students are well-positioned to succeed.	**Objective 4.1: *Equitable Educational Opportunities.*** Increase all students' access to educational opportunities with a focus on closing achievement gaps and remove barriers that students face based on their race, ethnicity, or national origin; sex; sexual orientation; gender identity or expression; disability; English language proficiency; religion; socioeconomic status; or geographical location. **Objective 4.2: *Civil Rights Compliance.*** Ensure educational institutions' awareness of and compliance with federal civil rights obligations and enhance the public's knowledge of their civil rights.	• Ensure equitable educational opportunities (FY 2014-15, FY 2016-17)
Goal 5: *Continuous Improvement of the U.S. Education System.* Enhance the education system's ability to continuously improve through better and more widespread use of data, research and evaluation, evidence, transparency, innovation, and technology.	**Objective 5.1: *Data Systems and Transparency.*** Facilitate the development of interoperable longitudinal data systems for early learning through employment to enable data-driven, transparent decision-making by increasing access to timely, reliable, and high-value data. **Objective 5.2: *Privacy.*** Provide all education stakeholders, from early childhood to adult learning, with technical assistance and guidance to help them protect student privacy while effectively managing and using student information. **Objective 5.3: *Research, Evaluation, and Use of Evidence.*** Invest in research and evaluation that builds evidence for education improvement; communicate findings effectively; and drive the use of evidence in decision-making by internal and external stakeholders. **Objective 5.4: *Technology and Innovation.*** Accelerate the development and broad adoption of new, effective programs, processes, and strategies, including education technology.	• Enable evidence-based decision making (FY 2014-15, FY 2016-17)
Goal 6: *U.S. Department of Education Capacity.* Improve the organizational capacities of the Department to implement the *Strategic Plan*.	**Objective 6.1: *Effective Workforce.*** Continue to build a high-performing, skilled, diverse, and engaged workforce within the Department. **Objective 6.2: *Risk Management.*** Improve the Department's program efficacy through comprehensive risk management, and grant and contract monitoring. **Objective 6.3: *Implementation and Support.*** Build Department capacity and systems to support states' and other grantees' implementation of reforms that result in improved outcomes, and keep the public informed of promising practices and new reform initiatives. **Objective 6.4: *Productivity and Performance Management.*** Improve workforce productivity through information technology enhancements, telework expansion efforts, more effective process performance management systems, and state-of-the-art leadership and knowledge management practices.	

The Department's Agency Priority Goals

The Department identified six APGs for FY 2014–15 that served to focus its activities over the two-year period. These goals are consistent with the Department's five-year strategic plan, which will be used to monitor and report regularly on progress, reflect the Department's cradle-to-career education strategy, and help concentrate efforts on the importance of teaching and learning at all levels of the education system. As noted in the APG table above, this report addresses the Department's progress on the FY 2014–15 APGs and introduces the FY 2016–17 APGs. Quarterly updates for the APGs are available on performance.gov.

Progress on the Department's FY 2014–15 Agency Priority Goals

APG: Increase college degree attainment in America

Goal for FY 2014–2015: By September 30, 2015, 45.6 percent of adults ages 25–34 will have an associate degree or higher, which will place the nation on track to reach the President's goal of 60 percent degree attainment by 2020.

Supports Strategic Goal 1

Overview: The President set a goal for the United States to have the highest proportion of college graduates in the world. Meeting this goal will require millions of additional Americans to earn a postsecondary degree by the end of this decade. This goal is meant to augment the Department's longstanding efforts to improve access and enrollment, with this added emphasis on actual completion. The President's focus on the educational attainment among ages 25–34 allows us to assess progress in preparing the next generation of United States workers and to benchmark for international comparisons.

Progress: Starting from a baseline of 44.0 percent in 2012, the Department projected that the annual increase of educational attainment among ages 25–34 would grow progressively each year above the four-year historical average of 0.7 percentage points and established a performance target of 45.6 percent. This APG has been achieved, as 45.7 percent of adults ages 25–34 have an associate's degree or higher, exceeding the performance target (note that the rate reflects prior-year data, in this case from 2014, but is reported in 2015 when data are available). Department activities that support this goal include redesigning the College Scorecard to include additional information that helps students make more informed choices, promoting institutional innovation to foster college completion, and implementing evidence-based practices that support student success.

Opportunities and Challenges: Continued success toward achieving this goal will depend largely on whether, and to what extent, states and institutions: (a) implement policies and programs to increase access and success; (b) reduce costs and time to completion; (c) support accelerated learning opportunities, including dual enrollment; (d) develop and adopt effective and innovative practices that improve student outcomes; and (e) promote seamless transitions from secondary to postsecondary education and among higher education institutions. Although the Department has limited leverage to influence states' policies and the practices of postsecondary institutions, the Department will use its available resources—including implementation and impact of programs and technical assistance, and the ability to convene stakeholders to encourage collaboration and best practices—to continue to sustain and advance success in this area.

APG: Support implementation of college- and career-ready standards and assessments

Goal for FY 2014–2015: By September 30, 2015, at least 50 states/territories will be implementing next-generation assessments, aligned with college- and career-ready standards.

Supports Strategic Goal 2

Overview: The adoption of college- and career-ready standards, coupled with high-quality formative and summative assessments to measure the extent to which students are mastering the standards, is the foundation to improving educational outcomes for all students.

Progress: Most states have adopted college- and career-ready standards and are in the process of implementing summative assessments aligned with those standards. The Race to the Top - Assessment (RTTA) consortia, which included 29 states, DC, and the U.S. Virgin Islands, completed the operational administration of their assessments during spring 2015. In September 2015, OESE released revised criteria, procedures, and guidance for the Department's peer review of state assessment systems under Title I of the *Elementary and Secondary Education Act* (ESEA).

Opportunities and Challenges: On December 10, 2015, the President signed a reauthorization of the *Elementary and Secondary Education Act*, now known as the *Every Student Succeeds Act* (ESSA).[3] The law requires that all students in America be taught to high academic standards that will prepare them to succeed in college and careers and that vital information is provided to educators, families, students, and communities through annual statewide assessments that measure students' progress toward those high standards. The Department is developing plans for how best to support states and districts during the transition to the ESSA.

APG: Improve learning by ensuring that more students have effective teachers and leaders

Goal for FY 2014–2015: By September 30, 2015, at least 37 states will have fully implemented teacher and principal evaluation and support systems that consider multiple measures of effectiveness, with student growth as a significant factor.

Supports Strategic Goal 2

Overview: The nation needs to do more to ensure that every student has an effective teacher, every school has an effective leader, and every teacher and leader has access to the preparation, ongoing support, recognition, and collaboration opportunities he or she needs to succeed. The Department has worked to help strengthen the profession by focusing on meaningful feedback, support, and incentives at every stage of a career, based on fair evaluation and support systems that look at multiple measures, including, in significant part,

[3] P.L. No. 114-95

evidence of student learning and are used to help educators improve instruction and student outcomes.

The Department has supported states that developed and adopted comprehensive teacher and principal evaluation and support systems, as well as in district development and implementation of comprehensive educator evaluation systems. This additional support was helpful to begin to ensure that teachers, principals, and educator evaluators are able, for example, to use and develop learning objectives to measure student growth and to implement new classroom observation, coaching, and feedback techniques.

Progress: The performance targets for this APG are based on state implementation timelines provided through original ESEA Flexibility requests. However, as part of the ESEA Flexibility renewal process, the Department offered states the flexibility to adjust their timelines. As of June 30, 2015, eight states have fully implemented teacher and principal evaluation and support systems.[4]

Opportunities and Challenges: Under the ESSA, ESEA Flexibility waivers, including Principle 3—supporting effective instruction and leadership—expire on August 1, 2016. As a result, it will be up to states to choose to continue the hard work of implementing comprehensive educator evaluation and support systems in accordance with the original timeline. The Department is developing plans for how best to support states and districts during the transition to the ESSA. The Department will continue to look for ways to encourage innovation in this area. As states continue work to implement teacher and leader evaluation systems, the Department will continue to provide robust technical assistance and encourage forward motion in implementation.

APG: Support comprehensive early learning assessment systems

Goal for FY 2014–2015: By September 30, 2015, at least nine states will be collecting and reporting disaggregated data on the status of children at kindergarten entry using a common measure.

Supports Strategic Goal 3

Overview: Kindergarten entry assessments (KEAs), when properly designed, can be used to inform professional development to improve the early learning workforce, be included in a state's comprehensive early learning assessment system, and improve student achievement and program effectiveness.

Progress: The Department anticipated exceeding the goal of at least nine states collecting and being able to report disaggregated data on the status of children at kindergarten entry using a common measure by September 30, 2015. Five Early Learning Challenge (ELC) states implemented KEAs in the 2014–15 school year, and 6 additional ELC states are implementing their KEAs in the 2015–16 school year, bringing the total to 11 ELC states implementing a KEA during the 2015–16 school year.[5]

[4] "Fully implemented" is defined as the data year from which teachers' and principals' effectiveness ratings are derived; that is, states are considered to have "fully implemented" in a given year if their systems provide summative ratings based on professional practice and student growth data from that school year.
[5] In the AFR, the Department reported 12 states projected to implement a KEA during the 2015–16 school year. New Mexico was included in this projection, but will now begin implementation after the 2015–16 school year.

Opportunities and Challenges: Constructing, testing, and implementing KEAs across every school in every state will be challenging and take time. In addition, states will need to ensure that the KEAs are implemented in such a way that minimizes assessment time and maximizes the usefulness of information collected; KEAs should not result in the loss of a significant amount of instructional time in the classroom. Additionally, two of the three Enhanced Assessment Grants (EAG) grantees that are consortia may experience challenges coordinating across states due to variances in standards and differences in their policies and procedures. For example, states differ in exactly when and how assessments are given. Some states ask that assessments be administered in the first month of kindergarten. Other states allow for a longer assessment window or encourage assessments be administered in the summer before kindergarten. All states are implementing the assessments on a rolling basis so that not all classrooms participate at the same time. Some states are still pilot testing their assessments. While some states may mandate statewide assessments through their legislature, others leave it to local districts to decide. A few states, such as Kentucky, have developed systems to generate and distribute reports for families and policy makers. The Department is working with these grantees to minimize coordination challenges.

To understand and address state challenges, the Department has funded a report on KEA implementation in four states: Maryland, Oregon, Pennsylvania, and Washington. This report, which will be released late in 2016, will review challenges and potential solutions at the state, district, and classroom level. In addition, the Department will continue to support the development and implementation of KEAs and highlight best practices through its technical assistance centers and grant monitoring. By 2017, the EAG grantees and their consortia states will begin implementing their school readiness assessments. The new Preschool through Early Elementary School Grades (Early Learning Network), administered by the National Center for Education Research (NCER) at the IES and funded in part through the Preschool Development Grants program's national activities funds, will support teams of researchers to advance the field's understanding of policies and practices that support early learning and ongoing academic success.

APG: Ensure equitable educational opportunities

Goal for FY 2014–2015: By September 30, 2015, the number of high schools with persistently low graduation rates will decrease by 5 percent annually. The national high school graduation rate will increase to 83 percent, as measured by the Adjusted Cohort Graduation Rate, and disparities in the national high school graduation rate among minority students, students with disabilities, English learners, and students in poverty will decrease.

Supports Strategic Goal 4

Overview: Through many federal programs, including Title I of the ESEA, the Department has provided significant funding, technical assistance, and other support intended to improve the nation's lowest-achieving schools dramatically by, among other strategies, using turnaround interventions and strategies. The Department is focused on supporting innovation, not just compliance monitoring, and on spurring growth in achievement, not just absolute achievement measures.

Increasing the national high school graduation rate and decreasing disparities in the graduation rate are critical to achieving the President's goal of once again having the highest proportion of

college graduates in the world. The nation has made significant progress in increasing both high school graduation rates and degree attainment rates, but gaps between rates for different student groups continue to persist.

Progress: The national public high school graduation rate has reached an all-time high, with 82.3 percent of students graduating high school within 4 years in the 2013–14 school year.[6] The Department has reviewed and approved all states' 2015 plans to ensure equitable access to excellent educators, and states are in the midst of implementing those plans. This work is critical to ensure that students of color and students from low-income families have equitable access to excellent educators. In June 2015, the Department hosted 19 local education agencies (LEAs) with high dropout rates among students of color to provide technical assistance and support. The Department also began the Civil Rights Data Collection (CRDC) for the 2013–14 school year, which is including for the first time collection of the number of students absent 15 or more days.

Opportunities and Challenges: The ESSA continues the ESEA's focus on ensuring that states and school districts account for the progress of all students, take meaningful actions to improve the lowest-performing schools, and ensure equitable access to excellent educators. The Department is developing plans for how best to support states and districts during the transition to the ESSA.

APG: Enable evidence-based decision making

Goal for FY 2014–2015: By September 30, 2015, the percentage of select new (non-continuation) competitive grant dollars that reward evidence will increase by 70 percent.

Supports Strategic Goal 5

Overview: Through its range of grants, contracts, and internal analytic work, the Department supports the use of rigorous research and study designs that inform federal investments in education. This APG tracks whether the Department is increasing its internal capacity to make competitive grant awards based on the existence of (and amount of) evidence in support of projects, where appropriate.

Progress: The Department surpassed the FY 2014 performance target for increasing the percentage of select new (noncontinuation) discretionary grant dollars that reward evidence. In FY 2014, 15.92 percent of the Department's discretionary dollars was awarded to new projects with supporting evidence of effectiveness, with five competitions in OII, OESE, and OPE using evidence through eligibility requirements, competitive preference priorities, and selection criteria. In FY 2015, 29.44 percent of the Department's discretionary dollars was awarded to new projects with supporting evidence of effectiveness, with eight competitions in OII, OESE, and OPE. The Department exceeded its FY 2015 target by 18 percentage points, doubling the amount from FY 2014.

Opportunities and Challenges: Properly using evidence to award competitive grants has been embraced, but still requires additional capacity building and new ways of working across the Department. The Department wants to ensure that use of evidence in competitions is supported across the grant-making life cycle, including in grant development, award, and support for grantees. Additionally, goal targets are based on reasonable projections of which competitive

[6] http://nces.ed.gov/ccd/tables/ACGR_RE_and_characteristics_2013-14.asp

grant programs may make new awards in a given fiscal year, but the actual dollar amount awarded will depend on final appropriations amounts in different programs and other funding decisions and trade-offs, so the percentage of dollars may not increase each year. Through the Regional Educational Laboratories (RELs) and the What Works Clearinghouse, the Department continues to develop toolkits, webinars, guides, and other resources intended to build the capacity of applicants and grantees. For example, the RELs have offered online trainings and mini-courses on developing logic models and designing rigorous evaluations of professional development programs. However, grantees vary in their comfort with and understanding of evaluation and use of evidence, and the Department has limited resources to support grantees in conducting rigorous evaluations that would produce evidence of effectiveness.

Department's FY 2016–17 Agency Priority Goals

In collaboration with the OMB, the Department announced its FY 2016–17 APGs. These APGs include:

Increase college degree attainment in America

Increase attainment of college degrees by improving affordability, access, and student outcomes. By September 30, 2017, 48.4 percent of adults ages 25–34 will have an associate degree or higher. ***(Supports Strategic Goal 1)***

Federal Student Aid transparency

Increase and enhance transparency of information about the student loan portfolio for taxpayers, researchers, and the public. The Department will publish on Federal Student Aid's Data Center at least 15 new releases of data points or other information reports in 2016 and 2017, resulting in 30 new releases by September 30, 2017. ***(Supports Strategic Goal 1)***

Support implementation of college- and career-ready standards and assessments

Support implementation of college- and career-ready standards and assessments. By September 30, 2017, all states, the District of Columbia, and Puerto Rico will be implementing high-quality assessments, aligned with college- and career-ready standards. ***(Supports Strategic Goal 2)***

Increase enrollment in high-quality state preschool programs

Increase the percentage of children, especially children from low-income families, enrolled in high-quality preschool programs. By September 30, 2017, the percentage of four-year old children enrolled in state preschool programs will increase to 33 percent (representing the 2015–16 school year, increasing from 29.1 percent in the 2013–14 school year). By September 30, 2017, the number of state preschool programs meeting high-quality benchmarks will increase to 19 states (representing the 2015–16 school year, increasing from 15 in the 2013–14 school year). ***(Supports Strategic Goal 3)***

Ensure equitable educational opportunities

Improve high school graduation rates and decrease gaps in graduation rates between all students and students from low-income families, through comprehensive school and instructional improvement strategies such as the equitable distribution of effective teachers and rigorous coursework in low-income schools. By September 30, 2017, the national high school graduation rate will increase to 85 percent, and the gap in the graduation rate between all students and students from low-income families will decrease to 7.4 percent. By September 30, 2017, the number of high schools with persistently low graduation rates will decrease by 10 percent and the number of schools that do not have a gap or have decreased the gap between all students and students from low-income families by 5 percent or more will increase by 3 percent. ***(Supports Strategic Goal 4)***

Enable evidence-based decision making

Increase use and generation of credible evidence on what works and what does not work in education. By September 30, 2017, the Department will increase to 20 percent the percentage of new competitive grant dollars that support evidence-based strategies. By September 30, 2017, the Department will increase by 20 the number of Department-funded project evaluations that provide credible evidence about what works in education. ***(Supports Strategic Goal 5)***

The Department will begin quarterly reporting on these APGs in FY 2016, and the action plans for these APGs are available on performance.gov.

Cross-Agency Priority (CAP) Goals

In accordance with the *GPRA Modernization Act of 2010*, interim CAP Goals were published on performance.gov in March 2014. The CAP Goals are divided into two categories:

Mission CAP Goals	Management CAP Goals
• Cybersecurity • Climate Change (Federal Actions) • Insider Threat and Security Clearance Reform • Job-creating Investment • Infrastructure Permitting Modernization • Science, Technology, Engineering, and Mathematics (STEM) Education • Service Members and Veterans Mental Health	• Customer Service • Smarter IT Delivery • Strategic Sourcing • Shared Services • Benchmark and Improve Mission-support Operations • Open Data • Lab-to-Market • People And Culture

Performance.gov is updated quarterly for each CAP Goal. The website includes goal statements and other information, such as lists of accountable senior leader(s) and contributing agencies. Quarterly performance updates for the website on progress will be provided by the goal leader in coordination with the Performance Improvement Council, OMB, corresponding governmentwide management council, and contributing agencies. (A-11, Part 6, 220.5)

In addition to the APGs, the Department contributes to the following four CAP Goals.

Cybersecurity Goal Statement: Improve awareness of security practices, vulnerabilities, and threats to the operating environment by limiting access to only authorized users and implementing technologies and processes that reduce the risk from malicious activity.

A progress update through FY 2015 Q3 is available on performance.gov. The update further clarifies the President's commitment and sense of urgency in addressing cybersecurity threats, which are deemed to be significant threats to national security, public safety, and economic viability, particularly given recent major data breaches, such as that which occurred at the Office of Personnel Management (OPM). In response to that incident and other threats of potential breaches, the Department participated in the White House's "30-day sprint" to address known vulnerabilities, secure network infrastructures, and restrict access through improved authentication, among other key strategies.

The third quarter update shows substantive progress in three critical areas:

- **Information Security Continuous Monitoring—**Impactful increase in the number of *Chief Financial Officers Act of 1990* (CFO Act) agencies that met the Secure Configuration Management target;
- **Identify, Credentialing and Access Management—**Notable increase in the percentage of civilian users (privileged and unprivileged) using Personal Identification Verification cards; and
- **Anti-Phishing and Malware Defense**—Encouraging increase in the number of CFO Act agencies that met the Blended Defense target.

Customer Service Goal Statement: Deliver world-class customer services to citizens by making it faster and easier for individuals and businesses to complete transactions and have a positive experience with government.

A progress update through FY 2015 Q4 is available on performance.gov. The update defines the goal team and a governance plan and identifies subgoals and major actions to achieve impact. Milestones have been established for each of the four strategy areas and key indicators are in development.

Science, Technology, Engineering, and Math (STEM) Education Goal Statement: Improve STEM Education by implementing the Federal STEM Education 5-Year Strategic Plan, announced in May 2013, specifically:

- Improve STEM instruction.
- Increase and sustain youth and public engagement in STEM.
- Enhance STEM experience of undergraduate students.
- Better serve groups historically underrepresented in STEM fields.
- Design graduate education for tomorrow's STEM workforce.
- Build new models for leveraging assets and expertise.
- Build and use evidence-based approaches.

A progress update through FY 2015 Q4 is available on performance.gov. The update highlights the formulation of a governance plan, and identifies subgoals and major strategies to achieve impact as well as key indicators for the action plan.

Service Members and Veterans Mental Health Goal Statement: Improve mental health outcomes for Service Members, Veterans, and their Families.

A progress update through FY 2015 Q4 is available on performance.gov. The update highlights governance plan alignment with the President's Executive Actions, and identifies subgoals and major actions to achieve impact as well as key indicators and milestones.

Additionally, the Department is a member of the Interagency Taskforce on Military and Veterans Mental Health.

Real-time information on CAP Goals is available at performance.gov.

The Department's Approach to Data Collection and Analysis

In FY 2015, the Department continued to support programs to help the education system by facilitating the development of the infrastructure necessary to collect and disseminate high-value education information for the improvement of student outcomes.

ED*Facts*. The ED*Facts* system enables the consolidation of separate data collections and reduces the reporting burden for states by eliminating redundant data requests.

Statewide Longitudinal Data Systems. The Statewide Longitudinal Data Systems (SLDS) grant program, as authorized by the *Educational Technical Assistance Act of 2002,* is designed to aid SEAs in developing and implementing longitudinal data systems. Most SLDS funds are awarded as state grants, but a portion of the funds are used for activities to improve data

quality, coordination, and use. Activities include the Education Data Technical Assistance program, the Privacy Technical Assistance Center, and work on Common Education Data Standards (CEDS).

Data Strategy Team. The Department's Data Strategy Team (DST) develops and promotes coordinated and consistent data strategies among the various principal offices within the Department. The mission of the DST is to coordinate the Department's public-facing data initiatives by building cohesiveness in internal processes and data policies and by improving transparency in matters related to the Department's collection of data.

Civil Rights Data Collection. The Department collects data on key education and civil rights issues in our nation's public schools for use by OCR in its enforcement and monitoring efforts, by other Department offices, and by policymakers and researchers outside of the Department.

Enhancing Education Systems and Supports. The Department strives to leverage its data, evaluation, performance, and financial systems to meet four important aspects of its mission:

- To contribute to the Department's ability to build customer relations by providing timely responses to customer inquiries.
- To empower employees to make informed decisions by increasing their access to data.
- To increase accountability through improved financial management.
- To keep Department employees informed of the project status and ensure that all users receive proper training on the new system.

Support for the Department's Evaluations

To determine the effectiveness of programs, policies, and strategies for improving education outcomes, funding is directed toward evaluations that will yield valid, reliable, and useful information for the field. For a list of evaluations completed in FY 2015 and of those planned through FY 2017, see appendix E.

Performance Plan Summary

Looking Ahead and Addressing Challenges

The U.S. Department of Education's commitment to equity and access are at the heart of its strategic planning and reporting across the six goals in the Department's *Strategic Plan*.

Excellent Education for All

America's high school graduation rate has reached a record high, dropout rates are down, and 1.1 million more Black and Hispanic students are attending college than in 2008, according to new National Center for Education Statistics data.

As a nation, America must accelerate that pace of change because today:

- a quarter of high schools with the highest percentage of African-American and Latino students do not offer Algebra II, and a third do not offer chemistry;
- about 40 percent of school districts do not offer preschool programs; and
- we have far too many students of color, primarily boys, being suspended and expelled from school.

The Department's work will not be done until it ensures that the opportunity for a high-quality education is not just a possibility, and not just a promise, but a reality for the nation's citizens. Going forward, the Department will build on priorities that are in place:

- state-driven accountability that demands progress for all children;
- increased access to high-quality early education for children from low-income families;
- more flexibility for state decision-making;
- more support for principals and teachers to apply high standards to practice;
- reforming career and technical education in high schools and community colleges; and
- reforming and simplifying the application process for student aid to help drive college affordability and completion.

The reauthorization of the ESEA by the ESSA will impact many of the Department's activities, but plans for implementation are being developed. Through the transition to the ESSA, the opportunities that remain to help improve the education system for citizens are a constant and essential source of motivation and urgency to do even more to improve America's education system. Accomplishing the Department's strategic goals will require strong coordination and collaboration from Department staff working with partners at the federal, state, and local levels, including representatives from Congress; federal, state, and local agencies; school districts; and schools.

Data Verification and Validation

The *GPRA Modernization Act of 2010* requires agencies to prepare information on the reliability of data presented. OMB guidance indicates:

> Agencies may develop a single data verification and validation appendix used to communicate the agency's approaches, and/or may also choose to provide information about data quality wherever the performance information is communicated (e.g., websites).[7]

The full data verification and validation summary and a high-level assessment of the completeness and reliability of the data presented are provided in appendix A of this report.

Reporting on Progress

The Department continues to use quarterly performance reviews, targeted strategic initiatives, and outreach to leaders and stakeholders to assess progress and garner engagement toward achieving strategic goals and outcomes. Additionally, the Organizational Performance Review contributes to the Department's compliance with the *GPRA Modernization Act of 2010* by informing data-driven performance discussions, and serving as a tool for principal offices to improve their efficiency and effectiveness through operational and administration priorities and initiatives at the principal office level.

To support the tracking and reporting of progress against the goals and objectives, the Department provides regular updates to its data profile on performance.gov. The effective implementation of the Department's *Strategic Plan* will depend, in part, on the effective use of high-quality and timely publicly reported data throughout the lifecycle of policies and programs.

In addition, the Department's success in achieving its strategic goals is closely tied to its capacity and funding. In addressing capacity, the Department has increased investment in the continuous improvement of its workforce, adding more resources for workforce management and development. An emerging federal emphasis on enterprise risk management has contributed to the Department seeking to employ comprehensive risk management to ensure prudent use of public dollars by mitigating risk through increased oversight and support of grantees and contractors as well as in its general operations.

Continuous improvement rests on ongoing cycles of assessing performance, examining data, and employing lessons to improve practices. Creating a culture of continuous improvement is at the heart of the Department's efforts to partner with and support educators, administrators, and policy makers, but with the main intent to see better performance results overall. The Department is committed to doing its part to bring innovative ideas, convening influence, and any other resources that will help achieve the outcomes that matter most to its stakeholders.

[7] OMB Circular A-11, *Preparation, Submission, and Execution of the Budget,* Part 6, Section 260.9, 2014.

Goal 1. Postsecondary Education, Career and Technical Education, and Adult Education:

Increase college access, affordability, quality, and completion by improving postsecondary education and lifelong learning opportunities for youths and adults.

Goal Leader: Ted Mitchell

Objective 1.1: Access and Affordability. Close the opportunity gap by improving the affordability of and access to college and/or workforce training, especially for underrepresented and/or underprepared populations (e.g., low-income and first-generation students, English learners, individuals with disabilities, adults without high school diplomas, etc.). **Objective Leaders: Jon O'Bergh, Jim Runcie, and Michael Yudin**

Metric 1.1.A: Rate of increase in net price of public four-year institutions[8]

Metric 1.1.B: Rate of increase in net price of public two-year institutions[9]

Metric 1.1.C: Percentage of high school seniors filing a Free Application for Federal Student Aid (FAFSA)

Metric 1.1.D: Index of national annual aggregate earnings of Vocation Rehabilitation (VR) consumers (based on the number of competitive integrated employment outcomes, hours worked, and hourly wages of VR consumers)

Metric 1.1.E: Index of national annual aggregate earnings of Transition-Age Youth (based on the number of competitive integrated employment outcomes, hours worked, and hourly wages of VR Transition-Age Youth)

Objective 1.2: Quality. Foster institutional value to ensure that postsecondary education credentials represent effective preparation for students to succeed in the workforce and participate in civic life. **Objective Leader: Jon O'Bergh**

Metric 1.2.A: Number of low-performing institutions with high loan default rates and low graduation rates[10]

Objective 1.3: Completion. Increase degree and certificate completion and job placement in high-need and high-skill areas, particularly among underrepresented and/or underprepared populations. **Objective Leader: Jon O'Bergh**

Metric 1.3.A: Degree attainment among 25–34-year-old age cohort

Metric 1.3.B: Retention rate of first-time degree-seeking undergraduates: Full-time[11]

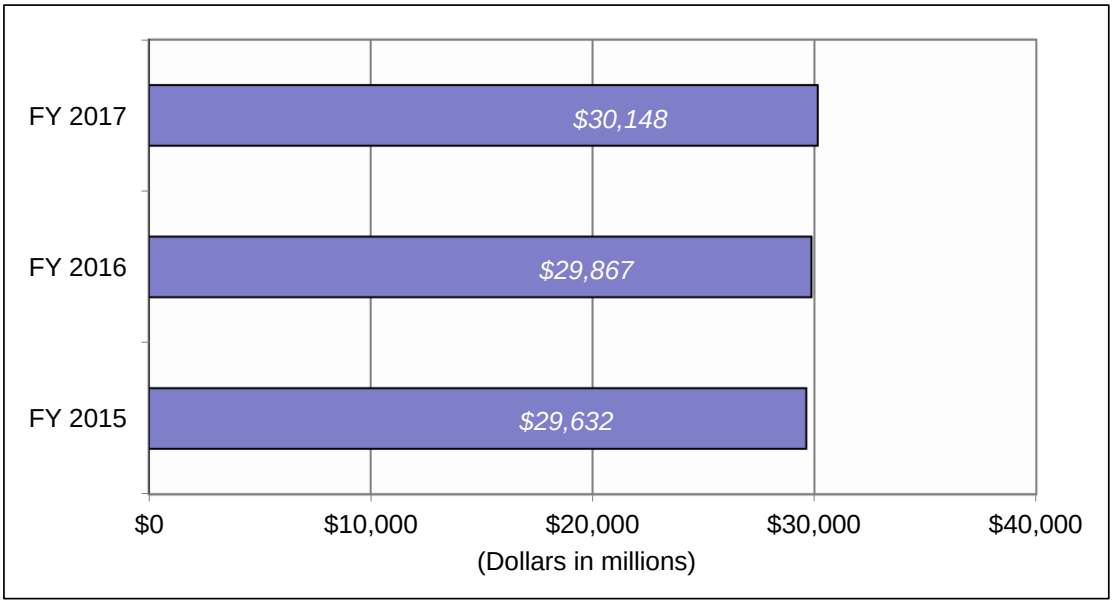
[8] Metric is being removed at the end of the FY 2015 reporting period. Please refer to appendix B for details pertaining to the removal and addition of metrics.
[9] Metric is being removed at the end of the FY 2015 reporting period. Please refer to appendix B for details pertaining to the removal and addition of metrics.
[10] Metric is being removed at the end of the FY 2015 reporting period. Please refer to appendix B for details pertaining to the removal and addition of metrics.
[11] Metric is being removed at the end of the FY 2015 reporting period. Please refer to appendix B for details pertaining to the removal and addition of metrics.

Metric 1.3.C: Retention rate of first-time degree-seeking undergraduates: Part-time[12]

Objective 1.4: Science, Technology, Engineering, and Mathematics (STEM) Pathways. Increase STEM pathway opportunities that enable access to and completion of postsecondary programs. **Objective Leader: Russ Shilling**

Metric 1.4.A: Number of STEM postsecondary credentials awarded

Goal 1 Discretionary Resources



Major Discretionary Programs and Activities[13] Supporting Goal 1 Performance Metrics [Dollars in Millions]

POC	Account	Obj.	Program	FY 2015 Appropriation	FY 2016 Appropriation	FY 2017 President's Budget
FSA	SAA		Student Aid Administration: Salaries and expenses	675	697	732
FSA	SAA		Student Aid Administration: Servicing Activities	722	855	900
FSA	SFA	1.1	Federal Pell grants: Discretionary	22,475	22,475	22,475
OCTAE	CTAE	1.1, 1.2, 1.3	Adult basic and literacy education state grants	569	582	582
OCTAE	CTAE	NA	Career and technical education state grants	1,118	1,118	1,193
OPE	HE	1.1, 1.3	Federal TRIO programs	840	900	900
OPE	HE		First in the World	60	0	100
OPE	HE		HBCU and minority-serving institutions (MSI) innovation for completion fund (proposed)	0	0	30
	Subtotal			**26,459**	**26,627**	**26,912**
	Other Discretionary Programs/Activities			**3,174**	**3,241**	**3,236**
TOTAL, GOAL 1				**29,632**	**29,867**	**30,148**

POC = Principal Office Component
NA = Not applicable.
NOTES: Many programs may have sub-activities that relate to other goals. Detail may not add to total due to rounding.

[12] Metric is being removed at the end of the FY 2015 reporting period. Please refer to appendix B for details pertaining to the removal and addition of metrics.
[13] All the programs listed are discretionary programs, as distinct from mandatory programs. These include both competitive and noncompetitive programs.

Public Benefit

Increasing college access, affordability, quality, and completion by improving postsecondary education and lifelong learning opportunities for youths and adults requires attention to three equally important factors to facilitate success: availability of good consumer information and financial aid, strong motivation by students and families, and access to affordable, high-quality learning opportunities.

Prior to entering postsecondary education, prospective students need easily accessible information on the cost of attendance and financial aid; rates for career placement, graduation, and college loan defaults; labor market outcomes and projections of labor market demand; loan repayment and management options; and other subjects crucial to understanding the affordability and value of the postsecondary institutions and programs of study available. Students deserve to know that, whether they enter a college, university, career training program, or adult education program, the credential they earn will be affordable and its value will be recognized as an indication that they possess the necessary knowledge and skills for success in the workplace and in life.

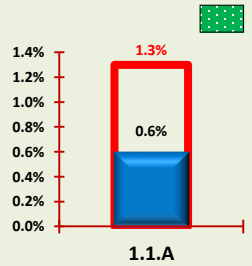
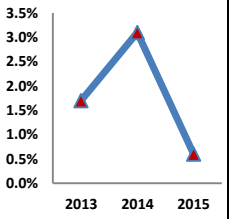
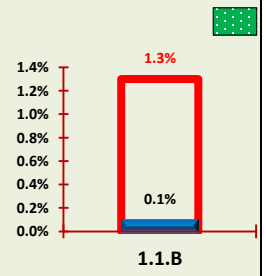
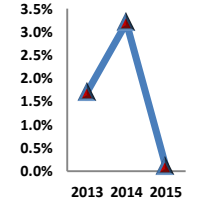
Providing federal student aid in a simple, reliable, and efficient manner is primarily how the Department supports college access, affordability, quality, and completion. In FY 2015, the Department delivered nearly $128 billion in grants, work-study, and loan assistance to almost 12 million postsecondary students at over 6,100 schools.[14] In addition, the Department administered $2 billion annually in grants to strengthen postsecondary institutions and promote college readiness, and nearly $1.7 billion more in grant funds for career and technical education (CTE), adult education (including literacy and civics education), and correctional education to help youths and adults secure the skills that equip them for work, civic participation, and lifelong learning.[15]

The Department has taken significant steps to increase college access, affordability, quality, and completion in recent years. Resources developed by the Department, such as the College Affordability and Transparency Center, the Financial Aid Shopping Sheet, the College Scorecard, a consolidated student aid website, and new loan counseling and financial literacy resources, now provide students and families with new and enhanced tools for informed decision-making. In particular, the release in FY 2015 of a vastly expanded College Scorecard—including many important metrics that have not been published before—has set a new standard for consumer information about postsecondary education. Redesigned with direct input from students, families, and their advisers, the College Scorecard provides the clearest, most accessible, and most reliable national data on cost, graduation, debt, and postcollege earnings. Gainful Employment regulations will also ensure that students are informed about key outcomes for occupational-oriented programs before they enroll and that programs not meeting established standards will lose eligibility for access to federal student aid funds. In addition, the Department continues to simplify the FAFSA so it is easier and faster for students to apply for aid, and has improved the process. Beginning with the 2017–18 award year, students can apply earlier and electronically retrieve tax information filed for an earlier year, rather than waiting until tax season to complete their applications. Learning about aid eligibility options much earlier in the college application and decision process will allow students and families to determine the true cost of attending college—taking available financial aid into account—and make more informed decisions. New and expanded repayment plans, including Pay As You Earn (PAYE)

[14] Federal Student Aid Annual Report FY 2015.
[15] Note that CTE formula funds go to both secondary and postsecondary programs; approximately 40% of the amount listed goes to postsecondary programs.

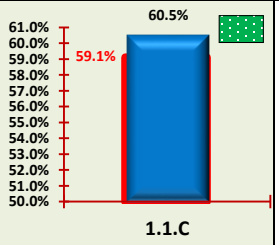
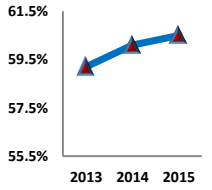
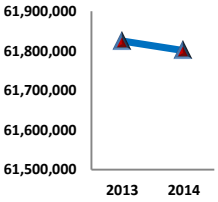
and Revised Pay As You Earn (REPAYE), make debt more affordable for students after they leave school. America's College Promise, the President's proposed new federal-state partnership to to make two years of community college free for responsible students, would significantly impact affordability by letting students earn the first half of a bachelor's degree and earn skills needed in the workforce at no cost. This proposal will require everyone to do their part: community colleges must strengthen their programs and increase the number of students who graduate, states must invest more in higher education and training, and students must take responsibility for their education, earn good grades, and stay on track to graduate. The Department will build on these efforts to ensure that all Americans, regardless of their financial circumstances, will have the opportunity to access and complete an affordable postsecondary degree or other postsecondary credential.

Goal 1: Details

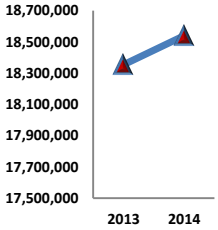
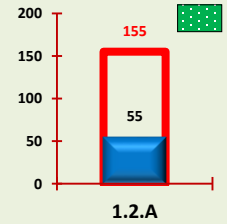
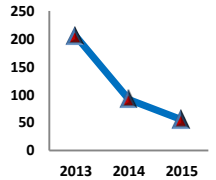
U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015		Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed	Exceeded	2016	2017	
1.1.A. Rate of increase in net price of public four-year institutions[16]	AY: 2010–11 1.7%	AY: 2010–11 1.7%	AY: 2011–12 3.1%	AY: 2012–13 0.6%	AY: 2012–13 1.3%	MET			NA	NA	
New Metric: Federal student loan delinquency rate	FY: 2015 21.7%	NA	FY: 2014 24.0%	FY: 2015 21.7%	NA	NA			+/- 3–5% over prior year's actuals	+/- 3–5% over prior year's actuals	
1.1.B. Rate of increase in net price of public two-year institutions[17]	AY: 2010–11 1.7%	AY: 2010–11 1.7%	AY: 2011–12 3.2%	AY: 2012–13 0.1%	AY: 2012–13 1.3%	MET			NA	NA	

[16] Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were 1.1% and 0.9%, respectively.

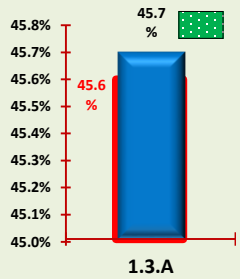
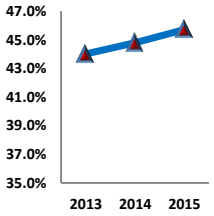
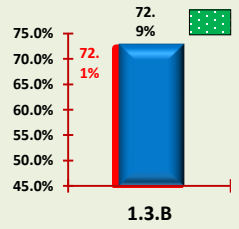
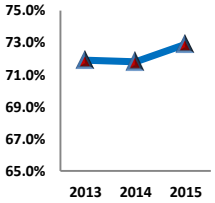
[17] Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were 1.1% and 0.9%, respectively.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
New Metric: Web traffic to the College Scorecard (as measured by unique visitors annually)	FY: 2015 91,011 (Excluding new Scorecard launch on Sept. 12, 2015)	NA	NA	91,011	NA	NA		1,500,000	1,800,000	
New APG Metric: Number of data points or other information reports released on the FSA Data Center[18]	FY: 2009–14 12	NA	NA	12	NA	NA		15	30	
1.1.C. Percentage of high school seniors filing a FAFSA	SY: 2012–13 59.2%	SY: 2012–13 59.2%	SY: 2013–14 60.1%	SY: 2014–15 60.5%	SY 2014–15 59.1%–61.1%	MET		+/- one percentage point of prior year's actuals	+/- one percentage point of prior year's actuals	
1.1.D. Index of national aggregate annual earnings of VR consumers (based on the number of competitive integrated employment outcomes, hours worked, and hourly wages of VR consumers)	FY: 2010 $57,971,317	$61,824,728	$61,800,214[19]	TBD Data avail-able Q1 FY16	$64,322,447	TBD	TBD	$65,608,896	$66,921,074	

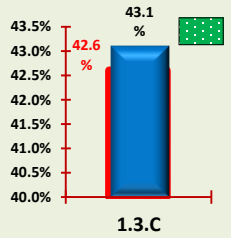
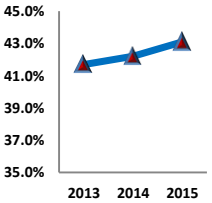
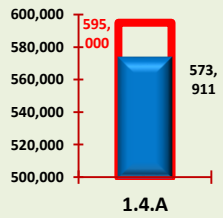
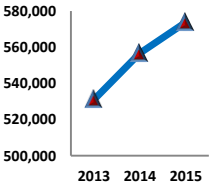
[18] Metric is aligned with an APG.
[19] Metric reported as TBD in the 2014 APR. 2014 actuals show the 2014 target was "**Not Met**."

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015		Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed	Exceeded	2016	2017	
1.1.E. Index of national aggregate annual earnings of Transition-Age Youth (based on the number of competitive integrated employment outcomes, hours worked, and hourly wages of VR Transition-Age Youth)	FY: 2010 $15,971,665	$18,353,441	$18,540,576[20]	TBD Data avail-able Q1 FY16	$19,094,920	TBD	TBD		$19,476,818	$19,866,354	
1.2.A. Number of low-performing institutions with high loan default rates and low graduation rates[21]	AY: 2010–11 205	AY: 2010–11 205	AY: 2011–12 91	AY: 2012–13 55	AY: 2012–13 155	MET			NA	NA	
New Metric: Pell enrollment at IHEs with high graduation rates[22]	AY: 2013–14 24.1%	NA	NA	AY: 2013–14 24.1%	NA	NA			AY 2014–15 25.0%	AY 2015–16 26.0%	
New Metric: Number of states that develop or strengthen career pathways policies, guidance, or legislation	FY: 2015 8	NA	NA	8	NA	NA			10	37	

[20] Metric reported as TBD in the 2014 APR. 2014 actuals show the 2014 target was "**Not Met**."
[21] Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were 135 and 117, respectively.
[22] "High graduation rate" is defined as 65% or higher, which is roughly the 75th percentile.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
1.3.A. Degree attainment among 25–34-year-old age cohort[23]	Current Population Survey (CPS) Year: 2012 44.0%	CPS Year: 2012 44.0%	CPS Year: 2013 44.8%	CPS Year: 2014 45.7%	45.6%	MET		46.8%	48.4%	
1.3.B. Retention rate of first-time degree-seeking undergraduates: Full-time[24]	AY: 2011 71.9%	AY: 2011 71.9%	AY: 2012 71.8%	AY: 2013 72.9%	72.1%	MET		NA	NA	
New Metric: Enrollment in IHEs where students' median earnings 10 years after entering college are below a minimum earnings threshold[25]	AY: 2012–13 9.7%	NA	NA	AY: 2012–13 9.7%	NA	NA		9.4%	9.0%	

[23] Metric is aligned with an APG.
[24] Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were 72.1% and 72.3%, respectively.
[25] "Minimum earnings threshold" is defined as the median earnings above the level of an institution at the 25th percentile for students 10 years after entering college, which equals $19,000 for less-than-2-year institutions, $26,000 for 2-year institutions, and $35,000 for 4-year institutions.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
1.3.C. Retention rate of first-time degree-seeking undergraduates: Part-time[26]	AY: 2011 41.7%	AY: 2011 41.7%	AY: 2012 42.2%	AY: 2013 43.1%	42.6%	MET		NA	NA	
New Metric: FAFSA renewal rate	FY: 2015 79%	NA	NA	FY: 2015 79%	NA	NA		+/- one percentage point over prior year's actual	+/- one percentage point over prior year's actual	
1.4.A. Number of STEM postsecondary credentials awarded	AY: 2010–11 531,018	AY: 2010–11 531,018	AY: 2011–12 556,696	AY: 2012–13 573,911	595,000	NOT MET		638,000	691,000	

NA = Not applicable.
TBD = To be determined.
Academic Year (AY) is a collegiate year spanning August–May; School Year (SY) spans August–July and is aligned with a P–12 school year; Fiscal Year (FY) corresponds to a federal fiscal year; Calendar Year (CY) spans January–December.

Data Sources and Frequency of Collection:
1.1.A. Integrated Postsecondary Education Data System (IPEDS); annually
1.1.B. IPEDS; annually
1.1.C. The denominator is the number of graduating seniors according to the most recent projection by the National Center for Education Statistics (NCES). The numerator is from FSA's Central Processing System and is based on the number of applications during the first nine months of the application cycle that are—as of September 30 of the first year of the application cycle—complete (not rejected); first-time filers; incoming freshmen, with or without previous college attendance; age 18 or less as of June 30 of the first year of the application cycle; reporting high school diploma attainment; and attended a high school in the fifty states and Washington, DC; annually

[26] Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were 42.9% and 43.5%, respectively.

1.1.D. Rehabilitation Services Administration-911 (RSA-911); annually
1.1.E. RSA-911; annually
1.2.A. FSA Cohort Default Rate (CDR) Report, September 2014, and IPEDS Data Center; annually
1.3.A. NCES Digest of Education Statistics, Table 104.30 (http://nces.ed.gov/programs/digest/d13/tables/dt13_104.30.asp), Number of persons age 18 and over, by highest level of educational attainment, sex, race/ethnicity, and age: 2013. Tabulated from Current Population Survey (CPS) data, U.S. Census; annually
1.3.B. IPEDS Data Center; annually
1.3.C. IPEDS Data Center; annually
1.4.A. IPEDS Data Center; annually

***Note on performance metrics and targets*:** These metrics were established as a part of the *FY 2014–18 Strategic Plan*. Metrics may be updated or revised to reflect awareness of more accurate data or clarifications. Such updates or revisions are identified in footnotes.

Analysis and Next Steps by Objective

Objective 1.1: Access and Affordability

Explanation and Analysis of Progress:

The Department supported or initiated a number of efforts and made progress toward this objective, despite limited ability to impact college costs or control price. The Department unveiled the expanded College Scorecard, a college choice tool that provides a wealth of customizable data—including many important metrics that have not been published before—so students and families can make informed choices based on the criteria most important to them. The Department also made the data behind the Scorecard publicly available in order to jumpstart efforts across the country to develop meaningful metrics for accountability. The Department continues to seek ways to simplify the FAFSA so it is easier and faster for students and families to apply for financial aid. Beginning with the 2017–18 award year, students can apply earlier and electronically retrieve tax information filed for an earlier year, rather than waiting until tax season to complete their applications. The number of IHEs agreeing to utilize the Financial Aid Shopping Sheet, a model form that makes it easier for students to compare financial aid offers, grew from around 2,000 in 2013–14 to more than 3,000 in 2014–15 following an outreach effort to encourage institutions to sign on.

Recognizing that FAFSA completion significantly increases chances that students will actually enroll in college, the Department issued guidance clarifying that state authorities may share FAFSA completion data with nonprofit organizations. This adds to the list of authorized entities that includes LEAs, The Federal TRIO Programs (TRIO) and Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) grantees, tribal education authorities, and Indian organizations, so those entities can maximize the number of their students that complete the FAFSA.

The Department has taken additional actions to help struggling federal student loan borrowers manage their debt. The Department held negotiated rulemaking sessions and finalized regulations in October 2015 that expand Pay As You Earn, an income-based repayment program, to all student borrowers who have direct loans. In the wake of the collapse of Corinthian Colleges, the Department announced in June of this year that it would begin implementing a previously little-used provision in the law called “defense to repayment,” which allows borrowers to seek loan forgiveness if they believe they were defrauded by their college under state law, and assigned a Special Master to oversee the high volume of loan discharge cases. Since then, the Special Master has issued two reports with recommendations for developing a process to handle these borrower defense claims. The Department also announced its intent to establish a negotiated rulemaking committee in FY 2016 to address loan discharge and borrower defense issues, held two public hearings in September for the rulemaking, and since the end of the fiscal year has selected negotiators and announced three negotiated rulemaking sessions to be held in January, February, and March. The Department began to wind down contracts with five private collection agencies that provided inaccurate information to borrowers, and is revising existing contracts to ensure the proper balance between the interests of the borrower and of the taxpayer, as well as to increase the Department’s oversight capabilities.

Subsequent to FY 2015, the Department issued a report on October 1, 2015 with U.S. Department of the Treasury (Treasury) and the Consumer Financial Protection Bureau on a series of statutory, regulatory, and administrative recommendations to safeguard student borrowers. The recommendations include establishing: a way for borrowers to authorize the

Internal Revenue Service to release income information for multiple years to the Department to determine monthly payments under income-driven repayment plans; loan servicing standards; principles for borrower defense legislation; a streamlined discharge process for borrowers eligible for a total and permanent disability discharge of their loans; increased borrower protections in the federal student loan program; and protections for private student loan borrowers. The Under Secretary is overseeing a process to collect feedback from student borrowers and loan servicers in order to strengthen loan servicer contracts when they are renegotiated in the future.

Research indicates that correctional education programs for prisoners reduce recidivism rates. The Department therefore launched a Second Chance Pell Grant pilot through the Experimental Sites program. The goal of this limited pilot program is to increase access to high-quality educational opportunities and help incarcerated individuals successfully transition out of prison and back into the classroom or the workforce. In addition, the Department invested in a series of demonstration projects through the Improving Reentry Education grant competition, and launched a program to improve the outcomes of juvenile justice youth in the reentry process through a strong partnership with the Department of Justice (DOJ).

The partial restoration of Ability to Benefit provisions tied to career pathways restored access to federal student aid for millions of older youth and adults who lack a high school credential and are enrolled in a program that is part of a career pathway. The Department provided guidance through a Dear Colleague letter and initiated a series of webinars and other technical assistance activities to hold up programs and institutions that illustrate how to appropriately administer these new provisions. These efforts significantly open up affordable opportunities for those who were unable to complete high school due to a variety of reasons.

As part of the Reach Higher Campaign, the Department collaborated with the Office of the First Lady to create a competition to promote the development of mobile app solutions that will help students navigate education and career pathways, including CTE. (The competition was subsequently announced in October 2015.)

Although results for metrics 1.1.A, 1.1.B, 1.1.C, 1.1.D, and 1.1.E are influenced by actions taken by the Department, they are most influenced by factors that are beyond the control of the Department. For example, results for metrics 1.1.A and 1.1.B are most influenced by actions taken by postsecondary institutions, state and local agencies regarding funding decisions, and market forces and job creation trends. The Department met its FY 2015 performance targets for metrics 1.1.A and 1.1.B to slow the increase in average net price at public institutions. However, given the Department's limited ability to influence net price, the Department plans to replace these metrics with different metrics for FY 2016.

Regarding metric 1.1.C, the Department achieved its FY 2015 performance target to increase the number of high school students completing the FAFSA. Efforts such as the FAFSA completion project, increased outreach activities by FSA and other offices, and the Department's participation in the American Council on Education's National College Application Week initiative since 2011, likely contributed to success with this target.

States are required to submit data for metrics 1.1.D and 1.1.E by November 30 for the previous fiscal year. As such, the FY 2015 data are not available until spring 2016. The *Workforce Innovation and Opportunity Act* (WIOA), signed by the President in July 2014, reforms the public workforce system by strengthening alignment and access to employment, training, education, and support services needed to succeed in the labor market. In particular, the WIOA includes many changes that are designed to strengthen and improve employment for individuals with

disabilities, many served by the State Vocational Rehabilitation Services and Supported Employment programs. WIOA places significant emphasis on obtaining competitive integrated employment, especially in the amendments to the *Rehabilitation Act of 1973.* Program services are designed to maximize the ability of individuals with disabilities, including individuals with the most significant disabilities, to achieve competitive integrated employment through customized employment, supported employment, and other individualized services. The Department will continue to track national aggregate annual earnings of Vocational Rehabilitation consumers and transition-aged youth. Future annual earnings are expected to improve by the regulatory actions that the Department will undertake in FY 2016.

Challenges and Next Steps:

The Department will take additional actions to help struggling federal student loan borrowers manage their debt. These actions include publishing final rules in October 2015 that expand the Pay As You Earn repayment program to all student borrowers with direct loans, which is expected to help millions of struggling borrowers; building on successful pilot programs to communicate information about federal student loan repayment options; conducting rulemaking on loan discharge and borrower defense issues; and advocating for the administration's proposal for a single income-driven repayment plan.

America's College Promise, President Obama's proposed initiative announced in January 2015, would allow students to attend community colleges tuition-free if they attend at least half-time, make satisfactory academic progress to a degree, and maintain a 2.5 grade point average. If Congress passes legislation to enact the proposal, and all states participate and provide quality programs, the plan could benefit millions of students by making a higher education more affordable.

Although states are beginning to increase appropriations per full-time equivalent student, funding for higher education overall continues at historically low levels, which places pressure on institutions to raise costs in order to maintain quality and levels of service. Without specific programs, such as the proposed College Opportunity and Graduation Bonus program (discussed in strategic objective 1.3) and America's College Promise, the Department has little influence over state funding decisions and is limited in its ability to impact net price and college cost. Despite these challenges, the Department will continue to highlight institutions that are taking steps to ensure affordability for families and will support practices that reduce cost by reducing the time taken to earn a degree, such as competency-based education (see discussion of Experimental Sites programs in section 1.2), dual enrollment,[27] remedial education reforms, and improved articulation between institutions. The Department will also build on its existing work on consumer information tools, such as the College Scorecard; its work on consumer protections; and improving student loan servicing to ensure students have access to high-quality, affordable education and quality customer service.

Objective 1.2: Quality

Explanation and Analysis of Progress:

The Department pursued several rulemaking activities during FY 2015 on higher education topics, including the use of prepaid debit cards at IHEs; teacher preparation programs; and implementation of WIOA, which reforms adult education training and services, including in the areas of English language acquisition and vocational rehabilitation for individuals with

[27] An Experimental Site project addressing dual enrollment was subsequently announced on October 30, 2015.

disabilities. Most significantly, the Department implemented the Gainful Employment regulations, which took effect July 1, 2015, and began collecting data from institutions. The regulations foster program quality through transparency and accountability. Institutions will be required to notify students about completion rates as well as debt and earnings outcomes for certain types of occupational-oriented programs; programs that do not meet established standards risk losing eligibility for federal student aid funds. The Department also implemented its state authorization regulations on July 1 and reminded institutions and states of dual requirements that 1) IHEs must be authorized to operate in a given state by the appropriate state agency, and 2) that agency must have a process for handling student complaints.

The Department continues to encourage the higher education community to focus on innovative, transparent, and validated approaches to student learning. Through the Experimental Sites initiative, the Department announced experiments in the areas of competency-based learning, Federal Work Study, and prior learning assessments. The results of these experiments will guide future policy decisions. The Department and the White House convened a group of 50 leading higher education experts for a discussion of innovation in higher education. Participants spent the day considering opportunities for innovation on which the federal government and others could take action expediently, and were led through a design-thinking workshop about how online learning tools can catalyze improvements in postsecondary education.

The Department awarded 18 First in the World grants totaling $60 million, with nine of the winning applications awarded to minority-serving institutions. The program focuses on high-need students and promotes evidence-based strategies and practices for college access and completion. Funded projects include a partnership of community colleges to implement proactive and individualized student support services, informed by an early alert and advising system based in predictive analytics; incorporating new teaching and learning strategies into the curriculum and student experience at an Historically Black College; and creating seamless transfer of lower-division general education requirements across participating institutions based on students' demonstration of learning outcomes regardless of courses or credits completed. The Department, through a contractor, will provide technical assistance to assist all grantees in conducting rigorous project evaluations. Those projects showing evidence of success will serve as models for possible dissemination or could be eligible for future validation and scale-up grants.

The Department awarded 40 grants totaling $17.5 million in the Strengthening Institutions Program (SIP).[28] This program helps postsecondary schools expand their capacity to serve low-income students by providing funds to improve and strengthen academic quality, institutional management, and fiscal stability, as well as build a framework to help students complete college. For the FY 2015 competition, the Department included a competitive preference priority supporting programs, practices, or strategies that are based on rigorous evidence.

The Department created an interagency task force on for-profit schools, including the Departments of Education, Defense, Justice, Labor, the Treasury, and Veterans Affairs, as well as the Consumer Financial Protection Bureau, the Federal Trade Commission, and the Securities and Exchange Commission. The task force established a working group to focus on enforcement-related issues.

The Department collaborated with the Department of Labor, the Department of Health and Human Services (HHS), the Corporation for National and Community Service, and the Institute

[28] FY 2015 awards listed at http://www2.ed.gov/programs/iduestitle3a/awards.html.

of Museum and Library Services to develop Performance Partnership Pilots (P3) for Disconnected Youth. Nine pilots were announced in October 2015 that will test the hypothesis that additional flexibility for states, localities, and tribes, in the form of blending funds and obtaining waivers of certain programmatic requirements, can help overcome some of the significant hurdles that states, localities, and tribes may face in providing intensive, comprehensive, and sustained service pathways and improving outcomes for disconnected youth. Proposed priorities, requirements, definitions, and selection criteria for a second competition are under development (subsequently published in October as well).

In collaboration with the National Economic Council, the Department of Labor, and the Aspen Institute, the Department held an UpSkill Summit at the White House on April 24, 2015. One hundred employers made commitments to help millions of frontline workers develop their skills, training and credentials. The Department secured similar commitments from national and international labor unions and labor-management collaborations.

As part of the President's commitment to double the number of apprenticeships in the country, the Department collaborated with the Department of Labor and the Office of the Vice President to secure over 200 commitments from community colleges and their Registered Apprenticeship partners to grant college credits and degrees to individuals who hold apprenticeship program completion certificates.

The Department surpassed its FY 2015 target for reducing the number of low-performing institutions—i.e., those with high student loan cohort default rates and below average completion rates. However, the Department proposes to replace this metric in FY 2016 with other metrics that take advantage of better data available through the expanded College Scorecard.

Challenges and Next Steps:

The Department will continue various rulemaking development and implementation activities during FY 2016. Working cooperatively with schools and the Social Security Administration, the Department must ensure that activities such as data matching and validation occur on schedule in processing Gainful Employment data. The Department will also publish final rules regarding WIOA, Teacher Prep, and cash management regulations.[29]

In the innovation space, the Department will continue to develop specifications for Experimental Sites projects on dual enrollment and alternative methods of quality assurance (the latter project, dubbed Educational Quality through Innovative Partnerships, or EQUIP, was subsequently announced in October 2015, as was the dual enrollment project). Processing amended Program Participation Agreements for institutions that wish to participate in the competency-based education and prior learning assessment experiments remains a complex activity and has taken longer than anticipated, but the Department expects to complete the process in FY 2016 so the experiments can commence. The Department will also consider steps that can be taken to help accreditors strengthen their oversight of institutions.

The possible reauthorization of the *Higher Education Act* could provide an opportunity to develop new ways to encourage innovation and quality in this sector. Continuing to embed evidence-based practices in grant competitions is another area in which the Department can foster quality in terms of better student outcomes. The interagency For-Profit Task Force will

[29] Final Rules regarding Cash Management Regulations were published in October 2015.

work toward sharing information to ensure that students are protected from unscrupulous institutional behavior.

The reauthorization of the *Carl D. Perkins Career and Technical Education Improvement Act of 2006* creates opportunities to name quality features of CTE programs, strengthen the link between funding and results by incentivizing performance-based funding (such as completion-based state funding as an alternative to enrollment-based state funding mechanisms), and embed innovation funding in a reauthorized law that would include innovations, such as the American Technical Training Fund targeted at cohort-based, accelerated programming for high-demand sectors and occupations that embed remediation into program design.

Finally, the emphasis in WIOA Title II on integrated education and training programming opens the door for programs that by design allow adults to work on their basic skills while simultaneously pursuing credit-bearing courses at the postsecondary level that lead toward certificates or degrees in high-demand fields.

Objective 1.3: Completion

Explanation and Analysis of Progress:

The Department made progress through a variety of activities to support this strategic objective, especially by embedding a focus on completion in more grant competitions. One competition incorporated a competitive preference priority to increase postsecondary access, affordability and completion: Predominantly Black Institutions. The Department awarded grants to Asian American and Native American Pacific Islander Serving Institutions that are designed to increase the number and proportion of high-need students who are academically prepared for, enroll in, or complete on time college, other postsecondary education, or other CTE. In the Hispanic-Serving Institutions grant competition, the Department incorporated two competitive preference priorities: one to support tutoring, counseling, and student service programs designed to improve academic success, including innovative and customized instruction courses designed to help retain students and move the students rapidly into core courses and through program completion; and one to develop and implement high-quality online or hybrid credit-bearing learning opportunities that reduce the cost of higher education, reduce time to degree completion, or allow students to progress at their own pace. First in the World grants, discussed in strategic objective 1.2, also support practices that improve college completion. The IES announced a competition to establish a Research Network on Scalable Practices to Support College Completion, and expects to award a grant during the first quarter of FY 2016.

The Department launched a new National Activities Project to study CTE stackable certificates. During the project's first year, the Department will gather information and convene knowledgeable stakeholders. During the second year, the Department will provide technical assistance to the field. A new CTE innovation program proposed in the FY 2016 budget, the American Technical Training Fund, would support the development and implementation of new models and practices at the local level.

The College Opportunity and Graduation Bonus program, also proposed in the FY 2016 budget, would provide $7 billion in mandatory budget authority over 10 years to support colleges that successfully enroll and graduate a significant number of low- and moderate-income students on time and encourage all institutions to improve their performance.

Many students that enter higher education are not college ready. Improving the community college developmental education system is an important element of improving community

college completion. In 2015, the Department launched "Supporting Student Success: Adult Education and Remedial Education Reform in Community Colleges," a national activity to improve developmental education practices across several states.

The Department cohosted with the White House a College Opportunity Summit on December 4, 2015, focused on completion and affordability, as well as on partnerships between P-12 and higher education to promote educational quality and seamless transitions from high school to college. Almost 300 commitments were announced at the summit to improve college opportunities for young people in communities across the country through college readiness partnerships, college advising, improving STEM learning and degree completion for underrepresented students, and helping more students complete their degrees.

In an effort to scale up successful practices that lead to completion, especially in the area of remedial education, the Department developed communities of practice among minority-serving community colleges. Lead institutions were identified, recruited, and trained. Two communities of practice have been launched as of October 2015. Subsequently, on November 16–17, 2015, approximately 130 minority-serving community colleges met at the Department and exchanged promising practices; received technical assistance from the Department and 13 federal agencies; and heard from leading authorities in the fields of minority-serving institution research, philanthropy, and student success strategies. Several colleges stepped forward to join the other lead colleges in growing the communities of practice that will continue the capacity-building dialogue with the federal agencies.

The Department achieved its performance target for metric 1.3.A with an educational attainment rate of 45.7 percent. The Department also achieved its performance targets for metric 1.3.B with a retention rate of 72.9 percent for full-time students and metric 1.3.C with a retention rate of 43.1 percent for part-time students. Given the Department's limited ability to impact retention rates overall, the Department proposes alternative metrics to replace 1.3.B and 1.3.C for FY 2016.

Challenges and Next Steps:

The Department's ability to significantly impact completion rates on a large scale nationwide depends on Congressional support for programs proposed through the budget process. There is also a time lag in that actions and changes initiated in any particular year will take several years to show results as the cohort progresses through its educational programs. The Department will continue to incorporate postsecondary completion as a competitive preference priority in grant competitions where appropriate.

While the Department achieved its FY 2015 performance target for educational attainment, the targets in future years are set to grow at increasingly accelerated rates in order to reach the President's 2020 goal of 60 percent degree attainment. However, while increases in high school graduation rates (one of the factors that feed into the attainment rate) are growing, data from the Bureau of Labor Statistics show that fewer high school graduates are opting for college than they were in 2009—65.9 percent in 2013 and 68.4 percent in 2014, compared to a high point of 70.1 percent in 2009.[30] Total fall enrollment has declined as well, falling by an estimated 3.6 percent in 2014 from an enrollment surge in 2010.[31] These data may be attributable to the

[30] Bureau of Labor Statistics, College Enrollment and Work Activity of High School Graduates News Release, April 22, 2014, and April 16, 2015: http://www.bls.gov/news.release/hsgec.htm.
[31] National Center for Educational Statistics, Digest of Education Statistics 2014, "Table 303.10. Total fall enrollment in degree-granting postsecondary institutions, by attendance status, sex of student, and control of institution: Selected years, 1947 through 2024": https://nces.ed.gov/programs/digest/d14/tables/dt14_303.10.asp.

natural cycle of higher enrollment rates during economic downturns followed by comparatively lower rates as the economy improves, but these trends may impact the ability to achieve the targeted growth in the attainment rate unless institutions significantly increase the percentage of students who complete their programs of study. Despite efforts to support college completion for underrepresented students, equity gaps in the attainment rate based on race, ethnicity, and disability status have not lessened.

Subpopulation Breakout for Metric 1.3.A: Degree attainment among 25–34-year-old age cohort, by race/ethnicity and disability status*

	White	Black	Hispanic	Asian	Pacific Islander	American Indian	Two or More Races	Disability
Percentage, 2012	51.6%	32.6%	22.6%	68.7%	37.2%**	29.3%**	45.7%	20.9%
Percentage, 2013	52.4%	33.2%	22.7%	70.9%	41.4%**	25.1%**	46.7%	19.1%
Percentage, 2014	53.6%	33.0%	24.0%	71.5%	30.6%**	21.4%**	44.4%	21.0%

Note: Race categories exclude persons of Hispanic ethnicity.
* Disability is defined as: deaf; blind; difficulty concentrating, remembering, or making decisions; difficulty walking or climbing stairs; difficulty dressing or bathing; difficulty doing errands alone.
** Interpret with caution; small sample sizes reduce the reliability of these estimates.
Data Source and Frequency of Collection: NCES tabulations of data from the Current Population Survey, Census; annually

Objective 1.4: Science, Technology, Engineering, and Mathematics (STEM) Pathways

Explanation and Analysis of Progress:

The Department, in consultation with OMB, has highlighted this objective as a focus area for improvement. The number of STEM postsecondary credentials awarded is shaped by actions taken by postsecondary institutions, by state and local agencies through funding decisions, and by market forces and jobs creation trends. Many external factors impact this objective but the Department can nonetheless assert considerable influence to improve quality and access in STEM education. The total number of STEM postsecondary credentials awarded reflects a mixed response to the President's call to graduate an additional 1 million STEM majors by 2020. To reach that ambitious goal, the target of total credentials established for FY 2015 was 595,000; the actual number of granted credentials was 573,911. The First in the World program, which seeks to address persistent and widespread challenges in postsecondary education for high-need students, awarded more than half of the development grants for implementation and evaluation of projects to increase success in STEM fields or that utilize education technology to enhance learning and assessment.

OCTAE is leading initiatives seeking to increase knowledge of and access to postsecondary STEM opportunities. For example, the CTE makeover challenge will incorporate "making" and "maker spaces" into CTE programs by upgrading or modernizing facilities that meet the needs of manufacturing in the 21st century. The Reach Higher App challenge will spur innovation in career exploration by empowering students with individualized career and education information. During this reporting period, the White House Initiative on Historically Black Colleges and Universities held its annual conference focused on STEM and entrepreneurship.

Across the administration, the Committee on STEM Education (CoSTEM) has established a task force which is working to enhance the undergraduate experience of STEM majors through

a formally chartered interagency working group led by the National Science Foundation (NSF). The group is focused on four major objectives:

- Evidence-based practices to improve undergraduate learning and retention in STEM;
- Community college efforts to both support two-year students and create bridges between two- and four-year postsecondary institutions;
- Research experiences that involve both university-industry and university-federal entity partnerships, particularly for students in the first two years; and
- Promoting mathematics success to help combat excessively high failure rates in introductory math courses at the undergraduate level.

Representatives from the Department have been instrumental in bringing new focus to the role of community colleges and articulation programs in supporting undergraduate STEM education. We anticipate that increasing the overall pipeline of candidates pursuing postsecondary education through community colleges and articulation programs will help address the decline in STEM certificates awarded.

Trends for females and minority students point to continued challenges in broadening participation in STEM. More STEM credentials were awarded in 2012–13 to students of each gender and racial/ethnic category—including Hispanic and Black—than in previous years, with the exception of American Indian and Alaska Native students. Along with the CoSTEM interagency working group focused on broadening participation in STEM, the My Brother's Keeper and Reach Higher initiatives, as well as other targeted efforts, may help expand participation of underrepresented groups in postsecondary STEM programs.

Challenges and Next Steps:

The Office of STEM has been in place since June 2014. As a comparatively new entity one of its primary tasks has been to identify programs within the Department and across the federal government that are well suited for enhancing and increasing STEM participation through strategic use of STEM priorities. For programs that have already implemented STEM strategies, the office lends its expertise for program review and evaluation. The investments at the Department that address STEM degree and credential completion in particular are limited to select programs that target minority-serving institutions. As the next grant cycle commences, the Department is engaging in planning meetings that will identify areas for strategic leverage—technical assistance to grantees, preaward support to potential applicants, etc. The Department will continue to promote STEM pathway opportunities within the CoSTEM structure that include community colleges, as well as engage with specific STEM-focused initiatives led by corporate and philanthropic entities that help elevate the quality of STEM programs and advance STEM participation (e.g., STEM Learning Ecosystems).

Subpopulation Breakout for Metric 1.4.A: STEM* postsecondary credentials awarded by degree-granting institutions**, by gender and race/ethnicity

Year	Total	Gender		Race/Ethnicity								
							Asian/Pacific Islander			American Indian/ Alaska Native	Two or More Races	Non-resident Alien
		Male	Female	White	Black	Hispanic	Total	Asian	Pacific Islander			
2010–11	531,018	370,922	160,096	319,327	47,014	45,794	51,461	50,250	1,211	3,601	5,551	58,270
2011–12	556,696	387,705	168,991	333,652	47,004	49,262	53,670	52,336	1,334	3,600	7,388	62,120
2012–13	573,911	397,074	176,837	337,191	47,721	52,982	56,984	55,564	1,420	3,580	9,809	65,644

* STEM includes the following fields: Biological and biomedical sciences, Computer and information sciences, Engineering, Engineering technologies and engineering-related fields, Mathematics and statistics, and Physical sciences and science technologies. Engineering technologies and engineering-related fields excludes "Construction trades" and "Mechanic and repair technologies/technicians," which are listed separately. The baseline has been recalculated from what was reported in the *FY 2013 Annual Performance Report and FY 2015 Annual Performance Plan* because of revised IPEDS data. Additionally, last year's data included Military technologies and applied sciences, which is no longer included in the calculation.
** Degree-granting institutions grant associate's or higher degrees and participate in Title IV federal financial aid programs. Race categories exclude persons of Hispanic ethnicity. Reported racial/ethnic distributions of students by level of degree, field of degree, and sex were used to estimate race/ethnicity for students whose race/ethnicity was not reported. To facilitate trend comparisons, certain aggregations have been made of the degree fields as reported in the IPEDS Fall survey: "Agriculture and natural resources" includes Agriculture, agriculture operations, and related sciences and Natural resources and conservation; and "Business" includes Business management, marketing, and related support services and Personal and culinary services.

Data Source and Frequency of Collection: IPEDS Data Center; annually

Selected Strategies to Achieve Goal 1

The Department must ensure that all students—recent high school graduates and adult learners alike—are well prepared for college and careers by helping more of them enroll in postsecondary education or training and helping to increase the number of those who complete programs of study with a degree or certificate. This effort includes continuing to promote STEM pathway opportunities that help elevate the quality of STEM programs and advance STEM participation.

The Department continues to help struggling federal student loan borrowers manage their debt. Activities planned for FY 2016 include rulemaking to address borrower defense to repayment issues; new borrower outreach efforts about repayment options; strengthening loan servicing in ways that better serve borrowers; and advocating to simplify income-driven repayment plans. FSA is also developing a student aid complaint system that will allow students to submit complaints easily. Another FSA initiative, creating an enterprise data warehouse, will provide timely, accurate, and consistent access to FSA data. FSA has begun releasing additional information and reports to the public and will continue those transparency efforts in FY 2016.

To most effectively impact attainment rates, the Department will implement the President's College Value and Affordability Agenda. One central strategy promotes innovation and competition (such as in course redesign and student services, accelerating time to degree by fostering dual enrollment and competency-based education). To support innovation and competition, the Department will launch Experimental Sites pilots on competency-based

education, prior learning assessment, dual enrollment, and alternative methods of quality assurance; and award P3 for Disconnected Youth.[32]

A second major strategy holds institutions and students accountable for completion and postsecondary outcomes by fostering more informed decision-making by students and wiser investment of resources by institutions. To support this strategy, the Department will consider enhancements and additional data sources for the College Scorecard; continue implementing the Gainful Employment regulations; publish regulations implementing WIOA; and convene minority-serving community colleges in an effort to scale up successful practices that lead to completion, especially in the area of remedial education.

The Department will continue to spotlight model state programs and draw on them to shape federal strategies. The Department will highlight institutions that are working in noteworthy ways to successfully enroll and graduate low-income students. Furthermore, the Department continues to implement an evidence-based approach for institutional grants, with, for example, the use of competitive priorities in the SIP and the tiered-evidence structure of the First in the World grant competition. The net effect of these strategies will be to boost completion rates and, by extension, educational attainment.

[32] The P3 for Disconnected Youth awards were subsequently announced in October 2015.

Goal 2. Elementary and Secondary Education:

Improve the elementary and secondary education system's ability to consistently deliver excellent instruction aligned with rigorous academic standards while providing effective support services to close achievement and opportunity gaps, and ensure all students graduate high school college- and career-ready.

Goal Leader: Ann Whalen

Objective 2.1: Standards and Assessments. Support implementation of internationally benchmarked college- and career-ready standards, with aligned, valid, and reliable assessments. **Objective Leader: Ary Amerikaner**

> **Metric 2.1.A:** Number of states/territories[33] that have adopted college- and career-ready standards[34]
>
> **Metric 2.1.B:** Number of states/territories[35] that are implementing next-generation reading and mathematics assessments, aligned with college- and career-ready standards

Objective 2.2: Effective Teachers and Strong Leaders. Improve the preparation, recruitment, retention, development, support, evaluation, recognition, and equitable distribution of effective teachers and leaders.[36] **Objective Leader: Ary Amerikaner**

> **Metric 2.2.A:** Number of states that have fully implemented teacher and principal evaluation and support systems that consider multiple measures of effectiveness, with student growth as a significant factor

Objective 2.3: School Climate and Community. Increase the success, safety, and health of students, particularly in high-need schools, and deepen family and community engagement. **Objective Leader: Heather Rieman**

> **Metric 2.3.A:** Disparity in the rates of out-of-school suspensions for SWDs and youth of color (youth of color metric)
>
> **Metric 2.3.B:** Disparity in the rates of out-of-school suspensions for students with disabilities and youth of color, SWDs, *Individuals with Disabilties Education Act* (IDEA) only metric)

Objective 2.4: Turn Around Schools and Close Achievement Gaps. Accelerate achievement by supporting states and districts in turning around low-performing schools and closing achievement gaps, and developing models of next-generation high schools. **Objective Leader: Ary Amerikaner**

---

[33] Revising metric language to include "states/territories" to align with the 2014–15 APG statement.
[34] College- and career-ready standards included in this metric are in the fields of reading/language arts and math.
[35] Revising metric language to include "states/territories" to align with the 2014–15 APG statement.
[36] States with approved ESEA Flexibility requests were initially required to implement teacher and principal evaluation and support systems by 2014–15 or 2015–16, depending on the school year of initial approval. Through ESEA Flexibility renewal in fall 2014, the Department committed to working with states that need to make adjustments to implementation timelines or sequencing through the ESEA Flexibility renewal process.

Metric 2.4.A: Number of persistently low graduation rate high schools

Metric 2.4.B: Percentage of Cohort 1 priority schools that have met the state exit criteria and exited priority school status[37]

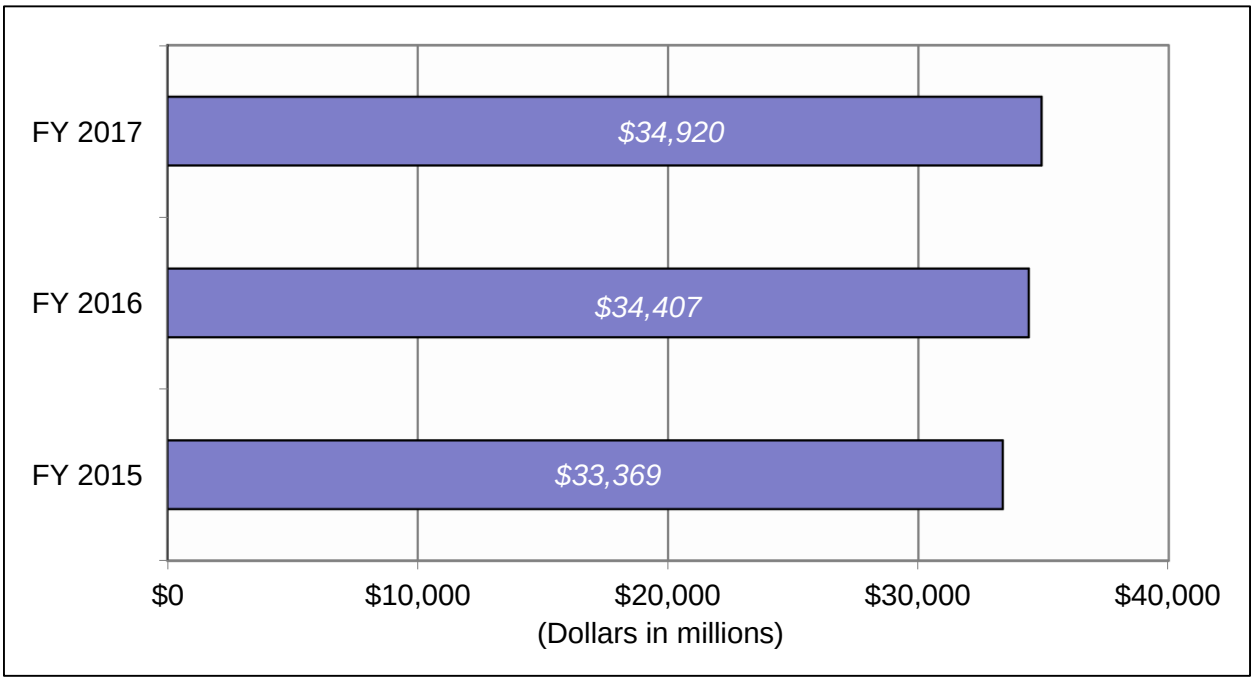
Metric 2.4.C: Percentage of Cohort 1 focus schools that have met the state exit criteria and exited focus school status[38]

Objective 2.5: STEM Teaching and Learning. Increase the number and quality of STEM teachers and increase opportunities for students to access rich STEM learning experiences.
Objective Leader: Russ Shilling

Metric 2.5.A: Percentage of high school and middle school teachers who teach STEM as their main assignment who hold a corresponding undergraduate degree

Metric 2.5.B: Number of public high school graduates who have taken at least one STEM AP exam

Goal 2 Discretionary Resources



[37] Metric is being removed at the end of the FY 2015 reporting period. Please refer to appendix B for details pertaining to the removal and addition of metrics.
[38] Metric is being removed at the end of the FY 2015 reporting period. Please refer to appendix B for details pertaining to the removal and addition of metrics.

Major Discretionary Programs and Activities[39] Supporting Goal 2 Performance Metrics [Dollars in Millions]

POC	Account	Obj.	Program	FY 2015 Appropriation	FY 2016 Appropriation	FY 2017 President's Budget
OESE	ED	2.4	School improvement grants	506	450	0
OESE	ED	2.1, 2.2, 2.3, 2.4	Title I Grants to local education agencies	14,410	14,910	15,360
OESE	I&I	2.1	State assessments	378	378	403
OESE	I&I	2.2	Teacher and school leader incentive grants	230	230	250
OESE	SIP	NA	Student support and academic enrichment grants	0	0	500
OESE	SIP	2.2	Supporting effective instruction State grants	2,350	2,350	2,250
OESE	SSS	NA	21st century community learning centers	1,152	1,167	1,000
OII	I&I	2.2, 2.3, 2.4	Charter schools grants	253	333	350
OII	I&I	2.2, 2.3, 2.6	Magnet schools assistance	92	97	115
OII	I&I	2.1, 2.4, 2.5	Next generation high schools (proposed)	0	0	80
OII	I&I	2.2	Teach to lead (proposed)	0	0	10
OII	SIP	2.5	Mathematics and science partnerships	153	153	0
OII	SSS	2.1, 2.2, 2.3	Promise Neighborhoods	57	73	128
OPE	HE	2.2	Teacher and principal pathways (proposed)	0	0	125
OSERS	SE	2.1, 2.2, 2.3	Special Education grants to states	11,498	11,913	11,913
Subtotal				**31,077**	**32,053**	**32,484**
Other Discretionary Programs/Activities				**2,292**	**2,354**	**2,437**
TOTAL, GOAL 2				**33,369**	**34,407**	**34,920**

POC = Principal Office Component
NA = Not applicable.
NOTES: Many programs may have sub-activities that relate to other goals. Detail may not add to total due to rounding.

Public Benefit

The goal for America's elementary and secondary educational system is clear: every student should graduate from high school ready for college and a career. Every student should have meaningful opportunities from which to choose upon graduation from high school. Over the past several years, states, districts, and schools have initiated groundbreaking reforms and innovations to try to meet this goal. For the first time, almost every state is supporting higher standards that will demonstrate that students who meet those standards are truly college- and career-ready. Many states are implementing assessments that are not only aligned with these new standards, but also gauge essential skills such as critical thinking, problem solving, and the application of knowledge. At the same time, states, districts, and schools are working to meet the challenges of ensuring that every classroom has an excellent teacher and every school has a strong and effective leader; building local capacity to support successful school turnarounds; redesigning high school education by building stronger connections among secondary education, postsecondary education, and the workplace; and improving teacher preparation and classroom instruction in STEM education.

However, while many schools are increasing the quality of instruction and improving academic achievement, there is also broad agreement that the United States education system fails to

[39] All the programs listed are discretionary programs, as distinct from mandatory programs. These include both competitive and noncompetitive programs.

consistently provide all students with the excellent education necessary to achieve college- and career-readiness. The result is that too many of our students are failing to reach their full potential. Data from the 2015 National Assessment of Educational Progress (NAEP) show that low-income students scored 24 to 28 points below their more advantaged peers. The achievement gaps between black and white students were between 24 and 32 points and achievement gaps between Hispanic and white students were between 18 and 24 points.[40]

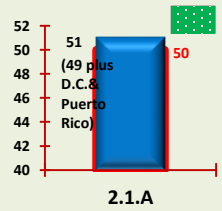
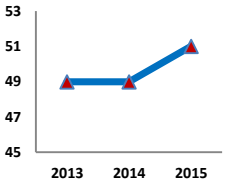
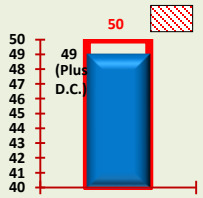
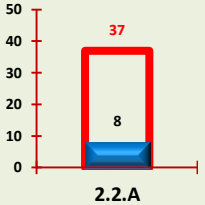
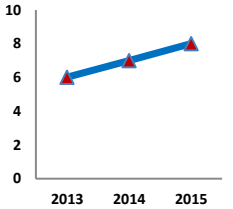
Many children, particularly children from low-income families, students with disabilities (SWDs), ELs, and children of color, confront not only an achievement gap, but also an opportunity gap. Today, a student attending a high school with high minority enrollment is much less likely to be offered calculus and physics than a student in a high school with low minority enrollment. Closing the opportunity gap will require that school resources, talent, and spending be targeted toward kids who need help the most.

The Department's elementary and secondary education reforms focus on the building blocks needed for schools, school districts, and states to more consistently deliver excellent classroom instruction for all students. The foundation of these reforms is a system for improving learning and teaching that aligns with college- and career-ready standards, high-quality formative and summative assessments, and engaging and effective instructional content. Ensuring that U.S. students have the critical thinking skills and other tools they need to be effective in the 21st-century economy means improving teaching and learning in all content areas—from language arts and STEM to history, civics and government, geography, foreign languages, the arts, economics and financial literacy, environmental education, computer science, health education, and other subjects.

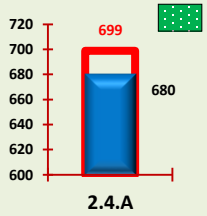
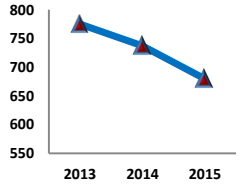
On December 10, 2015, the President signed a reauthorization of the ESEA, the ESSA. The law requires that all students in America be taught to high academic standards that will prepare them to succeed in college and careers and that vital information is provided to educators, families, students, and communities through annual statewide assessments that measure students' progress toward those high standards. It also continues the ESEA's focus on ensuring that states and school districts account for the progress of all students, take meaningful actions to improve the lowest-performing schools, and ensure equitable access to excellent educators. The Department is developing approaches to best support the implementation of the ESSA. The FY 2016 APR will provide additional detail on the impact of the ESSA for the Department's work.

[40] U.S. Department of Education, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), 2015 Reading and Mathematics Assessments, http://www.nationsreportcard.gov/reading_math_2015/#/

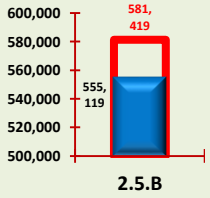
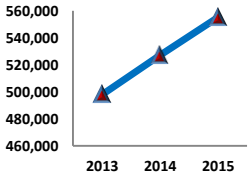
Goal 2: Details

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015		Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed	Exceeded	2016	2017	
2.1.A. Number of states/territories that have adopted college- and career-ready standards[41]	SY: 2012–13 49, plus DC	49, plus DC	49, plus DC and Puerto Rico	SY: 2014–15 51 (49 plus DC and Puerto Rico)	50	MET			52	52	
2.1.B. Number of states/territories that are implementing next-generation reading and mathematics assessments, aligned with college- and career-ready standards[42]	SY: 2012–13 0	0	0	SY: 2014–15 49 (48 plus DC)	50	NOT MET			52	52	
2.2.A. Number of states that have fully implemented teacher and principal evaluation and support systems that consider multiple measures of effectiveness, with student growth as a significant factor[43]	SY: 2012–13 6	6	7	8	37	NOT MET			22[44]	39[45]	

[41] Revising metric language to include "states/territories" to align with the 2014–15 APG statement. 2014 Metric reported as "**Not Met**." However, metric was "**Met**" given the inclusion of territories to align with the APG statement.
[42] Metric is aligned with an APG. Revising metric language to include "states/territories" to align with the 2014–15 APG statement.
[43] Metric is aligned with an APG.
[44] The out-year performance targets are revised to reflect updated information provided by states through ESEA Flexibility renewal requests regarding implementation timelines.
[45] The out-year performance targets are revised to reflect updated information provided by states through ESEA Flexibility renewal requests regarding implementation timelines.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015		Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed	Exceeded	2016	2017	
2.3.A. Disparity in the rates of out-of-school suspensions for students with disabilities and youth of color (youth of color metric)	SY: 2011–12 10.7% point disparity	Not Collected	TBD SY 2013–14 data collected in 2015 and available in 2016	Not Collected	NA Biennial Metric				6.7% point disparity	NA Biennial Metric	
2.3.B. Disparity in the rates of out-of-school suspensions for students with disabilities and youth of color (SWDs, IDEA only metric)	SY: 2011–12 5.7% point disparity	Not Collected	TBD SY 2013–14 data collected in 2015 and available in 2016	Not Collected	NA Biennial Metric				2.7% point disparity	NA Biennial Metric	
2.4.A. Number of persistently low graduation rate high schools	SY: 2011–12 775	SY: 2011–12 775	SY: 2012–13 737	SY: 2013–14 680	699	MET			5% annual reduction	5% annual reduction[46]	
2.4.B. Percentage of Cohort 1 priority schools that have met the state exit criteria and exited priority school status[47]	SY: 2013–14 NA	NA	16.3%[48]	NA	15%	NA[49]			NA	NA	

[46] The baseline data for this performance metric were recalculated from what was reported in the FY 2013 APR and FY 2015 APP. The targets remain at a 5% reduction each year.
[47] Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were 20.0% and 25.0%, respectively.
[48] Metric reported as TBD in the 2014 APR. 2014 actuals show the 2014 target was "**Met**."
[49] The FY 2015 data for this metric are not available. Further, the Department has decided to remove this metric due to unforeseen challenges in using the data provided by states. These challenges are discussed in more detail in appendix B of this report.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
New Metric: Percentage of SIG schools in Cohort 5 that are above the 25th percentile in mathematics, as measured by their state assessments	SY: 2013–14 19.7%	NA	NA	SY: 2013–14 19.7%	NA	NA		TBD	TBD	
2.4.C. Percentage of Cohort 1 focus schools that have met the state exit criteria and exited focus school status[50]	SY: 2013–14 NA	NA	11.9%[51]	NA	15%	NA[52]		NA	NA	
New Metric: Percentage of SIG schools in Cohort 5 that are above the 25th percentile in reading/language arts, as measured by their state assessments	SY: 2013–14 20.1%	NA	NA	SY: 2013–14 20.1%	NA	NA		TBD	TBD	
2.5.A. Percentage of high school and middle school teachers who teach STEM as their main assignment who hold a corresponding undergraduate degree	AY: 2011–12 62.2%	Not Collected	Not Collected	Not Collected	NA	NA		65.3%	65.3%	
2.5.B. Number of public high school graduates who have taken at least one STEM AP exam	AY: 2011–12 497,922	AY: 2011–12 497,922	AY: 2012–13 527,001	AY: 2013–14 555,119	581,419	**NOT MET**		632,642	691,541	

NA = Not applicable.

TBD = To be determined.

[50] Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were 20.0% and 25.0%, respectively.

[51] Metric reported as TBD in the 2014 APR. 2014 actuals show the 2014 target was "**Met**."

[52] The FY 2015 data for this metric are not available. Further, the Department has decided to remove this metric due to unforeseen challenges in using the data provided by states. These challenges are discussed in more detail in appendix B of this report.

Academic Year (AY) is a collegiate year spanning August–May; School Year (SY) spans August–July and is aligned with a P–12 school year; Fiscal Year (FY) corresponds to a federal fiscal year; Calendar Year (CY) spans January–December.

Data Sources and Frequency of Collection:

2.1.A. *Elementary and Secondary Education Act* (ESEA) Flexibility Monitoring; annually

2.1.B. ESEA Flexibility Monitoring; annually

2.2.A. ESEA Flexibility Applications and Monitoring; annually

2.3.A. Civil Rights Data Collection (CRDC); biennially

2.3.B. CRDC; biennially

2.4.A. ED*Facts*; annually

2.4.B. ED*Facts*; annually

2.4.C. ED*Facts*; annually

2.5.A. Schools and Staffing Survey (SASS), NCES; quadrennially

2.5.B. College Board/Advanced Placement (AP) administrative records; annually

***Note on performance metrics and targets*:** These metrics were established as a part of the *FY 2014–18 Strategic Plan*. Metrics may be updated or revised to reflect awareness of more accurate data or clarifications. Such updates or revisions are identified in footnotes.

Analysis and Next Steps by Objective

Objective 2.1: Standards and Assessments

Explanation and Analysis of Progress:

States have recognized the need to improve the rigor and quality of their standards and assessments. With standards in place, educators are designing instructional strategies to engage students and implementing support systems to strengthen college- and career-ready skills for all students, including those with disabilities and ELs.

Results for this metric are most influenced by actions taken by states and LEAs, but also are influenced by other factors. For example, the complexity of developing appropriate assessment instruments and approaches for students poses significant challenges, especially for children from low-income families, children who are ELs, and children with disabilities. Developing and administering college- and career-ready assessments and supporting teachers through training related to the new standards will require continuing support.

Challenges and Next Steps:

On December 10, 2015, the President signed a reauthorization of the ESEA, the ESSA. The law requires that all students in America be taught to high academic standards that will prepare them to succeed in college and careers and that vital information is provided to educators, families, students, and communities through annual statewide assessments that measure students' progress toward those high standards. The FY 2016 APR will provide additional detail on the impact of the ESSA.

While the Department evaluates how it will best implement the requirements of the new law, where applicable, it will continue to leverage federal investments, including Titles I, II, and III of the ESSA, as well as IDEA, and provide guidance and technical assistance to states to ensure that teachers and principals are well prepared and students have the resources and support needed to graduate from high school ready for college and careers.

A key challenge facing the Department over the next two years relates to the changes states may make to their currently adopted college- and career-ready standards due to decisions implemented by state leadership or state legislatures. Another key challenge is supporting states with the implementation of their college- and career-ready aligned assessments for all students, including ELs, SWDs, and economically disadvantaged and low-achieving students, to ensure that all students are prepared for postsecondary success.

The Department is taking steps to address these challenges by developing and targeting technical assistance activities that will, in part, increase state capacity to leverage limited resources and continue to identify promising practices across multiple states. First, the Department has released its Title I assessment peer review guidance, which highlights the requirements for a high-quality assessment to help support state assessment development; in FY 2016, the Department will begin conducting peer review of state assessment systems. The Department will also build a library of resources (i.e., a central location for practitioners looking for best practices) to assist state educational agencies (SEAs) in transitioning to college- and career-ready standards, leveraging work that has occurred during RTT with other partner organizations such as Achieve, Student Achievement Partners, National Parent Teacher Association, and others. In addition, the Department is working internally to coordinate the provision of technical assistance across OESE, OSEP, and other related offices and programs.

The Department also funds a Center on Standards and Assessments Implementation (part of the Comprehensive Centers program) that helps build the capacity of state educational agencies to implement college- and career-ready standards. The Department will continue to work with states by taking such steps as providing technical assistance and guidance to states as they implement the next steps outlined in the President's Testing Action Plan announced in November 2015.

Objective 2.2: Effective Teachers and Strong Leaders

Explanation and Analysis of Progress:

Over the past several years, states and school districts have made educator effectiveness a key priority in their reform efforts. States and districts are working on the development and implementation of high-quality teacher and principal evaluation and support systems, as well as broader human capital management systems that use the results of evaluation systems to inform targeted educator development and support opportunities, placement, retention, promotion, compensation, and other personnel decisions. The Department has supported the work of states and districts in this area through key programs and initiatives such as Title I, Title II, RTT, Teacher Incentive Fund, ESEA Flexibility, Excellent Educators for All, and the Comprehensive Center on Great Teachers and Leaders (in addition to the other regional and content comprehensive centers), and using these programs and initiatives to provide resources and technical assistance to states and districts so that they can move forward with successful implementation. In 2015, more states and districts are implementing teacher and principal evaluation and support systems that are based on multiple measures, including evidence of student learning growth as a significant factor.

Similar to objective 2.1, the results of this metric are greatly influenced by state and district actions, as well as other factors not in the Department's control. As teacher and school leader evaluation and support systems are governed by state and local policies, without revisions in state policies and new partnerships with teacher and principal organizations, reforms of existing evaluation and support systems are unlikely to be successful.

Challenges and Next Steps:

Implementation of teacher and leader evaluation and support systems has proven to be very challenging work for states and districts, particularly during the time of transition to new standards and assessments, and has caused states to need to adjust timelines and sequencing of implementation steps. In order to mitigate these risks, the Department has provided flexibility to states regarding the use of student growth based on statewide assessments during the transition to new assessments, as well as other changes that are outside their original implementation timelines and plans under ESEA Flexibility. The Department is working to connect all states to experts who can provide technical assistance in this area. There are also challenges associated with teacher and principal support for the new systems. The Department is continuing to work with states to help them engage with educators and develop plans focused on continuous improvement so that they can make adjustments as needed.

Under ESSA, ESEA Flexibility waivers, including Principle 3—supporting effective instruction and leadership—expire on August 1, 2016. The FY 2016 APR will provide additional detail on the impact of the ESSA.

Objective 2.3: School Climate and Community

Explanation and Analysis of Progress:

Strengthening school and classroom climate in preschool through 12th-grade settings is an essential precondition to scalable improvements in the academic achievement, socioemotional wellbeing, and college and career readiness of American public school students. While states, districts, and schools across the country have made real strides reforming approaches to school discipline and climate in order to ensure effective environments for more students, significant challenges remain to guaranteeing safe and supportive schools in which to learn and grow for all students. More than one in five students report being bullied in school; national data continue to suggest that suspensions and expulsions disproportionately impact minority students and SWDs; and too few schools are employing school climate data and interventions as part of their continuous improvement strategies. Maximizing instructional time to prepare all students for the rigors and opportunities of meaningful postsecondary educations and careers requires that these issues are addressed at every level of the P–12 system.

During FY 2015, the Department has pursued a vigorous strategy to improve school climate and community and encourage the nationwide adoption of evidence-based practices to ensure safe and supportive learning environments for all students. In June 2015, the Department hosted a two-day convening for 19 high-needs school districts to support their local implementation of "early warning systems" to identify and support students at-risk of falling behind in school and/or dropping out. This convening served to highlight effective local practices to use data strategically to identify students in need of additional support. To shine a light on effective reforms in school discipline policy and practice, and in support of the administration's My Brother's Keeper initiative, the Department sponsored—in collaboration with the White House and DOJ—a major summit on school climate and discipline, entitled "Rethink Discipline," on July 22, 2015. This summit brought to the White House over 45 school districts and a coalition of public and private partners to elevate effective reforms of school discipline in schools, with the goal of highlighting best practices in eliminating disproportionalities and bias in the administration of school discipline. At the summit, the Department also released a new resource for school district superintendents and their leadership teams—"Rethink Discipline: A Resource Guide for Superintendent Action"—that provides suggested action steps and links to free resources to support communitywide efforts to reform and improve the efficacy of local school discipline and climate policy and practice. The Department also supported the development of new school climate survey resources that states, districts, and schools can use, free of charge, to systematically collect and act on school climate data from multiple stakeholders, including students, teachers, noninstructional school staff, and parents and families (to be released in FY 2016). The Department also laid significant groundwork for the launch of "Every Student, Every Day: A National Initiative to Address and Eliminate Chronic Absenteeism," which aims to raise nationwide awareness of and encourage action to combat the serious problem of chronic absenteeism affecting between five and seven and a half million students each year. In collaboration with HHS, the U.S. Department of Housing and Urban Development (HUD), DOJ, and a coalition of public and private partners, the Department released on October 7, 2015, a Dear Colleague letter and community toolkit for states, districts, and schools that includes actionable strategies to address and eliminate chronic absenteeism within communities.

Challenges and Next Steps:

Improving school discipline and climate policy and practice nationwide remains a significant challenge given the many differentiated contexts in which this work must unfold. There simply is no one right way to approach the challenge of ensuring safe and supportive learning

environments for all students, and a spirit of experimentation and innovation is critical to sustaining motivation for and persistence in tackling what are often extraordinary challenges at the state, district, and school levels. Challenges to improving school discipline and climate include a lack of funding for and focus on this work, which can often be treated as "extra" or "additional" work not necessarily related to the core functions of school systems. When practitioners and policymakers do not understand the relationship between conditions for learning and student achievement, it is difficult to enshrine effective school discipline and climate practice and policy. To meet this challenge, the Department continues to advance the Supportive School Discipline Initiative in partnership with DOJ, offering technical assistance to states and districts that are working to reduce bias and disproportionalities in the administration of school discipline. Moreover, the Department also continues to pursue a vigorous strategy to improve school discipline and climate that includes a major focus on the upcoming release of the 2013–14 CRDC, which will include updates to national school discipline data as well as the first-ever national data on chronic absenteeism. The Department will leverage the data on chronic absenteeism to promote effective cross-sector efforts to meet student needs in order to ensure that student are able and ready to attend and succeed in school every day.

Objective 2.4: Turn Around Schools and Close Achievement Gaps:

Explanation and Analysis of Progress:

Turning around the lowest-performing schools, closing achievement gaps, increasing high school graduation rates, and decreasing disparities in graduation rates are critical to achieving the President's goal of once again having the highest proportion of college graduates in the world. States and districts have assumed the challenge of focusing on their lowest-performing schools, and directing significant resources and support in order to improve student outcomes dramatically. Since 2009, more than 1,700 schools have received up to $2 million per year for three years through the School Improvement Grant (SIG) program to implement rigorous intervention models intended to turn these schools around. Nearly two-thirds of the schools in the first two cohorts and over half of schools in the third cohort have made progress in improving student achievement in reading, and a similar percentage have shown improvement in math. However, some participating schools have also shown decreases in performance, and more work is needed to ensure that the progress is sustained. To assist states in this challenging work, the Department strengthened the SIG program in FY 2015 by, among other things, including three new models, including an evidence-based, whole school reform model, and allowing additional time for planning and implementation. The Department also continued to partner with the Corporation for National and Community Service to support the School Turnaround AmeriCorps program grantees, and partnered with the President's Council on Arts and Humanities to support the Turnaround Arts Initiative, including expanding that initiative to incorporate early learning as a turnaround strategy.

In addition, the nation has made significant progress in increasing overall graduation rates, but gaps between rates for different student groups continue to persist. See also the Explanation and Analysis of Progress for objective 4.1 for additional information on the Department's efforts to improve the national high school graduation rate and to close gaps between groups of students.

Challenges and Next Steps:

Turning around the lowest-performing schools is extremely challenging work and takes several years to show progress and success. As a result, there are challenges in communicating that this is a long-term process, not a short-term fix, and managing expectations of what success

looks like along the way. Additionally, as major grant programs are ending, such as RTT and SIG, there may be fewer resources available in states and districts to support school turnaround. Sustaining successful school turnaround is a major challenge for states, districts, and schools.

In addition to financial resources, sustaining successful school turnaround requires effective technical assistance and support from the Department. In particular, there is a significant need for effective turnaround leaders for the lowest-performing schools, which the Department is attempting to address through its Turnaround School Leaders program, a program focused on helping districts, in partnership with states, IHEs, and nonprofit or for-profit partners, develop leaders with the specialized skills needed to turn schools around.

The ESSA continues the ESEA's focus on ensuring that states and school districts account for the progress of all students, take meaningful actions to improve the lowest-performing schools, and ensure equitable access to excellent educators. However, the provisions and ultimate impact of the new law are still being evaluated, and plans for implementation have yet to be fully developed. The FY 2016 APR will provide additional detail on the impact of the ESSA.

Objective 2.5: STEM Teaching and Learning:

Explanation and Analysis of Progress:

The Department, in consultation with OMB, has highlighted this objective as a focus area for improvement. Efforts such as the expansion of 100Kin10, the nonprofit organization created in response to the call to recruit 100,000 STEM teachers from 2011 to 2021, and the recent awards made to support effective STEM teachers via the Supporting Effective Educator Development Grant program show continued attention and progress toward the Department's goal of increasing the number and quality of STEM teachers. Across the administration, there has been a significant emphasis on improving STEM instruction, most directly through the CoSTEM Education's interagency working groups. The Department leads this formally chartered group on P-12 STEM Instruction, which includes regular participation from the National Aeronautics and Space Administration, National Oceanic and Atmospheric Administration, Department of Energy, U.S. Department of Agriculture (USDA), National Institutes of Health, NSF, Department of Defense, and White House (Office of Science and Technology Policy and OMB). All participating agencies have committed to align efforts to support the preparation of high-quality STEM teachers and to support authentic STEM experiences[53] for P-12 educators. Not only do these agencies work together within the context of the CoSTEM Education, but the goals of the interagency working groups align to the CAP Goal for STEM Education across the administration. All activities that are being undertaken by the interagency working groups feed into the CAP process, and all milestones for that process align with the CoSTEM goals.

In addition, through the Teacher Incentive Fund national activities the STEM office is engaged in work around STEM Teacher Leadership and STEM Master Teachers that will continue into FY 2016. Six research action clusters will be convening every couple of months and developing resources to support STEM teacher leadership efforts.

2014 data from the College Board shows an overall increase in the number of graduating high school students taking Advanced Placement (AP) STEM exams: 555,119 compared to 527,001 in 2013 data. In all subgroups, the total number of participants increased, ranging from an

[53] Authentic STEM experiences means laboratory, research-based, or experiential learning opportunities in a STEM subject in informal or formal settings.

approximate 15 percent increase for Hispanic/Latino students to a 3 percent increase for Black/African American students. Females still outnumber males in terms of AP STEM exam participation (which has been the case since 2002).

Challenges and Next Steps:

While efforts continue to support P-12 STEM instruction, only two current federal programs are focused on preparing new STEM teachers—the Teacher Quality Partnerships program at the Department and the Noyce Scholarship program at NSF. Proposals for a dedicated program to prepare new STEM teachers have not yet been acted on by Congress, and the majority of teachers are prepared at colleges and universities that do not receive direct NSF or Department funding aimed specifically at STEM teacher preparation. The Mathematics and Science Partnership (MSP) program, which is no longer authorized under ESSA, does not have a national activities set-aside to provide technical assistance and, although each project within MSP must complete an evaluation for the state, these evaluations are not submitted to the Department. While the overall numbers of students taking STEM AP exams have increased—including through Department-supported programs such as the Investing in Innovation (i3) program—AP courses are only one way to provide students with rich STEM learning experiences. Additional support should be given to both formal and informal STEM opportunities for students within the entire P-12 spectrum.

In FY 2016 and beyond, continued collaboration within the Department to better coordinate awards made to support STEM educator development will be important. In addition, ESSA authorizes new activities for STEM educator preparation. For example, the new STEM Master Teacher Corps program provides an opportunity for states to utilize their STEM master educators in the development of new STEM educators. Further, ESSA authorizes states and districts to use funds to provide all students access to advanced STEM coursework through the Student Support and Academic Enrichment grants. There is opportunity to infuse STEM into other Department priorities, including for example a possible collaboration with the Office of Early Learning to support P-3 STEM educators, as well as continued collaboration across agencies like NSF to support educator development and support, especially in disciplines like engineering and computer science. Disparities in computer science are emblematic of the large gaps in student access and engagement in STEM courses overall; only half of high schools offer calculus, and only 63 percent offer physics. The 2017 Budget provides resources to empower states and districts to create high-quality computer science learning opportunities in grades P-8 and access to computer science courses in high school, dedicating $100 million in discretionary funding at the Department of Education for Computer Science for All Development Grants to help school districts, alone or in consortia, execute ambitious computer science expansion efforts, particularly for traditionally underrepresented students. Lastly, absent direct funding streams to support the preparation of new STEM educators, continued work with nongovernment partners like 100Kin10 who are making progress against the goal of preparing 100,000 STEM educators will be essential.

Subpopulation Breakout for Metric 2.5.B: Number of Graduates Taking an AP STEM Exam during High School: U.S. Public Schools, 2012–14

	Race/Ethnicity							Gender		Socioeconomic Status		
	American Indian/ Alaska Native	Asian, Asian American, Pacific Islander	Black or African American	Hispanic or Latino	White	Other	No Response	Female	Male	Low Income	Not Low Income	Total
Number of Graduates, 2012	2,363	73,503	36,689	64,237	298,859	15,001	7,270	256,705	241,217	114,658	383,264	497,922
Number of Graduates, 2013	2,918	78,886	37,816	74,015	312,917	16,785	3,664	271,217	255,784	128,782	398,219	527,001
Number of Graduates, 2014	3,103	83,412	41,108	82,595	323,887	17,723	3,291	287,424	267,695	142,307	412,812	555,119

Data Source and Frequency of Collection: College Board/AP administrative records; annually

Selected Strategies to Achieve Goal 2

During FY 2015, the Department implemented a reorganization in OESE that incorporates a new (and aforementioned) Office of State Support, which replaces and enhances services previously provided by the units formerly known as the Office of Student Achievement and School Accountability, Office of School Turnaround, and the Implementation and Support Unit (ISU). This reorganization integrates key state-administered programs in a new office that will provide improved state-centered support across programs. The Department is using this reorganization to rethink, redesign, and rebuild core grant administration functions in order to provide more transparent, higher quality, and better differentiated support to states. This new structure, which builds on the collaboration that has occurred between OESE, the ISU, and OSEP, will better support states in implementing the key reform programs and initiatives that support Goal 2, and in transitioning to and implementing the ESSA, and will improve the Department's ability to execute its core priorities. The Department will continue to provide technical assistance to states in the areas of college- and career-ready standards and assessments, teacher and principal evaluation and support systems, and turning around the lowest-performing schools. The Department will begin to implement a revised process for peer reviewing state assessments to ensure that they are high-quality and will work with states to implement their plans for ensuring equitable access to effective teachers and leaders for all students.

Finally, the Department will explore all opportunities for meaningful guidance and regulations under the ESSA that would help states implement the new law and promote the equity and excellence objectives that Goal 2 represents.

Goal 3. Early Learning:

Improve the health, social-emotional, and cognitive outcomes for all children from birth through 3rd grade, so that all children, particularly those with high needs, are on track for graduating from high school college- and career-ready.

Goal Leader: Ann Whalen

Objective 3.1: Access to High-Quality Programs and Services. Increase access to high-quality early learning programs and comprehensive services, especially for children with high needs. **Objective Leader: Libby Doggett**

> **Metric 3.1.A:** Number of states with Quality Rating and Improvement Systems (QRIS) that meet high-quality benchmarks for child care and other early childhood programs[54]

Objective 3.2: Effective Workforce. Improve the quality and effectiveness of the early learning workforce so that early childhood educators have the knowledge, skills, and abilities necessary to improve young children's health, social-emotional, and cognitive outcomes. **Objective Leader: Libby Doggett**

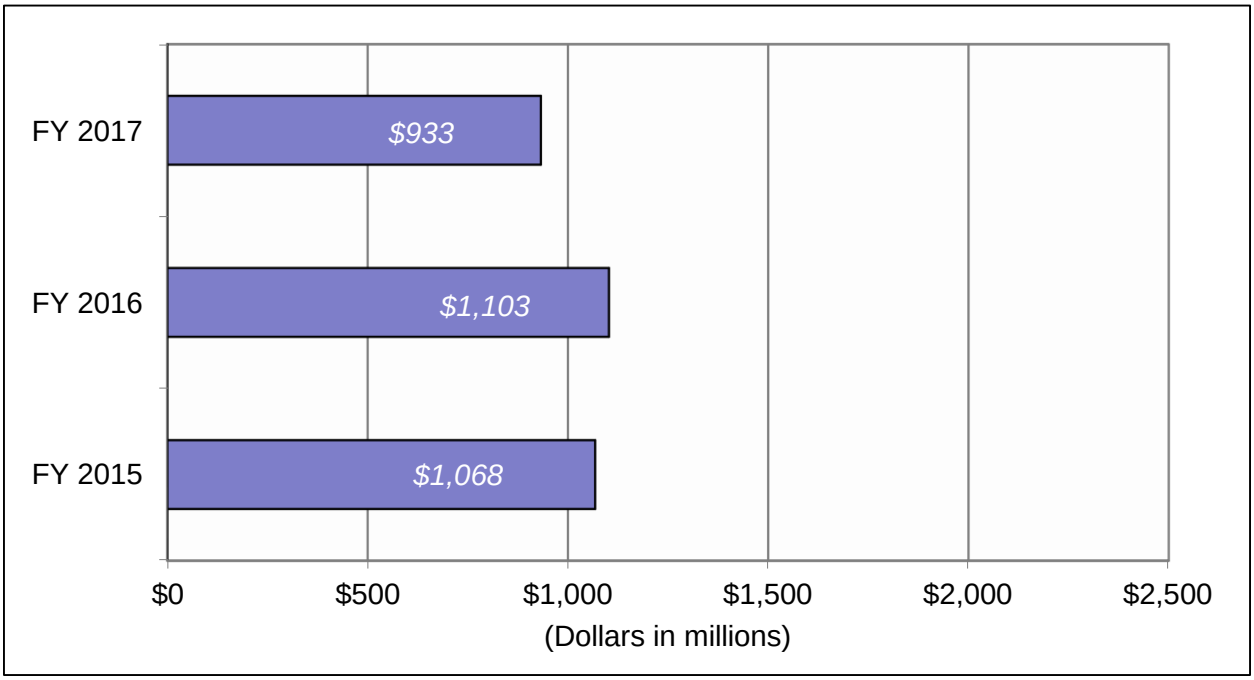
> **Metric 3.2.A:** Number of states and territories with professional development systems that include core knowledge and competencies, career pathways, professional development capacity assessments, accessible professional development opportunities, and financial supports for child care providers[55]

Objective 3.3: Measuring Progress, Outcomes, and Readiness. Improve the capacity of states and early learning programs to develop and implement comprehensive early learning assessment systems. **Objective Leader: Libby Doggett**

> **Metric 3.3.A:** Number of states collecting and reporting disaggregated data on the status of children at kindergarten entry using a common measure

[54] Metric is being removed at the end of the FY 2015 reporting period. Please refer to appendix B for details pertaining to the removal and addition of metrics.
[55] Metric is being removed at the end of the FY 2015 reporting period. Please refer to appendix B for details pertaining to the removal and addition of metrics.

Goal 3 Discretionary Resources



Major Discretionary Programs and Activities[56] Supporting Goal 3 Performance Metrics [Dollars in Millions]

POC	Account	Obj.	Program	FY 2015 Appropriation	FY 2016 Appropriation	FY 2017 President's Budget
OESE	I&I	3.1	Preschool development grants	250	250	0[57]
OSERS	SE	3.1, 3.2, 3.3	Grants for infants and families	439	459	504
OSERS	SE	3.1, 3.2, 3.3	Preschool grants	353	368	403
Subtotal				**1,042**	**1,077**	**907**
Other Discretionary Programs/Activities				**26**	**26**	**26**
TOTAL, GOAL 3				**1,068**	**1,103**	**933**

POC = Principal Office Component
NOTES: Many programs may have sub-activities that relate to other goals. Detail may not add to total due to rounding.

Public Benefit

Each year, about 4 million children enter kindergarten in the United States. They live in cities, suburbs, and rural areas. They speak many languages, come from diverse cultures, and have differing abilities, which may require individualized services and supports. Parents and caregivers send their children to school believing that one day their children will be able to pursue their dreams—whether that is teaching, protecting their communities as police officers, making scientific discoveries, or helping companies and organizations succeed. All parents hope their child will start school ready for success. And many parents turn that hope into action, seeking out supportive and high-quality early learning opportunities. Unfortunately, not every

[56] All the programs listed are discretionary programs, as distinct from mandatory programs. These include both competitive and noncompetitive programs.
[57] Funds are included in the 2017 President's Budget for the Department of Health and Human Services.

parent finds those opportunities, and access to high-quality early learning opportunities differs across states and communities. There are large disparities in enrollment based on geography, race, and socioeconomic levels. As a result, too many children enter kindergarten a year or more behind their classmates in academic skills and socio-emotional development.[58] For some children, starting school already behind can trap them in a cycle of continuous catch-up in their learning. As a nation, we must ensure that all children, regardless of family circumstance, immigration status, the color of their skin, disability, or their zip code, have access to high-quality early learning opportunities.

Advances in education, developmental psychology, neuroscience, medicine, and economics have helped to demonstrate the benefits of quality early education for young children and that the years from birth to age five are a critical period in children's learning and development, providing the necessary foundation for more advanced skills.[59] For example, at kindergarten entry, children with bigger vocabularies at an early age have higher reading and mathematics achievement and fewer behavior challenges.[60] A robust body of research shows that children who participate in high-quality preschool programs have better health, social-emotional, and cognitive outcomes than those who do not participate. The gains are particularly powerful for children from low-income families and those at risk for academic failure who, on average, start kindergarten 12 to 14 months behind their peers in preliteracy and language skills.[61]

Studies also reveal that participating in quality early learning can boost children's educational attainment and earnings later in life.[62] Children who attend high-quality preschool programs are less likely to utilize special education services or be retained in their grade, and are more likely to graduate from high school, go on to college, and succeed in their careers than those who have not attended high-quality preschool programs.[63] Research also suggests that expanding early learning—including high-quality preschool—provides society with a return on investment of $8.60 for every $1 spent with half of this benefit from increased earnings and improved health outcomes for children when they grow up.[64]

The Administration began efforts to increase investments in early learning in its first term and has continued to request additional funding in each subsequent budget proposal—through Head Start, child care, home visiting, IDEA Part C, ELC, and Preschool Development Grants. States and local communities have welcomed the opportunity to partner with the federal government through these early learning programs.

From 2011 to 2013, 20 (of the 40 states that applied for ELC) were awarded grants. These grantees had committed to align, coordinate, and improve the quality of early learning programs

[58] Yoshikawa, Hirokazu, Christine Weiland, Jeanne Brooks-Gunn, Margaret R. Burchinal, Linda M. Espinosa, William T. Gormley, Jens Ludwig, Katherine A. Magnuson, Deborah Phillips, and Martha J. Zaslow. Investing in our future: The evidence base on preschool education. Vol. 9. Society for Research in Child Development and Foundation for Child Development, 2013.
[59] Yoshikawa, H., Weiland, C., Brooks-Gunn, J., Burchinal, M., Espinosa, L., Gormley, W., & Zaslow, M. J. (2013). Investing in Our Future: The Evidence Base for Preschool Education. Policy brief, Society for Research in Child Development and the Foundation for Child Development. Retrieved from the Foundation for Child Development website: fcd-us.org/sites/default/files/Evidence Base on Preschool Education FINAL.pdf
[60] Maczuga, S., Morgan, P., Farkas, G., Hammer, C., Hillemeier, M., & Scheffner, C. 24-Month-Old Children With Larger Oral Vocabularies Display Greater Academic and Behavioral Functioning at Kindergarten Entry. Child Development, Volume 86, Issue 5, pages 1351–1370, September/October 2015.
[61] Committee on Integrating the Science of Early Childhood Development. From Neurons to Neighborhoods: The Science of Early Childhood Development. (2000). Jack P. Shonkoff and Deborah A. Phillips, eds. Board on Children, Youth, and Families, Commission on Behavioral and Social Sciences and Education. Washington, DC: National Academy Press.
[62] See, e.g., Yoshikawa, et.al., Investing in Our Future: The Evidence Base on Preschool Education, 2013.
[63] Center for Public Education. (2008). The Research on Pre-K. Alexandria, VA.
[64] White House Council of Economic Advisors. The Economics of Early Childhood Investments, https://www.whitehouse.gov/sites/default/files/docs/early_childhood_report1.pdf

across multiple funding streams supporting children from birth through age 5 and serve as model early learning and development systems. By December 2014, nearly 14,000 early childhood programs are ranked in the highest quality tiers of the 20 ELC states' rating systems—a 63 percent increase since the states applied for their grants—with significantly more children enrolled in the highest quality-rated early learning programs than ever before.[65] National technical assistance is also available to help all states in building such systems.

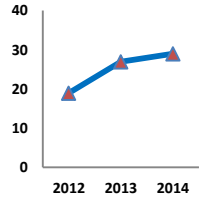
In 2013, the President's Budget proposed a landmark investment to expand access to high-quality preschool, Preschool for All. The President's overarching vision has been captured in the bipartisan *Strong Start for America's Children Act* reintroduced in the 114th Congress. This legislation would fund voluntary, high-quality preschool for all four-year old children from families earning below 200 percent of the Federal Poverty Line in a state-federal partnership, and encourage states to spend their own funds to support preschool for young children with family incomes above that income level. The legislation would also expand Early Head Start-child care partnerships to help raise the quality of services for infants and toddlers and increase IDEA funding for young children with disabilities.

In addition, Strong Start includes authorization for Preschool Development Grants, which were first funded by Congress in 2014. Last year 18 states (of the 36 that applied) were awarded grants to create or expand high-quality preschool programs for 4-year-olds in over 200 high-need communities. This program builds on the achievements of ELC by expanding access to preschool programs that include the following nationally recognized standards: high staff qualifications; professional development for teachers and staff; low staff-child ratios; small class sizes; full-day programs; developmentally appropriate, culturally and linguistically responsive instruction and evidence-based curricula and learning environments that are aligned with states' early learning standards; inclusive programs for children with disabilities; employee salaries that are comparable to those for K–12 teaching staff; ongoing program evaluation to ensure continuous improvement; strong family engagement; and onsite comprehensive services for children.

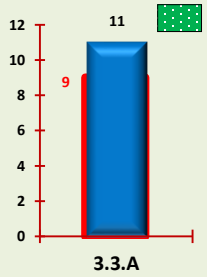
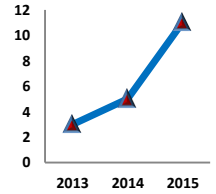
Providing children, including children with disabilities and those who are ELs, with quality early education experiences is essential to strengthening our nation's economy. Significant new investments to expand access to high-quality early learning, improve the early childhood workforce, and support comprehensive assessment systems are necessary to help states, local communities, and parents close the school readiness gaps between disadvantaged children and their more advantaged peers. Only then can we ensure that all children graduate from high school prepared to succeed in college, careers, and life.

[65] At a Glance: Race to the Top - Early Learning Challenge Year 2014 Progress Update http://www2.ed.gov/programs/racetothetop-earlylearningchallenge/2014apr/rtt-elc-2014-apr-progress.pdf

Goal 3: Details

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015		Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed	Exceeded	2016	2017	
3.1.A. Number of states with Quality Rating and Improvement Systems (QRIS) that meet high quality benchmarks for child care and other early childhood programs[66]	SY: 2010 17	27	29[67]	NA	32	NA[68]			NA	NA	
New APG Metric: Percent of 4-year olds enrolled in state preschool programs[69]	SY: 2013–14 29.1%	NA	SY: 2013–14 29.1%	NA	NA	NA			33.0%	35.0%	
New APG Metric: Number of states with high-quality preschool program standards[70]	SY: 2013–14 15	NA	SY: 2013–14 15	NA	NA	NA			19	21	
3.2.A. Number of states and territories with professional development systems that include core knowledge and competencies, career pathways, professional development capacity assessments, accessible professional development opportunities, and financial supports for child care providers[71]	SY: 2011 30	30	Not Collected	NA	38	NA[72]			NA	NA	

[66] Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were 35 and 37, respectively.
[67] Metric reported as TBD in the 2014 APR. 2014 actuals show the 2014 target was "**Met**."
[68] This is an HHS metric and out of the Department's control or influence. Please refer to footnote 66 for additional information.
[69] Metric is aligned with an APG.
[70] Metric is aligned with an APG.
[71] Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were both NA.
[72] Please refer to footnote 68.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015		Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed	Exceeded	2016	2017	
New Metric: Number of states that require a teacher with a bachelor's degree in a state preschool program	SY: 2013–14 15	NA	SY: 2013–14 15	NA	NA	NA			19	20	
3.3.A. Number of states collecting and reporting disaggregated data on the status of children at kindergarten entry using a common measure	SY: 2010 2	3	5[73]	11[74]	9	MET			14	16[75]	

NA = Not applicable.
TBD = To be determined.
Academic Year (AY) is a collegiate year spanning August–May; School Year (SY) spans August–July and is aligned with a P–12 school year; Fiscal Year (FY) corresponds to a federal fiscal year; Calendar Year (CY) spans January–December.

Data Sources and Frequency of Collection:
3.1.A. Child Care Development Fund (CCDF) Report of State Plans with annual updates from states and territories (HHS/Office of Childcare); annually
3.2.A. CCDF Report of State Plans (HHS/Office of Childcare); biennially
3.3.A. Race to the Top (RTT)-Early Learning Challenge (ELC) Technical Assistance Center; annually

***Note on performance metrics and targets*:** These metrics were established as a part of the *FY 2014–18 Strategic Plan*. Metrics may be updated or revised to reflect awareness of more accurate data or clarifications. Such updates or revisions are identified in footnotes.

[73] Five ELC states implemented their KEA (OR, KY, VT, MD, and OH) in the 2014–15 school year. One state (DE) had planned to implement its KEA in 2014–15 year, but later adjusted its timeline to implement during the 2015–16 school year. As such, the FY14 actual is revised from six to five states.
[74] Eleven ELC states (CA, CO, DE, KY, MD, MA, MI, NC, OH, OR, and VT) are implementing their KEAs in the 2015–16 school year. The remaining eight states that chose to implement KEAs (GA, IL, MN, NJ, NM, PA, RI, WA) will begin after the 2015–16 school year. Wisconsin did not select to implement a KEA, but is implementing a statewide literacy assessment and is exploring the development and use of a KEA.
[75] There will be difficulty collecting ELC data in out-years because some grantees will no longer be reporting APR data.

Analysis and Next Steps by Objective

Objective 3.1: Access to High-Quality Programs and Services

Explanation and Analysis of Progress:

While states and the federal government both invest in early learning, these efforts have fallen short of what is needed to ensure that all children can access a high-quality early education that will prepare them for success. Across the nation, 58 percent of 4-year-olds and 85 percent of 3-year-olds are not enrolled in publicly funded preschool programs through state preschool, Head Start, and preschool special education services.[76] Even fewer are enrolled in the highest-quality programs.[77] Overall, during 2011–13, 4.4 million 3- and 4-year-olds were not attending any preschool at all, representing more than half (54 percent) of all children in that age group.[78]

Children's access to preschool also varies significantly by family income level and geographic region.[79] As of the 2013–14 school year, 41 states and the District of Columbia offered voluntary, state preschool programs for some children.[80] In 2015–16, three states (Indiana, New Hampshire, and North Dakota) had small pilot programs. Hawaii now has a program reaching public school students and their Preschool Development Grant will serve children in the public charter school system. Montana's Preschool Development Grant has provided that state's first state preschool program, which by 2018 will provide high-quality preschool to over 5,000 children from low-income families in sixteen communities, eight of which are on Indian lands.

Twenty-nine percent of America's 4-year-olds were enrolled in a state-funded preschool program in the 2013–14 school year. While total enrollment for 4-year-olds increased by 8,535, nearly half this increase was required to recoup the loss of 4,000 seats in 2012–13. At the May release of the National Institute for Early Education Research (NIEER) Yearbook, Secretary Duncan noted, "The current pace of change is far too incremental…We have to think about transformational change." In fact, as NIEER researchers observed, "at the 2013–2014 growth rate it would take about 75 years for states to reach 50 percent enrollment at age 4 and 150 years to reach 70 percent enrollment."

While states enroll a total of 1.35 million 3- and 4-year-olds in state preschool, enrollment in individual state programs significantly varies.[81] For example, Florida, Oklahoma, Vermont, and the District of Columbia served more than 70 percent of their 4-year-olds in state-funded preschool, whereas 11 states with programs served fewer than 10 percent of 4-year-olds. These states are: Alabama; Alaska; Arizona; Delaware; Minnesota; Missouri; Nevada; Ohio; Oregon;

[76] Barnett, W.S., Carolan, M.E., Squires, J.H., Clarke Brown, K., & Horowitz, M. (2015). The state of preschool 2014: State preschool yearbook. New Brunswick, NJ: National Institute for Early Education Research.
[77] Nores, M., & Barnett, W.S. (2014). Access to High Quality Early Care and Education: Readiness and Opportunity Gaps in America (CEELO Policy Report). New Brunswick, NJ: Center on Enhancing Early Learning Outcomes.
[78] Annie E. Casey Foundation. (2015). KIDS COUNT data center. Baltimore, MD: Author. http://www.aecf.org/m/resourcedoc/aecf-2015kidscountdatabook-2015.pdf
[79] Cascio, E.U., Whitmore Schanzenbach, D. Expanding Preschool Access for Disadvantaged Children http://www.brookings.edu/~/media/research/files/papers/2014/06/19_hamilton_policies_addressing_poverty/expand_preschool_access_cascio_schanzebach.pdf
[80] Barnett, W.S., Carolan, M.E., Squires, J.H., Clarke Brown, K., & Horowitz, M. (2015). The state of preschool 2014: State preschool yearbook. New Brunswick, NJ: National Institute for Early Education Research.
[81] Barnett, W.S., Carolan, M.E., Squires, J.H., Clarke Brown, K., & Horowitz, M. (2015). The state of preschool 2014: State preschool yearbook. New Brunswick, NJ: National Institute for Early Education Research.

Rhode Island; and Washington. Local Head Start programs serve another approximately half million 4-year-olds from the lowest-income families.[82]

While Latinos are the fastest growing and largest minority group in the United States, making up a quarter of 3- and 4-year-olds, Latinos demonstrate the lowest preschool participation rates of any major ethnicity or race with 63 percent of 3- and 4-year-olds not in any preschool programs.[83] The rates were also low for American Indians (59 percent). More than half of African-American and non-Hispanic white 3- and 4-year-olds were not in any preschool programs, which was nearly the same for Asian and Pacific Islander children (48 percent). While most children who have access to preschool attend moderate-quality programs, African American children and children from low-income families are the most likely to attend low-quality preschool programs and the least likely to attend high-quality preschool programs.[84] About one-third of children served by state preschool programs live in the two states with the lowest quality standards from the NIEER—Florida and Texas.[85] Forty percent of preschoolers—more than half a million—attend programs that meet few of the quality NIEER benchmark standards.

Children with disabilities also have difficulty accessing inclusive preschool programs. In 2013, across all states, 55.6 percent of preschool children served under Part B, section 619 of IDEA participated in at least 10 hours of a general early childhood program. Fewer than half (43.5 percent) of preschool children with disabilities received special education services in their general early childhood programs.[86]

In coordination with the Early Learning Challenge Technical Assistance Center (ELC TA) and Preschool Development Grants Technical Assistance Center (PDG TA), the Department, in coordination with HHS, is supporting efforts to expand access to high-quality early learning programs for the 20 ELC and 18 Preschool Development Grants states, as well as nongrantee states, through online early learning communities, technical assistance webinars, briefs, and reports. Additionally, OESE's national comprehensive center, the Center on Enhancing Early Learning Outcomes (CEELO) and OSEP technical assistance (TA) centers provide support for all states, including around issues of access and quality.

A critical driver of quality in all early learning and development programs has been the states' QRIS (or Tiered Quality Rating and Improvement Systems (TQRIS) for ELC states). This reform metric helps states set progressively higher program standards and provides supports to programs so they can meet those higher standards. Once programs are enrolled in a state's TQRIS, the state helps them improve their quality and their ranking. States provide technical assistance, professional development opportunities, and program improvement grants that allow programs to make the necessary quality improvements. Nearly half of all children who live in low-income families in the Unites States reside in the 20 ELC states. ELC states have increased the number of early learning and development programs participating in their TQRIS and are implementing strategies to improve the quality of those programs. The 20 ELC states' cumulative state data show that the number of early childhood programs included in the states'

[82] Head Start Program Facts Fiscal Year 2014. http://eclkc.ohs.acf.hhs.gov/hslc/data/factsheets/docs/hs-program-fact-sheet-2014.pdf
[83] Annie E. Casey Foundation. (2015). KIDS COUNT data center. Baltimore, MD: Author. http://www.aecf.org/m/resourcedoc/aecf-2015kidscountdatabook-2015.pdf
[84] Center for American Progress. Why We Need a Federal Preschool Investment in 6 Charts. December 9, 2014. https://www.americanprogress.org/issues/early-childhood/news/2014/12/09/102737/why-we-need-a-federal-preschool-investment-in-6-charts/
[85] Barnett, W.S., Carolan, M.E., Squires, J.H., Clarke Brown, K., & Horowitz, M. (2015). The state of preschool 2014: State preschool yearbook. New Brunswick, NJ: National Institute for Early Education Research.
[86] 2013 Part B Child Count and Educational Environments Data File. Accessed on 4/17/15 at: http://www2.ed.gov/programs/osepidea/618-data/state-level-data-files/index.html

TQRIS has nearly doubled from 38,642 at the start of their grants to 72,281 programs in 2014, an increase of 87 percent.

The 20 ELC states also reported on the number of children in various types of early learning and development programs that are in top tiers of their state's TQRIS in 2014. The report shows a 176 percent increase in the number of children with high needs enrolled in state preschool programs in the top tiers of their state's TQRIS from the time the states received their grants. More than 200,000 children are now enrolled in these programs, an increase of more than 127,000 children. As a result of the ELC program, there is a 75 percent increase in the number of children enrolled in high-quality programs supported through the Child Care Development Fund (CCDF or child care subsidy). 228,760 children with high needs are now enrolled in CCDF-funded programs in the top tiers of their TQRIS, an increase of almost 100,000 children. 151,676 children with high needs are now enrolled in Head Start/Early Head Start programs in the top tiers of their TQRIS, an increase of more than 78,000 children.

In his 2014 State of the Union address, President Obama called upon Congress to expand access to high-quality preschool for every child in America, proposing investments that would support a continuum of early learning opportunity from birth through kindergarten entry. He challenged more Americans—elected officials, business leaders, philanthropists, and the public—to help more children access the early education they need to succeed in school and in life. On December 10, 2014, the President convened state and local policymakers, mayors, school superintendents, corporate and community leaders, and advocates for the White House Summit on Early Education, highlighting collective leadership in support of early education for America's children. Leaders shared best practices in building the public-private partnerships that are expanding early education in communities across the country. Participants discussed effective strategies and programs that support and bring high-quality early childhood education to scale.

Leading private and philanthropic organizations made commits to new actions to spur greater access to high-quality early learning programs. Together with federal awards, this amounts to a collective investment of over $1 billion in the education and development of America's youngest learners. It includes:

- Over $340 million in new actions from corporate and philanthropic leaders to expand the reach and enhance the quality of early education for thousands of additional children.
- Up to $750 million in new federal grant awards announced by Secretaries Duncan and Burwell, to support early learning for over 63,000 additional children across the country for Preschool Development Grants and the Early Head Start-Child Care Partnerships.
- The launch of Invest in US, a new initiative created by the First Five Years Fund, a bipartisan nonprofit organization, in partnership with private philanthropic leaders, in response to the President's call to action.
- New private and philanthropic resources and support for Early Learning Communities, an initiative of Invest in US. Invest in US is working to connect communities and states interested in expanding early learning programs and opportunities with 10 leading partners that have committed to helping connect leaders with resources, planning grants, technical assistance, and other support for their youngest learners.

Since the Summit, significant progress has been made, and bipartisan cooperation has led to a substantial increase in public-private investments in early education.

Congress took an important step in 2014 to address inequities in access to high-quality preschool by supporting the Preschool Development Grants program, a 4-year, federal-state partnership to expand the number of children enrolled in high-quality preschool programs in high-need communities. There was significant bipartisan interest from state governors in this program. Thirty-five states and Puerto Rico applied and the Department made grants to 18 states. During the 2015–16 school year, these states are serving approximately 33,000 4-year-olds from low- and moderate-income families in more than 200 communities in high-quality preschool programs. The diversity of the 18 states that received grants reflects the fact that increasing access to preschool is a bipartisan priority across the country. From Massachusetts and Montana to Alabama and Hawaii, Preschool Development Grants are designed to help states move forward with high-quality preschool, whether that means expanding an already successful preschool program or helping to build state-level capacity and put in place quality improvements to serve more children in high-quality settings.

While the Preschool Development Grants will not reach every child in the funded states and there remains a huge unmet need, these states will be another step closer to the goal of expanding access to high-quality early learning across the country. Over the 4-year grant period, and with continued funding from Congress, these states are expecting to enroll an additional 177,000 children in high-quality preschool programs, which will help put children on a path to success in school and in life. About 285,000 preschoolers could have been served in the 18 states that did not receive a Preschool Development Grant. For four years, the Obama administration has requested formula funding to address the enormous unmet need for high-quality preschool and provide preschool for all 4-year-olds from low- to moderate-income families. In addition, the Administration's FY 2017 budget request includes funding for continuation grants to support current states, as well as additional dollars to expand Preschool Development Grants to more states, the Bureau of Indian Education, tribal educational agencies, territories, and the Outlying Areas.

The Department is also engaging in specific activities to ensure that infants, toddlers, and preschool children with disabilities and their families have access to high-quality programs and services. OSEP began implementing an RDA system to hold states accountable for both improving results for children with disabilities and complying with requirements in IDEA. As part of RDA, states are being asked to develop a SSIP to focus and drive their efforts to improve results for children with disabilities. Phase 1 of the SSIP was submitted to OSEP in April 2015. States were required to submit SSIPs for both Part B and C of IDEA. The SSIPs included a measurable child result that states will be working to achieve over the next 5 years, and the infrastructure that they will need to have in place to support local programs in delivering high-quality services to meet the state-identified child result. Another component of RDA is ensuring that determinations reflect state performance on results, as well as compliance. OSEP must annually determine if a state "Meets Requirements," "Needs Assistance," or "Needs Intervention." In July 2015, OSEP used child outcome data for the first time in making determinations for Part C programs.

In addition to accountability activities, OSEP is supporting states through technical assistance. Three of OSEP's national centers specifically focus on supporting states in enhancing their Part C and Part B, section 619 programs, as well as other early learning programs, to increase the quality of services provided to children with disabilities and their families. These centers are working with Part C and Part B, section 619 programs to develop effective and efficient infrastructures, including data and personnel systems, to deliver high-quality services to infants, toddlers, and preschool age children with disabilities and their families. The centers have developed a systems framework that states can use to assess their infrastructure and work

towards improving it. In addition, the centers are working with the Division of Early Childhood (DEC) to promote the use of the recently released DEC Recommended Practices, which provide guidance to practitioners and families about the most effective ways to improve the learning outcomes and promote the development of young children, birth through age 5, who have or are at risk for developmental delays or disabilities.

The Department and HHS released two major early childhood policy statements. *Policy Statement on Expulsion and Suspension Practices in Early Childhood Settings* was released December 10, 2014. The statement has influenced local and state efforts to assist states and their public and private local early childhood programs in preventing and severely limiting expulsions and suspensions in early learning settings. A second policy statement, *Policy Statement on Inclusion of Children with Disabilities in Early Childhood Programs*, released on September 14, 2015, supports the goal that all young children with disabilities should have access to inclusive high-quality early childhood programs, where they are provided with individualized and appropriate support in meeting high expectations. In addition, the Department and HHS, in partnership with Too Small to Fail, have created the *Talk, Read, and Sing Together Every Day* tip sheets. Made specifically for families, caregivers and early educators, these resources can help enrich a child's early language experiences by providing research-based tips for talking, reading, and singing with young children every day beginning from birth. The Departments are also collecting public input on policy statements around family engagement in early learning settings and health and wellness promotion in early childhood settings. Each of these efforts contributes to the goal of improving the quality of early learning programs.

In October 2015, the Departments held a three-day annual grantee meeting for the 20 ELC and 18 Preschool Development Grants states. In addition, nongrantee states were invited to attend. In all, over 300 persons participated, and over 35 states were represented. Sessions focused on meeting the needs of states around improving quality in programs, measuring child outcomes, and supporting birth to third grade systems and other reforms.

Metrics in Goal 3 are influenced most by actions taken by states or grantees in response to state and federal policy initiatives, but they are also influenced by factors that are beyond the control of states, LEAs, or the Department of Education.

Challenges and Next Steps:

Expanding access to high-quality preschool is critically important to ensuring that every child in America has the opportunity for lifelong success. On December 10, 2015, President Obama signed the *Every Student Succeeds Act* (ESSA), reauthorizing the ESEA. ESSA includes a new Preschool Development Grants program designed to improve coordination of early childhood programs and expand access to high-quality preschool. It is not certain how many additional children will have access to high-quality preschool under the new program. Also in December 2015, President Obama signed the FY 2016 spending bill, which provides funding for year 3 of the Preschool Development Grants. The Departments will be working to secure funding for the fourth and final year of the current Preschool Development Grants program in FY 2017. Pulling these funds away from states and communities would jeopardize their plans to serve over 50,000 children in high-quality preschool programs during the last year of the grants.[87]

The President has made it a priority to expand educational opportunity for our nation's children, starting with our youngest learners, and has put forward a vision that would support the healthy

[87] This estimate assumes that the elimination of Preschool Development Grants in 2016 would prevent states from serving the additional children proposed in their applications for the final two years of the grant.

development and growth of children from birth to kindergarten entry. The President's FY 2017 Budget builds on the good work underway in states and local communities, and calls for expanding support to additional grantees to improve program alignment and coordination and to expand access to services. Preschool Development Grants are a critical step toward voluntary, universal access to high-quality early learning that gives all children a strong start in school and life.

ELC states face many challenges in developing a rating and monitoring process for their TQRIS. Providers must be informed about the process, so as to make them more likely to participate. The observation and rating tool must be a true measure of different levels of quality; it must give the same rating results in many different settings, and it has to be easy to use. Validating the effectiveness of a TQRIS ensures that it is measuring and assessing program quality in ways that make sense to state policy makers, early learning and education programs, and families with young children. Both the Departments of Education and Health and Human Services are providing support so ELC states have the knowledge and best research for improving their TQRIS. This technical assistance is provided directly to the states in addition to peer learning groups on various topics of interest such as best ways to validate a TQRIS system or to ensure families understand the difference in the quality tiers. The Departments are helping ELC states to validate their systems, ensure consistency in the reporting of TQRIS ratings, and develop data system linkages between their TQRIS and other systems with data on young children and the early childhood workforce. As states begin to report on evaluations of their TQRIS, there must be a recognition that the systems are still not mature and may not yet reflect their true impact. OSEP-funded technical assistance also supports states in thinking about how to intentionally include children with disabilities across all levels of the TQRIS system, as some states only have optional indicators for children with disabilities, only include children with disabilities at some levels of the TQRIS, or do not intentionally include children with disabilities. Additionally, IES is also doing a study of the TQRIS systems and plans to make results available in 2016.

The Department committed $5 million in Preschool Development Grants national activities funds to add to a multiyear investment by IES funding to expand the work of the network to support the work of the Preschool Development Grants states and other states advancing preschool and addressing the need for a new quality assessment tool. The Early Learning Network will comprise five Research Teams that will conduct in-depth, exploratory research in states, regions, cities, or school districts that are providing preschool opportunities for children from disadvantaged backgrounds. Each Research Team will conduct three complementary, prospective studies: (1) a descriptive study of systems-level policies and practices that support early learning; (2) a classroom observation study to identify teaching practices and other classroom-level malleable factors associated with children's school readiness and achievement in preschool and early elementary school; and (3) a longitudinal study to identify malleable factors associated with early learning and school achievement over time from preschool through the early elementary school grades (e.g., kindergarten through third grade). The Research Teams will also provide support to the Early Learning Assessment Team in piloting and validating a classroom observation tool that is designed for practitioners to use.

Funding continues to be a challenge for IDEA programs. Part C programs in particular are stretched thin as data shows that the number of children receiving services under Part C over the years has been steadily increasing. However, federal funding for Part C has not increased at the same rate so there has been a decrease in federal per-child funding for Part C services. To address fiscal challenges, some states have narrowed or restricted eligibility criteria, implemented or increased family fees for services, and reduced provider reimbursements. All of

these can reduce access to services for infants and toddlers who could benefit from them. OSEP-funded TA centers will provide TA to states on building their state infrastructure, which includes their financial system, to support states in using their funding as efficiently as possible. Additionally, OSEP-funded TA centers will continue to work with states to enhance the quality of services that they provide under IDEA Parts C and B, section 619.

Objective 3.2: Effective Workforce

Explanation and Analysis of Progress:

Securing a well-trained and properly supported early learning workforce is an essential element of high-quality early learning programs. Significant headway has been made in describing and conceptualizing what teachers do in the classroom that results in learning, which is a critical first step in getting teachers into those positions.

On April 1, 2015, the Institute of Medicine (IOM) and National Research Council (NRC) released *Transforming the Workforce for Children Birth through Age 8: A Unifying Foundation,* which was commissioned by both the Departments of Education and HHS and four philanthropic foundations. The study explores the science of child development, particularly looking at implications for the professionals who work with children birth through age 8. The committee found that much is known about how children learn and develop, as well as the qualifications of the early childhood workforce and the supports they need. However, this knowledge is not fully reflected in the current capacities and practices of the workforce, the settings in which they work, and the qualifications and professional learning that is most effective.

The IOM/NRC Study outlines a blueprint for action based on 13 recommendations for local, state, and national governmental agencies, nongovernmental organizations, philanthropic funders, and the business sector to support improvements to the quality of professional practice for early learning professionals who work with children from birth through age 8 and the environments in which they work. The study makes recommendations on improving the quality of the early learning workforce, including higher levels of education such as a bachelor's degree for lead educators, qualifications based more strongly on competencies and knowledge, and the use of evidence-based practices and strategies. Additionally, the study recommends fair compensation to recognize the professionalization of the workforce, as well as other improved supports for educators in their work environments. In the months following the release, additional communication materials were developed and distributed to the field through conferences, webinars, meetings, and in-service trainings.

ELC states are creating quality professional development systems to improve the skills of current and aspiring early learning teachers, directors, and assistant teachers. Fourteen ELC states are specifically working to provide and expand access to professional development opportunities that are aligned with their Workforce Knowledge and Competency Framework and that tightly link training with professional development approaches, such as coaching and mentoring (CO, DE, GA, KY, MD, MN, NJ, NM, OH, OR, PA, RI, WA, and WI). These states are also using incentives, such as scholarships, compensation and wage supplements, tiered reimbursement rates, other financial incentives and strategies to promote professional improvement and career advancement. These other strategies include management opportunities, and they promote professional improvement and career advancement along an articulated career pathway that is based on the state's Workforce Knowledge and Competency Framework. Fifteen ELC states are working to support educators in improving their knowledge, skills and abilities (CA, CO, DE, GA, IL, MD, MA, MI, MN, NM, NC, OR, PA, RI, VT).

The Preschool Development Grants program sets a high bar for workforce quality in the 18 grantee states. High-quality preschool programs require, for example, high staff qualifications, including a teacher with a bachelor's degree in early childhood education or a bachelor's degree in any field with a state-approved alternate pathway, which may include coursework, clinical practice, and evidence of knowledge of content and pedagogy relating to early childhood, and teaching assistants with appropriate credentials. In addition, instructional staff salaries are required to be comparable to the salaries of local K-12 instructional staff, and programs must provide high-quality professional development for all staff.

Four states (Delaware, Iowa, Kansas, and Oregon) are finishing up working with the OSEP-funded Early Childhood Personnel Center (ECPC). This work centered on enhancing the personnel system within the states to ensure that personnel have the knowledge and skills to provide services to young children with disabilities and their families. These states developed and are implementing a plan to align their personnel standards with national professional organization personnel standards; develop partnerships with universities and community colleges to ensure that their curriculum is aligned to state personnel standards and to support better alignment between pre-service preparation and in-service professional development; and implement evidence-based practices within in-service professional development. ECPC is in the process of selecting four more states to work with over the next two years. In addition to providing intensive TA with states, ECPC held Leadership Institutes for 20 states. These Leadership Institutes provides strategies for Part C and Part B, section 619 coordinators and leaders within early childhood agencies to work together to develop the workforce so that they have the competencies to serve young children with disabilities and their families. Additionally, ECPC has facilitated national professional organizations coming together to identify a set of competencies that personnel need to serve young children with disabilities. Those organizations include including DEC, the National Association for the Education of Young Children (NAEYC), the American Speech-Language-Hearing Association, the American Occupational Therapy Association, and the American Physical Therapy Association. Through this work, DEC and NAEYC are in the process of developing an agreement to align their personnel standards. During the fiscal year OSEP, also funded 7 new awards to universities to prepare personnel to work in early intervention and early childhood special education.

Challenges and Next Steps:

On December 10, 2015, President Obama signed ESSA, reauthorizing the ESEA. ESSA includes a new Preschool Development Grants program designed to improve coordination of early childhood programs and expand access to high-quality preschool, which may positively affect the early childhood workforce with expanded opportunities for professional development and improved conditions. ESSA also includes language explicitly stating that Title II dollars can be used for early childhood educators. Also in December 2015, President Obama signed the FY 2016 spending bill, which provides funding for year 3 of the Preschool Development Grants. The Departments will be working to secure funding for the fourth and final year of the current Preschool Development Grants program in FY 2017.

There are challenges in developing an effective early learning workforce. States have hiring challenges, due in part to a lack of available well-trained and effective personnel across multiple disciplines. Some states have experienced high turnover of early childhood educators and consultants due to low wages, attractive offers in other states, challenging financial times, and program management. States that can sustain programs for longer periods have less difficulty recruiting and retaining strong early childhood educators.

The Department and its technical assistance providers are working to address some of these challenges through webinars, peer learning, and pointing out promising practices, such as mentoring and coaching. For example, a study examining career pathways to be released in FY 2016 will provide states with an overview of how these systems are working in a handful of leading states. Reducing duplication of efforts and promoting promising practices is necessary for creating an early learning workforce that can deliver on the promise of these programs. ECPC is currently working with Part C and Part B, Section 619 coordinators to identify additional states with which to work to improve their personnel systems. A challenge that Part C and Part B, section 619 personnel experience is that they are often not included within workforce initiatives within states. To address this, ECPC will continue to hold Leadership Institutes as a way to provide Part C and Part B, section 619 coordinators strategies to engage and become decision makers in workforce initiatives within their states.

Building on the positive reception from the release of the *Transforming the Workforce for Children Birth Through Age 8: A Unifying Foundation,* the Departments are developing a plan to fund additional activities addressing the implementation of the recommendations, including funding a study on financing of preschool and convening with IHEs. The study will examine how to fund early care and education for 3- and 4-year-old preschool children that is accessible, affordable to families, and of high quality, including a well-qualified and adequately supported workforce consistent with the vision outlined in the Study. Over the course of 20 months, an ad hoc committee will review and synthesize the available research and analysis on the resources needed to meet the true costs of high-quality early care and education, including resources for improving the quality, affordability and accessibility of higher education; improving the quality and availability of professional learning during ongoing practice; and supporting well-qualified educators and administrators with adequate compensation through complete wage and benefit packages that are comparable across ages and settings.

The committee will gather information and review the available evidence on funding mechanisms that are currently being employed successfully on a large scale as well as illustrative examples of funding strategies that are being employed on a smaller scale but have promise for expansion. The committee will also take into consideration lessons that can be drawn from financing of early care and education in other countries and from workforce development in sectors other than education. The committee will produce a report that synthesizes the information gathered and, based on their analysis and interpretation, draws conclusions about and makes recommendations for concrete, implementable funding strategies in the public and private sectors at the national, state, and local levels.

Objective 3.3: Measuring Progress, Outcomes, and Readiness

Explanation and Analysis of Progress:

The Department, in consultation with OMB, has determined that performance toward this objective is making noteworthy progress. As part of ELC, 11 states chose to use funds to address the use of comprehensive assessment systems, though all ELC states include comprehensive assessments as part of their program standards on which their TQRIS is based. These states are doing the difficult work of creating coordinated and comprehensive assessment systems that organize information to help early childhood educators, families, program directors, administrators, and policymakers to make informed instructional and programmatic decisions. A comprehensive assessment system coordinates the various types of valid and reliable screening, diagnostic, formative, and summative assessments that children are likely to receive throughout their early learning years, such as screenings for possible developmental delays, assessments of ongoing developmental progress, diagnostic

assessments, and measures that examine children's accomplishments on developmentally appropriate standards-based benchmarks. As they create these comprehensive systems, states are updating and selecting screening and assessment tools that are valid and appropriate for the populations being served; educating users about the purposes of each assessment; coordinating assessments to avoid duplication; training early childhood educators to administer, interpret, and use the results of assessments; and involving parents in decisions regarding learning and development strategies for their children.

In addition, 19 ELC states are or will be using KEAs that cover all the essential domains of school readiness and are aligned with their states' early learning and development standards. Wisconsin did not elect to direct ELC funds toward the development of a comprehensive KEA, though they are funding an exploratory study. As part of a KEA, information is collected through observations, one-on-one discussions, small group activities, and through the use of technology. Results help early childhood educators better understand the status of children's learning and development when they enter kindergarten so the educators can individualize instruction. Educators can share information with parents so that they can make informed decisions about their children's education. Educators are using findings from the KEA to inform to inform instruction and help close the readiness gap at kindergarten and in the early elementary school grades.

The Department surpassed the 2015 performance target of 9 states collecting and reporting disaggregated data on the status of children at kindergarten entry using a common measure. Eleven ELC states (CA, CO, DE, KY, MD, MA, MI, NC, OH, OR, and VT) are implementing their KEAs in the 2015–16 school year. The remaining eight states that chose to implement KEAs (GA, IL, MN, NJ, NM, PA, RI, WA) will begin after the 2015–16 school year. The 18 Preschool Development Grants states are required to report on the school readiness of the children participating in their high-quality preschool programs, with strong encouragement to use a KEA. We expect to have this data in spring 2017 for the second year of the grant.

On April 7, 2015, ELC TA cohosted a webinar with CEELO and the Council of Chief State School Officers (CCSSO) focusing on the essential elements of a comprehensive assessment system, promising implementation strategies, key capacity-building considerations, and tools that can support this work at the state level. On June 6, 2015, ELC TA held the National Working Meeting on Early Learning Assessment in New Orleans, Louisiana. The one-day working meeting provided states with the opportunity to work together to address persistent problems associated with the implementation of comprehensive early learning assessment systems with a specific focus on child assessments, including KEAs. In August, 2015 ELC TA released a brief, statewide KEA Data Collection and Reporting in ELC states, in response to a request from a ELC state for information about issues that need to be considered in planning and implementing a statewide KEA data collection and reporting system. The report includes information on practices in five ELC states (Kentucky, Maryland, Oregon, Pennsylvania, Vermont and Washington).

On August 27, 2015, the Department posted *EDFacts Data Set: Kindergarten Entry Assessment Data Collection through EDFacts Metadata and Process System (EMAPS)* as part of the *Annual Mandatory Collection of Elementary and Secondary Education Data through EDFacts* to explain the data that will be collected through EMAPS for KEAs in the School Year (SY) 2016–17, SY 2017–18, and SY 2018–19 ED*Facts* package. The team will address public comments received, post responses for 30 days, and then post a final regulation.

In FY 2013, the Department made EAG awards to support the development and enhancement of KEAs. Texas and two state consortia, one led by Maryland and the other led by North

Carolina, were awarded EAG grants. KEAs under this program should be aligned with state early learning standards and cover all essential domains of school readiness. Three additional ELC grantees are participating in the Maryland consortium (Massachusetts, Michigan, and Ohio) as well as a number of non-ELC states. Eight states are partnering with North Carolina: Delaware, Iowa, Maine, North Dakota, Oregon, Rhode Island, South Carolina, and Washington, DC. Together the ELC and EAG programs support 29 states in creating incentives for states to implement KEAs.

On an annual basis through their APRs, OSEP continues to require state Part C and Part B, section 619 programs to report on child outcomes for children that received at least 6 months of IDEA services. OSEP funds a technical assistance center to support states in collecting high-quality data within their outcomes measurement system and in using that data for program improvement.

Challenges and Next Steps:

Assessment in early learning is in its infancy. Many states are starting from scratch developing valid and reliable measures for KEAs. As a result, constructing and testing these instruments and implementing them across every school in the state will be challenging and will take time. In addition, states will need to ensure that the KEAs are implemented in a balanced way that does not result in the loss of a significant amount of instructional time. Additionally, two of the three EAG grantees that are consortia may experience challenges coordinating across states due to differences in their policies and procedures. Preschool Development Grants states are required to report on the status of children in kindergarten served by the grants in the high-need communities, but they are not required to use a KEA, and funding may be a challenge at the federal, state and local levels. The Departments are working with these grantees to minimize these coordination challenges.

The Departments of Education and HHS will continue to reach out to CEELO, Education Commission on the States, CCSSO, NIEER, and other organizations that share our interest in advancing quality KEAs, share resources, and develop strategies that might increase our collective impact. The Departments are using national activities funds to develop case studies of four states' approaches to KEAs through the Department of Education's Office of Planning, Evaluation and Policy Development Policy. The objectives of this study are to document the processes, accomplishments, challenges, and solutions of four states (Maryland, Oregon, Pennsylvania, and Washington) implementing KEAs and to share what they have learned with federal and state policymakers and the field. Of particular interest was identifying what is working well and what lessons have been learned in these states that were early adopters of KEAs. Data collection occurred between January and June 2015 in the four case study states, 12 districts, and 23 schools in the study. The final report is expected in July 2016. CEELO and ELC TA will continue to monitor state progress in development and implementation of KEAs and highlight best practices through webinars and meetings.

This year OSEP used Part C child outcomes data in making annual determinations of performance based on state performance plans and annual performance reports. OSEP-funded TA centers will continue to work with states to support them collecting high-quality child outcomes data that is reliable and valid, and using this data for program improvement efforts.

Selected Strategies to Achieve Goal 3

The Department is using a multipronged approach to improve the health, social-emotional, and cognitive outcomes for all children from birth through 3rd grade, so that all children, particularly

those with high needs, are on track for graduating from high school college- and career-ready. Through technical assistance by Department staff and contractors, technical assistance centers, monitoring, research networks and reports, grantee meetings, and use of social media and the bully pulpit, the Department expects to reach its goal. One tool that supports the Departments in the management of this goal is an electronic monitoring and reporting tool that it uses to assess the progress in all ELC and Preschool Development Grants states and deploy specialized technical assistance as quickly as possible to ensure progress continues. Further, the Departments work with the ELC TA, PDG TA, CEELO, and OSEP-funded TA centers to provide targeted technical assistance, establish learning communities and provide webinars, briefs, and reports on key topics. The Departments' annual grantee meeting allows us to highlight key promising practices, discuss major challenges, and better understand state and local challenges. OSEP will be reviewing states' Phase II SSIPs for Part C in April 2016 and will be supporting them through technical assistance to develop plans that have improvement strategies to build or enhance their infrastructure, collect and use high-quality data, and improve services to enhance results for young children with disabilities and their families.

The Department of Education's efforts are aimed at increasing access to high-quality, effective programs—served by an effective early learning workforce—for children from birth to school entry and beyond (including children with disabilities and those who are ELs). Comprehensive assessment systems will measure our success, helping us to enhance the quality of all early learning programs, and reach the ultimate goal of improving children's outcomes.

Goal 4. Equity:

Increase educational opportunities for underserved students and reduce discrimination so that all students are well-positioned to succeed.

Goal Leader: Catherine Lhamon

Objective 4.1: Equitable Educational Opportunities. Increase all students' access to educational opportunities with a focus on closing achievement gaps, and remove barriers that students face based on their race, ethnicity, or national origin; sex; sexual orientation; gender identity or expression; disability; English language ability; religion; socioeconomic status; or geographical location. **Objective Leader: Bob Kim**

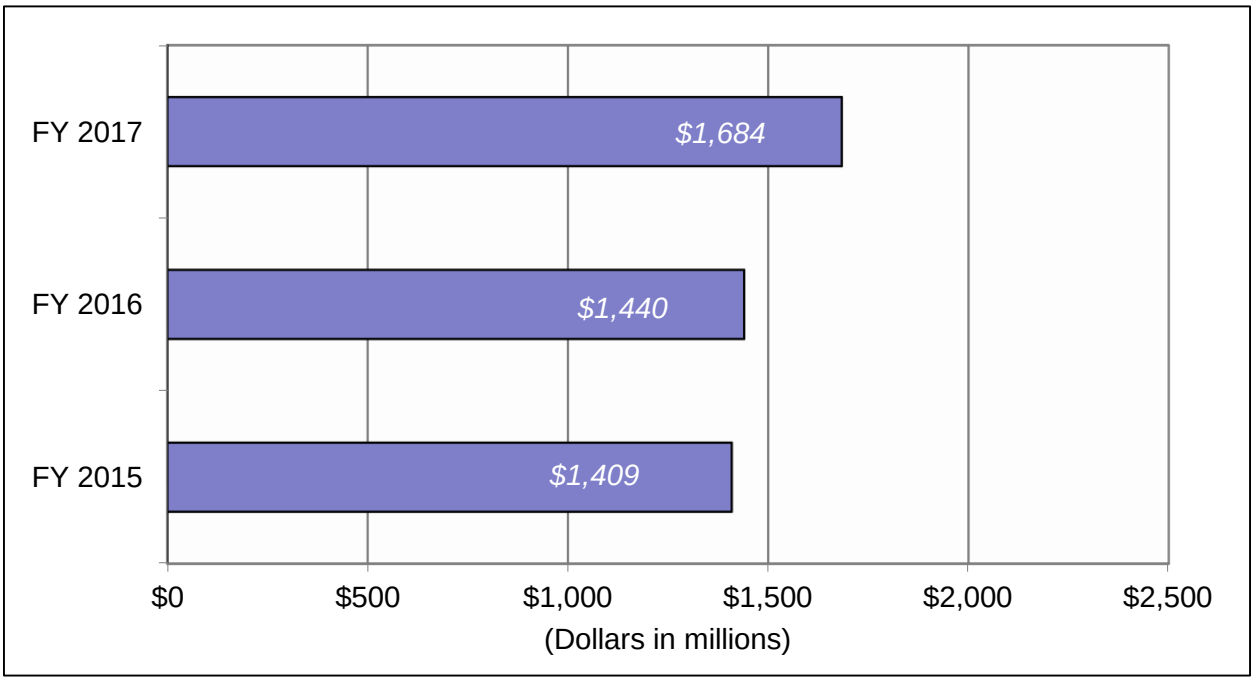
Metric 4.1.A: National high school graduation rate

Objective 4.2: Civil Rights Compliance. Ensure educational institutions' awareness of and compliance with federal civil rights obligations and enhance the public's knowledge of their civil rights. **Objective Leader: Bob Kim**

Metric 4.2.A: Percentage of proactive civil rights investigations launched annually that address areas of concentration in civil rights enforcement

Metric 4.2.B: Percentage of proactive civil rights investigations resolved annually that address areas of concentration in civil rights enforcement

Goal 4 Discretionary Resources



Major Discretionary Programs and Activities[88] Supporting Goal 4 Performance Metrics [Dollars in Millions]

POC	Account	Obj.	Program	FY 2015 Appropriation	FY 2016 Appropriation	FY 2017 President's Budget
OCR	OCR		Office for Civil Rights	100	107	138
OESE	ED	4.1	State agency programs: Migrant	375	375	375
OESE	IE	NA	Indian Education: Grants to local education agencies	100	100	100
OESE	IE	NA	Indian Education: Special programs for Indian children	18	38	68
OESE	SIP	NA	Alaska Native education	31	32	32
OESE	SIP	NA	Native Hawaiian education	32	33	33
OESE	SIP	4.1, 4.2	Training and advisory services	7	7	7
OESE/OELA	ELA	4.1, 4.2	English Language Acquisition	737	737	800
OII	I&I	4.1, 2.4	Stronger together (proposed)	0	0	120
OSERS	SE	NA	Special Olympics education programs	8	10	10
TOTAL, GOAL 4				**1,409**	**1,440**	**1,684**

POC = Principal Office Component
NA = Not applicable.
NOTES: Many programs may have sub-activities that relate to other goals. Detail may not add to total due to rounding.

Public Benefit

Equity of opportunity is the foundation of the American dream, and equity in education is a cornerstone to building a strong, globally competitive workforce. From birth through adulthood, in institutions of early learning, P–12 schools, career and technical education, postsecondary education, adult education, workforce development, and independent living programs, the Department's goal is to ensure that all of our nation's students have access to the educators, resources, and opportunities to succeed. Accordingly, the Department is committed to improving outcomes for all students—regardless of income, home language, zip code, age, sex, sexual orientation, gender identity, race, or disability—through its major education initiatives. Moreover, the Department also recognizes the need to increase educational opportunities systemically for underserved populations, including by exploring ways to increase equitable access to resources and effective teachers within states and districts.

To foster equitable access to early learning education, through the Preschool Development Grants program, the Department, together with the Administration for Children and Families at HHS, is providing access to high-quality preschool for thousands of children from low- and moderate-income families in hundreds of communities across the nation. With the inclusion of this program in the ESSA, which reauthorized the ESEA, the Department will continue to foster increased access to high-quality preschool for the neediest children.

In P–12 education, through the SIG program, ESEA, and other federal programs, the Department is providing significant resources to dramatically improve the nation's lowest-achieving schools by using turnaround interventions and strategies and identifying the low-achieving schools that are showing strong evidence of successfully turning around. The Department is focused on supporting innovation, not just compliance monitoring, and is focused on spurring growth in achievement, not just absolute achievement measures as done in the past. In FY 2015, Department launched programs and initiatives designed to study and address chronic absenteeism and high school dropouts as well as to promote best practices in improving

[88] All the programs listed are discretionary programs, as distinct from mandatory programs. These include both competitive and noncompetitive programs.

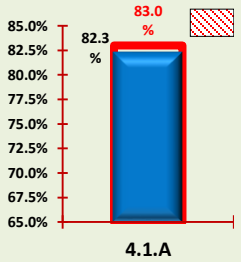
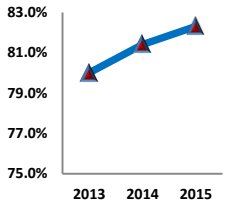
the rates of high school completion and graduation. The Department also started interagency planning to encourage greater socioeconomic diversity in schools and to provide greater educational opportunity for disconnected youth.

The Department worked to increase the number of low-income high school students who are prepared to enter and succeed in postsecondary education. Building on partnerships with the Department of Labor and other federal agencies, the Department continued to expand career pathways for youth and adults by increasing access to high-quality secondary and postsecondary CTE programs, registered apprenticeship programs, and other forms of advanced technical training.

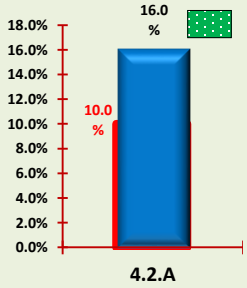
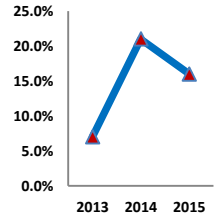
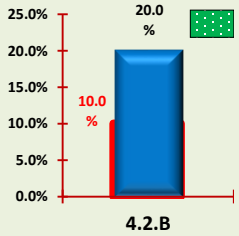
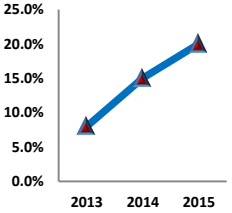
In higher education, the Department developed the President's America's College Promise proposal to make two years of community college free for eligible students. Through the First in the World program, the Department also awarded grants to IHEs to promote evidence-based strategies and practices for college access and completion, focusing on low-income students. Through SIP, the Department is supporting IHEs to help them become self-sufficient and expand their capacity to serve low-income students through improvements in academic quality, institutional management, and fiscal stability.

Civil rights data collection, policy development and enforcement are the tools for ensuring that recipients of federal funding provide educational opportunities absent discriminatory barriers. The Department's OCR continues to address issues of equity in educational opportunity through both its policy and enforcement work by issuing detailed policy guidance; conducting vigorous complaint investigations; procuring strong systemic remedies; pursuing aggressive monitoring of resolution agreements; launching targeted and proactive compliance reviews and technical assistance activities; collecting and publicizing school-level data on important civil rights compliance indicators; and participating in intra- and interagency work groups to share expertise and best practices.

Goal 4: Details

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015		Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed	Exceeded	2016	2017	
4.1.A. National high school graduation rate[89]	SY: 2011–12 80.0%	SY: 2011–12 80.0%	SY: 2012–13 81.4%	SY: 2013–14 82.3%	83.0%[90]	NOT MET			84.5%	85%	
New APG Metric: Gap in the graduation rate between students from low-income families and all students[91]	SY: 2013–14 7.7%	SY: 2011–12 8.3%	SY: 2012–13 8.1%	SY: 2013–14 7.7%	NA	NA			7.6%[92]	7.4%	
New APG Metric: Number of schools that do not have a gap or that decreased the gap between students from low-income[93] families and the state average of all students[94]	SY: 2013–14 80%	SY: 2011–12 77.6%	SY: 2012–13 78.8%	SY: 2013–14 80%	NA	NA			81.2%[95]	82.4%	

[89] Metric is aligned with an APG.
[90] SY 2013–14 actuals are being used to compare against the FY 2015 target.
[91] Metric is aligned with an APG.
[92] SY 2014–15 actuals are being used to compare against the FY 2016 target; FY 2016 (SY 2015–16) data not available until 2017.
[93] For purposes of this metric, eligibility for Free or Reduced Price Lunches (FRPL) under the National School Lunch Program (NSLP) is the primary source of data for identifying economically disadvantaged (low-income) students for reporting on student outcomes, including graduation rates. The Department is currently considering options for redefining "economically disadvantaged" students for student outcomes reporting and other uses. Should the Department make such a change, data on economically disadvantaged students may not be entirely comparable with data for previous years.
[94] Metric is aligned with an APG.
[95] SY 2014–15 actuals are being used to compare against the FY 2016 target; FY 2016 (SY 2015–16) data not available until 2017.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015		Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed	Exceeded	2016	2017	
4.2.A. Percentage of proactive civil rights investigations launched annually that address areas of concentration in civil rights enforcement	FY: 2013 7%	7%	21%	16%	10%	MET			12%	15%	
4.2.B. Percentage of proactive civil rights investigations resolved annually that address areas of concentration in civil rights enforcement	FY: 2013 8%	8%	15%	20%	10%	MET			12%	16%	

NA = Not applicable.
TBD = To be determined.
Academic Year (AY) is a collegiate year spanning August–May; School Year (SY) spans August–July and is aligned with a P–12 school year; Fiscal Year (FY) corresponds to a federal fiscal year; Calendar Year (CY) spans January–December.

Data Sources and Frequency of Collection:
4.1.A. ED*Facts*; annually
4.2.A. Office for Civil Rights' (OCR) Case Management System (CMS) and Document Management (DM) systems; quarterly
4.2.B. OCR CMS and DM systems; quarterly

***Note on performance metrics and targets*:** These metrics were established as a part of the *FY 2014–18 Strategic Plan*. Metrics may be updated or revised to reflect awareness of more accurate data or clarifications. Such updates or revisions are identified in footnotes.

Analysis and Next Steps by Objective

Objective 4.1: Equitable Educational Opportunities

Explanation and Analysis of Progress:

Throughout FY 2015, the Department continued its efforts to expand equitable educational opportunities through its budget priorities, grants, and initiatives in the P–12 and postsecondary spaces, as well as through interagency collaborations and taskforces.

The Department has placed increased emphasis on ensuring educational equity through forward-looking strategies, such as FY 2016 budget development. For example, the Department proposed investing in equity measures in its FY 2016 budget, with $2.7 billion or almost 12 percent increase for ESEA programs and substantial increases across many programs.

P–12 Education

The Office of Early Learning in the Department's OESE and the Administration for Children and Families at HHS awarded grants to launch high-quality preschool for 33,000 children from low- to moderate-income families in over 200 communities in the 18 Preschool Development Grants states. The 20 Race to the Top-ELC states have finalized their Annual Performance Reports showing their states' progress in developing or enhancing their early learning systems. OCR also worked with HHS to develop a policy statement on discipline in early learning environments.

The Department continued to support the SIG program, ESEA Flexibility renewal, and the Excellent Educators for All initiative. On February 9, 2015, the Department published a notice of final regulations (NFRs) for SIG, incorporating changes from the FY 2014 appropriations act and lessons learned from implementation, so that SIG can better support turnaround efforts in the lowest-performing schools. The SIG NFR made slight adjustments to the four historical SIG models and includes three new SIG models: an early learning model, an evidence-based, whole school reform model, and a state-determined whole school reform model.

The Department released guidance for the Excellent Educators for All initiative during FY 2015. The initiative is directly tied to the goal of closing achievement gaps and ensuring equal educational opportunities; it is a three-pronged attempt to support states and districts as they work to ensure that low income students and students of color have equal access to effective and qualified educators. First, the Department required states to submit new Plans to Ensure Equitable Access to Excellent Educators (State Plans) in June 2015 and has reviewed and approved the plans of all 50 states, DC, and Puerto Rico. Second, the Department is currently implementing a $4.2 million effort to support an Equitable Access Support Network (EASN) that provides meaningful technical assistance to states in developing and then implementing high quality plans. The Department also created and released state-specific Educator Equity Profiles. The Department sent each state a copy of its CRDC file to facilitate additional state-level data analysis. The Department held a number of webinars with states to ensure they understood how the data could help in developing equity plans.

Also, several offices across the Department continue to be involved in the White House My Brother's Keeper initiative, which aims to improve educational and other outcomes and reduce involvement with the juvenile and criminal justice systems for boys and young men of color. OSERS worked with OESE to identify districts with the highest numbers of males of color dropping out of school with the goal of providing these districts with technical assistance to

support high needs students. OSERS also led a multistate convening to address disproportionate discipline rates for students of color. "Rethink Discipline," a day-long conference at the White House, was convened by the Department and DOJ in July 2015, bringing together education professionals from across the country to work on strategies for creating positive school climates and implementing effective discipline practices to reduce the overuse of unnecessary out-of-school suspensions and expulsions and replace these practices with positive alternatives that keep students in school and engaged in learning, but also ensure accountability.

OESE helped launch a new White House Administration initiative, *Every Student, Every Day: A National Initiative to Address and Eliminate Chronic Absenteeism*. Led by the White House, the Department, HHS, HUD, and DOJ, the administration announced new steps to combat chronic absenteeism and called on states and local communities across the country to join in taking immediate action to address and eliminate chronic absenteeism by at least 10 percent each year, beginning in the current school year (2015–16).

OELA has been working with the White House Task Force on New Americans, particularly on highlighting promising practices for serving ELs, immigrants and refugees. In April, the Task Force released a new report that outlines the federal government's goals to strengthen its integration efforts nationwide and build welcoming communities. Additionally, the Task Force has launched an "Educational and Linguistic Integration Webinar Series," which has highlighted the work of researchers and practitioners who are working to support these populations. OELA has also partnered with the White House Initiative on Educational Excellence for African Americans to launch a set of fact sheets on Black ELs to develop awareness for targeted actions to ensure that group of student receive appropriate attention and support.

The Office of the Secretary supported the White House Initiative on American Indian and Alaska Native Education in its efforts to coordinate across federal agencies to execute Generation Indigenous, or Gen I, an interagency initiative to support Native youth.

OCTAE continued to coordinate the implementation of the P3 initiative, a unique cross-agency initiative that gives state, local, and tribal governments greater flexibility in using their discretionary funds to test innovative strategies for improving results for disconnected youth. The first nine pilots were announced in October 2015. For the next round of P3, OCTAE has published a Notice of Proposed Priorities (NPP). The NPP includes proposed priorities for disconnected youth who are unemployed and not enrolled in education; ELs; individuals with disabilities; homeless; in foster care; involved with the justice system; or immigrants or refugees.

While ESSA will certainly impact much of the Department's work to promote equity in educational opportunity, the ultimate impacts of the new law are still being evaluated, and plans for implementation have yet to be fully developed. The FY 2016 APR will provide additional detail on the impact of the ESSA.

Higher Education

In FY 2015, OPEPD worked with the Office of the Under Secretary and other offices to develop the America's College Promise to make two years of community college free for eligible students. OCTAE worked on preparing two solicitations related to reentry education.

The Department published a notice announcing a First in the World grant competition on May 11, 2015. The program is designed to promote evidence-based strategies and practices for college access and completion, focusing on high-need students. The $60 million appropriated

for this program was used to make 18 grants to IHEs, including 9 grants to minority-serving institutions totaling $30 million. Two of the awards were Validation grants designed to replicate strategies proven to be successful in earlier evaluations.

SIP supports eligible IHEs in becoming self-sufficient and expanding their capacity to serve low-income students by providing funds to improve and strengthen the institution's academic quality, institutional management, and fiscal stability.

In an effort to scale up successful practices that lead to completion, especially in the area of remedial education, the Department developed communities of practice among minority-serving community colleges. Lead institutions have been identified, recruited, and trained. Two communities of practice have been launched as of October 2015. The Department convened these communities of practice and others in November 2015 for the Student Success at Minority Serving Institutions conference.

OCR and FSA continue to support the President's Sexual Assault Task Force to improve coordination, transparency, and effectiveness in responding to sexual violence in colleges and universities. The Task Force released a Resource Guide in September 2015, and is developing plans for the coming months, including a focus on technical assistance/regional convenings, research initiatives, and training/prevention at the P–12 level.

OCTAE and OCR are developing joint guidance to assist high schools, community colleges, other CTE providers, and state agencies in meeting their obligations under federal law to administer and oversee CTE programs, without discriminating on the basis of gender. OCTAE is working as well with FSA to promote greater awareness of new ability to benefit provisions that enable adults who lack a high school diploma or its equivalent to access student financial aid if they are enrolled in qualifying career pathway program.

Subpopulation Breakout for Metric 4.1.A: National high school graduation rate by race/ethnicity, other characteristics*

SY	Total	American Indian/ Alaska Native	Asian/ Pacific Islander	Hispanic	Black	White	Economically Disadvantaged	Limited English Proficiency	Students with Disabilities
2011–12	80%	67%	88%	73%	69%	86%	72%	59%	61%
2012–13	81.4%	69.7%	88.7%	75.2%	70.7%	86.6%	73.3%	61.1%	61.9%
2013–14	82.3%	69.6%**	89.4%	76.3%	72.5%	87.2%	74.6%	62.6%	63.1%

* Data are reported based on the requirements for individual states in the Consolidated State Performance Report (CSPR).
** The United States 4-year ACGR for American Indian/Alaska Native students was estimated using both the reported 4-year ACGR data from 49 states and the District of Columbia and using imputed data for Virginia. Available at: http://nces.ed.gov/ccd/tables/ACGR_RE_and_characteristics_2013-14.asp.
Data Source and Frequency of Collection: ED*Facts* universe collection, annual reports; annually

Challenges and Next Steps:

The following items delineate future challenges and next steps as the Department works to enhance educational opportunities for underserved populations.

As with all budget requests, the new and continuing proposals related to equity described above are dependent on final appropriations. Offices across the Department will maximize alignment with the Department's issues of equity.

Staff worked diligently to approve state educator equity plans and to oversee implementation of the Excellent Educators for All initiative, addressing the urgency of progress on educator equity and the capacity of states to meet new data and planning requirements. OESE is managing a large technical assistance effort around the plans that will allow all states to receive intensive support. A cross-agency group is working to ensure this technical assistance includes stakeholders from the civil rights community to help states improve consultation efforts.

In FY 2015, the Department also promoted this goal through continued implementation of ESEA Flexibility. The ESEA Flexibility renewal guidance, issued on November 13, 2014, focused on improving educational outcomes for all students, closing achievement gaps, increasing equity, and improving the quality of instruction. As part of the SEA's process of ensuring that schools were accountable for the performance of all subgroups of students, in its renewal request, each SEA had to demonstrate that a school could not receive the highest rating in the SEA's differentiated recognition, accountability, and support system if there are significant achievement or graduation rate gaps across subgroups that are not closing in the school. States were also encouraged, through the renewal process, to identify and address existing opportunity gaps that may contribute to achievement gaps.

The ESSA continues the ESEA's focus on ensuring that states and school districts account for the progress of all students, take meaningful actions to improve the lowest-performing schools, and ensure equitable access to excellent educators. However, the provisions and ultimate impact of the new law are still being evaluated, and plans for implementation have yet to be fully developed. The FY 2016 APR will provide additional detail on the impact of the ESSA.

Objective 4.2: Civil Rights Compliance

Explanation and Analysis of Progress:

The Department, in consultation with OMB, has determined that performance toward this objective is making noteworthy progress. OCR has dramatically increased the efficiency and accuracy of the CRDC by launching a newly developed and improved data collection tool. Many new features of the data collection tool contributed to the increased efficiency and data accuracy, including the ability of LEAs and schools to (1) preview future CRDC questions that will be mandatory for the 2015–16 CRDC and to submit data voluntarily (optional) for these questions early, as part of the 2013–14 collection; (2) receive automated, customized edit checks of data entries prior to final data submission/ certification; (3) obtain individualized district feedback reports that summarize the 2013–14 data submitted; and (4) benefit from the prepopulation of some survey data items from 8 SEAs to reduce approximately 2,000 LEAs' reporting burden. As a result, 17,000 LEAs can receive real-time summary reports of their 2013–14 CRDC data up to 8 months earlier and at least 2,000 LEAs' burden to comply with data violation to launching an investigation by as much as one year, thus bringing speedier relief to complainants. Data for the 2013–14 CRDC will be available in the spring of 2016.

In FY 2015, OCR, in collaboration with OELA, supported major investments in the quality of the CRDC data, including the disaggregated data for ELs in all public schools. This new feature of the CRDC website allows access to individual district or school level EL profiles that include information about the demographics of EL students and their participation in early childhood, gifted and talented, AP, SAT, college and career readiness, math and science courses, and discipline. OCR worked with OELA to develop and publish the EL Toolkit to support the implementation of EL Guidance. The toolkit was launched nationally at the end of April and all ten chapters are now available online. OCR continues to promote the EL guidance and toolkit through speaking engagements and technical assistance.

In the policy arena, in FY 2015, OCR released nine guidance documents of critical importance to the Department, schools, civil rights stakeholders and the public—the most issued in one fiscal year in OCR history—concerning: (1) the Title VI requirements around resource equity and resource comparability; (2) obligations of elementary and secondary schools to respond to the bullying of SWDs; (3) schools' obligations surrounding effective communication for SWDs; (4) questions and answers on Title IX and single-sex elementary and secondary classes and extracurricular activities; (5) applicability of federal civil rights laws to juvenile justice residential facilities; (6) implementing the Centers for Disease Control and Prevention's Ebola guidance for schools; (7) schools' obligations to ensure that EL students can participate meaningfully and equally in school and to communicate information to limited English proficient parents in a language they can understand; (8) addressing the risk of measles in schools and school obligations to SWDs medically unable to obtain vaccinations; and (9) the importance and role of Title IX coordinators.

In order to further disseminate and deliver the message of these policy guidance documents to communities nationwide, OCR provided more than 220 technical assistance sessions to recipients and other stakeholders. These sessions were conducted by employees from all of OCR's twelve regional and enforcement offices throughout the nation, and from headquarters, including Program Legal Group staff.

In FY 2015, OCR received a new record-high number of complaints (10,394, vs. 9,983 in FY 2014) and resolved 9,232 complaints (compared to 9,864 in FY 2014)—including a higher number of complex and systemic case resolutions than in FY 2014—despite experiencing the lowest staffing levels in OCR history (average of 539).

Additionally, OCR increased the transparency of its work to the public by making available a list of colleges and universities currently being investigated under Title IX related to sexual violence; posting hundreds of resolution agreements with educational institutions on its website; and overhauling the website to make more easily accessible information about OCR's civil rights enforcement work (including resolution letters and agreements from FY 2014 forward); policy guidance documents; frequently asked questions about the laws OCR enforces; and a robust reading room with publications, pamphlets, and other materials. In total, there are now more than 800 cases available on the website. OCR's customer service team responded to 7,430 hotline calls, answered 3,397 public inquiries, and fulfilled 8,775 publication requests for OCR documents to ensure the public has accurate information about civil rights laws and policy to promote equity in education.

Challenges and Next Steps:

In FY 2015, OCR again received a new record-high number of complaints despite experiencing the lowest staffing levels in OCR history—continuing a trend that has existed for decades and has accelerated during this administration.

To create greater efficiency in our work, OCR overhauled its case processing guidelines, increased use of technology, eliminated peripheral practices such as reviewing appeals of dismissals or retaining cases over which other agencies have joint jurisdiction, and successfully used its internal audit program to foster greater consistency, quality and systemic relief in its enforcement efforts.

The complaint volume and lack of resources continue to have an impact on OCR's ability to conduct and resolve proactive investigations and to conduct proactive technical assistance. OCR's ability to conduct proactive activities is also impacted by limited staffing and resources.

Selected Strategies to Achieve Goal 4

The Department will continue to work in FY 2016 to expand access to high-quality preschool, close achievement and graduation gaps, foster equitable access to educational resources and excellent educators, ensure all students have the opportunity to attain a high-quality education in a supportive and nondiscriminatory environment, and foster greater college access and completion. In doing so, the Department will continue to integrate the support for underserved or at-risk students, children and youth—including high-need students, students of color, ELs, and children and youth with disabilities—across its programs and initiatives.

As mentioned above, ESSA continues the ESEA's focus on ensuring that states and school districts account for the progress of all students, including students from low-income families and students of color; take meaningful actions to improve the lowest-performing schools; and ensure equitable access to excellent educators. The Department is developing approaches to best support the implementation of the ESSA, and the FY 2016 APR will provide additional detail on the impact of the ESSA for the Department's work.

The Department will continue to support a robust early learning agenda that includes building state and local capacity to expand access to high-quality preschool programs, improving the workforce, aligning preschool systems, and supporting comprehensive assessment systems.

The Department will work with the White House, other agencies, states and local communities to implement *Every Student, Every Day: A National Initiative to Address and Eliminate Chronic Absenteeism*.

The Department will implement the National Professional Development program to increase well prepared teachers and other educators to serve ELs.

The Department will advance programs that serve homeless, foster, disconnected, incarcerated, and migrant youth, including through implementing the P3 program.

The Department will support the My Brother's Keeper initiative to improve educational and other outcomes and reduce involvement with the juvenile and criminal justice systems for boys and young men of color, and to address disproportionate discipline rates for students of color and SWDs.

The Department will work with the White House Initiative on American Indian and Alaska Native Education to implement Gen I.

The Department will explore ways to work collaboratively with other federal agencies to increase socioeconomic and racial integration and diversity in schools.

The Department will continue to issue civil rights policy guidance documents that address schools' obligations to ensure equity for students, investigate civil rights complaints, launch targeted and proactive civil rights compliance reviews and technical assistance activities, provide more transparency about civil rights processes and resolutions on its website, and issue new CRDC data that illuminate equity and opportunity gaps in our nation's schools.

The Department will foster more equity in career, technical, and adult education programs, including through the Advancing Equity in CTE project to reduce inequities in CTE access, participation, completion, and post-program outcomes for girls and women, individuals with disabilities, and students of color.

The Department will promote evidence-based strategies and practices to increase college access and completion and expand colleges' capacity to support low-income students through the First in the World program and SIP.

Goal 5. Continuous Improvement of the U.S. Education System:

Enhance the education system's ability to continuously improve through better and more widespread use of data, research and evaluation, evidence, transparency, innovation, and technology.

Goal Leader: Amy McIntosh

Objective 5.1: Data Systems and Transparency. Facilitate the development of interoperable longitudinal data systems for early learning through employment to enable data-driven, transparent decision-making by increasing access to timely, reliable, and high-value data. **Objective Leader: Ross Santy**

Metric 5.1.A: Number of public data sets included in ED Data Inventory and thus linked to Data.gov or ED.gov websites

Metric 5.1.B: Number of states linking K–12 and postsecondary data with workforce data

Metric 5.1.C: Number of states linking K–12 with early childhood data

Objective 5.2: Privacy. Provide all education stakeholders, from early childhood to adult learning, with technical assistance and guidance to help them protect student privacy while effectively managing and using student information. **Objective Leader: Kathleen Styles**

Metric 5.2.A: Average time to close "cases" (PTAC + FPCO)[96]

Objective 5.3: Research, Evaluation, and Use of Evidence. Invest in research and evaluation that builds evidence for education improvement; communicate findings effectively; and drive the use of evidence in decision-making by internal and external stakeholders. **Objective Leaders: Ruth Neild and Margo Anderson**

Metric 5.3.A: Percentage of select new[97] (noncontinuation) competitive grant dollars that reward evidence

Metric 5.3.B: Number of peer-reviewed, full-text resources in the Education Resources Information Center (ERIC)

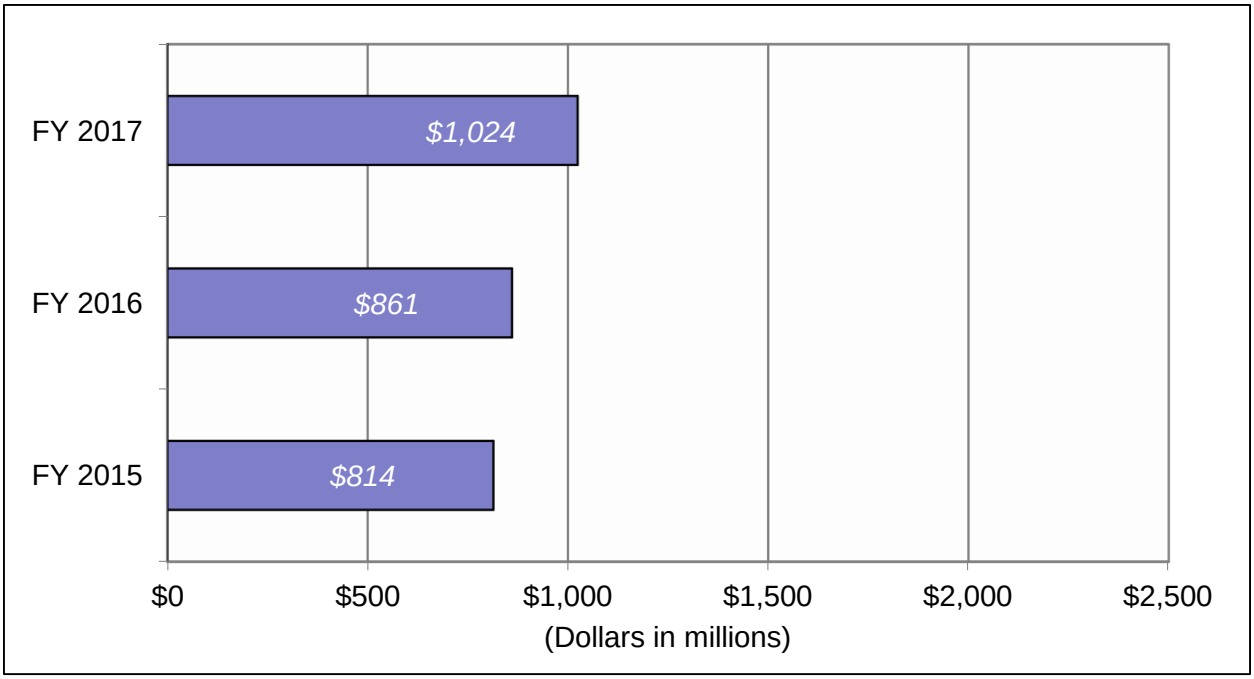
Metric 5.3.C: Number of reviewed studies in the WWC database[98]

Objective 5.4: Technology and Innovation. Accelerate the development and broad adoption of new, effective programs, processes, and strategies, including education technology. **Objective Leader: Joseph South**

[96] Privacy Technical Assistance Center (PTAC) and Family Policy Compliance Office (FPCO).
[97] "New competitive grant dollars that reward evidence" includes all dollars awarded based on the existence of at least "evidence of promise" in support of a project, per the framework in the Education Department General Administrative Regulations (34 CFR Part 75). Consideration of such evidence appears through: eligibility threshold (e.g., in the i3); absolute priority; competitive priority (earning at least one point for it); or selection criteria (earning at least one point for it). The percentage is calculated compared to the total new grant dollars awarded, excluding awards made by the IES, the National Institute on Disability and Rehabilitation Research, and technical assistance centers, with some exceptions.
[98] Metric is being removed at the end of the FY 2015 reporting period. Please refer to appendix B for details pertaining to the removal and addition of metrics.

Metric 5.4.A: Percentage of schools in the country that have actual Internet bandwidth speeds of at least 100 Megabits per second (Mbps)

Goal 5 Discretionary Resources



Major Discretionary Programs and Activities[99] Supporting Goal 5 Performance Metrics [Dollars in Millions]

POC	Account	Obj.	Program	FY 2015 Appropriation	FY 2016 Appropriation	FY 2017 President's Budget
IES	IES	5.3	National assessment	129	149	149
IES	IES	5.3	Regional educational laboratories	54	54	54
IES	IES	5.3	Research in special education	54	54	54
IES	IES	5.3	Research, development, and dissemination	180	195	209
IES	IES	5.1, 5.2	Statewide longitudinal data systems	35	35	81
IES	IES	5.3	Statistics	103	112	125
OII	I&I	5.3	Education innovation and research	120	120	180
	Subtotal			**675**	**719**	**853**
	Other Discretionary Programs/Activities			**139**	**142**	**171**
TOTAL, GOAL 5				**814**	**861**	**1,024**

POC = Principal Office Component
NOTES: Many programs may have sub-activities that relate to other goals. Detail may not add to total due to rounding.

Public Benefit

Education stakeholders, ranging from students and parents, to teachers and principals, to superintendents and the Secretary, need access to timely, appropriate, relevant, and actionable information. Information sources, which can range from datasets to rigorous evaluations and research studies, must be accessible through reliable technology and must reach needed

[99] All the programs listed are discretionary programs, as distinct from mandatory programs. These include both competitive and noncompetitive programs.

audiences through dissemination, while applying appropriate controls to protect student privacy. The Department must continue to invest in its information resources so that internal and external stakeholders can use this information to make evidence-based decisions.

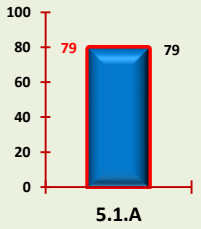
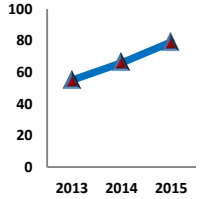
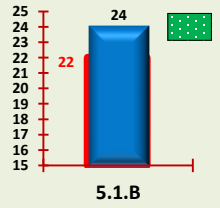
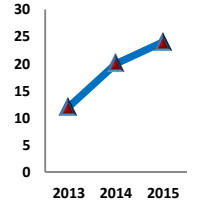
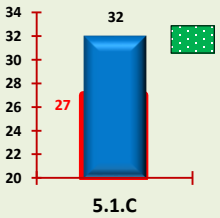
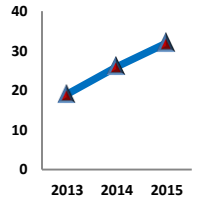
States continue to develop systems that will collect, manage, and appropriately report the valid, reliable data that are essential to achieving improvements across education, but there is much more work to do. The Department continues ongoing efforts to develop effective SLDS, design voluntary Common Education Data Standards (CEDS) to increase interoperability, and develop the capacity of institutions and staff to utilize data to improve teaching and learning outcomes. It is not enough to support only the development of the systems and structures that will provide education agencies across the nation with the data necessary to generate accurate pictures of student performance and other critical elements, from early learning programs through postsecondary institutions and the workforce. The Department must continue to lead the national discussion of how these systems are best and most appropriately used to support students, improve instruction, address inequities, develop future teachers, and inform practice; all while ensuring the privacy of the nation's students is safely protected.

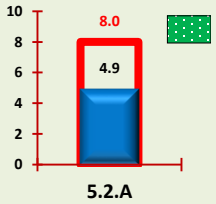
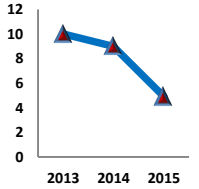
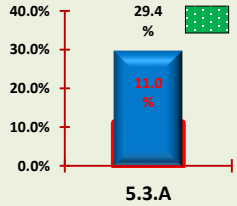
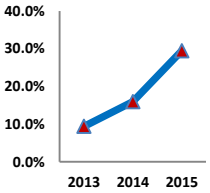
Additionally, the Department must serve as a model for how data are disseminated. Information that SEAs and LEAs report to the Department should be made accessible, where possible, to inform the public and help with local decision-making, but these data must be shared in ways that protect student privacy and that are in compliance with federal and state privacy laws. The collection, storage, maintenance, and use of data must be responsible and must appropriately protect student privacy. Stewards and users of data must remember that these data describe real people and ensure that systems protect the rights of those people. The Department will help practitioners in the field ensure they are properly protecting privacy and communicating with parents and students about the proper use and management of student data.

The Department continues to prioritize the use of "evidence-based" practices through its competitive programs while supporting the creation of new evidence through rigorous project evaluations. This approach helps ensure that scarce dollars have their intended impact and also empowers states and districts to become more dynamic learning organizations, especially in areas with little existing rigorous evidence. Additionally, the Department continues to provide tools to stakeholders that help them understand what types of which strategies and interventions are effective for various "problems of practice."

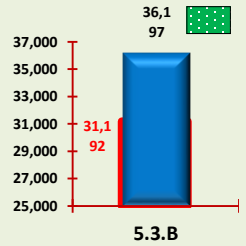
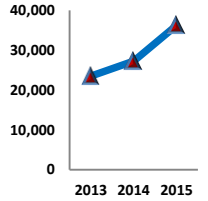
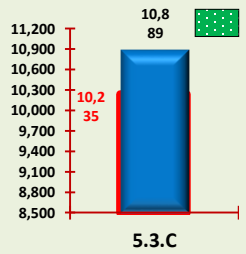
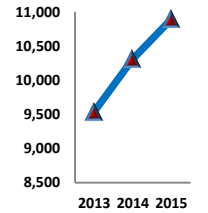
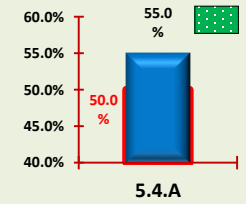
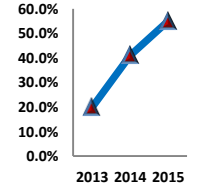
Better use of information, both for policy-makers, but also educators, depends on access to reliable technology. The Department's vision for 21st-century learning requires that schools have a 21st-century technology infrastructure anchored around high-speed Internet to allow for innovation and personalization in the classroom. This vision is supported by the remarkable progress we have made towards the President's ConnectED initiative goal to connect 99 percent of students in the nation's schools to high-speed broadband by 2018. States, districts, and schools must have such infrastructure to incorporate cutting-edge methods for strengthening curriculum quality and delivery to meet more rigorous college- and career-ready standards; improving student access and engagement; developing comprehensive, formative, and summative assessment systems; and enhancing data management systems.

Goal 5: Details

Continuous Improvement of the U.S. Education System Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015		Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed	Exceeded	2016	2017	
5.1.A. Number of public data sets included in ED Data Inventory and thus linked to Data.gov or ED.gov websites	FY: 2013 55	55	66	79	79	MET			94	104	
5.1.B. Number of states linking K–12 and postsecondary data with workforce data	FY: 2013 12	12	20	24	22	MET			25	25	
5.1.C. Number of states linking K–12 with early childhood data	FY: 2013 19	19	26	32	27	MET			29	32	

Continuous Improvement of the U.S. Education System Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
5.2.A. Average time to close "cases" (PTAC + FPCO)	FY: 2013 10 days	10	9	4.9	8 days	MET		7.2[100]	6.48[101]	
5.3.A. Percentage of select new (noncontinuation) competitive grant dollars that reward evidence[102]	FY: 2012 6.5%	9.35%	15.9%	29.4%	11.0%	MET		18%[103]	20%	
New APG Metric: Number of completed project evaluations from grantees from select discretionary grant programs in a given fiscal year that meet What Works Clearinghouse (WWC) Evidence Standards[104]	FY: 2015 2	NA	NA	2	NA	NA		10	20	

[100] Target is being updated to reflect the goal of a 10% reduction from the prior year.
[101] Target is being updated to reflect the goal of a 10% reduction from the prior year.
[102] Metric is aligned to an APG.
[103] The out-year performance targets are increased from what was reported in the *FY 2014 Annual Performance Report and FY 2016 Annual Performance Plan*.
[104] Metric is aligned to an APG.

Continuous Improvement of the U.S. Education System Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
5.3.B. Number of peer-reviewed, full-text resources in the Education Resources Information Center (ERIC)	FY: 2013 23,512	23,512	27,292	36,197	31,192	MET		35,692	40,892	
5.3.C. Number of reviewed studies in the What Works Clearinghouse (WWC) database[105]	FY: 2013 9,535	9,535	10,310	10,889	10,235	MET		NA	NA	
New Metric: Number of visits to the What Works Clearinghouse (WWC) website	FY: 2015 1,822,000	NA	NA	1,822,000	NA	NA		1,967,760	2,164,536	
5.4.A. Percentage of schools in the country that have actual Internet bandwidth speeds of at least 100 Mbps	FY: 2013 20%	20%	41%	55%	50%	MET		70%	80%	

NA = Not applicable.

[105] Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were 10,585 and 10,935, respectively.

TBD = To be determined.
Academic Year (AY) is a collegiate year spanning August–May; School Year (SY) spans August–July and is aligned with a P–12 school year; Fiscal Year (FY) corresponds to a federal fiscal year; Calendar Year (CY) spans January–December.

Data Sources and Frequency of Collection:
5.1.A. Data Strategy Team Data Inventory and the public ED Data Inventory at http://datainventory.ed.gov; quarterly
5.1.B. State Longitudinal Data Systems (SLDS) grant monitoring (monthly updates from states, annual performance reports, final performance reports, and site visits); quarterly
5.1.C. SLDS grant monitoring (monthly updates from states, annual performance reports, final performance reports, and site visits); quarterly
5.2.A. Case Tracking System (CTS); quarterly
5.3.A. Forecast Report issued by the Office of the Chief Financial Officer (OCFO) and final Funding Reports from relevant programs; annually
5.3.B. Education Resources Information Center (ERIC); quarterly
5.3.C. What Works Clearinghouse (WWC); quarterly
5.4.A. Education Superhighway (for baseline), Consortium for School Networking (CoSN)/AASA E-rate Infrastructure Survey (for FY 2014 actual data); annually

***Note on performance metrics and targets*:** These metrics were established as a part of the *FY 2014–18 Strategic Plan*. Metrics may be updated or revised to reflect awareness of more accurate data or clarifications. Such updates or revisions are identified in footnotes.

Analysis and Next Steps by Objective

Objective 5.1: Data Systems and Transparency

Explanation and Analysis of Progress:

The Department continues to focus upon providing technical assistance to the field to support the development and use of longitudinal data systems that serve the education needs of the states. In recent years a core focus for this work has been upon implementing and sustaining connections that span the complete student lifecycle. For example, the SLDS grant program works with a State Support Team (SST) of experienced government and industry experts in the area of data systems development, connection and maintenance. The technical assistance provided by the SST is available to all states, not only to active grantees of the SLDS grant program. This level of support has enabled better conversations across states, sharing of both technical and business process best practices, and helped bring to life the number of new K-12 and postsecondary to workforce connections and P–12 to early childhood data connections that surpassed our targets for FY 2015 on both metrics.

Collaboration is key to the success of this objective. SLDS staff work frequently with other Department programs, including the ELC, as well as coordinating with Department of Labor's Workforce Data Quality Information program. The Department continues to collaborate with technical experts, standards organizations and key stakeholders in the maintenance, enhancement and roll-out of CEDS. In FY 2015, in addition to successfully completing a new grant round and awarding 16 new SLDS grants to support collaborative data uses, a new contract was awarded to support CEDS enhancements, tools and uses over the next two years. States, postsecondary institutions and independent research groups continue to use the online CEDS tools to map their data systems, data uses and data models to CEDS.

The Department continues to model the transparency we are working to develop in the field by updating and expanding the ED Data Inventory. While work to improve the functionality and connections of the ED Data Inventory system have stalled due to budgetary limitations, the work to improve and enhance the Inventory's content continues to move forward. Collections and reports from Department programs within seven different Principal Office Components are now represented in the Inventory. This resulted in 74 distinct publicly available datasets across the Department being connected to an Inventory entry. The Inventory continues to provide source information to data.gov on a regular basis.

Challenges and Next Steps:

As with previous years, state support for longitudinal data system development continues to be the largest dependency and area of risk for progress in this area. Several states have experienced increased political pressures over the past year to reduce collection and management of longitudinal student data. The most effective strategies towards building support within states for continuing to support longitudinal data system initiatives is to enable a strong set of best practice uses for the data that deliver value to stakeholders at multiple levels. The 16 new awards made in the SLDS FY 2015 grant competition are all focused upon data use. A key challenge that is being addressed right now is to develop a consistently applied and agreed upon metric (or set of metrics) for measuring and documenting good data use. The SLDS team has been driving work forward in this area as monitoring practices and protocols are set up for FY 2015 grantees.

Formalizing new phases for CEDS and the ED Data Inventory work will be very important in the coming months. As FY 2015 came to a close a new vehicle was put in place to support the development and use of CEDS for the next two years. As we start FY 2016, work is now getting back up to speed to engage the field in the continued development of the standards, and to support use of the online tools that enable agencies and interested individuals to interact with CEDS. Having the vehicle in place for two years will be helpful, as gaps in the work seen during both FY 2014 and FY 2015 should not occur. The ED Data Inventory is also at a critical juncture in its development. While the content of the inventory continues to be supported and enhanced, the technical work that was getting started at the beginning of FY 2015 to better integrate the Inventory and the collection clearance process systems at the Department had to be put on hold. Although, this should not cause problems for meeting the established goals connecting public data sets with entries within the Inventory in FY 2016, if the funding and integration issues are not resolved further progress into FY 2017 and FY 2018 may be threatened.

In FY 2016, the Department is launching the InformED initiative. InformED is the Department's groundbreaking effort to transform how the Department makes information available—and actionable—for internal users and for the public, building on lessons learned from the new College Scorecard. The InformED initiative would replicate across the education spectrum, from early childhood to adult education, what the Scorecard accomplished for higher education. Each of these Scorecard-like sites or "information hubs" would pull together the Department's diverse array of information on a particular topic, make it accessible with intuitive tools for decision-making, and allow open data access to unlock answers to pressing education questions and needs. As with the College Scorecard, the release of these data will enable external developers to create innovative new tools to further serve students. The Department is working to identify several key themes around which to center information and will develop new iterations of the College Scorecard. InformED will empower decision-makers by providing the full set of information, both data and studies that currently live in disparate locations, into one location with analysis and reporting tools and open data access to address relevant education questions. To support open access to education data and centralized dissemination of other evidence, the Department must invest in its underlying data infrastructure for managing the collection, quality, release, and analysis of data.

The Department is also continuing to improve its own internal data management practices through the maturation of the DST. What started as primarily a communication tool has evolved to document the key hurdles that prevent better data practices within the Department and to make recommendations to address them. Leadership of the DST is currently reviewing a drafted Directive on Departmental Data Management Practices. The Directive, if implemented, would formally unite existing data strategy and data governance practices while also outlining the roles and responsibilities for offices that steward key data on behalf of the Department. This work is continuing the evolution of DST from a volunteer, collaborative organization to a true governance body that can effect change and implement better practice across the Department.

Objective 5.2: Privacy

Explanation and Analysis of Progress:

Educational institutions rely on student data to improve decision-making, to personalize learning, and to target additional support to at-risk students, and the Department itself relies on student data for key administration initiatives. Increases in the collection and use of student data, however, have fueled public concern about student privacy, and important gains are at risk due to public concern. Throughout FY 2015, student privacy was an extremely hot topic and as a result the Department had to begin, to some degree, pulling away from our long term

improvement plans to respond to immediate *Family Educational Rights and Privacy Act* (FERPA) and privacy issues providing substantial, recurring technical assistance to the Hill on dozens of proposed bills dealing with student privacy. In addition, the Department responded to public and congressional criticism over the privacy of students' medical treatment records in the wake of a recent sexual assault case by issuing a draft Dear Colleague letter on the protection of student privacy in campus medical records. The Department was publicly commended for publishing the letter in draft format, to obtain public input before finalizing it in FY 2016.

While adjusting to these changing demands, there has been consistent, steady improvement in office metrics specific to privacy since we began tracking these numbers about two years ago. Our strategy has been to rely when appropriate on contractor resources, both within the office and from the contractors that staff the PTAC. These efforts in addressing the high degree of public interest in student privacy included the implementation of a new more user-friendly website, and the release of our Model Terms of Service guidance and teacher training video. Another strategy that continues to pay off is increased coordination with other Department offices engaged in privacy technical assistance as the Department expanded PTAC's work to include early childhood programs, particularly through the creation of new online resource page that curates a vast array of technical assistance resources on the privacy and security of early childhood (EC) data from across the Department's disparate EC technical assistance centers. Through PTAC and the Department's Office of the Chief Privacy Officer (OCPO), the Department conducted a number of targeted technical assistance activities on early childhood issues, including a site visits, webinars, and workshops and provided extensive internal technical assistance on privacy issues relating to the Preschool Development Grants program. As a result of this focus on efficiencies and resource utilization, using metrics to improve performance and relying on a case tracking system that manages workload and content for both our contractor and federal staff, the average time to respond to cases was under 5 days, meeting the Department's FY 2015 performance target of by having an average turnaround time of less than 8 days.

Challenges and Next Steps:

As we move forward into FY 2016, the Department again anticipates a significant amount of activity in the field on student privacy issues, from new state statutes, to policy statements, continued industry pledges and coordination with other enforcement agencies. The challenge for this area is to be proactive, when limited resources mandate reactivity. We are fundamentally realigning privacy processes and policy at the Department, while continuing to run a compliance and technical assistance program. It is challenging to continue to run basic operations, while redesigning processes and building for the future.

While we continued to make considerable strides in FY 2015, we still face an inherent challenge regarding inquiries seeking guidance on issues for which the Department has no answer. For example, video recording is increasingly being utilized in the educational arena (e.g., for surveillance, or remote classroom observation), and application of the regulatory framework to these situations is complicated. The Department, specifically the OCPO, will continue to use the biweekly meetings with the Department's Office of the General Counsel (OGC) and OPEPD to examine those issues that may require regulatory or statutory change to provide answers. Now having senior support for increased resources, there is the hope that even greater strides will be realized moving forward into FY 2016 with the addition of these resources and as part of a contract recompetition, to transform and restructure PTAC from an external, contractor-run TA center, to an integral part of the OCPO. The new contract, awarded in September 2015 will improve the Department's privacy technical assistance by leveraging and integrating the

expertise and support of PTAC's contractor subject-matter experts with the legal and policy expertise of the Department's federal staff.

Objective 5.3: Research, Evaluation, and Use of Evidence

Explanation and Analysis of Progress:

Systemic improvement requires research and evaluation so that decision makers at the national, state, and local levels have reliable evidence to inform their actions. While the Department's research programs are its primary driver for learning what works, the Department also seeks to build evidence by incorporating grantee-led evaluations into other programs. Requiring that more discretionary grants build on and generate evidence of effectiveness will increase the likelihood that scarce program dollars have a positive impact on student outcomes. A list of evaluations completed in FY 2015, as well as a summary of other relevant upcoming evaluations, can be found in appendix E.

The Department's Evidence Planning Group (EPG) continues to identify opportunities for discretionary grant programs to use evidence-related priorities or selection criteria in competitions. In FY 2015, a total of eight competitions in OII, OESE, and OPE encouraged evidence-based projects through eligibility requirements, competitive preference priorities, and selection criteria. In addition, nine competitions in OII, OESE, and OPE asked that applicants design evaluations of their proposed projects that will produce evidence. The Department surpassed the FY 2015 performance target for programs rewarding evidence in grant competitions. In addition, the EPG has met with each of the Department's grant-making offices to discuss appropriate uses of evidence in FY 2016 competitions. The Department projects that over 10 competitions will reward evidence in their FY 2016 competitions.

The metric above tracks the Department's progress in incentivizing applicants to build on evidence of "what works" and to generate new evidence in the course of their grants. Two other metrics—one related to the WWC and one to ERIC—track the Department's progress in reviewing studies of education effectiveness against rigorous standards and in making high-quality education research widely available and easily accessible. The Department believes that progress in these metrics will contribute to the information flow that is essential to promoting promising areas of education research and development.

The WWC reviews and summarizes studies of the effectiveness of education interventions. During FY 2015, the WWC surpassed the Department's target by reviewing more than 600 studies. Reviews of studies submitted by applicants to Department grant competitions contributed to the larger-than-anticipated number of studies reviewed. In addition to its regular reviews of IES-funded research studies, in FY 2015 the WWC also began to review studies produced by the i3 program's first cohort of grantees. These grantees, originally funded in 2010, began to share their results of the independent evaluations of their projects this past year. The WWC also expanded its capacity to review higher volumes of studies by offering additional reviewer training and awarding a new contract for grant-related study reviews.

Likewise, in FY 2015, ERIC continued to prioritize acquisition of peer-reviewed, full-text education research and secured many new agreements with content providers to enable ERIC to acquire the full text of peer-reviewed research articles supported with FY 2012 or later research funding from IES. This work contributed to surpassing the FY 2015 annual performance target by more than 5,000 full-text, peer-reviewed resources. ERIC also has incorporated a search function that allows users to identify studies in the ERIC database that were reviewed by the WWC and that met standards. In this way, the greater integration of the

Department's WWC and ERIC investments contributes to the "virtuous cycle" of using and producing research evidence.

Challenges and Next Steps:

The process to collect data and track progress against the goal is iterative, and properly using evidence to award competitive grants entails a shift in culture and capacity building across the Department. Building evidence into competitions is also resource-intensive in terms of program staff capacity, grantee capacity, availability of sufficient numbers of WWC-certified reviewers, and the review process. Grantees vary in their comfort with and understanding of evaluation and use of evidence, yet the Department has limited resources to support grantees in conducting rigorous evaluations that would produce evidence of effectiveness. Finally, targets for this objective are based on reasonable projections about which competitive grant programs may make new awards in this fiscal year, but the actual dollar amount awarded will depend on final appropriation amounts and other funding decisions and trade-offs, so performance targets may not increase in a linear fashion each year.

The Department's leadership will continue explaining to internal stakeholders how the new evidence framework in Education Department General Administrative Regulations (EDGAR) can be used in upcoming discretionary grant competitions to reward evidence. For example:

- EPG is meeting with program offices throughout the Department to identify ways to incorporate evidence into discretionary grant competitions.
- EPG is also exploring ways to support program offices that choose to incorporate evidence and build capacity departmentwide. For example, EPG worked to establish a departmentwide contract that would provide for technical assistance to grantees on their evaluations, particularly impact evaluations that are intended to produce studies that meet WWC standards. This contract vehicle is now operational for programs planning FY 2016 competitions. Additionally, IES has collaborated with program offices to recruit peer reviewers familiar with the WWC standards, which will increase scrutiny of applicants' proposed plans for rigorous evaluations. Finally, OII and IES are providing training to Department staff on logic models and other elements of the evidence framework to better inform our work at the Department and to provide better assistance to our grantees.
- IES continues to use its various resources intentionally to support program design and evaluation. For example, in FY 2015, IES managed the development of a guide for planning and conducting strong quasi-experiments and offered a webinar on the topic. Regional Educational Laboratory Southeast will offer a five-part webinar series FY 2016 on designing strong studies of the impact of professional development. The series is geared toward applicants to the Department's discretionary grant programs that require evidence.

To increase the number of individuals who are certified WWC reviewers, the WWC has been developing an on-demand online reviewer certification course. Previously, all training was held in-person and offered a few times per year. Demand is high for this credential, and the WWC has not been able to train all interested individuals. This new approach will allow anyone to take the training online and complete a multiple-choice exam on WWC standards. This system will allow many more individuals to receive training, at a considerably reduced per-person cost.

Objective 5.4: Technology and Innovation

Explanation and Analysis of Progress:

The Department, in consultation with OMB, has determined that performance toward this objective is making noteworthy progress. The Department made many successes during FY 2015, including a call to the country's 16,000 superintendents who lead district, charter, and private schools to join the Department in taking the Future Ready District Pledge. By taking this pledge, superintendents commit to develop, implement, and share technology plans with other districts so they can learn from successes and challenges along the way. The Future Ready District Pledge offers a roadmap to achieve successful personalized digital learning for every student and affirms a commitment by districts to move as quickly as possible toward the shared vision of preparing students for success in college, careers, and citizenship.

To support the work of the superintendents, the Department collected a series of best practices for connecting schools, providing devices, and preparing teachers to use technology effectively. These practices were published in guides released at the "ConnectED to the Future" superintendent summit: *Future Ready Schools: Empowering Educators through Professional Learning* and *Future Ready Schools: Building Technology Infrastructure for Learning*. The Department also issued a Dear Colleague letter to state and local superintendents to clarify that technology and digital learning can be an allowable use of more than $27 billion in federal funds under the ESEA and IDEA. Moreover, the Federal Communications Commission (FCC) modernized School and Libraries (E-rate) program, raising the E-rate cap an additional $1.5 billion per year and reprioritizing internal connectivity. With that added funding, E-rate will now provide up to $3.9 billion per year to schools and libraries for both connectivity to and bandwidth within these institutions.

In April 2015, former Secretary Duncan announced the release of the Ed Tech Developer's Guide: A Primer for Developers, Startups and Entrepreneurs—the first guidance from the Department specifically for developers of educational software. This guide addresses key questions about the education ecosystem and highlights critical needs and opportunities to develop digital tools and apps for learning that will help close equity gaps in our schools. Written with input from knowledgeable educators, developers, and researchers who were willing to share what they have learned, the guide is designed to help entrepreneurs apply technology in smart ways to solve persistent problems in education. The release was followed by a national Ed Tech Developers Tour, spawning more than twenty events around the country to promote the guide and highlight administration priorities regarding the creation and use of educational technology in schools. This guide is now the most downloaded publication from the Department's Office of Educational Technology.

In September 2015, the Department announced the hiring of the first ever open education adviser to lead a national effort to expand schools' access to high-quality, openly licensed learning resources. In support of the President's ConnectED goal for high-quality, low-cost digital learning resources, the open education advisor will focus on helping both P–12 and higher education connect with teaching, learning and research resources in the public domain that are freely available to anyone over the web. With this position filled, the Department is able to work with tool providers and developers, district and state leaders, and educators to expand the use of openly licensed educational resources at scale in districts and states. Open educational resources are an important element of an infrastructure for learning and ranges from podcasts to digital libraries to textbooks and games.

Also in September, the Department awarded a contract to develop approaches for evaluating educational apps to help schools and parents make evidence-based decisions when choosing which apps to use with their students. This project will establish a standard for low-cost, quick turnaround evaluations of apps, and field test rapid-cycle evaluations to understand how to improve outcomes of ESEA and now ESSA programs. In addition to generating evidence on specific apps, the project will help develop protocol tools for conducting rapid cycle evaluations of apps that practitioners, developers, and researchers can use beyond the scope of this evaluation.

Challenges and Next Steps:

In November 2015, Education Superhighway, a nonprofit dedicated to reaching the President's connectivity goal, released data based on application data from the FCC's E-rate program. It includes data from 6,781 public school districts, representing over 25 million students in approximately 49,000 schools. It estimates that 59 percent of schools have reached the President's connectivity goal this year. This estimate falls within 4 percentage points of that reported by the Consortium for School Networking (CoSN) survey. It further points out that future roadblocks to progress include access to needed fiber, especially in rural areas; affordability of broadband, especially in smaller districts that are not buying large quantities; and fully utilizing E-rate funds, since districts have to provide a percentage match to every E-rate dollar they receive. Each of these barriers could slow the rapid deployment of broadband to schools in coming years, since to varying degrees they fall outside the direct control of schools.

Several challenges remain in meeting the goals of this objective, including the need to educate the public about privacy and data security (leading to setbacks in the ability to use data to create personalized learning systems), difficulty measuring effectiveness without a robust evaluation program, and difficulty showing impact without data collection.

Selected Strategies to Achieve Goal 5

Several themes run across Goal 5 implementation strategies. Collaboration will be a key strategy needed to implement all objectives, including collaboration within the Department, collaboration within government, and collaboration with the education community as a whole. Sufficient resources are also key to all objectives in Goal 5, both federal resources and (in the case of the SLDS program) state resources as well. Privacy is both a stand-alone objective and a theme in other objectives. The Department must address valid privacy concerns and dispel privacy myths.

Another theme for success in Goal 5 is developing sustainable, scalable solutions for using data and evidence in decision-making, which will require the Department to be both efficient and effective. Building off Department resources, the Department is working to identify ways to make its data more accessible and actionable for the public. The recent release of the College Scorecard has shown the power of both user-friendly data tools and improved data access for researchers and developers through Application Program Interfaces. Department staff will leverage existing resources to improve the way that key datasets are located, accessed, and made usable. Another vital information resource is the WWC, helping identify the quality of various studies. Carefully reviewing studies against WWC standards is painstaking work and challenging to carry out at scale and in a short time frame. The Department is taking deliberate steps to increase the number of reviewers who are certified to carry out WWC reviews and to procure contracts that allow the Department to act nimbly to obtain these reviews.

Goal 6. U.S. Department of Education Capacity:

Improve the organizational capacities of the Department to implement the *Strategic Plan*.

Goal Leader: Andrew Jackson

Objective 6.1: Effective Workforce. Continue to build a skilled, diverse, and engaged workforce within the Department. **Objective Leader: Cassandra Cuffee-Graves**

Metric 6.1.A: Staffing gaps percentage[106]

Metric 6.1.B: EVS Employee Engagement Index[107]

Metric 6.1.C: Time to hire[108]

Metric 6.1.D: Effective Communication Index[109]

Objective 6.2: Risk Management. Improve the Department's program efficacy through comprehensive risk management, and grant and contract monitoring. **Objective Leaders: Phil Maestri and Jim Ropelewski**

Metric 6.2.A: Percentage of A-133 Single Audits Overdue for resolution

Metric 6.2.B: Compliance rate of contractor evaluation performance reports[110]

Objective 6.3: Implementation and Support. Build Department capacity and systems to support states' and other grantees' implementation of reforms that result in improved outcomes, and keep the public informed of promising practices and new reform initiatives. **Objective Leader: Heather Rieman**

Metric 6.3.A: Percentage of states who annually rate the Department's technical assistance as helping build state capacity to implement education reforms

Objective 6.4: Productivity and Performance Management. Improve workforce productivity through information technology enhancements, telework expansion efforts, more effective process performance management systems, and state-of-the-art leadership and knowledge management practices. **Objective Leaders: Danny Harris, Cassandra Cuffee-Graves, and Denise Carter**

---

[106] Percent resulting from dividing number of all agency positions into unfilled agency vacancies. Metric is being removed at the end of the FY 2015 reporting period. Please refer to appendix B for details pertaining to the removal and addition of metrics.
[107] Based on positive Federal Employee Viewpoint Survey (FEVS, also referred to as "EVS") responses.
[108] The Department's target for completing hiring actions is 90 days (as measured from Request to Recruit date to Tentative Offer date). This metric measures the percentage of hiring actions completed within 90 days. An increase in the time to hire rate means more hiring actions are completed within the target timeframe, the hiring process is more efficient, and vacancies are filled on a more timely basis.
[109] Based on positive FEVS responses.
[110] As reported in the Past Performance Information Retrieval System (PPIRS) reporting tool at www.ppirs.gov. Government use of PPIRS is required by Federal Acquisition Regulation Subpart 42.15, and government wide annual reporting performance targets are set by the Office of Management and Budget in the March 6, 2013, memorandum titled, "Improving the Collection and Use of Information about Contractor Performance and Integrity." The PPIRS compliance metric "calculates the number of completed evaluations against the contract actions that should have had an evaluation completed. This number is displayed as a percentage" (https://www.cpars.gov/pdfs/Improving_Compliance.pdf).

Metric 6.4.A: Number of Department information technology (IT) security incidents

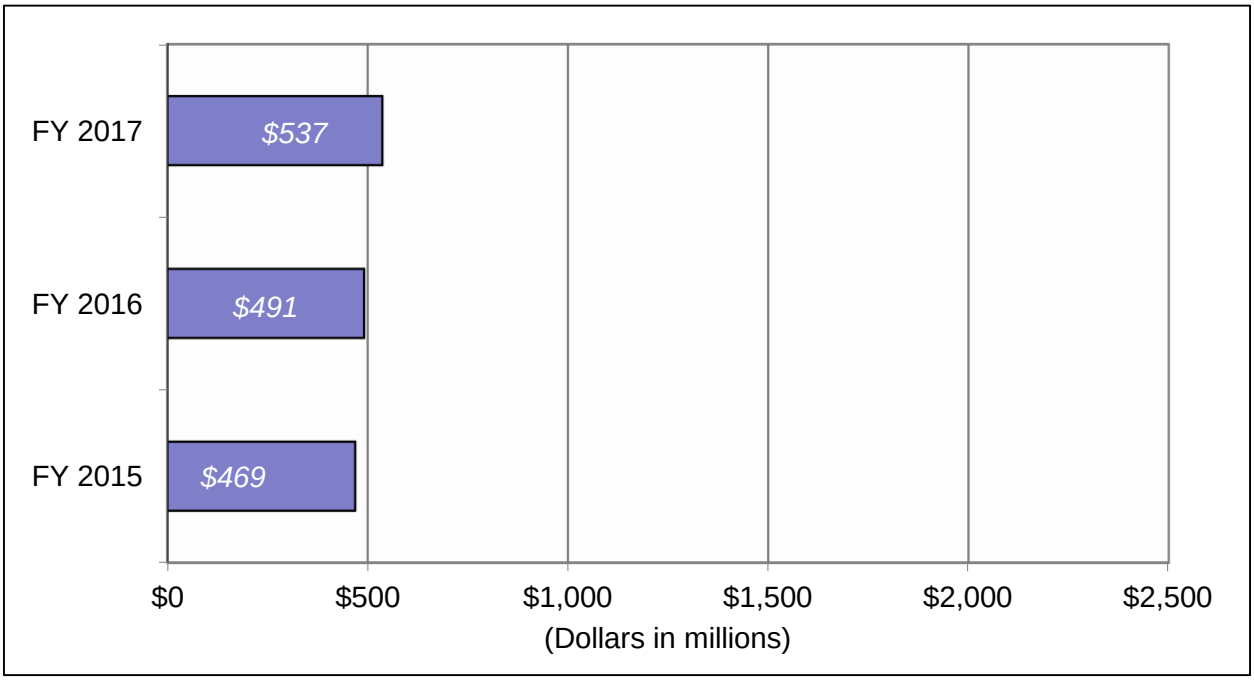
Metric 6.4.B: EVS Results-Oriented Performance Culture Index[111]

Metric 6.4.C: EVS Leadership and Knowledge Management Index[112]

Metric 6.4.D: Total usable square footage

Metric 6.4.E: Rent cost

Goal 6 Discretionary Resources



Major Discretionary Programs and Activities[113] Supporting Goal 6 Performance Metrics [Dollars in Millions]

POC	Account	Obj.	Program	FY 2015 Appropriation	FY 2016 Appropriation	FY 2017 President's Budget
OIG	OIG		Office of Inspector General	58	59	62
PA	PA		Program Administration: Building modernization	0	1	24
PA	PA		Program Administration: Salaries and expenses	411	431	450
TOTAL, GOAL 6				**469**	**491**	**537**

POC = Principal Office Component
NOTES: Many programs may have sub-activities that relate to other goals. Detail may not add to total due to rounding.

[111] Based on positive FEVS responses.
[112] Based on positive FEVS responses.
[113] All the programs listed are discretionary programs, as distinct from mandatory programs. These include both competitive and noncompetitive programs.

Public Benefit

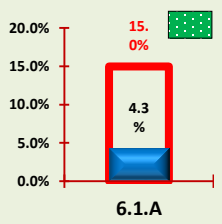
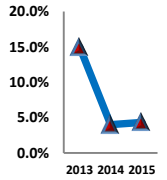
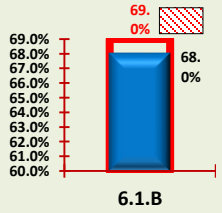
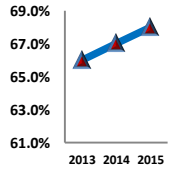
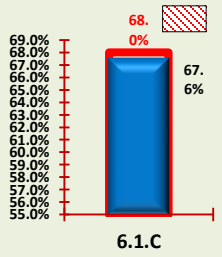
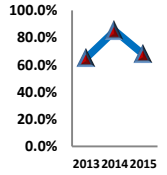
To ensure the achievement of the Department's mission critical objectives, grants and contract management remain a strategic focus for improvement in long- and short-term initiatives. Additionally, fortifying human capital strategies, competencies and resources, along with the continuous improvement of IT security and technologically enhanced work environments, continue to be priorities. These activities support grantees, schools, students, families, and communities in achieving their educational and economic goals, while also continuing to hold recipients of the Department's funding accountable to clear financial requirements and legal obligations.

The Department continues to focus on human capital management to acquire and develop its workforce; increase diversity and inclusion and improve employee engagement; rethink how it monitors and intervenes with high-risk grantees and contractors; enhance workforce productivity through information technology; safeguard its assets and stakeholders from cybersecurity threats; continue to improve and integrate effective performance management; and transform the way the Department interacts with states, districts, IHEs, and other grantees and stakeholders. These efforts will improve performance results, increase stakeholder collaboration, and lead to greater employee engagement.

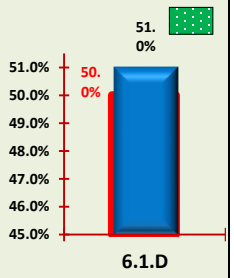
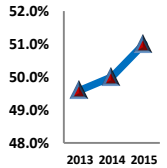
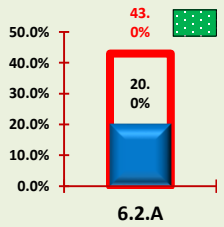
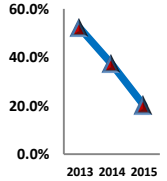
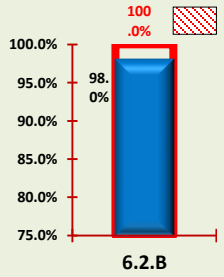
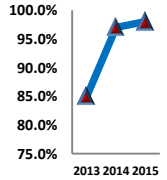
In FY 2015, the Department was a leader in the broader grant community to implement successfully the new Uniform Guidance regulations prescribed and updated by the President's Office of Management and Budget. The Department created an online repository of resources and conducted frequent outreach to help grantees follow the new rules, which reduce burden while strengthening controls against waste, fraud, and abuse.

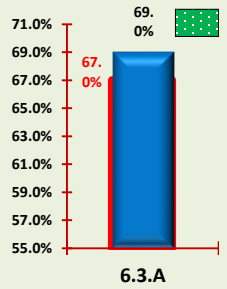
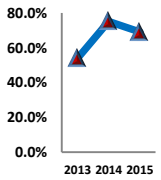
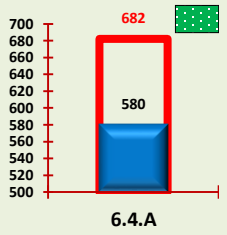
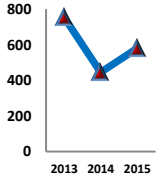
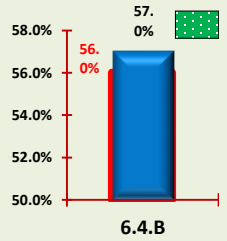
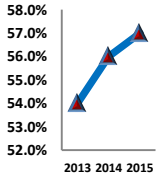
Using a strategic approach in FY 2015, the Department strengthened Human Resources (HR) operations by reducing hiring lead times, improving executive recruitment strategies, revising outdated HR policies, expanding training opportunities, and improving management practices.

Goal 6: Details

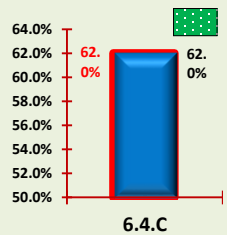
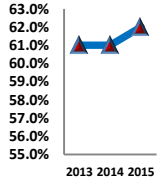
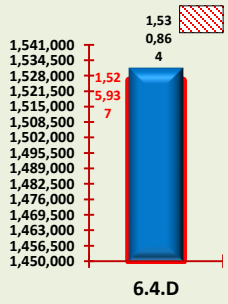
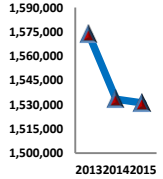
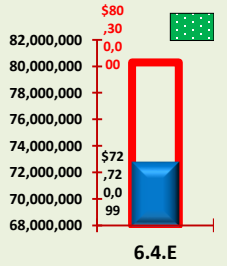
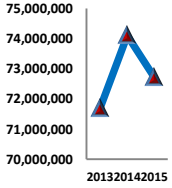
U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
6.1.A. Staffing gaps percentage[114]	FY: 2013 15%	15%	4%	4.3%	15%	MET		NA	NA	
New Metric Percent of selections made per job opportunity announcement (JOA)	FY: 2015 46.4%	NA	NA	46.4%	NA	NA		48.7%	51.2%	
6.1.B. EVS Employee Engagement Index	FY: 2012 64.7%	66%	67%	68%	69%	NOT MET		71%	72%	
6.1.C. Time to hire	FY: 2013 65%	65%	85%	67.6%	68%	NOT MET		69%	70%	

[114] Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were both NA.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
6.1.D. Effective Communication Index	FY: 2012 48%	49.6%	50%	51%	50%	MET		51%	52%	
6.2.A. Percentage of A-133 Single Audits Overdue for resolution	FY: 2012 57%	52%	37%	20%	43%	MET		37%	31%	
6.2.B. Compliance rate of contractor evaluation performance reports	FY: 2013 85%	85%	97%	98%	100%	NOT MET		100%	100%	

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
6.3.A. Percentage of states who annually rate the Department's technical assistance as helping build state capacity to implement education reforms[115]	FY: 2013 54%	54%	75%	69%	67%	MET		77%	85%	
6.4.A. Number of Department IT security incidents	FY: 2012 756	755	445	580	682	MET		551[116]	523[117]	
6.4.B. EVS Results-Oriented Performance Culture Index	FY: 2012 53%	54%	56%	57%	56%	MET		57%	58%	

[115] In FY 2016, the metric's data source will be changed to the 2015 Grantee Satisfaction Survey. Thus, in FY 2016, the baseline and targets will be updated to reflect the change. There is also variability with this metric due to ESEA reauthorization and the impact on the programs included.
[116] FY 2016 target was reduced based on actual incidents reported in FY 2015 and then reducing that actual by 5%.
[117] FY 2017 target was reduced by 5% from the FY 2016 target.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
6.4.C. EVS Leadership and Knowledge Management Index	FY: 2012 60%	61%	61%	62%	62%	MET		63%	64%	
6.4.D. Total usable square footage	FY: 2012 1,563,641	1,573,317	1,533,239	1,530,864	1,525,937	NOT MET		1,459,937	TBD	
6.4.E. Rent cost	FY: 2014 $74.3M	$71.7M	$74.1M	$72.7M	$80.3M	MET		$80,300,000	TBD	

NA = Not applicable.
TBD = To be determined.
Academic Year (AY) is a collegiate year spanning August–May; School Year (SY) spans August–July and is aligned with a P–12 school year; Fiscal Year (FY) corresponds to a federal fiscal year; Calendar Year (CY) spans January–December.

Data Sources and Frequency of Collection:
6.1.A. Mission Critical Occupation (MCO) Staffing Gap Report; quarterly
6.1.B. Office of Personnel Management (OPM) Federal Employee Viewpoint Survey (FEVS); annually
6.1.C. Federal Personnel/Payroll System (FPPS) Datamart; quarterly

6.1.D. OPM FEVS; annually
6.2.A. Office of the Chief Financial Officer's (OCFO) Audit Accountability & Resolution Tracking System (AARTS); annually
6.2.B. Past Performance Information Retrieval System (PPIRS) www.ppirs.gov "PPIRS Compliance Report"; annually
6.3.A. Baseline is from the Race to the Top State Lead Survey, n=19. Future data will come from the Annual Grantee Satisfaction Survey; annually
6.4.A. Operational Vulnerability Management Solution (OVMS) System; quarterly
6.4.B. OPM FEVS; annually
6.4.C. OPM FEVS; annually
6.4.D. Department's Master Space Management Plan; annually
6.4.E. Department's Master Space Management Plan; annually

***Note on performance metrics and targets*:** These metrics were established as a part of the *FY 2014–18 Strategic Plan*. Metrics may be updated or revised to reflect awareness of more accurate data or clarifications. Such updates or revisions are identified in footnotes.

Analysis and Next Steps by Objective

Objective 6.1: Effective Workforce

Explanation and Analysis of Progress:

The Department's staffing gaps have been successfully reduced and continue to maintain a stable, minimum level of 4–5 percent, which is well below the FY 2015 target level of 15 percent. The Department also continues to reduce hiring lead times and completed approximately 68 percent of hiring actions within 90 days from the date the action was received to the tentative job offer. In FY 2015, the Department opened a new career center to assist employees in reaching their career development goals and successfully developed, marketed and deployed a boot-camp style supervisory training course for supervisors and managers. This mandatory three-day *Supervisor Essentials* course is facilitated by Department subject matter experts and provides new and existing supervisors with the essential tools in a participatory environment that encourages students to develop cross-component networks to share best practices. Additionally, the Department received full OPM certification for its Senior Executive Service performance management program for the first time in eight years.

The Department's strategic goals are vast: supporting postsecondary education, CTE, adult education, elementary and secondary education, early learning, equity, and continuous improvement of the education system. To achieve its objectives, the Department's workforce must have the right skills and be led by skilled and engaging supervisors and managers. The Department is enhancing employee productivity by aligning priorities and goals at every level in the organization with the Department's strategic objectives. The Department has achieved consistent, incremental progress in Federal Employee Viewpoint Survey (FEVS) results. Since 2010, the Department has improved scores in the Employee Engagement Index of the FEVS from 62.6 percent to 68 percent in 2015. In FY 2015, the Department implemented a successful engagement strategy that resulted in 50 percent of subcomponents increasing their employee engagement scores between 1 and 12 percent, and 72 percent of subcomponents achieving employee engagement scores above the governmentwide average.

The Office of Human Resources (OHR) worked with all Departmental offices to prioritize the revision and updating of key human capital policies, conducted extensive outreach efforts to hiring managers, and expanded supervisory and managerial training and development opportunities.

Human capital management plays a critical role in the Department's ability to fulfill its mission. By effectively planning for workforce changes, addressing skill gaps, and providing timely guidance and hands-on options for recruitment, staffing, and retention, the Department can provide consistent oversight, execution, and support for its programs.

Challenges and Next Steps:

The Department has improved managers' awareness of key hiring activities and timelines. Classification and hiring activities have been automated for real-time tracking, which allows HR staff to focus on more complex questions. In FY 2016, the Department will continue outreach efforts to hiring managers on personnel flexibilities and improve HR tracking tools to support managers in hiring the best employees for their positions.

Objective 6.2: Risk Management

Explanation and Analysis of Progress:

Risk management focuses on creating an environment where grant and loan funds are used for the right purpose and achieve program success. The Department has worked to increase its ability to provide the right technical assistance and oversight to help grantees achieve program goals. Some of that work is accomplished through improving the quality and thoroughness of risk assessments conducted by the Department assuring that grantees are ready to manage the funds awarded. During FY 2015 the Department conducted preaward risk reviews for 100 percent of competitive grant programs. Other work has included improving the program staffs' skills in the area of fiscal monitoring through training and technical assistance. In FY 2015, the Department far exceeded its goal of timely audit resolution—the target was set at no more than 43 percent resolved overdue, and the actual percentage achieved was 20 percent. This was achieved by focusing on timeliness and fostering close working relationships with programs and support offices. In addition, a comprehensive training program to support the implementation of the new Uniform Guidance was developed and implemented for both grantees and Department staff, which included a strand on audit-related requirements.

Risk management is also an essential aspect of contract monitoring, which is achieved by actively assessing program and performance risks inherent in contracts through oversight and support and issuance of policy and guidance to program and contract officials. The Department has sustained high performance in compliance with contractor performance reporting requirements, leading the government with a 98 percent compliance rate for FY 2015. Only four agencies reached a compliance rate of 90 percent in FY 2015, and the average compliance rate of all 64 agencies reported was only 30 percent.[118]

Challenges and Next Steps:

The Department will continue to monitor contractor performance reporting requirements and work to attain the 100 percent compliance goal set by OMB.

The Department will continue collaborating with offices to reduce the number of overdue audits and leverage audit follow-up data to manage grantee risk by providing additional technical assistance and training on audit requirements related to the Uniform Guidance. The Department will focus its work with program offices to increase understanding and application of the results of Entity Risk Reviews related to audit data, with an emphasis on strategies to mitigate risk through effective and timely corrective action and follow-up.

Collecting quantitative data on the risk posed by grant recipients, and the extent to which the Department makes progress building capacity to address this risk, remains a challenge. Building the capacity of the Department to conduct more sophisticated analysis of data, both structured and unstructured, will be critical to addressing that challenge. The Department will work toward building quality, accessible sources of data on grant and grantee performance, sharing information about risks and mitigation across program offices, and building the grant staff capacity—in both knowledge and numbers—to monitor the financial and administrative components of grant performance.

These efforts will ultimately improve the capacity of our grantees to provide quality programs and services.

[118] Past Performance Information Retrieval System (PPIRS) (www.ppirs.gov) "PPIRS Compliance Report."

Objective 6.3: Implementation and Support

Explanation and Analysis of Progress:

2015 was the first year of implementation for OESE's new Office of State Support (OSS). The reorganization was approved in the fourth quarter of FY 2014 and OSS was created in early October. OSS is designed to provide improved state-centered support across related Department programs and offer more transparent, higher quality, and better differentiated support to meet the varied needs among states. The matrix organization model adopted by OSS ensures that a state has a primary contact within the Department and this individual serves as the liaison across key state-administered grant programs and major federal funding streams that flow to each state and district. By consolidating processes and technical assistance, the Department will be able to more effectively customize its outreach to individual states and model the critical partnerships that states should have with their respective districts.

The office is working to deepen staff knowledge and build or pilot systems and routines that allow OSS to support states with implementation through a systemic approach to technical assistance and the design and implementation of key processes, such as performance management and knowledge management, in order to ensure sustainability.

Educator equity is one area of increased attention and support during the past year. In July 2014, the Department announced the Excellent Educators for All initiative designed to move America toward the day when every student in every public school is taught by excellent educators. An Equitable Access Support Network (EASN) was set up to provide support and technical assistance to states to ensure that they had strong plans and targeted strategies so that students in poverty and minority children are not taught at higher rates than other children by inexperienced, unqualified, or out-of-field teachers.

Challenges and Next Steps:

Transitioning to the new OSS is a significant change that will take time to implement fully. OESE and OSS leadership are still establishing new processes and procedures, and the transition will take place gradually. Compounded by budget constraints, continuing challenges include staffing, appropriate professional development, and support for staff.

Building new and stronger relationships with states and stakeholders requires significant outreach and effort. The Department continues to communicate with stakeholders and grantees—through printed publications, the PROGRESS blog, OSS technical assistance, YouTube videos, and speeches—and broadly share lessons learned across grantees and nongrantees and with the general public about the reforms being implemented at the state and local levels. Next steps also include launching an updated state performance review, implementing against a new strategic technical assistance plan, and adjusting plans to prepare for ESSA implementation.

Objective 6.4: Productivity and Performance Management

Explanation and Analysis of Progress:

The Department takes pride in fostering a culture where managers and employees have the information and technology to perform their jobs well even when they are not physically onsite.The Department instituted tools and techniques for managers and employees to make performance goal setting, tracking, and feedback a regular work practice throughout the year.

Additionally, some supervisors used a best practice performance feedback worksheet with questions tied to FEVS results which enhanced proactive communication and built trust within work teams. The Department also developed a revised telework training course, *How to Make Telework Really Work*. Training sessions incorporated discussion on changes to the Department's updated telework policy and provided a forum for managers and employees to ask questions about telework and any concerns regarding space reduction and modernization plans. The Department saw an increase in the use of telework as a viable and effective tool that enabled employees to meet professional responsibilities while also offering a mechanism to reduce work/life stress.

To improve efficiencies and reduce costs associated with the Grant Award Notification process, the Department issued a Grant Bulletin establishing policy and guidance to support e-signature for formula grants.

In FY 2015, the Department implemented the second year of the ED Space Modernization Initiative, finalized space designs for two major subcomponents, and worked with the General Services Administration (GSA) to develop an aggressive construction schedule for the first major phase of the initiative in the Department's headquarters building. The Department identified business requirements, conducted market research with a broad group of stakeholders, and completed procurement for an automated hoteling and conference room reservation system. Department staff in San Francisco and Chicago were engaged in the process of redefining requirements for new space when current leases expire and worked with GSA to find federally owned space in San Francisco to avoid a large rent increase in 2014; the resulting solution will save the Department $15 million in avoided rent and construction costs in 2017–18. The Department worked closely with its labor union partners to address space challenges in Washington, DC and regional office locations.

Challenges and Next Steps:

The Department adopted a creative and dramatic response to reduce overall administrative expenses through emergency space consolidation in the Washington, DC area. As a result, the Department will achieve substantial cost avoidance in FY 2016 and FY 2017. Though the strategy was developed with full collaboration and commitment of Department leadership, the affected principal offices, OCIO, and GSA, potential challenges include maintaining morale and productivity and sustaining recent gains in employee engagement.

Selected Strategies to Achieve Goal 6

The Department will build on the success of HR improvements of FY 2015 by continuing to strengthen HR operations, improving executive recruitment strategies, revising outdated HR policies, expanding training opportunities in critical areas, and improving labor relations management practices.

While continued focus on the IT automated response capabilities has led to reductions in the number of security incidents in FY 2016 and FY 2017, additional training for the Department's third-party partners will reduce the potential for personally identifiable information disclosures and ensure the proper protection of our customers' information. The Department's cybersecurity focus will remain on data protection and control. The Department will continue implementing various capabilities to control the flow of sensitive information, and prevent access to related systems, data, or other critical information and infrastructure by unauthorized individuals. These new capabilities with existing protective measures will ensure the protection of employee and customer data.

Finally, the Department must continue its work in developing customized change management strategies necessary to successful space redesign and reduce the Department's physical footprint. By consolidating units, renegotiating leases, and making reductions in the needed space, the Department will save rent costs.

Management Priorities and Challenges

The Department continues to make notable progress in capacity and infrastructure in support of mission delivery. Year after year, the Department has demonstrated its commitment to employees through investments in technology innovation and cybersecurity, by transforming the human resources systems and hiring processes, introducing helpful tools, and updating policies and procedures. Delivering on Goal 6 of the *Strategic Plan* is critical to achieving the other mission-focused goals. The continuing challenge, however, is in converting and applying increased and improved capacity in ways that help the Department overcome its longstanding management challenges, particularly in IT security and management, as well as in the administration and delivery of the student financial aid system.

The recent data breach at OPM in FY 2015 reiterated that agencies need to continue working towards cybersecurity. While the Department has focused significant resources toward the governmentwide "sprint" exercises and other strategic assessments of the Department's IT security posture, critical work remains to be done. Numerous and continuous efforts are underway across the government and the Department to secure critical infrastructure and valued assets. To address noted areas of concern and vulnerability, key actions have resulted in the enhancement and increase of two-factor authentication as a requirement for accessing Departmental systems and peripherals. Additionally, there has been an intentional campaign to significantly decrease the number of privileged user accounts that are activated. Finally, the Department's Chief Information Office continues to aggressively educate and test employees to help protect against phishing and other known schemes aimed at extracting personally identifiable information or other valuable data, and is helping other partners who must regularly or intermittently access and utilize our systems as well.

The Department continues to enhance its hiring, staffing, training, and culture. Following efforts begun in FY 2014, the Department has streamlined hiring, and bolstered employee and labor relations and human capital policy development. OHR has introduced innovative strategies to expand the hiring tools used by managers, which reduced the time to hire, and allowed the team to focus on other critical customer issues and capacity concerns. For example, the Department's human resource team is producing much-needed policy guidance at a faster rate than in the previous three years—publishing pivotal guidance, such as those related to the telework program, alternative work schedules, and the merit promotion plan—a clear result of improved staff technical and leadership capability.

In FY 2015, the Department continued bolstering its impact in the people and culture element, with an agencywide campaign to address employee engagement in each of the Department's offices. The campaign included employee engagement planning, a roadmap of essential and best practices, and support from top-level management in each office. Additionally, the Department met OPM's newly mandated performance standard, with every senior executive addressing employee engagement as a part of their annual performance agreement. Final participation rates resulting from the 2015 OPM Federal Employee Viewpoint Survey show significant gains in this area, with a 73 percent survey response rate—3 percent above the Department's target—and over 9 percentage points more than the 2014 response rate.

The Department's efforts to reduce significantly its real estate "footprint" and space inventory will have a major impact on management and culture. While reduction of the overall square footage is the primary goal, this is a long-term endeavor and the Department recognizes that it must manage several other indirect dependencies that can derail the expected progress. However, as noted above, the Department has made significant progress toward the first phase

of its headquarters building modernization and is completing plans to effect the move of two regional offices from more expensive leased space to less expensive federally owned space.

Other elements critical to sound management are showing positive trends and results as well. The Department reduced the cost of managing accounts receivables by outsourcing the management of most of that portfolio to a federal shared service provider, significantly reducing the cost per transaction. The Department recently launched a new initiative to migrate to 100 percent electronic vendor invoicing by FY 2018, which will both improve customer service and significantly reduce the internal processing costs of invoices. The Department's percent of compliance with contractor performance reporting requirements is the best in government, currently over 98 percent. To put these numbers in greater context, this performance ranks the Department as one of only four agencies that have compliance rates of 90 percent or more.

These efforts, taken as a whole, are positioning the Department to benefit from and leverage continuous improvement to increase its overall capacity, protect its assets, and support its employees.

Office of Inspector General's (OIG) Management Challenges

OIG works to promote efficiency, effectiveness, and integrity in the programs and operations of the Department. Through audits, inspections, investigations, and other reviews, OIG continues to identify areas of concern within the Department's programs and operations and recommend actions the Department should take to address these weaknesses. The *Reports Consolidation Act of 2000* requires the OIG to identify and report annually on the most serious management challenges the Department faces. The *GPRA Modernization Act of 2010* requires the Department to include in its agency performance plan information on its planned actions, including performance goals, indicators, and milestones, to address these challenges.

The Department remains committed to improved governance and better business processes. Management has worked closely with OIG to gain its perspective about the Department's most significant management and performance challenges. Last year OIG presented five management challenges. The Department provided to the OIG a high-level summary assessment, actions taken, and planned actions for each of the management challenge areas.

The FY 2016 management challenges are:

(1) Improper Payments,
(2) Information Technology Security,
(3) Oversight and Monitoring,
(4) Data Quality and Reporting, and
(5) Information Technology System Development and Implementation.

These challenges reflect continuing vulnerabilities and emerging issues faced by the Department as identified though OIG's recent audit, inspection, and investigative work.

The full report, to include how the Department is addressing each management challenge area, is published by the OIG. To view the full report, go to: http://www2.ed.gov/about/offices/list/oig/managementchallenges.html.

Lower-Priority Program Activities

The Cuts, Consolidations and Savings volume of the President's Budget identifies the lower-priority program activities, where applicable, as required under the *GPRA Modernization Act of 2010*, 31 U.S.C. 1115(b)(10). The public can access the volume at http://www.whitehouse.gov/omb/budget.

Appendices

This page intentionally left blank.

Appendix A: Data Validity and Verification

The *Government Performance and Results Act Modernization Act of 2010* requires agencies to describe the accuracy and reliability of data presented. During 2015, the Department continued to strengthen its approach to data verification and validation. Details of how the Department assesses the completeness and reliability of the data reported are presented as part of this Appendix, and known limitations of the data are included also.

To the best of my knowledge, the data verification and validation process and the data sources used provide, to the extent possible, complete and reliable performance data pertaining to goals and objectives in our *FY 2014–18 Strategic Plan.* Through a process of continuous improvement, the Department continues to assess its validation process and welcomes input from stakeholders.

/s/

John B. King, Jr.
Acting Secretary
February 9, 2016

GOAL 1: POSTSECONDARY EDUCATION, CAREER AND TECHNICAL EDUCATION, AND ADULT EDUCATION. Increase college access, affordability, quality, and completion by improving postsecondary education and lifelong learning opportunities for youths and adults.

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
1.1.A	Rate of increase in net price for public 4-year IHEs	Integrated Postsecondary Education Data System (IPEDS) Data Center	Average net price is calculated only on the universe of students who receive financial aid. It does not include students who are attending college without financial aid. Thus, the metric represents the average net price for a subset of students and is not representative of the cost of college for all students. Data quality and limitations are identified in IPEDS First Look Publications, "Data Collection Procedures," and IPEDS methodology available at http://nces.ed.gov/pubs2014/2014067.pdf. Graduation Rates for Selected Cohorts, 2005–10; and Student Financial Aid in Postsecondary Institutions, Academic Year 2012–13: First Look (Provisional Data) NCES 2014 - NCES Number: 2014105 Release Date: November 20, 2014, available at: http://nces.ed.gov/pubsearch/pubsinfo.asp?pubid=2014105 Postsecondary Institutions and Price of Attendance in 2013–14; Degrees and Other Awards Conferred: 2012–13; and 12-Month Enrollment: 2012–13: First Look (Provisional Data), available at: http://nces.ed.gov/pubsearch/pubsinfo.asp?pubid=2014066rev
1.1.B	Rate of increase in net price for public 2-year IHEs		
1.1.C	Percent of High School Seniors Filing a FAFSA	The denominator is the number of graduating seniors according to the most recent projection by NCES. The numerator is from Federal Student Aid's (FSA's) Central Processing System and is based on the number of applications during the first nine months of the application cycle that are—as of September 30 of the first year of the application cycle—complete (not rejected); first-time filers; incoming freshmen, with or without previous college attendance; age 18 or less as of June 30 of the first year of the application cycle; reporting high school diploma attainment; and attended a high school in the fifty states and Washington, DC.	Since year of high school graduation is not asked on the FAFSA, several assumptions are made and specific criteria are used (such as age of applicant) to identify those likely to be high school seniors. These assumptions and criteria are applied consistently across all baseline year and future calculations. These calculations also restrict the application period to the first nine months of the application cycle (the close of the fiscal year), rather than the entire 18 months. Because most applicants, including high school seniors, file their FAFSA prior to the start of the upcoming academic year (usually before fiscal year end), this decision better aligns the performance metric with the fiscal year where most of the performance occurred. The alternative is waiting for the close of the18-month cycle, where a performance metric would mostly reflect performance from an earlier fiscal year.
1.1.D	Index of national annual aggregate earnings of VR consumers (based on the number of competitive integrated employment outcomes, hours worked, and hourly wages of VR Consumers)	Rehabilitation Services Administration (RSA)- 911	Instructions for submitting the RSA-911 data are provided to agencies. Agency questions for coding particular data elements are provided by Data Unit staff on a case-by-case basis. RSA provides the agencies with the edit program that we use and are encouraged to run their data using the program often, at least quarterly, during the year. In addition, agencies have edits in their own systems which run additional checks.
1.1.E	Index of national annual aggregate earnings of Transition-Age Youth (based on the number of competitive integrated employment outcomes, hours worked, and hourly wages of VR Transition-Age Youth)		

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
1.2.A	Number of low-performing institutions with high loan default rates and low graduation rates	FSA Cohort Default Rate (CDR) Report, September 2015 IPEDS Data Center	The number of low-performing Institutions of Higher Education (IHEs) is calculated by first identifying institutions with a cohort default rate of 30 percent or higher (the threshold that jeopardizes an institution's access to federal financial aid if that level is sustained for three consecutive years). The graduation rate within 150 percent of normal time for each of those IHEs is then extracted from IPEDS, along with the transfer-out rate, if applicable, and the two rates are combined to create a "completion rate." If the completion rate is below the average completion rate for similar types of U.S. Title-IV eligible IHEs—separately categorized as four-year, two-year, and less-than-two-year—then the IHE is included in the number of low-performing institutions. Community colleges that offer a limited number of bachelor's degrees, which are categorized as four-year (primarily associate's degree-granting) institutions in IPEDS, are treated as two-year IHEs in terms of calculating graduation rates and the comparable average completion rate. For four-year IHEs, the graduation rate is based on the degree- or certificate-seeking cohort, not the bachelor's-seeking cohort, since many four-year IHEs offer certificates and associate's degrees in addition to bachelor's degrees, and thus the broader cohort is more indicative of their performance. Institutions which do not have a graduation rate cohort (degree-seeking, first-time, full-time students) and thus no comparable graduation/completion rate are not included in the count, as they are institutions that cannot be found in the IPEDS database. The calculation includes an assumption that the cohort default rates for all institutions for the baseline year will not change. In actuality, institutions can appeal their rates after publication and, if justified, those rates may be changed, thus changing the record from one year to the next. This means the baseline number, or the number in any given year, may not be replicable using revised data in subsequent reports. Graduation rate data quality and limitations are identified in IPEDS First Look Publications, "Data Collection Procedures," and IPEDS methodology available at http://nces.ed.gov/pubs2014/2014067.pdf. Data are checked by NCES for consistency. CDR data quality and limitations are available at http://ifap.ed.gov/DefaultManagement/finalcdrg.html. The cohort default rate data, which serves as the basis of the spreadsheet, is verified by FSA prior to publication. Because the process for manually entering the completion rate data is so labor-intensive, there is not a process for Independent Verification and Validation (IV&V) verifying the accuracy of the process for extracting the data from IPEDS or the accuracy of the data that has been entered into the spreadsheet.
1.3.A	Degree attainment among 25–34-year-old age cohort	NCES Digest of Education Statistics, Table 104.30 (https://nces.ed.gov/programs/digest/d14/tables/dt14_104.30.asp), Number of persons age 18 and over, by highest level of educational attainment, sex, race/ethnicity, and age: 2014. Tabulated from Current Population Survey data, U.S. Census	Data quality and limitations are documented in http://www.census.gov/prod/2006pubs/tp-66.pdf. NCES tabulates the data, which is verified prior to publication according to NCES guidelines.

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
1.3.B	Retention rate of first-time degree-seeking undergraduates; Full-time	IPEDS Data Center	The retention rate is calculated based on degree-seeking, first-time undergraduates at degree-granting U.S. institutions that participate in Title IV. Institutions employ a variety of methods for determining degree-seeking status to determine which students to include in the cohort, but none of these methods is foolproof. Furthermore, a student who transfers to another institution in the second year will be considered as not retained, suppressing the aggregate rate. *(Retention in this context is at the reporting institution so transfer-outs are not retained at the institution.)* Consequently, the retention rate is only an approximation of true retention. Data quality and limitations are identified in IPEDS First Look Publications, "Data Collection Procedures," and IPEDS methodology available at http://nces.ed.gov/pubs2014/2014067.pdf. Data are checked by NCES for consistency. IPEDS collects completions by Classification of Instructional Programs (CIP) Code which may be aggregated into STEM and non-STEM counts. The Department of Education does not currently have a single definition for which CIP codes are STEM, but for the purpose here the NCES definition is used: http://nces.ed.gov/pubs2011/2011226.pdf.
1.3.C	Retention rate of first-time degree-seeking undergraduates; Part-time		
1.4.A	Number of STEM postsecondary credentials awarded		

GOAL 2: ELEMENTARY AND SECONDARY EDUCATION. Improve the elementary and secondary education system's ability to consistently deliver excellent instruction aligned with rigorous academic standards while providing effective support services to close achievement and opportunity gaps, and ensure all students graduate high school college- and career-ready.

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
2.1.A	Number of states/territories that have adopted college- and career-ready standards	*Elementary and Secondary Education Act* (ESEA) Flexibility Requests and Monitoring	The Office of Elementary and Secondary Education's (OESE) Student Achievement and School Accountability (SASA) office will count the number of states that either (a) have a memorandum of understanding in place to implement the Common Core or (b) have a letter from an Institute for Higher Education in their state certifying that their state has college- and career-ready standards. There are no known data limitations. The Office of Elementary and Secondary Education's (OESE) Student Achievement and School Accountability (SASA) office monitors states that receive ESEA Flexibility waivers in three phases over the three-year waiver. Monitoring includes desk monitoring and on-site monitoring. SASA state leads use a monitoring protocol and rubric to ensure that monitoring is consistent across all states. SASA state leads work with their Group Leader to finalize monitoring reports. All reports are reviewed by both the Group Leader for Monitoring and Technical Assistance and the Director of SASA for consistencies across states. States have an opportunity to review the draft report before the final report is issued. There are no known data limitations.
2.1.B	Number of states/territories that are implementing next-generation reading and mathematics assessments, aligned with college- and career-ready standards		
2.2.A	Number of states that have fully implemented teacher and principal evaluation and support systems that consider multiple measures of effectiveness, with student growth as a significant factor	ESEA Flexibility Requests and Monitoring	The Office of Elementary and Secondary Education's (OESE) Office of State Support (OSS) office monitors states that receive ESEA Flexibility waivers. Monitoring includes desk monitoring and on-site monitoring. OSS state leads use a monitoring protocol and rubric to ensure that monitoring is consistent across all states. OSS state leads work with their Group Leader to finalize monitoring reports. All reports are reviewed by both the Group Leader for Monitoring and Technical Assistance and the OSS Director for consistencies across states. States have an opportunity to review the draft report before the final report is issued. Additionally, Chief State School Officers must sign each state's ESEA Flexibility request before it is approved. There are no known data limitations.
2.3.A	Disparity in the rates of out-of-school suspensions for students with disabilities and youth of color (youth of color metric)	Civil Rights Data Collection (CRDC)	The Office for Civil Rights (OCR) strives to ensure CRDC data are an accurate and comprehensive depiction of student access to educational opportunities in school districts. The submission system includes a series of embedded edit checks to ensure significant data errors are corrected before the district submits its data. Additionally, each district is required to certify the accuracy of its submission. Only a district superintendent, or the superintendent's designee, may certify the CRDC submission. Ultimately, the quality of the CRDC data depends on accurate collection and reporting by the participating districts.
2.3.B	Disparity in the rates of out-of-school suspensions for students with disabilities and youth of color (SWDs, IDEA only metric)		

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
2.4.A	Number of persistently low graduation rate high schools	ED*Facts*	ED*Facts* works with the data stewards to determine the appropriate business rule checks for these data. The checks that were done on these data include: • File validation and format checks: Identifies file submissions that don't conform to the file format (unable to be processed), the data universe (school/LEA/state directory), or the reporting requirements (mandatory reporting fields). • Submission Edit Business Rules: Data consistency checks, which produce warning messages for states to double-check their submitted data, are programmed into the ED*Facts* Submission System. • SAS Data Quality Reviews: Post submission checks to determine completeness, consistency, and comparability. • At the end of a collection period these rules are run against the submitted data and presented to the program office. It is the responsibility of the program office, in consultation with the ED*Facts* staff, to determine which errors should be escalated to the state for further review. Many of these errors were sent along to the state for remediation (data explanation/update/correction). OESE should be considered the point-of-contact for identifying which rules were escalated and the result of those escalations. Data concerns for state, district and school level 2013–14 data submissions are documented and available in two places: a) State Notes to submitted Adjusted Cohort Graduation Rate (ACGR) data are available within the Department's ED Data Express Tool b) Identified Data Anomalies are documented at the state level in appendix B to the file documentation released along with school and district level data files at http://www2.ed.gov/about/inits/ed/edfacts/data-files/index.html. Additional concerns, if any are identified, related to the calculated national rate or work done prior to 2013–14 utilizing an imputation methodology to address states that were not yet calculating ACGR, will be available in future releases of the NCES report "Public High School Four-Year On-Time Graduation Rates and Event Dropout Rates: School Year ####–##." The most recent report covers 2010–11 and 2011–12. Reports covering more recent years of data are being prepared for release at this time and will be available at http://nces.ed.gov/ccd/pub_dropouts.asp in the coming months. Path to public release and national rates: For each collection cycle states report their calculated cohort counts and ACGR graduation rates. These counts and rates are tested against a number of business rules for format, consistency, completeness, and comparability. Those business rule checks are delivered to the Office of Elementary and Secondary Education (OESE) for follow-up correspondence with the state(s). The program office, in consultation with NCES ED*Facts* staff and other stakeholders, meet to determine which issues identified by the business rules should be raised with the state for explanation, update, or correction. Following that review, data are then aggregated to the national level for the purpose of calculating and publishing a national rate. NCES processes these data to force conformity of reporting categories (mapping reported "Major Racial/Ethnic Groups" to the traditional 5 racial/ethnic groups) and imputes any missing data (3 states were imputed for 2011–12, 1 state was imputed for 2012–13, no imputations were necessary for 2013–14 forward). After imputations are made, NCES produces a national rate for the country as a whole; a rate which is representative of every state. Once produced, NCES documents any remaining issues with these data, and the aggregation and imputation methodology in a public report. That report, documentation, and the associated data tables are put through several stages of review including independent reviews at the division (Administrative Data), center (NCES), and POC (IES) levels prior to public dissemination.

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
2.4.B	Percent of Cohort 1 priority schools that have met the state exit criteria and exited priority school status		ESEA Flexibility plans do not allow for one standard methodology to determine whether or not a school "met the state exit criteria." This will need to be looked at manually, state-by-state, once the list of schools exiting priority status has been identified.
2.4.C	Percent of Cohort 1 focus schools that have met the state exit criteria and exited focus school status		
2.5.A	Percentage of high school and middle school teachers who teach STEM as their main assignment who hold a corresponding undergraduate degree	Schools and Staffing Survey (SASS), NCES	The methods report for the 2011–12 SASS is not yet released. Study documentation from the 2007–08 survey is available at http://nces.ed.gov/surveys/sass/methods0708.asp.
2.5.B	Number of high school graduates who have taken at least one STEM AP exam	College Board/AP administrative records	College Board Public School List is updated annually by state DOEs; thus small changes to the list over time are to be expected as schools open, close, and/or merge. Students are assigned to graduating cohorts based on self-reported information (i.e., grade level and/or graduation year) provided at the time of registration (in the case of SAT) or test administration (in the case of AP and PSAT). The College Board matches students' data across programs to identify the most recent valid value when assigning students to cohorts.

GOAL 3: EARLY LEARNING. Improve the health, social-emotional, and cognitive outcomes for all children from birth through 3rd grade, so that all children, particularly those with high needs, are on track for graduating from high school college- and career-ready.

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
3.1.A	Number of states with Quality Rating and Improvement Systems (QRIS) that meet high quality benchmarks for child care and other early childhood programs	Biennial Child Care Development Fund (CCDF) Report of States Plans with annual updates from states and territories (HHS/Office of Childcare)	The data are self-reported by the states in their CCDF state plans. In addition, the data do not take into account the participation or coverage of the QRIS systems.
3.2.A	Number of states and territories with professional development systems that include core knowledge and competencies, career pathways, professional development capacity assessments, accessible professional development opportunities, and financial support for childcare providers	Biennial Child Care Development Fund (CCDF) Report of State Plans (HHS/Office of Childcare)	The data are self-reported by the states in their CCDF state plans. In addition, the data do not take into account the participation or coverage of the professional development systems.
3.3.A	Number of states collecting and reporting disaggregated data on the status of children at kindergarten entry using a common measure	Race to the Top (RTT)-Early Learning Challenge (ELC) Technical Assistance Center	The data are limited to the 20 Race to the Top-Early Learning Challenge (ELC) states. Department staff has requested Kindergarten Entry Assessment (KEA) data be collected in the 2015–16 academic year as part of the State of Preschool data collection and has requested to add KEA data reporting in ED*Facts*. In addition, the new Preschool Development Grants will provide data on additional states.

GOAL 4: EQUITY. Increase educational opportunities for underserved students and reduce discrimination so that all students are well-positioned to succeed.

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
4.1.A	National high school graduation rate	ED*Facts*	ED*Facts* works with the data stewards to determine the appropriate business rule checks for these data. The checks that were done on these data include: • File validation and format checks: Identifies file submissions that don't conform to the file format (unable to be processed), the data universe (school/LEA/state directory), or the reporting requirements (mandatory reporting fields). • Submission Edit Business Rules: Data consistency checks, which produce warning messages for states to double-check their submitted data, are programmed into the ED*Facts* Submission System. • SAS Data Quality Reviews: Post submission checks to determine completeness, consistency, and comparability. • At the end of a collection period these rules are run against the submitted data and presented to the program office. It is the responsibility of the program office, in consultation with the ED*Facts* staff, to determine which errors should be escalated to the state for further review. Many of these errors were sent along to the state for remediation (data explanation/update/correction). OESE should be considered the point-of-contact for identifying which rules were escalated and the result of those escalations. Data concerns for state, district and school level 2013–14 data submissions are documented and available in two places: a) State Notes to submitted Adjusted Cohort Graduation Rate (ACGR) data are available within the Department's ED Data Express Tool b) Identified Data Anomalies are documented at the state level in appendix B to the file documentation released along with school and district level data files at http://www2.ed.gov/about/inits/ed/edfacts/data-files/index.html. Additional concerns, if any are identified, related to the calculated national rate or work done prior to 2013–14 utilizing an imputation methodology to address states that were not yet calculating ACGR, will be available in future releases of the NCES report "Public High School Four-Year On-Time Graduation Rates and Event Dropout Rates: School Year ####–##." The most recent report covers 2010–11 and 2011–12. Reports covering more recent years of data are being prepared for release at this time and will be available at http://nces.ed.gov/ccd/pub_dropouts.asp in the coming months.

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
			Path to public release and national rates: For each collection cycle states report their calculated cohort counts and ACGR graduation rates. These counts and rates are tested against a number of business rules for format, consistency, completeness, and comparability. Those business rule checks are delivered to the Office of Elementary and Secondary Education (OESE) for follow-up correspondence with the state(s). The program office, in consultation with NCES ED*Facts* staff and other stakeholders, meet to determine which issues identified by the business rules should be raised with the state for explanation, update, or correction. Following that review, data are then aggregated to the national level for the purpose of calculating and publishing a national rate. NCES processes these data to force conformity of reporting categories (mapping reported "Major Racial/Ethnic Groups" to the traditional 5 racial/ethnic groups) and imputes any missing data (3 states were imputed for 2011–12, 1 state was imputed for 2012–13, no imputations were necessary for 2013–14 forward). After imputations are made, NCES produces a national rate for the country as a whole; a rate which is representative of every state. Once produced, NCES documents any remaining issues with these data, and the aggregation and imputation methodology in a public report. That report, documentation, and the associated data tables are put through several stages of review including independent reviews at the division (Administrative Data), center (NCES), and POC (IES) levels prior to public dissemination.
4.2.A	Percentage of proactive civil rights investigations launched annually that address areas of concentration in civil rights enforcement	Office for Civil Rights' (OCR) Case Management System (CMS) and Document Management (DM) systems	The Contracts and Acquisition Management/Case Management database utilized to collect data for this metric has built-in validation checks (such as requiring certain data elements and valid date entries), as well as automated entries based on other information entered into the system by staff, to reduce errors in data entry. OCR also employs additional safeguards to ensure data accuracy such as (1) periodic monthly checks to address missing or inconsistent entries, (2) publication of guidance materials including data entry requirements, codes, definitions, checklist and protocol for staff responsible for entering data; and (3) additional training and support for primary users inputting the data.
4.2.B	Percentage of proactive civil rights investigations resolved annually that address areas of concentration in civil rights enforcement		

GOAL 5: CONTINUOUS IMPROVEMENT OF THE U.S. EDUCATION SYSTEM. Enhance the education system's ability to continuously improve through better and more widespread use of data, research and evaluation, evidence, transparency, innovation, and technology.

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
5.1.A	Number of public data sets included in ED Data Inventory and thus linked to Data.gov or ED.gov websites	Data Strategy Team Data Inventory and the public ED Data Inventory at http://datainventory.ed.gov	The data are validated with a crosswalk between Inventory entries and the listing of public Department datasets, ensuring that the data described in the ED Data Inventory is publicly available at the identified web address.
5.1.B	Number of states linking K-12 and postsecondary data with workforce data	State Longitudinal Data Systems (SLDS) grant monitoring (monthly updates from states, annual performance reports, final performance reports, and site visits)	Data are collected through monitoring of states with active SLDS grants. The data are limited to this population. While 47 states and territories have received these grants over time, by June 2015, there will be fewer than 25 states with active grants, which leads to incomplete and not up-to-date data from states that either have not receive grants or that do not have active grants. If the state is focusing on an early childhood data system, the state's reporting might reflect only those development efforts, and not statewide P20W (preschool to college workforce) development efforts. There are additional sources for information about state data linkages in the field. For example the Data Quality Campaign (DQC) conducts surveys of state capacity to collect, store, link, and use data. Because the Department does not use the same definitions as DQC, our figures tend to be lower than theirs. For example, we require that a state possess the capacity to follow its own students in order for us to report that the state has the linkage in place. Similarly, we enable states to report on whether particular linkages are planned, in progress, or complete, and report that a state has a linkage when the state reports that the project is complete; DQC might give a state credit for an 'in progress' or pilot-stage linkage. A survey administered to the universe of states and territories would enable more systematically collect data about all states' capacity for data linkages and data use. There is a concern, however, that if those data were to be used for public reporting, states might begin to overstate their capacities, particularly on data that are also publicly reported by organizations such as DQC. Currently, data from monitoring is used in an iterative, formative approach to program improvement; our technical assistance program is designed to support states' efforts to improve their systems. This relies on states being honest about their own internal capacities.
5.1.C	Number of states linking K-12 with early childhood data		

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
5.2.A	Average time to close "cases" (PTAC + FPCO)	Case Tracking System (CTS) Monthly metric reports	The term "case" refers to requests for quick, informal responses to routine questions related to student privacy. These requests are received via e-mail, the Family Policy Compliance Office (FPCO) / Privacy Technical Assistance Center (PTAC) resource website, or by telephone and subsequently entered into the Case Tracking System (CTS). In contrast, "correspondence and complaints" refers to written complaints of alleged failures to comply with *Family Educational Rights and Privacy Act* (FERPA) / Protection of Pupil Rights Amendment (PPRA) filed with FPCO; requests for formal written guidance/interpretation laws administered by FPCO; and, to the reporting of instances of data breaches by educational agencies and institutions. These inquiries are logged into the Correspondence Control Manager (CCM) System, given a tracking control number, and assigned to FPCO staff. The preliminary data for this metric are reviewed at least weekly for verification. If anomalous data are identified in the periodic reviews or when anomalies are suspected, individual cases are examined individually to identify if they were properly closed or if their status was entered incorrectly. When appropriate, corrections are made. Staff responsible for entering data into the CTS will continue to be trained on policies and procedures. The monthly metric reports are scrutinized by the Director of FPCO, the Contracting Officer Representative for the PTAC contractors, and the Department's Chief Privacy Officer, to assure completeness and reliability of data and to recommend any improvements to the CTS or modifications to the standard operating procedures. The quarter entry represents the fiscal year to date average days to close as of the end of that quarter taken from the corresponding monthly report.
5.3.A	Percentage of select new (noncontinuation) discretionary grant dollars that reward evidence	Forecast Report issued by the Office of the Chief Financial Officer (OCFO) and final Funding Reports from relevant programs	In determining which discretionary grants are considered "evidence-based" (i.e., the numerator when calculating the percentage), the Department includes all programs that rewarded applicants with supporting evidence of promise or better (per the EDGAR evidence framework). This could be done through a competitive preference or absolute priority, an eligibility requirement, or a selection factor. Only the amounts of the grants awarded for those projects were counted. In determining what counts as discretionary funding (i.e., the denominator when calculating the percentage), the Department includes all programs for which the EDGAR evidence framework could conceivably work. In Fiscal Year 2015, the Department counted all discretionary grant programs except for those programs run through the Institute of Education Sciences (IES), which are already evidence-based and would not be candidates for the EDGAR evidence framework).
5.3.B	Number of peer-reviewed, full-text resources in the Education Resources Information Center	Education Resources Information Center (ERIC)	To be counted as a full-text, peer-reviewed article in ERIC, the document had to be indexed in ERIC and designated with a "peer-reviewed" and "full-text" flag, both of which are available on the public ERIC website The ERIC contractor uses specified quality assurance procedures. In addition, the IES program officer pays close attention to the metric in their review of deliverables.

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
5.3.C	Number of reviewed studies in the What Works Clearinghouse (WWC) database	What Works Clearinghouse (WWC)	To be counted as a reviewed study, the study had to be listed in the What Works Clearinghouse's publicly available Database of Reviewed Studies. The What Works Clearinghouse contractors use specified quality assurance procedures. In addition, the IES program officers pay close attention to the metric in their review of deliverables.
5.4.A	Percentage of schools in the country that have actual internet bandwidth speeds of at least 100 Mbps	Education Superhighway (for baseline), Consortium for School Networking (CoSN)/AASA E-rate Infrastructure Survey	The Department uses an external data source for this metric and relies on the external, third party's verification and validation methodology. Based on the information provided, the response rate for this survey may not be sufficient to ensure that the data are representative of all districts in the country. The Department is exploring the feasibility of collecting data on access to and use of education technology from a representative sample of schools and districts across the country. In the meantime, we believe these data are the best currently available and provide useful information to gauge progress on this metric.

GOAL 6: U.S. DEPARTMENT of EDUCATION CAPACITY. Improve the organizational capacities of the Department to implement this strategic plan.

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
6.1.A	Staffing gaps percentage	Mission Critical Occupation (MCO) Staffing Gap Report	The Department's Budget Service obtains the staffing gap data from the Department's Federal Personnel and Payroll System (FPPS) Datamart roster and separations reports. As FPPS is a user-driven system, the data used for the Mission Critical Occupation (MCO) Staffing Gap Report are only as reliable as the data that are entered into FPPS. The Department's Office of Human Resources (OHR) intends to improve data in FPPS by updating standard operating procedures, implementing process maps, and training customers and HCCS staff to follow these new processes when entering data into the system.
6.1.B	EVS Engagement Index	Office of Personnel Management (OPM) Federal Employee Viewpoint Survey (FEVS)	Any questionable data points from the Federal Employee Viewpoint Survey (FEVS) are brought to the attention of the U.S. Office of Personnel Management (OPM). In turn, the OPM point of contact responds to the inquiry. Further, if there are questions regarding the FEVS data, the Department works with the OPM point of contact to obtain clarity. The Engagement index score is calculated by OPM by first determining the percent positive for each of the 15 items in the sub-indices (i.e., Leaders Lead, Supervisors, and Intrinsic Work Experiences). Then the unrounded percent positive scores are averaged across the items in the index to get the index score. The overall index score is then rounded for reporting purposes.
6.1.C	Time to Hire	Federal Personnel/Payroll System (FPPS) Datamart	Data reflecting actions input into the Workforce Transformation and Tracking System (WTTS) are exported from FPPS Datamart and validated via Excel formulas for reporting purposes. Actions with negative or missing hiring information are excluded from time to hire calculations. Based on established data handling protocols, criteria established for the 90-Day Hiring Model metric, OM is confident the data presented is reasonably accurate and consistent. Data are pulled biweekly and tested. Results are tracked and analyzed for consistency and monitored for patterns or trends; anomalies are identified and explored to determine root cause and then corrected (or work-around developed and noted pending further analysis/correction). The data are entered into the systems by Department customers and the Department's Office of Human Resources (OHR) staff, so quality of data, and in turn the quality of the final calculations, are only as reliable as the information entered into the system. As OHR continues to reduce the shortage of trained human capital practitioners and staff become more proficient leveraging systems' capabilities and streamlining processes, we expect data quantity and quality will increase which will negate the need to have an order of precedence for substitute/back up data when measured data points are missing. Even though the 90 Day Model's time to hire methodology was successfully advanced from initial concept to a stable, sustainable agencywide process in less than a year, it has not undergone peer review or independent verification and validation to validate its rigor. Facilitated peer review is the recommended next step to ensure continued Departmentwide application of this metric as a meaningful measure.
6.1.D	Effective Communication Index	Office of Personnel Management (OPM) Federal Employee Viewpoint Survey (FEVS)	Any questionable FEVS data points are brought to the attention of OPM. In turn, the OPM point of contact responds to the inquiry. Further, if there are questions regarding the FEVS data, the Department works with the OPM point of contact to obtain clarity. This index score is calculated by the Department by averaging the percent positive scores from OPM FEVS questions 53, 58, and 64.

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
6.2.A	Percentage of A-133 Single Audits Overdue for resolution	Office of the Chief Financial Officer's (OCFO) Audit Accountability & Resolution Tracking System (AARTS)	Calculations for this metric are determined by dividing the total number of audits that are overdue at the end of the Department's fiscal year by the total number of audits in the Department's inventory. Access rights to the AARTS database are managed by Office of the Chief Financial Officer (OCFO) and all users receive annual IT security training to help ensure data integrity. A Quality Control reviewer initiates a weekly upload of A-133 audit data to AARTS through a file submission directly from the Federal Audit Clearinghouse (FAC). An AARTS administrator (separate from the Quality Control reviewer) must verify the uploaded data with the actual audits. Data for individual programs are verified by Principal Offices (POs) through periodic review by Responsible Managers and Audit Liaison Officials. In addition, the specific data for this metric are verified by POs each month as part of monthly Dashboard reports. Data are validated by OCFO monthly. Staff work to reconcile data reported on the Dashboards with any discrepancies reported by the POs.
6.2.B	Compliance rate of contractor evaluation performance reports	Past Performance Information Retrieval System, www.ppirs.gov, "PPIRS Compliance Report"	Compliance rates of contractor performance evaluations are set by OMB and are calculated by use of a Government wide reporting tool available in the PPIRS (www.ppirs.gov). Office of the Chief Financial Officer (OCFO) and Federal Student Aid (FSA) Acquisitions staff actively monitor the PPIRS report to ensure that each contractor performance evaluation reflected on that report should appear on that report, and to rectify any errors on the report.
6.3.A	Percentage of states who annually rate the Department's technical assistance as helping build state capacity to implement education reforms.	Baseline is from the Race to the Top State Lead Survey, n=19. Future data will come from the Annual Grantee Satisfaction Survey	The source for the data is the Race to the Top (RTT) Annual Leads Survey, which was sent to all 19 Race to the Top Phase 1, 2 and 3 states. Because RTT is a discretionary program, we only surveyed grantee states who received direct technical assistance. The data collection process includes online survey software with questions in which respondents click on the appropriate response choice and data is then downloaded directly to analysis software. By configuring the online software and downloading the data directly, we reduce the opportunities for human error in data entry. Additionally, we utilize data quality assurance procedures which include having analysts review the data by hand upon download and run basic descriptive statistics to illustrate downloading issues, sample size concerns, variable integrity, data types, and other potential data concerns. We then merge with existing data files using established syntax which provides a further check to identify potential data errors. Merged data is examined again for potential data concerns. These procedures are used across a number of federal projects and are well-established and effective for verifying data integrity.
6.4.A	Number of Department IT security incidents	Operational Vulnerability Management Solution (OVMS) System	Office of the Chief Information Officer (OCIO) has standard operating procedures (SOP) to verify and validate the data: 1) OVMS SOP, 2) Incident Response Tracking SOP and 3) OVMS Checklist. This process is executed on a weekly basis.
6.4.B	EVS Results-Based Performance Culture Index	Office of Personnel Management (OPM) Federal Employee Viewpoint Survey (FEVS)	Data verification and validation process is integrated into the OPM FEVS survey results validation process. Any questionable FEVS results would be brought to the attention of OPM; the Department would then work with the OPM point of contact to obtain clarity. Data verification and validation process is integrated into the OPM FEVS survey results validation process. The Results-Oriented Performance Culture Index score is calculated by OPM by first determining the percent positive for each of the 13 items in the index. Then the unrounded percent positive scores are averaged across all index items to get the index score. The index score is then rounded for reporting purposes.
6.4.C	EVS Leadership and Knowledge Management Index		

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
6.4.D	Total usable square footage	Department's Master Space Management Plan	The Department reconciles its rent bills per building on a monthly basis. Every six months the usable square footage is verified with GSA Because usable square footage relates directly to rent costs, the Department uses the same data verification and validation procedures. Specifically, the data are collected directly from Occupancy Agreements and rent bills per building. The data are derived from historic examples and relevant experience. Department leadership has agreed to a set of assumptions by which the data are based. Leadership has reached out to subject matter experts to broaden the scope of the data set, and lower risks of missing contingencies that may affect the data. At each step, the data are reviewed independently to double check the work of each team member and provide quality control. These processes help ensure the data's completeness and reliability. For the baseline data, the Department made the following assumptions: 1) All leased buildings: 2% is applied for anticipation of CPI (Consumer Price Index) annual increases on the anniversary date of the active lease/occupancy agreement (OA); and 2.5% is applied for anticipation of annual tax increases. 2) All federal buildings: 2.5% is applied for operating cost escalations on the anniversary date of the active OA. 3) 20% is applied to all federal buildings after an OA has expired and a new OA is unavailable. (Projected increase on the appraisal.) 4) 40% is applied to all leased buildings after an OA has expired and a new OA is unavailable. (Projected increase on the market rent.) 5) If a new OA is unavailable, 3-months early rent is applied to all buildings that are relocating due to possible Department delays. Example: Changes made to the designs after Scope of Work (SOW) is completed. 6) 3-months late rent is applied to all buildings that are relocating due to possible Department delays. For example, delays in returning space back to a rentable condition. The Department reconciles its rent bills per building on a monthly basis.
6.4.E	Rent cost	Department's Master Space Management Plan	The Department reconciles its rent bills per building on a monthly basis. Data are collected directly from Occupancy Agreements and rent bills per building. The actual rent may vary significantly if the Department relocates to a new leased building and/or signs short lease extensions. The Department is leveraging the examples and experience of the mobility labs and building consolidations programs. The Department reconciles its rent bills per building on a monthly basis. Every six months, leadership will re-evaluate the data, the assumptions on which it is based, and incorporate actual costs and project schedules. These steps will become part of our quality assurance program and procedures. Leadership looks to improve completeness, reliability, and quality of the data at these milestones.

Total number of the Department's 2015 external (public-facing) metrics (indicators): 46

Appendix B: Changed Performance Goals

The *Government Performance and Results Act Modernization Act of 2010* requires agencies to "identify performance goals changed or dropped since publication of the Annual Performance Plan, if such changes were approved by OMB, and the reasons for the changes."[119]

[119] OMB Circular A-11, Preparation, Submission, and Execution of the Budget (2015), Part 6, Section 210.22 – Content for Strategic Plans, Annual Performance Plans, Annual Performance Reports.

FY 2015 EXTERNAL (PUBLIC-FACING) METRICS BEING REMOVED and NEW METRICS BEING ADDED FOR 2016

GOAL 1: POSTSECONDARY EDUCATION, CAREER AND TECHNICAL EDUCATION, AND ADULT EDUCATION. Increase college access, affordability, quality, and completion by improving postsecondary education and lifelong learning opportunities for youths and adults.

EXTERNAL METRIC NO.	METRIC (INDICATOR)	BRIEF SUMMARY FOR REMOVAL	NEW METRICS FOR 2016	NEW METRIC DATA SOURCE
1.1.A	Rate of increase in net price of public four-year institutions	The annual change is volatile, with little ability for the Department to impact it.	1.1.A Federal student loan delinquency rate	National Student Loan Data System (NSLDS)
1.1.B	Rate of increase in net price of public two-year institutions	The annual change is volatile, with little ability for the Department to impact it.	1.1.B Web traffic to the College Scorecard	Google Analytics Traffic data from College Scorecard
1.1.F	Number of data points or other information reports released on the FSA Data Center (APG)*	NA	2016 Addition	Federal Student Aid (FSA) Common Origination and Disbursement (COD) system
1.2.A	Number of low-performing institutions with high loan default rates and low graduation rates	Administratively laborious, and CDR is problematic for IHEs with small n's; Scorecard data offers better alternative.	1.2.A Pell enrollment at IHEs with high graduation rates 1.2.B Number of states that develop or strengthen career pathways policies, guidance, and or legislation	Data from College Scorecard Development data from the National Skills Coalition, possibly supplemented with data from the Association of State Legislators and CLASP
1.3.B.	Retention rate of first-time degree seeking undergraduates: Full-time	The annual change is volatile, with little ability for the Department to impact it.	1.3.B Enrollment in IHEs where students' median earnings 10 years after entering college are below a minimum earnings threshold	Data from College Scorecard
1.3.C	Retention rate of first-time degree seeking undergraduates: Part-time	The annual change is volatile, with little ability for the Department to impact it.	1.3.C Free Application for Federal Student Aid (FAFSA) Renewal Rate	FSA's Common Origination and Disbursement (COD) system

* APG = Agency Priority Goal

GOAL 2: ELEMENTARY AND SECONDARY EDUCATION. Improve the elementary and secondary education system's ability to consistently deliver excellent instruction aligned with rigorous academic standards while providing effective support services to close achievement and opportunity gaps, and ensure all students graduate high school college- and career-ready.				
EXTERNAL METRIC NO.	**METRIC (INDICATOR)**	**BRIEF SUMMARY FOR REMOVAL**	**NEW METRIC(s) FOR 2016**	**NEW METRIC DATA SOURCE**
2.4.B	Percentage of Cohort 1 priority schools that have met the state exit criteria and exited priority school status	The baseline data (FY 2014 actual) were generated by comparing the list of schools flagged by States as "priority" or "focus" schools in the given academic year to the schools flagged by the State in the prior year. Any school that was not re-flagged was considered to have met the State's exit criteria. The Department questions the usefulness of these data given that (1) States did not have consistent timelines, either within the State or across States, for beginning implementation in Cohort 1 schools; (2) while States flag schools as "priority" or "focus" schools, they did not flag which cohort these schools belong; and (3) States have made policy changes (e.g., changes in exit criteria, allowing schools to not be labeled "priority" schools while continuing to implement interventions) during the period of implementation. As a result, the information extrapolated from these data are likely to be inconclusive.	2.4.B Percentage of SIG schools in Cohort 5 that are above the 25th percentile in mathematics, as measured by their state assessment	Analytic dataset produced by the contractor for the SIG National Summary, because this provides an accurate list of SIG schools and flags for different exclusions that we are included in the analysis. (The analytic dataset is a combination of ED*Facts* student achievement files in Math and Reading, the NCES Common Core of Data, SIG lists provided to ED*Facts* by OSS, and Exclusions that are generated by the contractor that apply to these results.)
2.4.C	Percentage of Cohort 1 focus schools that have met the state exit criteria and exited focus school status		2.4.C Percentage of SIG schools in Cohort 5 that are above the 25th percentile in reading / language arts, as measured by their state assessment	

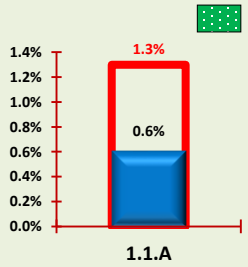
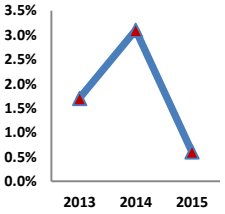
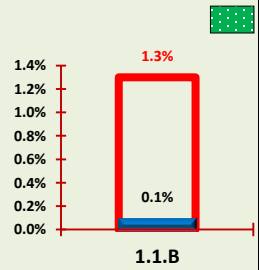
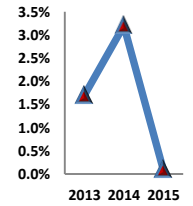
GOAL 3: EARLY LEARNING. Improve the health, social-emotional, and cognitive outcomes for all children from birth through 3rd grade, so that all children, particularly those with high needs, are on track for graduating from high school college- and career-ready.				
EXTERNAL METRIC NO.	**METRIC (INDICATOR)**	**BRIEF SUMMARY FOR REMOVAL**	**NEW METRIC(s) FOR 2016**	**NEW METRIC DATA SOURCE**
3.1.A	Number of states with Quality Rating and Improvement Systems (QRIS) that meet high quality benchmarks for child care and other early childhood programs	This is a Health and Human Services (HHS) metric and out of the Department's control or influence. HHS reports on all states while the Department reports on 20 states.	3.1.A Percent of 4-year olds enrolled in state preschool programs (APG)* 3.1.B Number of states with high-quality preschool programs standards (APG)*	National Institute for Early Education Research (NIEER Yearbook)
3.2.B	Number of states and territories with professional development systems that include core knowledge and competencies, career pathways, professional development capacity assessments, accessible professional development opportunities, and financial supports for child care providers	This is an HHS metric and out of the Department's control or influence.	3.2.B Number of states that require a teacher with a bachelor's degree in a state preschool program	National Institute for Early Education Research (NIEER Yearbook)
GOAL 4: EQUITY. Increase educational opportunities for underserved students and reduce discrimination so that all students are well-positioned to succeed.				
4.1.B	Gap in the graduation rate between all students and students from low-income families (APG)	NA	2016 Addition	ED*Facts*
4.1.C	Number of schools that do not have a gap or have decreased the gap between all students and students from low-income families (APG)	NA	2016 Addition	ED*Facts*

GOAL 5: CONTINUOUS IMPROVEMENT OF THE U.S. EDUCATION SYSTEM. Enhance the education system's ability to continuously improve through better and more widespread use of data, research and evaluation, evidence, transparency, innovation, and technology.				
EXTERNAL METRIC NO.	**METRIC (INDICATOR)**	**BRIEF SUMMARY FOR REMOVAL**	**NEW METRIC(s) FOR 2016**	**NEW METRIC DATA SOURCE**
5.3.C	Number of reviewed studies in the What Works Clearinghouse (WWC) database	Metric is being replaced with a more meaningful metric that tracks visits versus when a study is reviewed.	5.3.C Number of visits to the What Works Clearinghouse (WWC) website	WWC website analytics provided monthly by the WWC website contractor
5.3.D	Number of completed project evaluations from grantees of select discretionary grant programs in a given fiscal year that meet What Works Clearinghouse (WWC) Evidence Standards (APG)	NA	2016 Addition	Discretionary grant slate memoranda, discretionary grant financial forecasts and reports from OCFO, the WWC Database
GOAL 6: U.S. DEPARTMENT of EDUCATION CAPACITY. Improve the organizational capacities of the Department to implement this strategic plan.				
6.1.A	Staffing gaps percentage	The metric is being replaced with a more meaningful metric that aims to measure the quality of candidates being referred for selection.	6.1.A Percent of selections made per job opportunity announcement	EDHires (Monster's electronic hiring management system)

Total number of the Department's 2015 external metrics being removed FY-end: 12

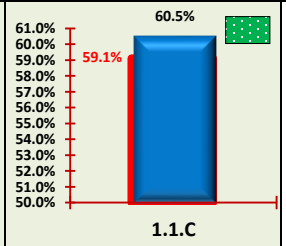
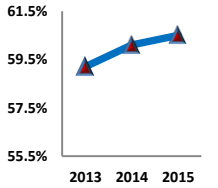
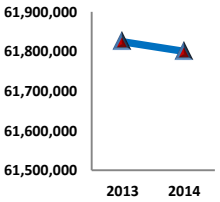
Total number of new external metrics being added in 2016: 16

Appendix C: Summary Data Table

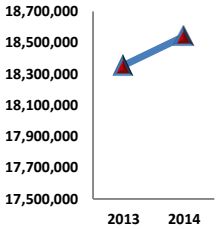
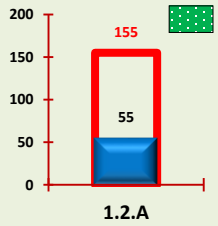
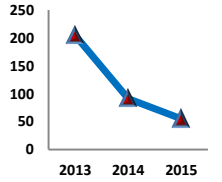
U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
1.1.A. Rate of increase in net price of public four-year institutions*	AY: 2010–11 1.7%	AY: 2010–11 1.7%	AY: 2011–12 3.1%	AY: 2012–13 0.6%	AY: 2012–13 1.3%	MET		NA	NA	
New Metric: Federal student loan delinquency rate	FY: 2015 21.7%	NA	FY: 2014 24.0%	FY: 2015 21.7%	NA	NA		+/- 3–5% over prior year's actuals	+/- 3–5% over prior year's actuals	
1.1.B. Rate of increase in net price of public two-year institutions†	AY: 2010–11 1.7%	AY: 2010–11 1.7%	AY: 2011–12 3.2%	AY: 2012–13 0.1%	AY: 2012–13 1.3%	MET		NA	NA	

* Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were 1.1% and 0.9%, respectively.

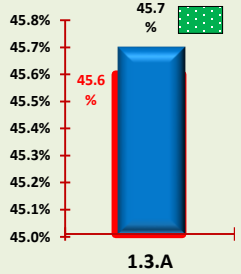
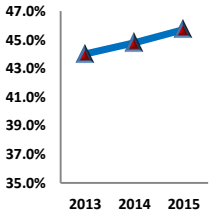
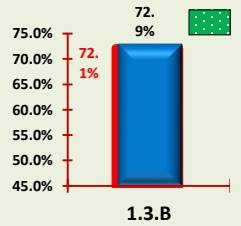
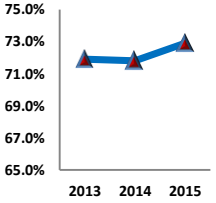
† Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were 1.1% and 0.9%, respectively.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
New Metric: Web traffic to the College Scorecard (as measured by unique visitors annually)	FY: 2015 91,011 (Excluding new Scorecard launch on Sept. 12, 2015)	NA	NA	91,011	NA	NA		1,500,000	1,800,000	
New APG Metric: Number of data points or other information reports released on the FSA Data Center*	FY: 2009–2014 12	NA	NA	12	NA	NA		15	30	
1.1.C. Percentage of high school seniors filing a FAFSA	SY: 2012–13 59.2%	SY: 2012–13 59.2%	SY: 2013–14 60.1%	SY: 2014–15 60.5%	SY 2014–15 59.1%–61.1%	MET		+/- one percentage point of prior year's actuals	+/- one percentage point of prior year's actuals	
1.1.D. Index of national aggregate annual earnings of VR consumers (based on the number of competitive integrated employment outcomes, hours worked, and hourly wages of VR consumers)	FY: 2010 $57,971,317	$61,824,728	$61,800,214†	TBD Data available Q1 FY16	$64,322,447	TBD	TBD	$65,608,896	$66,921,074	

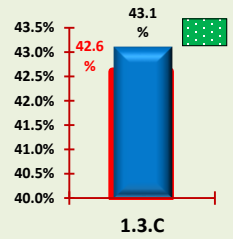
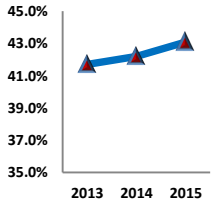
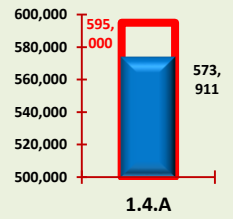
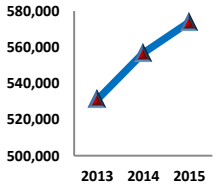
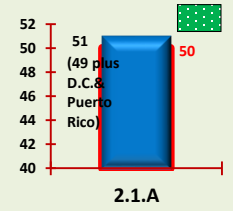
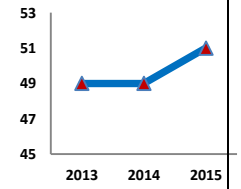
* Metric is aligned with an Agency Priority Goal (APG).
† Metric reported as TBD in the 2014 Annual Performance Report (APR). 2014 actuals show the 2014 target was "**Not Met**."

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015		Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed	Exceeded	2016	2017	
1.1.E. Index of national aggregate annual earnings of Transition-Age Youth (based on the number of competitive integrated employment outcomes, hours worked, and hourly wages of VR Transition-Age Youth)	FY: 2010 $15,971,665	$18,353,441	$18,540,576*	TBD Data available Q1 FY16	$19,094,920	TBD	TBD		$19,476,818	$19,866,354	
1.2.A. Number of low-performing institutions with high loan default rates and low graduation rates†	AY: 2010–11 205	AY: 2010–11 205	AY: 2011–12 91	AY: 2012–13 55	AY: 2012–13 155	MET			NA	NA	
New Metric: Pell enrollment at IHEs with high graduation rates‡	AY: 2013–14 24.1%	NA	NA	AY: 2013–14 24.1%	NA	NA			AY 2014–15 25.0%	AY 2015–16 26.0%	
New Metric: Number of states that develop or strengthen career pathways policies, guidance, or legislation	FY: 2015 8	NA	NA	8	NA	NA			10	37	

* Metric reported as TBD in the 2014 APR. 2014 actuals show the 2014 target was "**Not Met**."
† Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were 135 and 117, respectively.
‡ "High graduation rate" is defined as 65% or higher, which is roughly the 75th percentile.

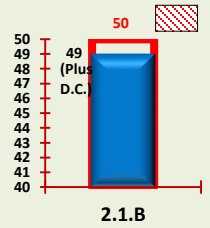
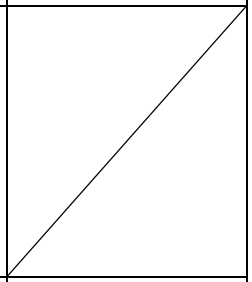
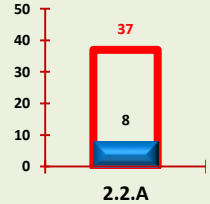
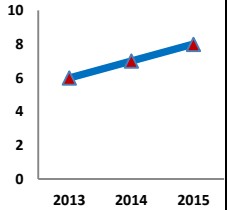
U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
1.3.A. Degree attainment among 25–34-year-old age cohort*	Current Population Survey (CPS) Year: 2012 44.0%	CPS Year: 2012 44.0%	CPS Year: 2013 44.8%	CPS Year: 2014 45.7%	45.6%	MET		46.8%	48.4%	
1.3.B. Retention rate of first-time degree-seeking undergraduates: Full-time†	AY: 2011 71.9%	AY: 2011 71.9%	AY: 2012 71.8%	AY: 2013 72.9%	72.1%	MET		NA	NA	
New Metric: Enrollment in IHEs where students' median earnings 10 years after entering college are below a minimum earnings threshold‡	AY: 2012–13 9.7%	NA	NA	AY: 2012–13 9.7%	NA	NA		9.4%	9.0%	

* Metric is aligned with an Agency Priority Goal (APG).
† Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were 72.1% and 72.3%, respectively.
‡ "Minimum earnings threshold" is defined as the median earnings above the level of an institution at the 25th percentile for students 10 years after entering college, which equals $19,000 for less-than-2-year institutions, $26,000 for 2-year institutions, and $35,000 for 4-year institutions.

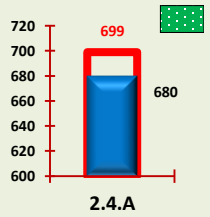
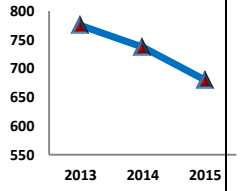
U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
1.3.C. Retention rate of first-time degree-seeking undergraduates: Part-time*	AY: 2011 41.7%	AY: 2011 41.7%	AY: 2012 42.2%	AY: 2013 43.1%	42.6%	MET		NA	NA	
New Metric: FAFSA renewal rate	FY: 2015 79%	NA	NA	FY: 2015 79%	NA	NA		+/- one percentage point over prior year's actuals	+/- one percentage point over prior year's actuals	
1.4.A. Number of STEM postsecondary credentials awarded	AY: 2010–11 531,018	AY: 2010–11 531,018	AY: 2011–12 556,696	AY: 2012–13 573,911	595,000	NOT MET		638,000	691,000	
2.1.A. Number of states/territories that have adopted college- and career-ready standards†	SY: 2012–13 49, plus DC	49, plus DC	49, plus DC and Puerto Rico	SY: 2014–15 51 (49 plus DC and Puerto Rico)	50	MET		52	52	

* Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were 42.9% and 43.5%, respectively.

† Revising metric language to include "states/territories" to align with the 2014–15 APG statement. 2014 Metric reported as "**Not Met**." However, metric was "**Met**" given the inclusion of territories to align with the APG statement.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
2.1.B. Number of states/territories that are implementing next-generation reading and mathematics assessments, aligned with college- and career-ready standards*	SY: 2012–13 0	0	0	SY: 2014–15 49 (48 plus DC)	50	NOT MET		52	52	
2.2.A. Number of states that have fully implemented teacher and principal evaluation and support systems that consider multiple measures of effectiveness, with student growth as a significant factor†	SY: 2012–13 6	6	7	8	37	NOT MET		22‡	39§	
2.3.A. Disparity in the rates of out-of-school suspensions for students with disabilities and youth of color (youth of color metric)	SY: 2011–12 10.7% point disparity	Not Collected	TBD SY 2013–14 data collected in 2015 and available in 2016	Not Collected	NA Biennial Metric			6.7% point disparity	NA Biennial Metric	

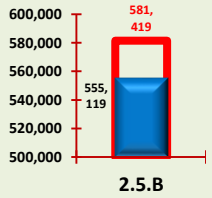
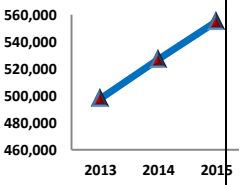
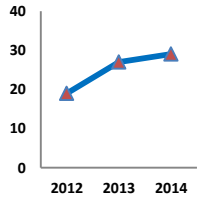
* Metric is aligned with an APG. Revising metric language to include "states/territories" to align with the 2014–15 APG statement.
† Metric is aligned with an Agency Priority Goal (APG).
‡ The out-year performance targets are revised to reflect updated information provided by states through ESEA Flexibility renewal requests regarding implementation timelines.
§ The out-year performance targets are revised to reflect updated information provided by states through ESEA Flexibility renewal requests regarding implementation timelines.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015		Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed	Exceeded	2016	2017	
2.3.B. Disparity in the rates of out-of-school suspensions for students with disabilities and youth of color (SWDs, IDEA only metric)	SY: 2011–12 5.7% point disparity	Not Collected	TBD SY 2013–14 data collected in 2015 and available in 2016	Not Collected	NA Biennial Metric				2.7% point disparity	NA Biennial Metric	
2.4.A. Number of persistently low graduation rate high schools	SY: 2011–12 775	SY: 2011–12 775	SY: 2012–13 737	SY: 2013–14 680	699	MET			5% annual reduction	5% annual reduction*	
2.4.B. Percentage of Cohort 1 priority schools that have met the state exit criteria and exited priority school status†	SY: 2013–14 NA	NA	16.3%‡	NA	15%	NA§			NA	NA	
New Metric: Percentage of SIG schools in Cohort 5 that are above the 25th percentile in mathematics, as measured by their state assessments	SY: 2013–14 19.7%	NA	NA	SY: 2013–14 19.7%	NA	NA			TBD	TBD	

* The baseline data for this performance metric were recalculated from what was reported in the FY 2013 APR and FY 2015 APP. The targets remain at a 5% reduction each year.
† Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were 20.0% and 25.0%, respectively.
‡ Metric reported as TBD in the 2014 Annual Performance Report (APR). 2014 actuals show the 2014 target was "Met."
§ The FY 2015 data for this metric are not available. Further, the Department has decided to remove this metric due to unforeseen challenges in using the data provided by states. These challenges are discussed in more detail in appendix B of this report.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015		Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed	Exceeded	2016	2017	
2.4.C. Percentage of Cohort 1 focus schools that have met the state exit criteria and exited focus school status*	SY: 2013–14 NA	NA	11.9%†	NA	15%	NA‡			NA	NA	
New Metric: Percentage of priority and SIG schools in Cohort 5 that are above the 25th percentile that show gains in student achievement in reading/language arts, as measured by their state assessments	SY: 2013–14 20.1%	NA	NA	SY 2013–14 20.1%	NA	NA			TBD	TBD	

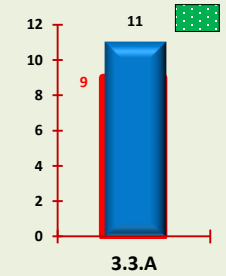
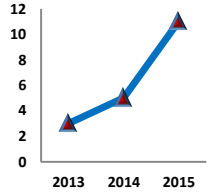
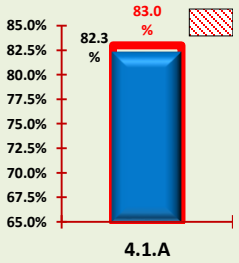
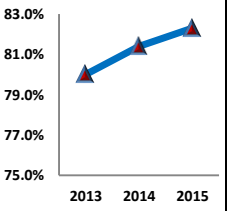
* Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were 20.0% and 25.0%, respectively.
† Metric reported as TBD in the 2014 Annual Performance Report (APR). 2014 actuals show the 2014 target was "**Met**."
‡ The FY 2015 data for this metric are not available. Further, the Department has decided to remove this metric due to unforeseen challenges in using the data provided by states. These challenges are discussed in more detail in appendix B of this report.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015		Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed	Exceeded	2016	2017	
2.5.A. Percentage of high school and middle school teachers who teach STEM as their main assignment who hold a corresponding undergraduate degree	AY: 2011–12 62.2%	Not Collected	Not Collected	Not Collected	NA	NA			65.3%	65.3%	
2.5.B. Number of public high school graduates who have taken at least one STEM AP exam	AY: 2011–12 497,922	AY: 2011–12 497,922	AY: 2012–13 527,001	AY: 2013–14 555,119	581,419	**NOT MET**			632,642	691,541	
3.1.A. Number of states with Quality Rating and Improvement Systems (QRIS) that meet high quality benchmarks for child care and other early childhood programs*	SY: 2010 17	27	29†	NA	32	NA‡			NA	NA	

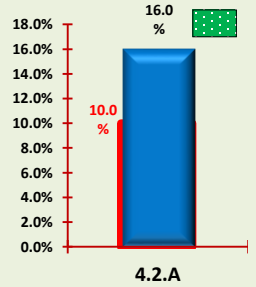
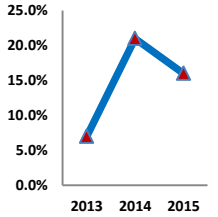
* Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were 35 and 37, respectively.
† Metric reported as TBD in the 2014 Annual Performance Report (APR). 2014 actuals show the 2014 target was "**Met**."
‡ This is a Health and Human Services (HHS) metric and out of the Department's control or influence. Please refer to footnote 66 for additional information.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015		Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed	Exceeded	2016	2017	
New APG Metric: Percent of 4-year olds enrolled in state preschool programs*	SY: 2013–14 29.1%	NA	NA	SY: 2013–14 29.1%	NA	NA			33.0%	35.0%	
New APG Metric: Number of states with high-quality preschool program standards†	SY: 2013–14 15	NA	NA	SY: 2013–14 15	NA	NA			19	21	
3.2.A. Number of states and territories with professional development systems that include core knowledge and competencies, career pathways, professional development capacity assessments, accessible professional development opportunities, and financial supports for child care providers‡	SY: 2011 30	30	Not Collected	NA	38	NA§			NA	NA	
New Metric: Number of states that require a teacher with a bachelor's degree in a state preschool program	SY: 2013–14 15	NA	SY: 2013–14 15	NA	NA	NA			19	20	

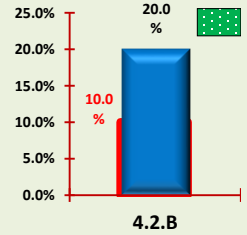
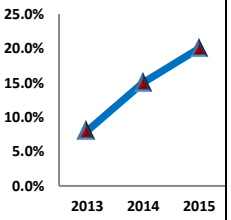
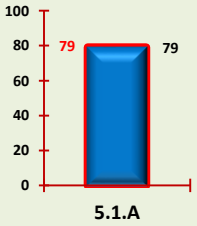
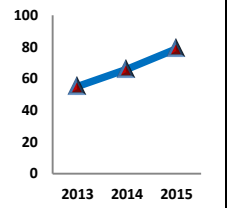
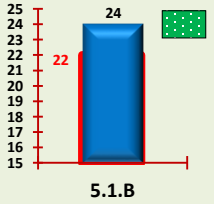
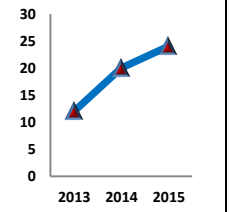
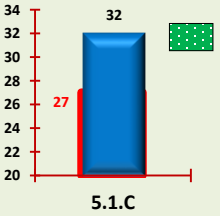
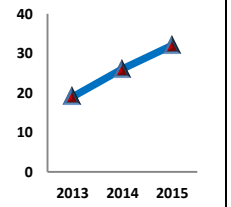
* Metric is aligned with an Agency Priority Goal (APG).
† Metric is aligned with an Agency Priority Goal (APG).
‡ Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were both NA.
§ Please refer to footnote 68.

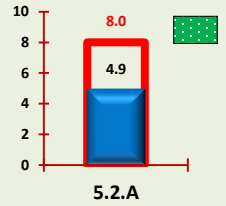
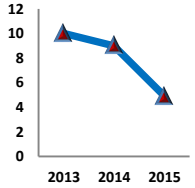
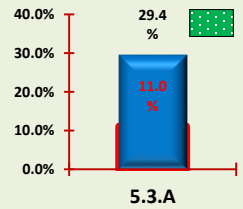
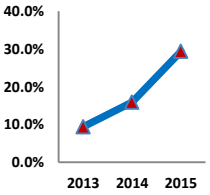
U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
3.3.A. Number of states collecting and reporting disaggregated data on the status of children at kindergarten entry using a common measure	SY: 2010 2	3	5*	11†	9	MET		14	16‡	
4.1.A. National high school graduation rate§	SY: 2011–12 80.0%	SY: 2011–12 80.0%	SY: 2012–13 81.4%	SY: 2013–14 82.3%	83.0%**	NOT MET		84.5%	85%	

* Five ELC states implemented their KEA (OR, KY, VT, MD, and OH) in the 2014–15 school year. One state (DE) had planned to implement its KEA in 2014–15 year, but later adjusted its timeline to implement during the 2015–16 school year. As such, the FY14 actual is revised from six to five states.
† Eleven ELC states (CA, CO, DE, KY, MD, MA, MI, NC, OH, OR, and VT) are implementing their KEAs in the 2015–16 school year. The remaining eight states that chose to implement KEAs (GA, IL, MN, NJ, NM, PA, RI, WA) will begin after the 2015–16 school year. Wisconsin did not select to implement a KEA, but is implementing a statewide literacy assessment and is exploring the development and use of a KEA.
‡ There will be difficulty collecting ELC data in out-years because some grantees will no longer be reporting APR data.
§ Metric is aligned with an Agency Priority Goal (APG).
** SY 2013–14 actuals are being used to compare against the FY 2015 target.

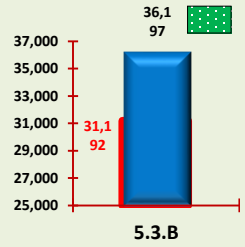
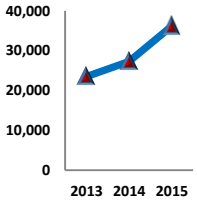
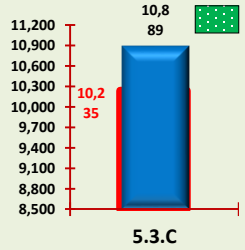
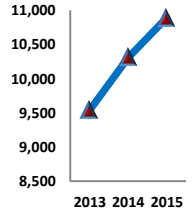
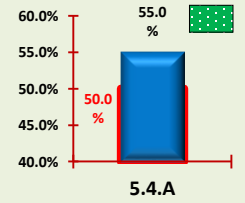
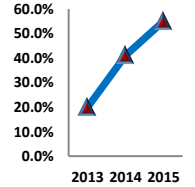
U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015		Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed	Exceeded	2016	2017	
New APG Metric: Gap in the graduation rate between students from low-income families and all students*	SY: 2013–14 7.7%	SY: 2011–12 8.3%	SY: 2012–13 8.1%	SY: 2013–14 7.7%	NA	NA			7.6%†	7.4%	
New APG Metric: Number of schools that do not have a gap or that decreased the gap between students from low-income‡ families and the state average of all students§	SY: 2013–14 80%	SY: 2011–12 77.6%	SY: 2012–13 78.8%	SY: 2013–14 80%	NA	NA			81.2%**	82.4%	
4.2.A. Percentage of proactive civil rights investigations launched annually that address areas of concentration in civil rights enforcement	FY: 2013 7%	7%	21%	16%	10%	MET			12%	15%	

* Metric is aligned with an Agency Priority Goal (APG).
† SY 2014–15 actuals are being used to compare against the FY 2016 target; FY 2016 (SY 2015–16) data not available until 2017.
‡ For purposes of this metric, eligibility for Free or Reduced Price Lunches (FRPL) under the National School Lunch Program (NSLP) is the primary source of data for identifying economically disadvantaged (low-income) students for reporting on student outcomes, including graduation rates. The Department is currently considering options for redefining "economically disadvantaged" students for student outcomes reporting and other uses. Should the Department make such a change, data on economically disadvantaged students may not be entirely comparable with data for previous years.
§ Metric is aligned with an Agency Priority Goal (APG).
** SY 2014–15 actuals are being used to compare against the FY 2016 target; FY 2016 (SY 2015–16) data not available until 2017.

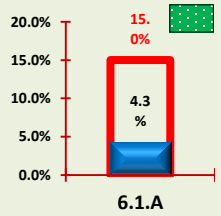
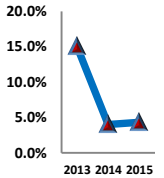
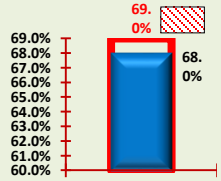
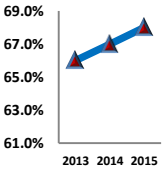
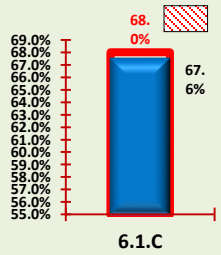
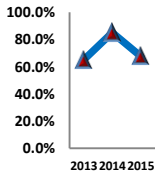
U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
4.2.B. Percentage of proactive civil rights investigations resolved annually that address areas of concentration in civil rights enforcement	FY: 2013 8%	8%	15%	20%	10%	MET		12%	16%	
5.1.A. Number of public data sets included in ED Data Inventory and thus linked to Data.gov or ED.gov websites	FY: 2013 55	55	66	79	79	MET		94	104	
5.1.B. Number of states linking K–12 and postsecondary data with workforce data	FY: 2013 12	12	20	24	22	MET		25	25	
5.1.C. Number of states linking K–12 with early childhood data	FY: 2013 19	19	26	32	27	MET		29	32	

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
5.2.A. Average time to close "cases" (PTAC + FPCO)	FY: 2013 10 days	10	9	4.9	8 days	MET		7.2*	6.48†	
5.3.A. Percentage of select new (noncontinuation) competitive grant dollars that reward evidence‡	FY: 2012 6.5%	9.35%	15.9%	29.4%	11.0%	MET		18%§	20%	
New APG Metric: Number of completed project evaluations from grantees from select discretionary grant programs in a given fiscal year that meet What Works Clearinghouse (WWC) Evidence Standards**	FY: 2015 2	NA	NA	2	NA	NA		10	20	

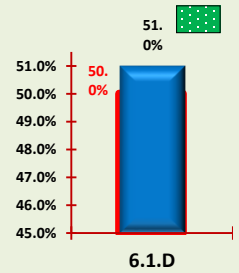
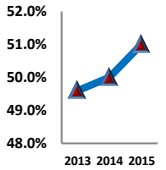
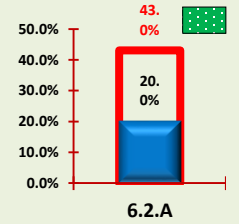
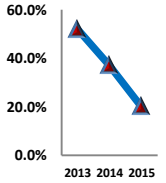
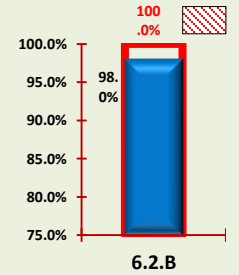
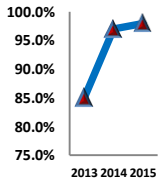
* Target is being updated to reflect the goal of a 10% reduction from the prior year.
† Target is being updated to reflect the goal of a 10% reduction from the prior year.
‡ Metric is aligned to an Agency Priority Goal (APG).
§ The out-year performance targets are increased from what was reported in the *FY 2014 Annual Performance Report and FY 2016 Annual Performance Plan*.
** Metric is aligned to an Agency Priority Goal (APG).

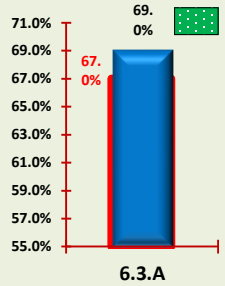
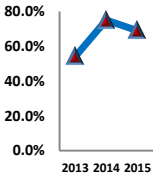
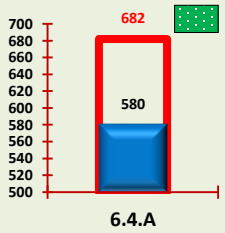
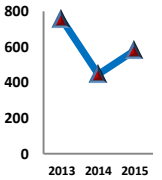
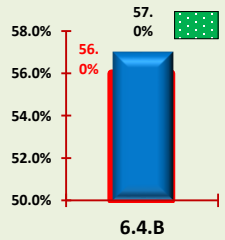
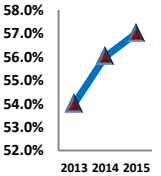
U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
5.3.B. Number of peer-reviewed, full-text resources in the Education Resources Information Center (ERIC)	FY: 2013 23,512	23,512	27,292	36,197	31,192	MET		35,692	40,892	
5.3.C. Number of reviewed studies in the What Works Clearinghouse (WWC) database*	FY: 2013 9,535	9,535	10,310	10,889	10,235	MET		NA	NA	
New Metric: Number of visits to the What Works Clearinghouse (WWC) website	FY: 2015 1,822,000	NA	NA	1,822,000	NA	NA		1,967,760	2,164,536	
5.4.A. Percentage of schools in the country that have actual Internet bandwidth speeds of at least 100 Mbps	FY: 2013 20%	20%	41%	55%	50%	MET		70%	80%	

* Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were 10,585 and 10,935, respectively.

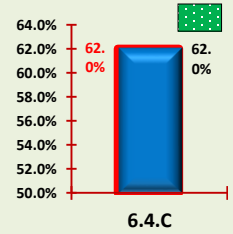
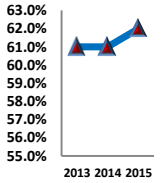
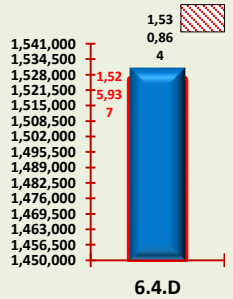
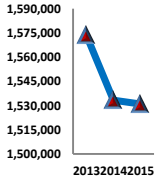
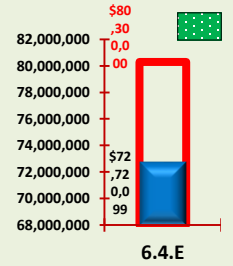
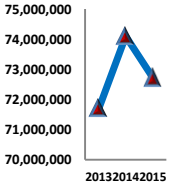
U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
6.1.A. Staffing gaps percentage*	FY: 2013 15%	15%	4%	4.3%	15%	MET		NA	NA	
New Metric: Percent of selections made per job opportunity announcement (JOA)	FY: 2015 46.4%	NA	NA	46.4%	NA	NA		48.7%	51.2%	
6.1.B. EVS Employee Engagement Index	FY: 2012 64.7%	66%	67%	68%	69%	NOT MET		71%	72%	
6.1.C. Time to hire	FY: 2013 65%	65%	85%	67.6%	68%	NOT MET		69%	70%	

* Metric being removed at the end of the FY 2015 reporting period and being replaced with the metric identified as "New Metric" directly below it. If there is no corresponding "New Metric" identified, new metric TBD. Please refer to appendix B for details pertaining to the removal and addition of metrics. The proposed FY 2016 and 2017 targets for the metric being removed were both NA.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015		Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed	Exceeded	2016	2017	
6.1.D. Effective Communication Index	FY: 2012 48%	49.6%	50%	51%	50%	MET			51%	52%	
6.2.A. Percentage of A-133 Single Audits Overdue for resolution	FY: 2012 57%	52%	37%	20%	43%	MET			37%	31%	
6.2.B. Compliance rate of contractor evaluation performance reports	FY: 2013 85%	85%	97%	98%	100%	NOT MET			100%	100%	

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
6.3.A. Percentage of states who annually rate the Department's technical assistance as helping build state capacity to implement education reforms*	FY: 2013 54%	54%	75%	69%	67%	MET		77%	85%	
6.4.A. Number of Department IT security incidents	FY: 2012 756	755	445	580	682	MET		551†	523‡	
6.4.B. EVS Results-Oriented Performance Culture Index	FY: 2012 53%	54%	56%	57%	56%	MET		57%	58%	

* In FY 2016, the metric's data source will be changed to the 2015 Grantee Satisfaction Survey. Thus, in FY 2016, the baseline and targets will be updated to reflect the change. There is also variability with this metric due to ESEA reauthorization and the impact on the programs included.
† FY 2016 target was reduced based on actual incidents reported in FY 2015 and then reducing that actual by 5%.
‡ FY 2017 target was reduced by 5% from the FY 2016 target.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2015	Out-Year Targets		Trend Line (Actuals)
		2013	2014	2015	2015		Missed / Exceeded	2016	2017	
6.4.C. EVS Leadership and Knowledge Management Index	FY: 2012 60%	61%	61%	62%	62%	MET		63%	64%	
6.4.D. Total usable square footage	FY: 2012 1,563,641	1,573,317	1,533,239	1,530,864	1,525,937	NOT MET		1,459,937	TBD	
6.4.E. Rent cost	FY: 2014 $74.3M	$71.7M	$74.1M	$72.7M	$80.3M	MET		$80,300,000	TBD	

NA = Not applicable.
TBD = To be determined.
Academic Year (AY) is a collegiate year spanning August–May; School Year (SY) spans August–July and is aligned with a P–12 school year; Fiscal Year (FY) corresponds to a federal fiscal year; Calendar Year (CY) spans January–December.

Data Sources and Frequency of Collection:

1.1.A. Integrated Postsecondary Education Data System (IPEDS); annually
1.1.B. IPEDS; annually
1.1.C. The denominator is the number of graduating seniors according to the most recent projection by the National Center for Education Statistics (NCES). The numerator is from FSA's Central Processing System and is based on the number of applications during the first nine months of the application cycle that are—as of September 30 of the first year of the application cycle—complete (not rejected); first-time filers; incoming freshmen, with or without previous college attendance; age 18 or less as of June 30 of the first year of the application cycle; reporting high school diploma attainment; and attended a high school in the fifty states and Washington, DC; annually
1.1.D. Rehabilitation Services Administration-911 (RSA-911); annually
1.1.E. RSA-911; annually
1.2.A. FSA Cohort Default Rate (CDR) Report, September 2014, and IPEDS Data Center; annually
1.3.A. NCES Digest of Education Statistics, Table 104.30 (http://nces.ed.gov/programs/digest/d13/tables/dt13_104.30.asp), Number of persons age 18 and over, by highest level of educational attainment, sex, race/ethnicity, and age: 2013. Tabulated from Current Population Survey (CPS) data, U.S. Census; annually
1.3.B. IPEDS Data Center; annually
1.3.C. IPEDS Data Center; annually
1.4.A. IPEDS Data Center; annually

2.1.A. *Elementary and Secondary Education Act* (ESEA) Flexibility Monitoring; annually
2.1.B. ESEA Flexibility Monitoring; annually
2.2.A. ESEA Flexibility Applications and Monitoring; annually
2.3.A. Civil Rights Data Collection (CRDC); biennially
2.3.B. CRDC; biennially
2.4.A. ED*Facts*; annually
2.4.B. ED*Facts*; annually
2.4.C. ED*Facts*; annually
2.5.A. Schools and Staffing Survey (SASS), NCES; quadrennially
2.5.B. College Board/AP administrative records; annually

3.1.A. Child Care Development Fund (CCDF) Report of State Plans with annual updates from states and territories (HHS/Office of Childcare); annually
3.2.A. CCDF Report of State Plans (HHS/Office of Childcare); biennially
3.3.A. Race to the Top (RTT)-Early Learning Challenge (ELC) Technical Assistance Center; annually

4.1.A. ED*Facts*; annually
4.2.A. Office for Civil Rights' (OCR) Case Management System (CMS) and Document Management (DM) systems; quarterly
4.2.B. OCR CMS and DM systems; quarterly

5.1.A. Data Strategy Team Data Inventory and the public ED Data Inventory at http://datainventory.ed.gov; quarterly
5.1.B. State Longitudinal Data Systems (SLDS) grant monitoring (monthly updates from states, annual performance reports, final performance reports, and site visits); quarterly
5.1.C. SLDS grant monitoring (monthly updates from states, annual performance reports, final performance reports, and site visits); quarterly
5.2.A. Case Tracking System (CTS); quarterly
5.3.A. Forecast Report issued by the Office of the Chief Financial Officer (OCFO) and final Funding Reports from relevant programs; annually
5.3.B. Education Resources Information Center (ERIC); quarterly
5.3.C. What Works Clearinghouse (WWC); quarterly
5.4.A. Education Superhighway (for baseline), Consortium for School Networking (CoSN)/AASA E-rate Infrastructure Survey (for FY 2014 actual data); annually

6.1.A. Mission Critical Occupation (MCO) Staffing Gap Report; quarterly
6.1.B. Office of Personnel Management (OPM) Federal Employee Viewpoint Survey (FEVS); annually
6.1.C. Federal Personnel/Payroll System (FPPS) Datamart; quarterly
6.1.D. OPM FEVS; annually
6.2.A. Office of the Chief Financial Officer's (OCFO) Audit Accountability & Resolution Tracking System (AARTS); annually

6.2.B. Past Performance Information Retrieval System (PPIRS) www.ppirs.gov "PPIRS Compliance Report"; annually
6.3.A. Baseline is from the Race to the Top State Lead Survey, n=19. Future data will come from the Annual Grantee Satisfaction Survey; annually
6.4.A. Operational Vulnerability Management Solution (OVMS) System; quarterly
6.4.B. OPM FEVS; annually
6.4.C. OPM FEVS; annually
6.4.D. Department's Master Space Management Plan; annually
6.4.E. Department's Master Space Management Plan; annually

***Note on performance metrics and targets*:** These metrics were established as a part of the *FY 2014–18 Strategic Plan*. Metrics may be updated or revised to reflect awareness of more accurate data or clarifications. Such updates or revisions are identified in footnotes.

Appendix D: Additional Programs by Goal

Most of the Department's 100-plus programs are funded through discretionary appropriation acts enacted each fiscal year. However, there are many education programs—some of them large—that are funded directly through their authorizing statutes. For many budgeting purposes, these programs are classified as mandatory. For the purposes of this document, resources by goal are discretionary funds only. Mandatory programs that contribute to each goal are listed below.

Goal 1: Postsecondary Education, Career and Technical Education, and Adult Education

Other discretionary Goal 1 programs/activities include the following:

POC	Account	Objective	Program
FSA	SFA	1	Federal supplemental educational opportunity grants
FSA	SFA	1	Federal work-study
OCTAE	HE	NA	Tribally controlled postsecondary career and technical institutions
OESE	HE	NA	Special programs for migrant students
OPE	HE	1,2,3	Aid for institutional development: Strengthening institutions
OPE	HE	1,2,3	Aid for institutional development: Strengthening tribally controlled colleges and universities
OPE	HE	1,3	Child care access means parents in school
OPE	HE		College Housing and Academic Facilities Loans Program Account: Federal administration
OPE	HE	1,2,3	Developing Hispanic-serving institutions
OPE	HE	1,2,3	Fund for the Improvement of Postsecondary Education
OPE	HE	1	Gaining early awareness and readiness for undergraduate programs (GEAR UP)
OPE	HE	3	Graduate assistance in areas of national need
OPE	HE		Historically Black College and University Capital Financing Program Account: Federal administration
OPE	HE		Historically Black College and University Capital Financing Program Account: Loan subsidies
OPE	HE		Howard University Hospital
OPE	HE	2,3	Howard University: General support
OPE	HE	NA	International education and foreign language studies: Domestic programs
OPE	HE	NA	International education and foreign language studies: Overseas programs
OPE	HE	1,2,3	Minority science and engineering improvement
OPE	HE	1,2	Model transition programs for students with intellectual disabilities into higher education
OPE	HE	1,2,3	Promoting postbaccalaureate opportunities for Hispanic Americans
OPE	HE	1,2,3	Strengthening Alaska Native and Native Hawaiian-serving institutions
OPE	HE	1,2,3	Strengthening Asian American- and Native American Pacific Islander-serving institutions
OPE	HE	1,2,3	Strengthening HBCUs
OPE	HE	1,2,3	Strengthening historically Black graduate institutions
OPE	HE	1,2,3	Strengthening Native American-serving nontribal institutions
OPE	HE	1,2,3	Strengthening predominantly Black institutions
OSERS	GU	2,3	Gallaudet University
OSERS	NTID	2,3	National Technical Institute for the Deaf

NA = Not applicable.
POC = Principal Office Component

Mandatory programs supporting Goal 1 include:

POC	Account	Objective	Program
FSA	FDSL	1	Federal Direct Student Loans Program Account: Downward modification of existing loans (non-add)
FSA	FDSL	1	Federal Direct Student Loans Program Account: Downward reestimate of existing loans (non-add)
FSA	FDSL	1	Federal Direct Student Loans Program Account: Net modification of existing loans (non-add)
FSA	FDSL	1	Federal Direct Student Loans Program Account: Net reestimate of existing loans (non-add)
FSA	FDSL	1	Federal Direct Student Loans Program Account: New net loan subsidy (non-add)
FSA	FDSL	1	Federal Direct Student Loans Program Account: Upward modification
FSA	FDSL	1	Federal Direct Student Loans Program Account: Upward reestimate of existing loans
FSA	FFEL	1	Federal Family Education Loans Liquidating Account: Pre-1992 student loans
FSA	FFEL	1	Federal Family Education Loans Program Account: Downward modification of existing loans (non-add)
FSA	FFEL	1	Federal Family Education Loans Program Account: Downward reestimate of existing loans (non-add)
FSA	FFEL	1	Federal Family Education Loans Program Account: Net modification of existing loans (non-add)
FSA	FFEL	1	Federal Family Education Loans Program Account: Net reestimate of existing loans (non-add)
FSA	FFEL	1	Federal Family Education Loans Program Account: Upward modification of existing loans
FSA	FFEL	1	Federal Family Education Loans Program Account: Upward reestimate of existing loans
FSA	FPL	1	Federal Perkins Loan Program
FSA	HEAL	1	Health Education Assistance Loans Liquidating Account
FSA	SFA	1	Federal Pell grants: Mandatory
FSA	SFA	1	Federal Pell grants: Mandatory funding for discretionary program costs
FSA	SFA	1	Iraq and Afghanistan Service Grants
FSA	TEACH	1	TEACH Grants: Downward reestimate of existing loans (non-add)
FSA	TEACH	1	TEACH Grants: Net reestimate of existing loans (non-add)
FSA	TEACH	1	TEACH Grants: New loan subsidy
FSA	TEACH	1	TEACH Grants: Upward reestimate of existing loans
OPE	HE	1,2,3	Aid for institutional development: Mandatory strengthening tribally controlled colleges and universities
OPE	HE	1,2	America's college promise (proposed)
OPE	HE		College housing and academic facilities loans liquidating account
OPE	HE		College housing loans liquidating account
OPE	HE		College opportunity and graduation bonus (proposed)
OPE	HE		Higher education facilities loans liquidating account
OPE	HE		Historically Black college and university capital financing program account: Reestimate of existing loan subsidies
OPE	HE	1,2,3	Mandatory developing HSI STEM and articulation programs
OPE	HE	1,2,3	Mandatory strengthening Alaska Native and Native Hawaiian-serving institutions
OPE	HE	1,2,3	Mandatory strengthening Asian American- and Native American Pacific Islander-serving institutions
OPE	HE	1,2,3	Mandatory strengthening HBCUs
OPE	HE	1,2,3	Mandatory strengthening Native American-serving nontribal institutions
OPE	HE	1,2,3	Mandatory strengthening predominantly Black institutions
OSERS	REHAB	1	Vocational rehabilitation, Grants to Indians
OSERS	REHAB	1	Vocational rehabilitation, state grants
SFA			CHAFL downward reestimate of loan subsidies
SFA			FDSL downward modification/negative loan subsidies
SFA			FDSL downward reestimate of loan subsidies
SFA			FFEL downward modification/negative loan subsidies
SFA			FFEL downward reestimate of loan subsidies
SFA			General receipts, not otherwise specified
SFA			HBCU capital financing downward reestimate of loan subsidies
SFA			HEAL downward reestimate of loan subsidies

POC	Account	Objective	Program
SFA			Perkins Institutional fund recall (mandatory)
SFA			Perkins loan negative loan subsidies
SFA		1	Perkins loan repayments
SFA			Proprietary receipts
SFA			Student financial assistance debt collection
SFA		1	TEACH downward modification/negative loan subsidies

Goal 2: Elementary and Secondary Education

Other discretionary Goal 2 programs/activities include the following:

POC	Account	Objective	Program
OESE	ED	NA	Comprehensive literacy development grants
OESE	ED	NA	Innovative approaches to literacy
OESE	ED	NA	State agency programs: Neglected and delinquent
OESE	I&I	NA	Advanced placement
OESE	I&I	5	Computer science for all development grants (proposed)
OESE	IA	3	Impact Aid: Construction
OESE	IA	3	Impact Aid: Facilities maintenance
OESE	IA	2,3	Impact Aid: Payments for federal property
OESE	IA	2,3	Impact Aid: Payments for federally connected children: Basic support payments
OESE	IA	2,3	Impact Aid: Payments for federally connected children: Payments for children with disabilities
OESE	SIP	NA	Education for homeless children and youths
OESE	SIP	2,3,4	Rural education
OESE	SIP		Supplemental education grants
OESE	SIP	2	Supporting effective educator development (SEED)
OESE	SSS	3	Elementary and secondary school counseling
OESE	SSS	3	Physical education program
OESE	SSS	3	School safety national activities
OII	I&I	NA	American history and civics academies
OII	I&I	NA	Arts in education
OII	I&I	1,2,3	Full-service community schools
OII	I&I	NA	Javits gifted and talented education
OII	I&I	3	Non-cognitive skills initiative
OII	I&I	2	School leader recruitment and support
OII	I&I	5	STEM master teacher corps
OII	I&I	2	Teacher quality partnerships
OII	I&I	2	Transition to teaching
OII/OESE	I&I	NA	Fund for the improvement of education: Programs of national significance
OSERS	APBH	1	American Printing House for the Blind
OSERS	SE		Education technology, media and materials
OSERS	SE	3	Parent information centers
OSERS	SE	2	Personnel preparation
OSERS	SE	2	State personnel development

NA = Not applicable.
POC= Principal Office Component

Mandatory programs supporting Goal 2 include:

POC	Account	Objective	Program
OII	I&I	5	Computer science for all (proposed)
OII	I&I	2	RESPECT: Best job in the world (proposed)

Goal 3: Early Learning

Other discretionary Goal 3 programs/activities include the following:

POC	Account	Objective	Program
OII	I&I	NA	Ready to learn programming

NA = Not applicable.
POC = Principal Office Component

Mandatory programs supporting Goal 3 include:

POC	Account	Objective	Program
OESE	I&I	3.1	Preschool for all (proposed)

Goal 4: Equity

No additional programs.

Goal 5: Continuous Improvement of the U.S. Education System

Other discretionary Goal 5 programs/activities include the following:

POC	Account	Objective	Program
IES	IES	3	National Assessment Governing Board
IES	IES	3	Special education studies and evaluations
OCTAE	CTAE	1,3	Adult education national leadership activities
OCTAE	CTAE	3	Career and technical national programs
OESE	ED	3	Evaluation
OESE	IE	2	Indian Education: National activities
OESE	SIP	1,3,4	Comprehensive centers
OSERS	SE	1,2,3,4	Technical assistance and dissemination

Goal 6: U.S. Department of Education Capacity

Mandatory programs supporting Goal 6 include:

POC	Account	Objective	Program
			Contributions

Other

Programs/activities supporting other performance metrics include:

(Dollars in millions)

POC	Account	Program	FY 2015 Appropriation	FY 2016 Appropriation	FY 2017 President's Budget
OSERS	REHAB	Assistive technology programs	33	0	0
OSERS	REHAB	Client assistance state grants	13	13	13
OSERS	REHAB	Demonstration and training programs	6	6	6
OSERS	REHAB	Helen Keller National Center for Deaf-Blind Youths and Adults	9	10	10
OSERS	REHAB	Independent living centers	78	0	0
OSERS	REHAB	Independent living services for older blind individuals	33	33	35
OSERS	REHAB	Independent living state grants	23	0	0
OSERS	REHAB	National Institute on Disability and Rehabilitation Research	104	0	0
OSERS	REHAB	Protection and advocacy of individual rights	18	18	18
OSERS	REHAB	Supported employment state grants	28	28	31
OSERS	REHAB	Training	30	30	30
		College housing and academic facilities loans program account: Reestimate of existing loan subsidies	0	0	0
TOTAL, OTHER			**375**	**138**	**143**

Note: Detail may not add to total due to rounding.

Appendix E: Summary of Performance Evaluations Conducted During FY 2015 and Expected During FY 2016–17

For a complete list of program evaluations and studies from the Office of Planning, Evaluation, and Policy Development, please visit http://www2.ed.gov/about/offices/list/opepd/ppss/reports.html. For a complete list of evaluation studies of the National Center for Education Evaluation and Regional Assistance, please visit http://ies.ed.gov/ncee/projects/evaluation/index.asp.

Evaluation Reports From FY 2015

National Center for Education Evaluation and Regional Assistance

School Choice

Evaluation of the DC Opportunity Scholarship Program: An Early Look at Applicants and Participating Schools Under the SOAR Act

1. *Study Purpose:* The April 2011 *Scholarships and Opportunities for Results Act* (SOAR Act) provided for a five-year continuation of a school choice program for low-income residents of Washington, DC. The program, still titled the Opportunity Scholarship Program (OSP), now provides annual scholarships of $8,000 (for grades K–8) or $12,000 (for grades 9–12) to enable low-income students to attend private schools in DC in lieu of the public schools already available to them. The new law also mandated another independent, rigorous evaluation of the effectiveness of the program.

2. *Key Questions Addressed:*

    - What is the impact of the OSP on student academic achievement and other measures of student success, overall and for subgroups of students identified in the statute as high priority?
    - What effect does the program have on student and parent perceptions of school safety and satisfaction, and on parents' involvement in education of their children?
    - Does the program change students' instructional environments and opportunities?

3. *Design:* The evaluation will primarily compare outcomes of approximately 1,800 student applicants randomly assigned by lottery to either receive a scholarship or not receive a scholarship. Lotteries of program applicants were conducted in spring 2012 (cohort 1), spring 2013 (cohort 2), and spring 2014 (cohort 3). Data will be collected for three follow up years for each of the cohorts and, for students in both the scholarship and nonscholarship groups. The contractor will administer academic assessments, and conduct student, parent, and principal surveys each spring (spring 2013–16). Prior to the first impact report, descriptive reports based on application forms parents filled out when they applied to the OSP,principal surveys, and extant data will be released.

4. *Estimated or Actual Completion Date*: The first descriptive report—describing the characteristics of participating schools and program applicants—was released in October 2014. A second descriptive report is scheduled for release in early 2016 and a third in early spring 2016. The first impact report is scheduled for completion in summer 2016.

5. *Key Findings from the First Report:*

   - Just over half of all DC private schools participated in the OSP, with current schools more likely to have published tuition rates above the OSP scholarship amounts than did participating schools in the past.
   - OSP applicants under the SOAR Act represent between 3 and 4 percent of the estimated 53,000 children in DC who meet the eligibility criterion.
   - A number of awarded scholarships go unused, with students from disadvantaged schools and families using awarded scholarships at lower rates than others.

6. *Link to Additional Information:* http://ies.ed.gov/ncee/pubs/20154000/pdf/20154000.pdf

Students with Disabilities

School Practices and Accountability for Students with Disabilities

1. *Study Purpose:* The focus of this study was on the inclusion of students with disabilities (SWDs) in school accountability systems and the variation in school practices in schools accountable and schools not accountable for the performance of the SWDs subgroup under the *Elementary and Secondary Education Act* (ESEA).

2. *Key Questions Addressed:*

   - To what extent are schools accountable for the performance of the SWDs subgroup, and how does this accountability vary across schools and over time?
   - To what extent have schools accountable for the SWDs subgroup been identified as needing improvement?
   - How does school accountability for the SWDs subgroup relate to regular and special education practices for SWDs?

3. *Design:* The evaluation relied on descriptive statistics to study patterns of school accountability across states and over time and to examine how school practices vary with school accountability for the SWDs subgroup. Data sources for the evaluation include extant data from the Department's ED*Facts* database and 2011 surveys of principals and special education designees from elementary and middle schools in 12 states.

4. *Estimated or Actual Completion Date:* The first two research questions for the study were addressed in an interim report released in May 2012 and an update of the 2012 interim report released in October 2013. A third report, addressing the third research question, was released in February 2015.

5. *Key Findings:* This report addressed the first two key questions listed above for this study:

   - Across the 44 states with relevant data and DC, 35 percent of public schools were accountable for the performance of the SWDs subgroup in the 2009–10 school year, representing 59 percent of SWDs in those states. In those same 44 states and DC, 62 percent of middle schools were accountable for SWDs performance, while 32 percent of elementary schools and 23 percent of high schools were accountable.

- In 31 states with relevant data, 56 percent of public schools were not accountable for the SWDs subgroup in any of the 4 years examined, in comparison with 23 percent of schools that were consistently accountable in each of the 4 years.
- Among schools that were consistently accountable for the performance of the SWDs subgroup across 22 states during the 4 years, 56 percent were never identified for school improvement over this time period. By comparison, among schools that were consistently not accountable for SWDs subgroup performance in these states, 80 percent were never identified for improvement.
- When surveyed in 2011, elementary schools accountable for the SWDs subgroup were 15.8 percentage points more likely than never-accountable elementary schools to report moving SWDs from self-contained settings to regular classrooms over the previous five years. Middle schools accountable for the SWDs subgroup were 16.7 percentage points more likely than never-accountable middle schools to report moving SWDs from self-contained settings to regular classrooms over the previous five years.

6. *Link to Additional Information:* http://ies.ed.gov/ncee/pubs/20154006/

Evaluation of the Teacher Incentive Fund: Implementation and Impacts of Pay-for-Performance After Two Years

1. *Study Purpose:* The Teacher Incentive Fund (TIF) is authorized by Title V, Part D of ESEA and annual appropriations acts. The purpose of the TIF program is to develop and implement performance-based compensation systems (PBCSs) for teachers, principals, and other personnel in high-need schools. Research indicates that high quality teachers are critical to raising student achievement in low-performing schools, but schools most in need often have difficulty in attracting and retaining high-quality teachers. Performance pay is a policy promoted by the TIF program to improve the quality of teachers in high-need schools. This evaluation studies performance pay that provides substantial and differentiated bonus pay to high-performing teachers in low-performing schools with high-need students.

2. *Key Questions Addressed:*

   - What are the characteristics of all TIF districts and their performance-based compensation systems? What implementation experiences and challenges did TIF districts encounter?
   - How do teachers and principals in schools that did or did not offer pay-for-performance bonuses compare on key dimensions, including their understanding of TIF program features, exposure to TIF activities, allocation of time, and attitudes toward teaching and the TIF program?
   - What is the impact of pay-for-performance bonuses on students' achievement on state assessments of math and reading?

3. *Design:* Study schools were randomly assigned within a grant to either implement all components of the PBCS or the PBCS with a 1 percent across-the-board bonus in place of the differentiated effectiveness incentive component of the PBCS. Data collection will include a grantee survey, a survey of teachers and principals, teacher and principal school assignment records, student record information (such as student demographics and student test scores), and grantee interviews to document implementation information, as well as to conduct impact analyses.

4. *Estimated or Actual Completion Date:* A report on the implementation and early impacts after one year was released in September 2014. The second report on the ongoing implementation and impacts after two years was released in September 2015.

5. *Key Findings:* The main findings among all TIF districts with 2010 awards are:

   - Ninety percent of all TIF districts in 2012–13 reported implementing at least 3 of the 4 required components for teachers, and only about one-half (52 percent) reported implementing all four. This was a slight improvement from the first year of implementation.
   - Near the end of the second year of implementation, 65 percent of TIF districts reported that sustainability of the program was a major challenge. In contrast, no more than one-third of districts reported that other activities related to their program were a major challenge.

For the subset of 10 districts that agreed to participate in a random assignment study, key findings on the effect of pay-for-performance on educators include the following:

   - Few evaluation districts structured pay-for-performance bonuses to align well with TIF guidance in the grant competition notice.
   - Educators' understanding of key program components improved from the first to the second year, but many teachers still did not understand that they were eligible for a bonus. They also continued to underestimate how much they could earn from performance bonuses.
   - Offering educators pay-for-performance had small, positive impacts on their students' reading achievement; impacts on students' math achievement were not statistically significant but similar in magnitude.

6. *Link to Additional Information:* http://ies.ed.gov/ncee/pubs/20154020/

New Findings on the Retention of Novice Teachers from Teaching Residency Programs

1. *Study Purpose:* Teaching Residency Programs (TRPs) involve a year-long "clinical" experience (the "residency") shadowing and co-teaching with an experienced mentor. TRPs also provide continued support and mentoring after participants become teachers of record. Before and during their residencies, participants in TRPs take coursework. The evaluation of TRPs, which focused on residency programs that received grants from the Teacher Quality Partnership (TQP) program, provides important descriptive and implementation information on TRPs, as well as information on the teacher retention outcomes of teachers who participate in TRPs.

2. *Key Questions Addressed:*

   - What are the characteristics of TRPs (e.g., length of overall program, criteria for selecting program participants)? What are the characteristics of participants in TRPs?
   - What are the retention rates of novice TRP teachers and their novice colleagues who did not go through TRPs?

3. *Design:* Descriptive information concerning TQP grantees operating TRPs was collected through a survey administered in spring 2012. More detailed implementation information was collected through TRP program director interviews and surveys of residents and

mentors, conducted within a subset of TRPs during spring 2012. Teacher mobility was tracked through district records and teacher surveys in order to examine retention in the profession, district, and school, among novice TRP and novice non-TRP teachers in a subset of six districts.

4. *Estimated or Actual Completion Date:* A study report was released in November 2014. The follow-up evaluation brief was released in August 2015.

5. *Key Findings:* The study's evaluation brief updates the retention findings included in the study's report. It examines the rates at which the residency teachers were retained in the same district and the same school as of fall 2013, thereby tracking two successive cohorts of teachers into their third or fourth year as a teacher of record. It found that:

   - TRP teachers were more likely to remain teaching in the same district than non-TRP teachers with similar teaching placements. Eighty-two percent of residency teachers and 72 percent of other teachers remained in the same district from spring 2012 to fall 2013.
   - School-retention rates were similar between the two groups of teachers. Approximately 61 percent of teachers in both groups remaining in the same school from spring 2012 to fall 2013.
   - TRP teachers who moved to different schools in the same district tended to join ones where a similar proportion of students were from low-income families, a lower percentage were black, and achievement was higher.

6. *Link to Additional Information:* http://ies.ed.gov/ncee/pubs/20154015/

Teaching Residency Programs: A Multisite Look at a New Model to Prepare Teachers for High-Need Schools

1. *Study Purpose:* Teaching Residency Programs (TRPs) involve a year-long "clinical" experience (the "residency") shadowing and co-teaching with an experienced mentor. TRPs also provide continued support and mentoring after participants become teachers of record. Before and during their residencies, participants in TRPs take coursework. The evaluation of TRPs, which focused on residency programs that received grants from the Teacher Quality Partnership (TQP) program, provides important descriptive and implementation information on TRPs, as well as information on the teacher retention outcomes of teachers who participate in TRPs.

2. *Key Questions Addressed:*

   - What are the characteristics of TRPs (e.g., length of overall program, criteria for selecting program participants)? What are the characteristics of participants in TRPs?
   - What are the retention rates of novice TRP teachers and their novice colleagues who did not go through TRPs?

3. *Design:* Descriptive information concerning TQP grantees operating TRPs was collected through a survey administered in spring 2012. More detailed implementation information was collected through TRP program director interviews and surveys of residents and mentors, conducted within a subset of TRPs during spring 2012. Teacher mobility was tracked through district records and teacher surveys in order to examine retention in the profession, district, and school, among novice TRP and novice non-TRP teachers in a subset of six districts.

4. *Estimated or Actual Completion Date:* The study report was released in November 2014. A follow-up evaluation brief was released in August 2015.

5. *Key Findings:* The study's report provides descriptive information regarding residency programs' activities and participants. It also examines early teacher retention outcomes. It found that:

   - The residency programs provided a fieldwork experience, typically with a trained and experienced mentor teacher, along with integrated coursework. On average, teaching residents reported being fully in charge of instruction for 21 days during the first half of the residency and 37 days during the second half. Most mentor teachers had substantial teaching experience (10 years, on average), were trained by the residency program (averaging 37 hours of training), and had prior mentoring experience (an average of 3.5 semesters). The residency programs included the equivalent of 10 courses on average, and most residents (83 percent) reported that their fieldwork reinforced what they learned in their coursework.
   - The residency programs somewhat broadened the pool of people entering the teaching profession in the participating districts. Novice teachers from the residency programs were more likely to report having worked in a full-time job other than teaching as compared to novice teachers from other preparation programs (72 percent versus 63 percent). However, the groups had similar demographic characteristics (sex, race/ethnicity, and age).
   - Novice teachers from residency programs had similar retention rates to other novice teachers. Approximately 90 percent of teachers from both groups reported staying in the same district from spring 2012 to fall 2012; about 5 percent were no longer teaching.

6. *Links to Additional Information:* http://ies.ed.gov/pubsearch/pubsinfo.asp?pubid=NCEE20154002

Other

Are Low-Performing Schools Adopting Practices Promoted by School Improvement Grants (SIGs) ?

1. *Study Purpose:* The SIG program is authorized through Title I of ESEA and provides 3-year awards to support turnaround in the nation's persistently lowest-achieving schools. In FY 2009, the $546 million SIG appropriation was supplemented by $3 billion through the *American Recovery and Reinvestment Act of 2009* (Recovery Act), for a total of $3.5 billion. SIG funds are distributed to states by formula based on Title I allocations. States then competitively award funds to districts applying on behalf of their eligible schools. Schools receiving SIG must implement one of four prescriptive intervention models: turnaround, transformation, closure, or restart. Previous research provides evidence that low-performing schools adopt some practices promoted by the four models, but little is known about how schools combine these practices. This study describes the individual SIG-promoted improvement practices adopted by low-performing schools.

2. *Key Questions Addressed:* This report describes both the individual SIG-promoted improvement practices and the combinations of these practices that low-performing schools reported adopting.

3. *Design:* Findings are based on spring 2013 survey responses from 480 school administrators in 60 districts and 22 states. The 480 schools are all low-performing schools, with some receiving SIG and others not.

4. *Estimated or Actual Completion Date:* The report was released in October 2014.

5. *Key Findings:*

   - Schools on average reported adopting 20 of 32 improvement practices promoted by the SIG transformation or turnaround models.
   - No school reported adopting all practices required under the transformation or turnaround models.
   - More than 96 percent of schools reported adopting each of the three most commonly adopted individual practices: using data to inform and differentiate instruction, increasing technology access for teachers or using computer-assisted instruction, and providing ongoing professional development that involves teachers working collaboratively or is facilitated by school leaders.
   - For 16 of the 32 practices examined, schools implementing a SIG model were statistically significantly more likely than schools not implementing one to report adopting that practice.
   - Almost every school reported adopting a unique combination of practices, but certain practices (for example, the three most commonly adopted practices listed above) were much more likely than others (for example, using financial incentives to recruit and retain effective teachers and principals) to be included in these combinations.

6. *Link to Additional Information:* http://ies.ed.gov/ncee/pubs/20154001/

Building Teacher Capacity to Support English Language Learners in Schools Receiving SIGs

1. *Study Purpose:* SIGs are authorized by Title I, Section 1003(g) of the ESEA. The purpose of the grants—awarded based on the Title I funding formula to states, which then competitively distribute the funds to districts applying on behalf of their eligible schools—is to support the turnaround of the nation's persistently lowest-achieving schools. To qualify for the three-year grant, schools must (among other requirements) be willing to implement one of four prescribed intervention models: turnaround, restart, closure, or transformation. About $546 million was allocated in FY 2009 for SIG with a supplement of $3 billion from the Recovery Act. With the possibility of rollover funds, this amounts to a $3.5 billion injection into the SIG program during the 2010–11, 2011–12, and 2012–13 school years. This study will provide descriptively rich, primarily qualitative information for a small set of SIG schools with high proportions of English Language Learner (ELL) students that are receiving SIG in the first cohort to implement an intervention model beginning in the 2010–11 school year.

2. *Key Questions Addressed:* This brief describes the efforts of SIG schools with high proportions of ELLs to improve teachers' capacity for serving ELLs through staffing strategies and professional development.

3. *Design:* This study employs a school-level case study design. A sample of 11 SIG schools with high percentages of ELLs (a median of 45 percent ELs) was purposively selected from four states to represent a range of geographic regions, urbanicities, school sizes,

racial/ethnic compositions, socioeconomic statuses, SIG intervention models, and SIG funding levels, among other factors. Findings are based on ELL case study data collected in fall 2011, spring 2012, and fall 2012.

4. *Estimated or Actual Completion Date:* The report was released in November 2014.

5. *Key Findings:*

   - Few schools reported leveraging staffing strategies to improve teacher capacity for serving ELLs. Administrators in 3 of the 11 schools reported considering ELL expertise and experience when hiring classroom teachers, while respondents in 2 of the 11 schools reported that teachers' ELL expertise and experience purposefully factored into assignment of teachers to specific classrooms.
   - Most teacher survey respondents (54 to 100 percent) in all 11 schools reported participating in ELL-related PD during the 2011–12 school year. On average, teachers reported that ELL-related PD accounted for less than 20 percent of their total PD hours.
   - Teacher survey respondents in schools that reported a greater PD focus on ELL-related topics, such as instructional strategies for advancing English proficiency or instructional strategies to use for ELLs within content classes, also generally appeared more likely to report that PD improved their effectiveness as teachers of ELLs.

6. *Link to Additional Information:* http://ies.ed.gov/ncee/pubs/20154004/

Evaluation of the Regional Educational Laboratories: Final Report

1. *Study Purpose:* The Regional Educational Laboratories (RELs) are a networked system of 10 organizations that serve the educational needs of 10 designated regions across the United States. The Department is authorized by the *Education Sciences Reform Act* (ESRA) to award contracts to 10 RELs to support applied research, development, wide dissemination, and technical assistance activities. The REL program is administered by the Knowledge Utilization Division of NCEE. The FY12 appropriation for the REL program was $57.426 million. The national evaluation of the RELs is mandated under ESRA.

2. *Key Questions Addressed:*

   - What activities did the RELs undertake to fulfill the missions specified in ERSA?
   - What were the technical quality and relevance of REL Fast Response Project reports published by IES and of the corresponding proposals?
   - What were the technical quality and relevance of REL impact study reports published by IES and of the corresponding proposals?
   - How relevant and useful were the REL technical assistance products to the needs of the states, localities, and policymakers in their regions?

3. *Design:* This descriptive study relied on a combination of extant data, FY 2010 interviews with REL directors, and FY 2012 surveys of potential REL customers from state and local education agencies. Panels of experts met during FY 2010 and FY 2012 and rated the quality and relevance of REL Fast Response Project proposals and final reports and REL impact study proposals and final reports.

4. *Estimated or Actual Completion Date:* An interim report, based on interviews with REL directors and expert reviews of REL Fast Response Projects (FRPs), was released in September 2013. A final report, including findings from surveys of REL customers and expert reviews of REL impact studies, was released in April 2015.

5. *Key Findings from the Interim and Final Reports:*

   - REL staff members reported activities under each of the ten missions of the REL program specified in ESRA. The statement of work (SOW) for the REL contracts in place between 2006 and 2011 aligned explicitly with six of the ten statutory missions for the REL program. Four additional statutory missions were not explicitly in the SOW for the RELs, but RELs reported activities under those missions as well.
   - By December 1, 2009, the ten RELs had submitted 297 proposals to IES to conduct FRPs, of which 46 percent (137) were accepted for performance under the REL contracts.
   - The IES-published FRP reports received a mean quality rating of 3.81 on a 5-point scale, while the corresponding proposals received a mean quality rating of 3.24. Both of these means fell between the categories of “adequate” and “strong” quality.
   - The IES-published FRP reports received a mean relevance rating of 3.64 on a 5-point scale, while the corresponding proposals received a mean relevance rating of 3.39. Both of these means fell between the categories of “adequate” relevance and “relevant.”
   - Expert panelists rated the 8 impact study reports selected for review as, on average, between “strong” and “very strong” in quality (4.10 on a 5-point scale, with 5 being the highest value), and between “relevant” and “very relevant” (4.06 on a 5-point scale).
   - Eighty-six percent of state educational agency administrators and 52 percent of school district administrators reported being “very familiar,” “somewhat familiar,” or “a little familiar” with the REL program.
   - Fifty percent of state administrators and 26 percent of district administrators who were at least “a little familiar” with the REL program were “very satisfied” with it.

6. *Link to Additional Information:* http://ies.ed.gov/ncee/pubs/20154008/

State Capacity to Support the Turnaround of Low-Performing Schools

1. *Study Purpose:* One objective of the Department’s SIG and Race to the Top (RTT) program is to help states enhance their capacity to support the turnaround of low-performing schools. This capacity may be important, given how difficult it is to produce substantial and sustained achievement gains in low-performing schools. There is limited existing research on the extent to which states have the capacity to support school turnaround and are pursuing strategies to enhance that capacity. This report documents states’ capacity to support school turnaround as of spring 2012 and spring 2013. It examines capacity issues for all states and for those that reported both prioritizing turnaround and having significant gaps in expertise to support it.

2. *Key Questions Addressed:* This report documents states’ capacity to support school turnaround as of spring 2012 and spring 2013. It examines capacity issues for all states and for those that reported both prioritizing turnaround and having significant gaps in expertise to support it.

3. *Design:* Findings are based on interviews in spring 2012 and 2013 with administrators from 49 states and the District of Columbia (12 Round 1 and 2 RTT states, 7 Round 3 RTT states, and 31 non-RTT states).

4. *Estimated or Actual Completion Date:* The report was released in May 2015.

5. *Key Findings:*

   - More than 80 percent of states made turning around low-performing schools a high priority, but at least 50 percent found it very difficult to turn around low-performing schools.
   - 38 states (76 percent) reported significant gaps in expertise for supporting school turnaround in 2012, and that number increased to 40 (80 percent) in 2013.
   - More than 85 percent of states reported using strategies to enhance their capacity to support school turnaround, with the use of intermediaries decreasing over time and the use of organizational or administrative structures increasing over time.
   - States that reported both prioritizing school turnaround and having significant gaps in expertise to support it were no more likely to report using intermediaries than other states but all 21 of these states reported having at least one organizational or administrative structure compared with 86 percent (25 of 29) of all other states.

6. *Link to Additional Information:* http://ies.ed.gov/ncee/pubs/20154012/

State, District, and School Level Implementation of Reforms Promoted Under the Recovery Act

1. *Study Purpose:* The Recovery Act provided an unprecedented $100 billion of funding for the Department. While the initial goal of this money was to deliver emergency funding for education and government services, the Recovery Act is also being used as an opportunity to spur innovation and reform at different levels of the education system. In turn, the Recovery Act provides a unique opportunity to foster school improvements and to learn from reform efforts. Although funds are being distributed through different grant programs, their goals and strategies are complementary, if not overlapping, as are likely recipients. For this reason, data collection and analysis took place across grant programs (i.e., was "integrated"), rather than separately for each set of grantees, allowing for a broad assessment of the Recovery Act as a whole. The Department seeks to understand through this evaluation how states, districts, and schools are working to implement the education reforms promoted by the Recovery Act.

2. *Key Questions Addressed:*

   Funding report:

   - At the state and local levels, who were the recipients of Recovery Act funds? To what extent did child poverty, state fiscal condition, student achievement, and other variables relate to funding?

   Interim and final reports:

   - To what extent were states, districts, and schools implementing the key education reform strategies promoted by the Recovery Act in 2010–11 in the areas of standards

and assessment, data systems, educator workforce development, and support for low performing schools?

- To what extent did 2010–11 implementation of key education reforms reflect progress since the Recovery Act funds were initially distributed in 2009–10?
- What were the greatest challenges experienced by states, districts, and schools working to implement key education reforms in the 2010–11 school year?

3. *Design:* This study is primarily based on data from surveys of all 50 state education agencies (SEAs) and DC, and a nationally representative sample of school districts administered between spring 2011 and 2012. Survey respondents were the chief state school officer or other state agency officials designated by the chief as most knowledgeable about the topics in the survey. Descriptive and correlational analyses are used to answer the study's research questions.

4. *Estimated or Actual Completion Date:* A first report, titled "State and District Receipt of Recovery Act Funds," was released in 2012. An interim report focused on state level implementation was released in January 2014. The final report focused on state, district, and school level implementation was released in September 2015.

5. *Key Findings:*

   - At the state level, there was progress from 2009–10 to 2011–12 in each of the four areas of reform examined. Among the reforms measured, progress was greatest for SEA support for use of student achievement gains for principal evaluation (from 6 in 2009–10 to 22 in 2011–12). However, in 2011–12 many more SEAs were carrying out reforms related to standards and assessments than were carrying out reforms related to educator evaluation and compensation or improving low-performing schools.
   - At the district and school levels, progress was uneven and varied by the reform area being examined. During the study period, there was an increase in the percentage of districts and schools that reported implementing standards-and-assessments-related reforms. However, there was a decrease in the percentage of districts that reported implementing reforms related to educator evaluation and compensation, and at the school level, implementation of these reforms largely remained flat. School-level but not district-level progress was seen for data-system-related reforms.
   - Across all levels, the most frequently reported reform implementation challenges were related to educator evaluation and compensation. The majority of SEAs reported difficulty measuring student growth for teachers of subjects with no standardized tests as a major challenge. Large percentages of districts and schools rated insufficient funding to provide performance-based compensation or differentiated compensation as major challenges.

6. *Link to Additional Information:* http://ies.ed.gov/ncee/pubs/20154016/

Usage of Policies and Practices Promoted by Race to the Top and SIGs

1. *Study Purpose:* RTT and SIG are signature Department programs in the Obama Administration, and both programs received substantial funding through the Recovery Act. As part of OMB's FY 2010 Evaluation Initiative, IES proposed to conduct an impact evaluation of the RTT and SIG programs, focusing on the initial general state competition for RTT and the first cohort of SIG schools implementing intervention models beginning in the

2010–11 school year. This is the first evaluation report of the Impact and Implementation Evaluation of RTT and SIG.

2. *Key Questions Addressed:*

   - Which policies and practices promoted by the RTT program do RTT states report using, and how do they compare to the policies and practices that non-RTT states report using?
   - Are SIG-funded schools using the improvement strategies promoted by the four SIG intervention models, and how do they compare to strategies in schools not implementing a SIG-funded intervention model?

3. *Design*: The RTT sample includes all 49 states and DC. Data from spring 2012 interviews with all states and DC will inform the first key question. The SIG sample is purposively selected and includes about 470 schools in 60 districts from 22 states. Data from spring 2012 state and district interviews, as well as spring 2012 school surveys from the SIG sample, will inform the second key question.

4. *Estimated or Actual Completion Date:* The report was released in September 2015.

5. *Key Findings:*

   - Early (Round 1 and 2) RTT states used more policies and practices than non-RTT states in five of six areas examined: state capacity, standards and assessments, data systems, teachers and leaders, and charter schools (school turnaround was the exception). Later (Round 3) RTT states used more policies and practices than non-RTT states in just one area: teachers and leaders.
   - Use of policies and practices across RTT and non-RTT states was highest in the state capacity and data systems areas and lowest in the teachers and leaders area.
   - SIG schools used more practices than non-SIG schools in all four areas examined: comprehensive instructional reforms, teacher and principal effectiveness, learning time and community-oriented schools, and operational flexibility and support.
   - Use of practices among SIG and non-SIG schools was highest in the comprehensive instructional reforms area and lowest in the operational flexibility and support area.

6. *Link to Additional Information:* http://ies.ed.gov/ncee/pubs/20154018/

Policy and Program Studies Service (PPSS)

Highly Qualified Teachers (HQT) Enrolled in Alternative Routes to Certification and Licensure

1. *Study Purpose:* Title I of ESEA requires that all teachers of core academic subjects be highly qualified—meaning they have a bachelor's degree, full state certification, and demonstrate expertise in the subject matter they teach—and that states work to ensure that poor and minority students are not taught by teachers who are inexperienced, out-of-field, or unqualified at higher rates than their peers. Under federal regulations (34 CFR § 200.56), the Department allows teachers who are enrolled in programs that provide alternate routes to certification or licensure to be considered highly qualified before meeting full state certification requirements. At the same time, alternate route programs have traditionally

been used to address shortages, which are especially acute in urban areas, special education, and in certain content areas such as mathematics and science. This congressionally mandated report examines the extent to which students in four different subgroups are taught by teachers enrolled in alternative certification programs and classified as "highly qualified" under the ESEA: (1) students with disabilities, (2) English learners, (3) students in rural areas, and (4) students from low-income families.

2. *Key Questions Addressed:*

   - What percentage of highly qualified teachers across the nation, in each state, and in each district are enrolled in an alternative certification program?
   - What percentage of highly qualified special education teachers across the nation, in each state, and in each district are enrolled in an alternative certification program?
   - What percentage of highly qualified Title III teachers across the nation, in each state, and in each district are enrolled in an alternative certification program?
   - What percentage of highly qualified teachers working in rural areas across the nation and in each state are enrolled in an alternative certification program?
   - What percentage of HQTs working in high-poverty areas across the nation and in each state are enrolled in an alternative certification program?

3. *Design:* This report provides a descriptive analysis of data collected by the Department from states in summer and fall 2014 on the numbers of all teachers, special education teachers, and Title III teachers who are enrolled in alternative certification programs and deemed highly qualified.

4. *Actual Completion Date:* The final report was released in June 2015.

5. *Key Findings:*

   - While most states employed some HQTs who were enrolled in alternative route teacher preparation programs, these teachers made up a small proportion of total HQTs, both overall as well as for the four subgroups of HQTs examined in this study.
   - Overall, across 48 states and the District of Columbia, 1.5 percent of HQTs were enrolled in alternative route programs. The average percentage of HQTs enrolled in alternative route programs was 1.9 percent for special education teachers, 1.3 percent for Title III teachers, 2.3 percent for high-poverty school districts, and 1.3 percent for rural school districts.
   - A majority of the responding states reported that less than 1 percent of all HQTs were enrolled in alternative route programs. Four states reported that none of their HQTs were in alternative route programs, while 12 states had one or more HQT subgroups in which 4 percent or more were enrolled in alternative route programs.
   - Most LEAs had no HQTs enrolled in alternative route programs. In the LEAs that did have such teachers, most had fewer than five such teachers, and they usually accounted for less than 4 percent of all HQTs in the LEA.
   - High-poverty school districts had higher percentages of HQTs enrolled in alternative route programs (2.3 percent), on average, than districts with low poverty rates (1.0 percent).

- Across all rural school districts, there was a lower percentage of HQTs enrolled in alternative route programs than in all urban districts (1.3 percent vs. 2.2 percent, respectively).

6. *Link to Additional Information:* http://www2.ed.gov/about/offices/list/opepd/ppss/reports.html#tq

State and District Implementation of Education for Homeless Children and Youth Program

1. *Study Purpose:* The Education for Homeless Children and Youth (EHCY) program provides grants to states and other grantees with the goal of ensuring that homeless children and youth have access to the same free, appropriate public education as do other children and youth. This study examined the implementation of the EHCY program at the state and school district levels based on surveys and analysis of extant data.

2. *Key Questions Addressed:*

   - How do states allocate EHCY funds?
   - What are the roles and responsibilities of the state coordinator and district liaison? What services do districts provide to homeless children and youth?
   - How do states monitor and provide technical assistance to districts as part of the EHCY program? What technical assistance needs do state coordinators and district liaisons report?
   - What data do states and districts collect about homeless children and youth?
   - What do state coordinators and district liaisons perceive as barriers to school success for homeless children and youth?

3. *Design:* The study surveyed all state coordinators for the ECHY program and a sample of 448 district liaisons of EHCY districts for the 2010–11 school years. The study also examined state-submitted data on homeless children and youth.

4. *Actual Completion Date:* The final report was released in February 2015.

5. *Key Findings:*

   - Sixteen states used a regional approach to suballocating EHCY funds; these 16 states accounted for 84 percent of all school districts that received EHCY funds and services.
   - State coordinators reported spending the most time on providing technical assistance to districts and coordinating with other organizations, while district liaisons reported spending the most time on identifying eligible students and ensuring that homeless students and families receive services.
   - District liaisons indicated that transportation, school supplies, and tutoring and supplemental instruction accounted for the largest expenditures of EHCY funds.
   - State coordinators were more likely to report using site visits and integrated monitoring visits in 2012 than in 1998, and the number who reported monitoring non-EHCY districts more than doubled.

- In addition to collecting required data such as homeless students' achievement on state assessments, many states also collected other data such as graduation rates and attendance rates.
- Barriers to school enrollment and attendance for homeless students that were most frequently identified by district liaisons were transportation and family or student preoccupation with survival needs. Other barriers included delays in obtaining school records and inability to complete school assignments because of the lack of an appropriate study area.

6. *Link to Additional Information:* http://www2.ed.gov/about/offices/list/opepd/ppss/reports.html#homeless

Evaluation of the Carol White Physical Education Program

1. *Study Purpose:* The Carol M. White Physical Education Program (PEP) provides grants to school districts or community-based organizations (CBOs) to initiate, expand, and improve physical education for students in kindergarten through grade 12. In 2010, the Department revised PEP regulations to: include an increased focus on healthy eating habits and nutrition; require projects to conduct a needs assessment, and require that districts use four designated modules of the Centers for Disease Control's School Health Index (SHI); use this assessment to develop project goals and plans to address identified weaknesses; encourage grantees to establish partnerships with community entities; encourage grantees to collect and use body mass index (BMI) data; and establish new performance measures and standard data collection methods. This report provides the results of the implementation study of the 76 projects (64 district-led and 12 CBO-led) funded by FY 2010 PEP grant awards—the first cohort of grantees under the revised PEP.

2. *Key Questions Addressed:*

   - What were the results of PEP grantees' self-assessments of their physical activity, health, and nutrition policies and practices?
   - What physical activity and nutrition policy efforts did PEP grantees report?
   - What types of physical fitness and nutrition activities did PEP grantees report?
   - What role did community partnerships play in PEP projects?
   - What were PEP grantees' experiences collecting and using BMI data?
   - What implementation challenges and lessons learned did PEP grantees report?

3. *Design:* This study used a mixed-methods research design that included surveys and case studies. Surveys of project directors were conducted in 2011 and 2013, the first and third years of the grant period. Case studies of five PEP projects (three districts and two CBOs) gathered more in-depth information from 59 interviewees regarding grantees' experiences with community partners and BMI data collection.

4. *Actual Completion Date:* The final report was released in February 2015.

5. *Key Findings:*

   - Grantees most often reported weaknesses in their policies and programs related to the Health Education (43 percent) and Physical Education (32 percent) SHI modules.

- The greatest percentage of grantees made significant changes to physical activity policies concerning the use of a standards-based sequential physical education curriculum (59 percent) and policies involving recommendations or offers of physical activity through before- or after-school programs (55 percent).
- About one-third of grantees made significant changes to nutrition policies aimed at reducing the availability of foods of minimal nutritional value, restricting the marketing of unhealthy foods at school, and requiring the adoption and implementation of strong nutritional standards for all foods sold and served in schools.
- Grantees implemented more physical fitness, physical education, and nutrition-related activities during the PEP grant compared with before receipt of the grant, particularly in the areas of improving instruction, staff professional development, student engagement in physical activity, and curricula revisions.
- The most frequently reported benefits of PEP partnerships were access to additional resources (reported by 90 percent of grantees with partnerships) and the ability to build on grantees' own knowledge bases (86 percent).
- Sixty-one percent of grantees that collected BMI data provided or planned to provide parents with information about their children's BMI scores to help them take appropriate action.
- The most common implementation challenge reported was executing the revised requirements for collecting data on the performance measures (83 percent).

6. Link to Additional Information:
   http://www2.ed.gov/about/offices/list/opepd/ppss/reports.html#safe

Summary of Performance Evaluations Expected During FY 2016 and FY 2017

National Center for Education Evaluation and Regional Assistance

Literacy

Early Childhood Language Development

1. *Study Purpose:* Differences between the reading skills of disadvantaged children and their more advantaged peers have been measured nationally as early as kindergarten entry in the Early Childhood Longitudinal Study. The focus of this evaluation is the identification of classroom practices that are associated with improved student language development and comprehension. Such practices could be used in a future rigorous evaluation of these strategies.

2. *Key Question Addressed:*

   - What classroom practices are associated with children's development of language skills, background knowledge, and comprehension in prekindergarten through third grade?

3. *Design:* The evaluation will analyze the relationships between the study's observational measures of classroom practices and direct assessments of students collected during the 2011–12 school year in 83 Title I schools.

4. *Estimated or Actual Completion Date:* The final report is expected in 2016.

5. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/literacy_lang.asp

Summary of Research Generated by Striving Readers on the Effectiveness of Interventions for Struggling Adolescent Readers

1. *Study Purpose:* Striving Readers was a discretionary grant program focused on raising reading achievement of middle school and high school students through intensive interventions for struggling readers and enhancing the quality of literacy instruction across the curriculum. The 2006 and 2009 cohorts of grantees were required to conduct rigorous, experimental evaluations. The Institute of Education Sciences (IES) provided technical assistance to support grantees in conducting evaluations that would meet What Works Clearinghouse (WWC) standards. This study also conducted a systematic review of the 17 evaluations of ten different interventions funded by Striving Readers across the 16 grants.

2. *Key Question Addressed:*

    - What do the evaluations funded by the Striving Readers program tell us about effective interventions for improving the achievement of struggling adolescent readers?

3. *Design:* The study is descriptive; it provided technical assistance to the local evaluations of Striving Readers grantees and also reviewed the completed evaluations against the WWC evidence standards. The report summaries the results of this systematic review of the evaluations.

4. *Estimated or Actual Completion Date:* The final report was released on October 27, 2015.

5. *Key Findings:*

    - Fifteen of the 17 evaluations of the interventions funded by the Striving Readers grant program met WWC evidence standards with or without reservations.
    - Based on findings from the 15 evaluations that met WWC evidence standards with or without reservations, four of the ten interventions funded by the Striving Readers grant program had positive, potentially positive, or mixed effects on reading achievement.
    - The Striving Readers studies not only expand the evidence base on effective reading interventions for adolescents but also increase the number of high quality effectiveness studies reviewed by the WWC on this topic. Three of the four interventions that had positive, potentially positive, or mixed effects on reading achievement had not previously been reviewed by the WWC.

6. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/assistance_readers.asp

Pathways to Career or College

Enhancing Advising to Improve College Fit in Upward Bound: Impacts on College Applications and Enrollment Intentions

1. *Study Purpose:* Growing concern over college enrollment and completion rates has heightened interest in cost-effective strategies to improve the outcomes of low-income

students, including those in high-profile college access programs. One aspect of this concern is that many low-income high school students fail to enroll in colleges that are well aligned with their qualifications, talents, and needs. This report provides the early impacts of a low-cost enhancement to current college advising approaches in Upward Bound that is designed to improve college fit and persistence. The approach includes professional development for Upward Bound advisors and user-friendly packets of information for students that demonstrate the value of considering a range of institutional indicators in their college application, search, and acceptance process.

2. *Key Questions Addressed:*

   - Can an enhanced college advising approach improve upon what Upward Bound grantees are already doing—i.e., does it have positive effects on the number of colleges to which Upward Bound participants apply, the quality/selectivity of the colleges in which they enroll, and their persistence?
   - In what types of grantees is this approach most effective and with what types of students?

3. *Design:* About 200 Upward Bound grantees that volunteered were randomly assigned in spring 2015 so that half received the professional development and packets to begin using with their rising 2015–16 seniors (the treatment group) and half will receive the training and packets a year later to use with rising 2016–17 seniors (the control group). A survey administered in spring 2016 to seniors in both sets of projects will collect information about their college planning including the number of applications and acceptances. The study will also examine those seniors' later enrollment and persistence in college.

4. *Estimated or Actual Completion Date:* The first report on early impacts is expected in late 2017.

5. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/pathways_upward.asp

Is Access to Data Enough? The Effects of Providing Information on Student FAFSA Completion Directly to School Districts

1. *Study Purpose:* Completing a Free Application for Federal Student Aid (FAFSA) is a key but challenging task for many students applying to college, particularly for low-income students. The Department has responded to concerns about the complexity of the FAFSA, including through the FAFSA Completion Project which started with a 20-district pilot in 2010 and expanded in 2012 to almost 100 more. One component of the project was consistent urging by federal officials and some technical assistance for participating districts to help them conduct FAFSA promotion and outreach activities districtwide. But the Department also provided districts with ongoing and direct access to federal data on which seniors had not submitted a FAFSA so that schools could provide targeted support to individual students. The evaluation tested whether that data access had an impact on FAFSA completion rates above and beyond the other FAFSA activities the districts might have implemented. The study was conducted by IES staff and designed to be low burden, and low-cost, depending only on the Department's data for measuring effectiveness.

2. *Key Question Addressed:*

   - Does making the student-level data available improve FAFSA completion rates?

3. *Design:* Just over 60 districts that had more than one high school participated in the evaluation, for a total of 567 schools. IES randomly assigned the schools within each district to either an "early start" (treatment) group, which would have access to the FAFSA completion status for 2013 seniors, or a "later start" (control) group, which would have access for 2014 seniors. Because many districts had relatively small numbers of schools, pairs of schools were matched prior to random assignment to help ensure that important characteristics of schools were balanced between the treatment and control groups. At the beginning of the evaluation, districts provided the lists of all seniors in each school and these were matched against the Department's federal student aid database so that FAFSA completion rates in March 2013 and September 2013 could be compared between the two groups of schools.

4. *Estimated or Actual Completion Date:* The report is expected in early 2016.

Upward Bound at 50: Reporting on Implementation Practices Today

1. *Study Purpose:* Upward Bound is the oldest and largest of the federal college access programs targeted to low-income students and those who would represent the first-generation of college completers in their families. First established in 1965, the program currently serves more than 60,000 high school students at a cost of about $4,300 per youth with a wide array of academic and college transition support services. While much about the structure of Upward Bound and the services to be offered are prescribed in legislation, little is currently known about the intensity, duration, and mix of services provided by projects or about how they are delivered. Because of the importance of its mission, and the comprehensiveness and costs of its services, Upward Bound has long been of interest to policymakers. This report describes the approaches to providing program services as reported by Upward Bound project directors.

2. *Key Questions Addressed:*

   - Within the core service areas of the program, where do projects focus their efforts?
   - How are services delivered to Upward Bound participants?
   - In what ways does the focus or delivery of services vary across different Upward Bound projects?

3. *Design:* This descriptive report relies primarily on findings from a summer 2013 survey of all regular Upward Bound project directors.

4. *Estimated or Actual Completion Date:* The report is expected in early 2016.

5. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/pathways_trio.asp

School Choice

Evaluation of the DC Opportunity Scholarship Program: An Early Look at Applicants and Participating Schools Under the SOAR Act

1. *Study Purpose:* The April 2011 SOAR Act provided for a five-year continuation of a school choice program for low-income residents of Washington, DC. The program, still titled the Opportunity Scholarship Program (OSP), now provides annual scholarships of $8,000 (for grades K–8) or $12,000 (for grades 9–12) to enable low-income students to attend private

schools in DC in lieu of the public schools already available to them. The new law also mandated another independent, rigorous evaluation of the effectiveness of the program.

2. *Key Questions Addressed:*

   - What is the impact of the OSP on student academic achievement and other measures of student success, overall and for subgroups of students identified in the statute as high priority?
   - What effect does the program have on student and parent perceptions of school safety and satisfaction, and on parents' involvement in education of their children?
   - Does the program change students' instructional environments and opportunities?

3. *Design:* The evaluation will primarily compare outcomes of approximately 1,800 student applicants randomly assigned by lottery to either receive a scholarship or not receive a scholarship. Lotteries of program applicants were conducted in spring 2012 (cohort 1), spring 2013 (cohort 2), and spring 2014 (cohort 3). Data will be collected for three follow up years for each of the cohorts and, for students in both the scholarship and nonscholarship groups. The contractor will administer academic assessments, and conduct student, parent, and principal surveys each spring (spring 2013–16). Prior to the first impact report, descriptive reports based on application forms parents filled out when they applied to the OSP, principal surveys, and extant data will be released.

4. *Estimated or Actual Completion Date:* The first descriptive report—describing the characteristics of participating schools and program applicants—was released in October 2014. The second descriptive report is scheduled for release in late 2015 and the third in spring 2016. The first impact report is expected in summer 2016.

5. *Key Findings from the First Report:*

   - Just over half of all DC private schools participated in the OSP, with current schools more likely to have published tuition rates above the OSP scholarship amounts than did participating schools in the past.
   - OSP applicants under the SOAR Act represent between 3 and 4 percent of the estimated 53,000 children in DC who meet the eligibility criterion.
   - A number of awarded scholarships go unused, with students from disadvantaged schools and families using awarded scholarships at lower rates than others.

6. *Link to Additional Information:* http://ies.ed.gov/ncee/pubs/20154000/pdf/20154000.pdf

Parent Information and School Choice Evaluation

1. *Study Purpose:* School choice is among the most visible K-12 education policy trends to emerge over the last two decades. For school choice to be effective, it seems critical that parents are able to navigate school choice systems and process large amounts of complex information about schools and application procedures to make informed choices. However, few studies have rigorously examined school choice information strategies or attempted to identify effective methods of information presentation. This evaluation is designed to address this significant gap in the literature.

2. *Key Questions Addressed:*

    - What is the optimal way to present school choice information? (E.g., which presentation formats make school performance/achievement data easiest to understand? How should transportation options and location be conveyed?)
    - What is the right amount of information to provide to parents whom might be making a school choice? (E.g., is there a limit to the number of choice options and amount of information that parents can reasonably consider?)
    - How is school choice information best organized? (E.g., does the order in which information is presented shape how it is understood and used? Is there a way to make the information parents most often report caring about salient?)

3. *Design:* The evaluation findings will be based on low cost quick turn-around "lab" based experiments. These studies will take advantage of opportunistic samples of low income parents in order to test a large number of potentially promising information strategies and to obtain findings within a relatively short period of time.

4. *Estimated or Actual Completion Date:* A short user-friendly guide, based on the evaluation's findings, that will help school districts and other providers of school choice information design or refine their own parent information materials is expected in October 2017.

Students with Disabilities

Evaluation of Response to Intervention Practices for Elementary School Reading

1. *Study Purpose:* The focus of this evaluation is the implementation and impact of Response to Intervention (RtI) practices for struggling readers in elementary school. Response to Intervention (RtI) is a multistep approach to providing early and more intensive intervention and monitoring within the general education setting. IDEA permits some Part B special education funds to be used for "early intervening services" such as RtI, and also permit districts to use RtI to inform decisions regarding a child's eligibility for special education under the category of specific learning disabilities.

2. *Key Questions Addressed:*

    - How do RtI practices for early-grade reading vary across schools?
    - How do schools experienced with RtI vary the intensity of reading instruction to children based on student benchmark reading performance?
    - What are the effects on grade 1–3 reading achievement of providing intensive interventions to children who are on the margin of identification for reading difficulties?

3. *Design:* The evaluation is relying on a combination of descriptive data collection from school staff and regression discontinuity methods to address the research questions, and is focusing on practices in place during the 2011–12 school year.

4. *Estimated or Actual Completion Date:* The final report was released in November 2015.

5. *Key Findings:*

   - Full implementation of the RtI framework in Grade 1–3 reading was reported by 86 percent of the experienced elementary schools sampled for in-depth study, compared with 56 percent of a random sample of elementary schools from the same 13 states.
   - The schools sampled for in-depth study of their RtI practices provided more intense small-group instruction and more reading intervention services for groups of students reading below grade level than for groups of students reading at or above grade level. However, these schools' implementation of RtI differed in some ways from descriptions in the prior literature:
     - In Grade 1, 45 percent of schools provided intervention services to some groups of students at all reading levels, rather than only for reading groups below grade level.
     - In Grade 1, 67 percent of schools provided at least some reading intervention during the core reading block, rather than only in addition to the core.
   - Grade 1 students who scored just below school-determined benchmarks on fall screening tests, and who were assigned to reading interventions, had lower spring reading scores than similar students in the same schools who were not assigned to those interventions. Unexplored, but plausible, factors that may be related to these negative effects include incorrect identification of students for intervention and a mismatch between the interventions provided and these students' instructional needs. No statistically significant effects of assignment to reading interventions were found for students in Grades 2 or 3.

6. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/disabilities_rti.asp

National Evaluation of the IDEA Technical Assistance and Dissemination Program: Interim Report

1. *Study Purpose:* IDEA, which was most recently reauthorized in 2004, provides funds to assist states and local eduational agencies in making available a free, appropriate public education for children with disabilities. Funded at $12.6 billion in FY 2010, IDEA supports early intervention services for infants and toddlers, special education and related services for children ages 3 through 21, and early intervening services for students not in special education but in need of academic or behavioral support. IES is conducting studies under Section 664 of IDEA to assess the implementation and effectiveness of key programs and services supported under the law.

   As specified in IDEA Part D, the Technical Assistance and Dissemination (TA&D) program is to provide technical assistance, support model demonstration projects, disseminate useful information, and implement activities that are supported by scientifically based research to meet the needs of children with disabilities. The National Evaluation of the IDEA TA&D program is designed to describe the products and services provided by the TA&D program grantees, state and local needs for technical assistance, and the role that the TA&D program plays in meeting these needs and supporting implementation of IDEA.

2. *Key Questions Addressed:*

   - What are the primary technical assistance activities of the TA&D program?
   - What are states' and other stakeholders' needs for technical assistance and to what extent are these needs addressed by TA&D centers or other sources?

- To what extent are states and other stakeholders satisfied with the products and services received from TA&D program centers?

3. *Design:* Data collection for the interim report included administering surveys to the national and regional level TA&D program grantees, all state IDEA Part B and Part C administrators, and a sample of state-level special education program staff. Data were collected between November 2012 and March 2013. State-level administrators and staff reported on their receipt of techincal assistance from TA&D program grantees during the 2010–11 school year. Grantees reported on their goals and activities from the beginning of their current grant through the interview date. The funding period for the centers included in the interim report varied, with the earliest end date in 2012 and the latest in 2014. Data collection for the final report included administering surveys to the 48 state level deaf-blind projects awarded grants in 2013 and to a sample of local level special and general education providers currently working with deaf-blind children.

4. *Estimated or Actual Completion Date:* An interim report was released in October 2013. The final report is expected in October 2016.

5. *Key Findings from the Interim Report:*

   - TA&D centers most commonly reported providing technical assistance on the topics of parent and family involvement and data systems and use of data for improvement. States identified (a) "General Supervision/Monitoring," (b) "early childhood transition," (c) "financing of services/financing for special education," and (d) "Response to Intervention" as the topics for which they had the greatest need for technical assistance in 2010–11.
   - Many TA&D centers provide technical assistance on similar topics. For example, 14 states received "high intensity" technical assistance (i.e., frequent training or consultation) on the same topic from 5 different centers. This evaluation was unable to establish whether such cases are indicators of inefficiency or of complementary and coordinated services.
   - State staff rated the majority of technical assistance experiences they had with TA&D centers as "very satisfactory" (71 percent). On average, customers receiving high intensity technical assistance were significantly more satisfied than those receiving lower intensity (i.e., infrequent training and consultation or web-only support). Satisfaction did vary to some degree depending on the special education topic being addressed.

6. *Link to Additional Information:* http://ies.ed.gov/ncee/pubs/20144000/pdf/20144000.pdf

Preparing for Life After High School

1. *Study Purpose:* Phase I of the National Longitudinal Transition Study 2012 (NLTS 2012), also referred to as the Study of Transition Outcomes for Youth with Disabilities Phase I, is the third in a series examining the characteristics and school experiences of a nationally representative sample of youth with disabilities. NLTS 2012 focuses on youth ages 13 to 21 (in December 2011), but also includes a small sample of students without disabilities to enable direct comparisons of students with and without individualized education programs (IEPs). It is part of the congressionally mandated National Assessment of the IDEA and is supported with funds authorized under Section 664 of IDEA.

2. *Key Questions Addressed:*

   - What are the personal, family, and school characteristics of youth with disabilities in public schools across the country?
   - What regular education, special education, transition planning, and other relevant services and accommodations do youth with disabilities receive?
   - How do the services and accommodations differ from those of youth not served under IDEA, including those identified for services under Section 504 of the Rehabilitation Act?
   - How do the services and accommodations for youth with disabilities vary with the characteristics of youth?
   - How much have the services and accommodations of youth with disabilities changed over time?

3. *Design:* Phase I of the study collected survey data (spring 2012–summer 2013) on a nationwide sample of 12,000 youth in school, of which 10,000 are students with IEPs across the federal disability categories. Surveys of both youth and their parents/guardians were administered.

4. *Estimated or Actual Completion Date:* A report assessing existing research on the effectiveness of transition strategies for youth with disabilities was released August 2013. Three reports describing the survey results are expected in summer 2016.

5. *Key Findings from the First Report:* A systematic review of the evidence on transition strategies was conducted, to inform development of the surveys and interpretation of the survey results. The review found:

   - Only 16 studies were designed and carried out with sufficient rigor to meet IES' WWC standards.
   - Based on these studies, community-based work programs were found to have mixed effects on students' employment outcomes and potentially positive effects on postsecondary education outcomes. Functional life skills development programs were found to have potentially positive effects on independent living outcomes although the extent of evidence was small.

6. *Link to Additional Information*:
   http://ies.ed.gov/ncee/projects/evaluation/disabilities_ideatrans.asp

Preschool Special Education Programs and Practices Supporting Children with Disabilities

1. *Study Purpose:* Most recently authorized in 2004, IDEA provides funding to states to support special education and related services for children and youth with disabilities, including young children ages 3–5 years old. Currently there is limited information available on the curricula and interventions being used across states to support young children with disabilities. Phase I of the Evaluation of Preschool Special Education Practices is being conducted to address the primary objective of assessing the feasibility of conducting a large-scale impact study of curricula or interventions promoting the literacy, language, and/or social-emotional skills of preschool-age children with disabilities. A secondary objective of the Phase I study is to provide nationally representative descriptive information about

preschool special education programs and the specific curricula or interventions being delivered to preschool children with disabilities.

2. *Key Questions Addressed:*

   - Which curricula and interventions are used nationally for preschool children with disabilities to promote learning of language, literacy, and social emotional skills?
   - How are states and school districts structuring programs to serve children ages 3 through 5 with disabilities?
   - What staff resources are available to support the instruction of children ages 3 through 5 with disabilities?

3. *Design:* The study collected survey data from state and district grantees of IDEA funds to obtain nationally representative information on the programs, services, curricula and interventions available to children ages 3–5 identified for special education services. The survey sample included a nationally representative sample of 1,200 school district preschool special education coordinators and state Section 619 coordinators in all 50 states and DC. Additionally, an evidence review will be conducted to identify preschool curricula and interventions focused on improving literacy, language, and social emotional skills of preschool-aged children with disabilities for the design of impact study options. If an impact study is feasible to conduct, preparations for the impact study will occur under Phase I.

4. *Estimated or Actual Completion Date:* A descriptive report on the survey findings is expected in 2017.

5. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/disabilities_preschool.asp

Study of Early Intervention and Special Education Services and Personnel

1. *Study Purpose:* IDEA was most recently authorized in 2004 to promote a free appropriate public education for children with disabilities. Funded at $12.5 billion in FY 2015, IDEA supports early intervention services for infants and toddlers (IDEA Part C), special education and related services for children ages 3 through 21 (IDEA Part B), and early intervening services for students not in special education but in need of academic or behavioral support. Under Section 664 of IDEA 2004, IES is conducting studies to assess the implementation and effectiveness of key programs and services supported under the law. This study is supporting the analysis of extant data to examine early intervention and special education service delivery and the personnel providing services.

2. *Key Questions Addressed:*

   - How does early intervention service delivery vary across states?
   - How do special education and related services received by children and youth vary over time, across states, and by school characteristics?
   - How does the distribution of personnel providing special education services vary over time, across states, and by school characteristics?

3. *Design:* This study includes new descriptive analysis of extant data available in public use or restricted formats. Among the data sources that are being used are cross-sectional Section 618 data submitted by states to the Department and the NCES Schools and Staffing Survey.

4. *Estimated or Actual Completion Date:* The report is expected in summer 2016.

5. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/disabilities_persserv.asp

Teacher Effectiveness

Elementary School Math Professional Development Impact Evaluation

1. *Study Purpose:* Title II, Part A of the current ESEA provides monetary resources to improve teacher quality through professional development (PD). Currently there is relatively little rigorous empirical evidence on the components of an effective PD program. At the same time, there has been renewed policy interest in fostering a globally competitive STEM workforce, which will require teachers to effectively impart mathematics to their students. This study will present implementation and impact findings from a random assignment evaluation of an intensive math PD intervention focused on enhancing teacher content knowledge and integrating this knowledge into the classroom.

2. *Key Questions Addressed:*

   - What is the average impact on (a) teachers' content knowledge, (b) teachers' classroom practices, and (c) student achievement of offering a specialized professional development intervention (in this case, Intel Math, Mathematics Learning Communities, and Video Feedback Cycles) relative to "business-as-usual" professional development?
   - How is the professional development intervention implemented?

3. *Design:* Approximately 200 volunteer fourth-grade math teachers from 6 districts around the country participated in this study during the 2013–14 school year. The intervention has three components: i) Intel Math (80 hours largely focused on developing teachers' understanding of K–8 mathematics), ii) Mathematics Learning Communities (which offers teachers opportunities to connect their learning to the classroom through a professional learning community aligned to Intel Math that focuses on student thinking), iii) Video Feedback Cycles (which provide teachers with individualized feedback three different times based on videotaped lessons of their classroom teaching reviewed by certified analysts using the Mathematical Quality of Instruction (MQI) rubric). Within each participating school, fourth-grade teachers were randomly assigned to receive either the PD intervention or business-as-usual PD. Data collection includes measures of teacher knowledge and practice, and student achievement obtained from administrative records.

4. *Estimated or Actual Completion Date:* The report is expected in 2016.

5. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/tq_mathpd.asp

Evaluation of the Teacher Incentive Fund

1. *Study Purpose:* The Teacher Incentive Fund (TIF) is authorized by Title V, Part D of ESEA and annual appropriations acts. The purpose of the TIF program is to develop and implement performance-based compensation systems (PBCSs) for teachers, principals, and other personnel in high-need schools. Research indicates that high quality teachers are critical to raising student achievement in low-performing schools, but schools most in need often have difficulty in attracting and retaining high-quality teachers. Performance pay is a policy promoted by the TIF program to improve the quality of teachers in high-need schools.

This evaluation studies performance pay that provides substantial and differentiated bonus pay to high-performing teachers in low-performing schools with high-need students.

2. *Key Questions Addressed:*

   - What are the characteristics of all TIF grantee districts and their performance-based compensation systems? What implementation experiences and challenges did TIF districts encounter?
   - How do teachers and principals in schools that did or did not offer pay-for-performance bonuses compare on key dimensions, including their understanding of TIF program features, exposure to TIF activities, allocation of time, and attitudes toward teaching and the TIF program?
   - What is the impact of pay-for-performance bonuses on students' achievement on state assessments of math and reading?

3. *Design:* Study schools were randomly assigned within a grant to either implement all components of the PBCS or the PBCS with a 1 percent across-the-board bonus in place of the differentiated effectiveness incentive component of the PBCS. Data collection will include a grantee survey, a survey of teachers and principals, teacher and principal school assignment records, student record information (such as student demographics and student test scores), and grantee interviews to document implementation information, as well as to conduct impact analyses.

4. *Estimated or Actual Completion Date:* The first report was released in September 2014. The second report was released in September 2015. The third and fourth reports, which will include updated impacts, are expected in 2016 and 2017.

5. *Key Findings from the Second Report:*

The main findings among all TIF districts with 2010 awards are:

- Ninety percent of all TIF districts in 2012–13 reported implementing at least 3 of the 4 required components for teachers, and only about one-half (52 percent) reported implementing all four. This was a slight improvement from the first year of implementation.
- Near the end of the second year of implementation, 65 percent of TIF districts reported that sustainability of the program was a major challenge. In contrast, no more than one-third of districts reported that other activities related to their program were a major challenge.

For the subset of 10 districts that agreed to participate in a random assignment study, key findings on the effect of pay-for-performance on educators include the following:

- Few evaluation districts structured pay-for-performance bonuses to align well with TIF guidance in the grant competition notice.
- Educators' understanding of key program components improved from the first to the second year, but many teachers still did not understand that they were eligible for a bonus. They also continued to underestimate how much they could earn from performance bonuses.

- Offering educators pay-for-performance had small, positive impacts on their students' reading achievement; impacts on students' math achievement were not statistically significant but similar in magnitude.

6. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/tq_incentive.asp

Impact Evaluation of Teacher and Leader Performance Evaluation Systems

1. *Study Purpose:* Through the Race to the Top and Teacher Incentive Fund grant programs, as well the ESEA Flexibility waivers, the Department has emphasized the policy of evaluating educator effectiveness and providing educators useful and timely feedback needed to improve practice and, ultimately, student achievement. The current study is an intervention study designed to examine the implementation and impacts of a package of performance evaluation system components that include features that are currently promoted in policy discussions. The evaluation system components include measures of student achievement growth, classroom observations and measures of principal leadership.

2. *Key Questions Addressed:*

   - What is the impact of the performance evaluation system on student achievement? On teachers' classroom practices? On teacher mobility?
   - What are districts' and educators' experiences with implementation?

3. *Design*: Eight districts participated in the study. Within each district, a subset of approximately 15 schools were randomly assigned to receive the study's treatment during 2012–13 and 2013–14 or to participate only in the district's usual performance evaluation system during the same time period. In treatment schools, each year, teachers received four rounds of classroom observations and feedback sessions, based on the Framework for Teaching or the CLASS, depending on district preference. Teachers also received value-added scores in math and/or reading, when possible. Principals in study schools received feedback on their performance based on the VAL-ED, which was administered twice per study year. Data were collected on teacher and principal professional development experiences during 2012–13 and 2013–14, as well as their perceptions of the usefulness of performance feedback received. The study also collected student achievement data from district records for 2012–13 and 2013–14 and conducted classroom observations in 2013–14. Teacher mobility and retention were measured through fall 2014. Implementation data collected include measures such as the frequency with which teachers were observed and received feedback, and the percentage of teachers who participated in a 360-degree assessment that is part of the principal performance evaluation system, in each of the two implementation years. The study will also look at the characteristics of the observation measures, VAL-ED ratings, and value-added scores, including the extent to which the measures differentiate performance.

4. *Estimated Completion Date:* A report on the study's first year of implementation is expected in 2016. A report on the study's second year of implementation and impacts is expected in 2017.

5. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/tq_performance.asp

Study of the Distribution of Effective Teaching

1. *Study Purpose:* Recent Department of Education initiatives, such as Race to the Top, the Teacher Incentive Fund, and the ESEA Flexibility policy, are designed in part to ensure that disadvantaged students have equal access to effective teaching. This study provides information about the extent that disadvantaged students receive less effective teaching than other students. The study also examines teacher mobility in participating districts and how patterns of mobility might contribute to unequal access.

2. *Key Questions Addressed:*

   - To what extent do disadvantaged students have equal access to effective teaching within school districts, and how does this change over time?
   - Is access to effective teaching related to different patterns of teacher hiring, retention, and mobility for high- and low-poverty schools?

3. *Design:* The study is descriptive. It documents the distribution of effective teaching, as measured by value added, and changes in the distribution of effective teaching across the 2008–09 through 2012–13 school years. The study also describes district polices designed to address inequitable distribution of effective teaching implemented during those years. Lastly, the study will examine teacher mobility patterns within participating districts. Data collection included the annual collection of district administrative records, including student achievement, to conduct value-added analyses as well as annual semi-structured interviews with district leadership to provide information on district policies. Data collection also included district personnel data to examine teacher mobility within participating districts. The study will be conducted in 29 geographically dispersed school districts.

4. *Estimated or Actual Completion Date:* The first report on school years 2008–09 through 2010–11 was released in November 2013. The final report on school years 2008–09 through 2012–13 is expected in 2016.

5. *Key Findings from the First Report:*

   - The first report focused on access to effective teaching in 29 geographically dispersed school districts and found that:
   - On average, disadvantaged students had less access to effective teaching than relatively more advantaged students. Providing equal access to effective teaching for disadvantaged and other students would reduce the student achievement gap from 28 percentile points to 26 percentile points in English/language arts (ELA) and from 26 percentile points to 24 percentile points in math in a given year.
   - Access to effective teaching patterns for disadvantaged students were similar over the three years studied, 2008–09 through 2010–11.
   - Access to effective teaching varied across study districts. Access ranged from districts with equal access to districts with differences in access as large as 0.106 standard deviations of student test scores in ELA and 0.081 standard deviations of student test scores in math, favoring relatively more advantaged students.
   - Access to effective teaching was more related to the school assignment of students and teachers than the way that students were assigned to teachers within schools.

6. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/tq_distribution.asp

Study of Teacher Preparation Experiences and Early Teacher Effectiveness

1. *Study Purpose:* A primary focus of Title II, Part A, the Improving Teacher State Formula Grants program, is on the improvement of teacher quality Little research exists, however, to inform how best to prepare teachers for the classroom. The current study explores the variation in teachers' preparation experiences. If feasible, it will examine whether the instructional skills that teachers learn about and have opportunities to practice in their preparation programs are associated with novice teachers' effectiveness in the classroom.

2. *Key Questions Addressed:*

    - To what extent do teachers report participating in various preparation experiences? How much variation is there within and between programs?
    - Among novice teachers, what are the relationships between the teachers' experience in their preparation programs and the achievement of students in their classroom?

3. *Design*: Approximately 3,200 novice teachers from grades 4 through 6 who are responsible for language arts and/or math instruction participated in the study. The study defines novice teachers as those in their first three years in the profession. In spring 2015, the teachers responded to a survey focused on their preparation experiences related to instructional skills that have been shown to be associated with teacher value-added scores. For each instructional skill, the teachers were asked about the nature of their learning experiences. If feasible, the study will compute value-added scores for teachers, based on students' state math and English language arts tests, and examine the relationships between teacher preparation experiences and teacher value-added scores. Among novice teachers who have five or more English language learners in their classroom, the study will also examine the relationships between these teachers' preparation experiences and teacher value added scores based on achievement of their English language learners, if feasible.

4. *Estimated Completion Date:* The report on this study is expected in 2017.

5. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/tq_teacherprep_early.asp

Other

Case Studies of Schools Receiving SIGs: Final Report

1. *Study Purpose:* SIGs are authorized by Title I, Section 1003(g) of ESEA. The purpose of the grants—awarded based on the Title I funding formula to states, which then competitively distribute the funds to districts applying on behalf of their eligible schools—is to support the turnaround of the nation's persistently lowest-achieving schools. To qualify for the three-year grant, schools must (among other requirements) be willing to implement one of four prescribed intervention models: turnaround, restart, closure, or transformation. About $546 million was allocated in FY 2009 for SIG with a supplement of $3 billion from the Recovery Act. With the possibility of rollover funds, this amounts to a $3.5 billion injection into the SIG program during the 2010–11, 2011–12, and 2012–13 school years. This study will provide descriptively rich, primarily qualitative information for a small set of schools receiving SIG in the first cohort to implement an intervention model beginning in the 2010–11 school year.

2. *Key Questions Addressed:*

   - What is the background and context of these persistently lowest-achieving schools? How do the leadership and staff in these schools define the performance problem, and to what do they attribute their problems?
   - What leadership styles do the principals of these persistently lowest-achieving schools exhibit? What actions do these schools engage in to try to improve their history of low performance?
   - What is the change process in these persistently lowest-achieving schools, particularly in terms of school climate and staff capacity?
   - What improvements do school stakeholders perceive during the three-year course of SIG, and do these improvements appear to be sustainable?

3. *Design:* This study employs a school-level case study design. A core sample of 25 SIG schools was purposively selected from six states to represent a range of geographic regions, urbanicities, school sizes, racial/ethnic compositions, socioeconomic statuses, SIG intervention models, and SIG funding levels, among other factors. Data collection took place over three school years, beginning in spring 2011 and concluding in spring 2013, and included interviews with each state's SIG leaders, a teacher survey, and site visits to the case study schools, which included analysis of fiscal records, as well as interviews and focus groups with district officials, principals, teachers, parents, union officials, external support providers, and students.

4. *Estimated or Actual Completion Date:* Two descriptive reports were release in May 2011 and October 2012. A report on the first year of SIG implementation was released in May 2014. The final report is expected in spring 2016.

5. *Key Findings from the First Report:*

   - The 25 schools differed in their community and fiscal context, their performance and reform history, and their interpretation of the causes of—and potential solutions for—their performance problems.
   - Approaches to leadership varied across the 25 schools, with most principals exhibiting a mix of transformational, instructional, and strategic leadership qualities.
   - The 25 schools identified 11 improvement strategies and actions, most often increasing professional development activities, replacing the principal, and increasing learning time. Most of the schools did not perceive SIG as the primary impetus for change: just 7 of the 25 schools experienced a disruption from past practice, and in 19 of the 25 schools, the improvement strategies and actions in the first year of SIG were a continuation of activities or plans that predated SIG.
   - All but one of the 25 schools perceived improvement in at least some areas, most often a safe and orderly school climate, and teacher collaboration. Schools that perceived the most improvements were more likely to have experienced a disruption from past practice, and to have principals with higher levels of strategic leadership.

6. *Link to Additional Information:*
   http://ies.ed.gov/ncee/projects/evaluation/other_schoolturnaround.asp

Evaluation of Investing in Innovation

1. *Study Purpose:* Investing in Innovation (i3) is a competitive grant program that funds entitites with a record of improving student achievement in order to expand the implementation of, and investment in, evidence-based interventions to significantly improve student education outcomes. The i3 program supports three types of grants that are differentiated by level of prior evidence supporting the intervention, the scope of the proposed implemnetation, and the amount of funding to be provided. Scale-up and Validation grants require prior evidence of effectiveness, while Development grants support innovative strategies.

   Grantees receiving funds under this program are required to conduct an independent evaluation of their project and must agree, along with their independent evaluator, to cooperate with evaluation technical assistance provided by the Department and its contractor. The purpose of this technical assistance is to maximize the strength of the impact studies and the quality of their implementation data and performance feedback.

2. *Key Questions Addressed:*

   - What types of supports were provided to i3 local evaluators and how were these supports implemented?
   - Were the i3-funded evaluations well-designed and well-implemented?
   - What did the i3-funded evaluations add to the evidence base on educational interventions?

3. *Design:* This study is descriptive and includes technical assistance to support the i3 local evaluators. The study also includes a systematic review of the completed evaluations against the WWC evidence standards as well as other criteria for assessing the strength of the impact and implementation aspects of the evaluations.

4. *Estimated or Actual Completion Date:* The first report, which and will focus primarily on findings for the first cohort (FY 2010), is expected in 2016.

5. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/assistance_ita.asp

Evaluation of NAEP Achievement Levels

1. *Study Purpose:* Under the provisions of P.L. 107-279, the Secretary is required to provide for continuing review of the National Assessment of Educational Progress (NAEP) assessment. The legislation identifies the issues to be addressed in the reviews, one of which includes the requirement to evaluate whether the NAEP achievement levels, established by the National Assessment Governing Board (NAGB), are “reasonable, valid, reliable and informative to the public.” Section 303(e)(2)(C) of the *Education Sciences Reform Act of 2002* (P.L. 107-279) states that NAEP achievement levels shall be used on a trial basis until the Commissioner of the National Center for Education Statistics (NCES) determines, as a result of an evaluation under Sec. 303(f), that such levels are “reasonable, valid, and informative to the public.” This independent evaluation is intended to provide IES and the Commissioner of NCES with information necessary to inform the decision about whether the current trial status of the NAEP achievement levels can be removed or whether they should remain in trial status.

2. *Key Objectives:*

   - Determine how "reasonable, valid, reliable and informative to the public" will be operationalized in this study.
   - Identify the kinds of objective data and research findings that will be examined.
   - Review and analyze extant information related to the study's purpose.
   - Gather other objective information from relevant experts and stakeholders, without creating burden for the public through new, large-scale data collection.
   - Organize, summarize, and present the findings from the evaluation in a written report, including a summary that is accessible for nontechnical audiences, discussing the strengths/ weaknesses and gaps in knowledge in relation to the evaluation criteria.
   - Provide, prior to release of the study report, for an independent external review of that report for comprehensiveness, objectivity, and freedom from bias.

3. *Design:* This study is focusing on the achievement levels used in reporting NAEP results for the reading and mathematics assessments in grades 4, 8, and 12. Specifically, the study is reviewing developments over the past decade in the ways achievement levels for NAEP are set and used and will evaluate whether the resulting achievement levels are "reasonable, valid, reliable, and informative to the public." The study is relying on an independent committee of experts with a broad range of expertise related to assessment, statistics, social science, and education policy. The project is receiving oversight from the Board on Testing and Assessment (BOTA) and the Committee on National Statistics (CNSTAT) of the National Research Council.

4. *Estimated Completion Date:* The report for this study is expected in 2016.

5. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/other_naep.asp

Implementation and Impact Evaluation of Race to the Top and SIGs: Final Report

1. *Study Purpose:* RTT is a competitive grant program of the Department that funds states and districts planning to implement comprehensive education reform in one or more core areas. Since its first awards in 2010, RTT has funded general state competitions, state competitions focused on early learning, and district competitions focused on personalized learning. With funds from the Recovery Act, the general state competition awarded approximately $4 billion to states in support of comprehensive K–12 education reform in several core areas, including teachers and leaders, standards and assessments, data systems, and school turnaround. The SIG program is authorized through Title I of the ESEA and provides three-year awards to support turnaround in the nation's persistently lowest-achieving schools. In FY 2009, the $546 million SIG appropriation was supplemented by $3 billion through the Recovery Act, for a total of $3.5 billion. SIG funds are distributed to states by formula based on Title I allocations. States then competitively award funds to districts applying on behalf of their eligible schools. Schools receiving SIG must implement one of four prescriptive intervention models: turnaround, transformation, closure, or restart. Both RTT and SIG received substantial funding through the Recovery Act. This study will examine the implementation and impacts of RTT and SIG, focusing on the initial general state competition for RTT and the first cohort of SIG schools implementing intervention models beginning in the 2010–11 school year.

2. *Key Questions Addressed:*

    - Which policies and practices promoted by the RTT program do RTT states report using, and how do they compare to the policies and practices that non-RTT states report using?
    - Is receipt of an RTT grant related to improvement in student outcomes?
    - Are SIG-funded schools using the improvement or turnaround strategies promoted by the four SIG intervention models, and how do they compare to strategies in schools not implementing a SIG-funded intervention model? How are states and districts supporting such efforts?
    - Does receipt of SIG funding to implement a school intervention model have an impact on outcomes for low-performing schools?
    - Is implementation of the four school intervention models related to improvement in outcomes for low-performing schools?

3. *Design:* The RTT sample will include all 50 states and DC. Data from interviews with all states and DC will inform the first evaluation question. The second evaluation question will be addressed using a short interrupted time series design with state-level NAEP data comparing, before and after the RTT competition, states that were awarded an RTT grant to states that applied for but were not awarded an RTT grant. The SIG sample will include about 500 schools in 60 districts from 22 states. This sample will be purposively selected to support a regression discontinuity design to address the fourth evaluation question, exploiting cutoff rules that states used to identify their persistently lowest-achieving schools as eligible for SIG to implement one of the four intervention models. Data from state and district interviews, as well as school surveys from the SIG sample will inform the third and fifth evaluation questions. Student- and school-level achievement data will also be collected from administrative records up to the 2012–13 school year to inform the fourth and fifth evaluation questions.

4. *Estimated or Actual Completion Date:* The first report was released in September 2015. The final report is expected in fall 2016.

5. *Key Findings from the First Report:*

    - Early (Round 1 and 2) RTT states used more policies and practices than non-RTT states in five of six areas examined: state capacity, standards and assessments, data systems, teachers and leaders, and charter schools (school turnaround was the exception). Later (Round 3) RTT states used more policies and practices than non-RTT states in just one area: teachers and leaders.
    - Use of policies and practices across RTT and non-RTT states was highest in the state capacity and data systems areas and lowest in the teachers and leaders area.
    - SIG schools used more practices than non-SIG schools in all four areas examined: comprehensive instructional reforms, teacher and principal effectiveness, learning time and community-oriented schools, and operational flexibility and support.
    - Use of practices among SIG and non-SIG schools was highest in the comprehensive instructional reforms area and lowest in the operational flexibility and support area.

6. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/other_racetotop.asp

Implementation of Title I/II Program Initiatives

1. *Study Purpose:* Title I and Title II programs are part of the ESEA and are intended to help provide all students with equal access to education by providing financial assistance to schools and districts which have a high percentage of students from low-income families (Title I) and improving teacher and principal quality (Title II). The previous reauthorization of ESEA, through the *No Child Left Behind Act of 2001*, increased accountability through the use of assessments for students, requirements for all teachers to be highly qualified, and funding for supports and interventions for schools not achieving adequate yearly progress for the entire school population as well as for various subgroups of students. Historically, there has been a congressionally mandated study of Title I that has also included information about Title II. Now that ESEA has been reauthorized, the second data collection for this study will be augmented to collect baseline information to evaluate the implementation of the new Title I and Title II provisions of ESSA.

2. *Key Questions Addressed:*

    - What content standards and high school graduation requirements are states adopting, and what materials and resources do states, districts, and schools provide to help teachers implement the state content standards?
    - What assessments do states and districts use (in terms of assessment format and coverage of grade levels and content areas), and what materials and resources do states, districts, and schools provide to support the implementation of assessments and use assessment data?
    - How has student achievement changed over time?
    - What elements are included in states' accountability systems? How do states and districts identify and reward their highest-performing schools, how do they identify and support their lowest-performing schools, and how do they offer differentiated support for those schools that are neither highest-performing nor lowest-performing?
    - How do states and districts evaluate teacher and principal effectiveness and assess equitable distribution of teachers and principals, and what supports do states, districts, and schools provide to improve teacher and principal effectiveness?

3. *Design:* The study is descriptive and nationally representative. Data were collected from all 50 states, a nationally representative sample of districts and schools, and teachers within those schools through surveys in the 2013–14 school year.

4. *Estimated or Actual Completion Date:* The first interim report, based on the findings from the baseline data collection, is expected in 2016.

5. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/other_titleI.asp

Progress and Challenges in Developing Tiered Quality Rating and Improvement Systems (TQRIS) in the Round 1 Race to the Top-Early Learning Challenge (ELC) States

1. *Study Purpose:* ELC aims to improve early learning and development programs so children enter kindergarten ready to succeed. One of the key areas of reform for the program focuses on the design and implementation of Tiered Quality Rating and Improvement Systems (TQRIS) that can provide parents and stakeholders with information on the quality of early learning programs. Since ELC grantee states are in the process of developing,

refining, and/or implementing their TQRIS, this evaluation will describe the current state plans and implementation status.

2. *Key Question Addressed:*

   - How are TQRIS ratings defined, collected, and generated in the nine Round 1 ELC states and how might the structure and implementation of the rating system influence the reliability and validity of the ratings?

3. *Design:* This is a descriptive study that involved collecting and analyzing various data from the nine Round 1 ELC grantee states. The study collected and conducted a targeted review of documents describing the structure of TQRIS, including component measures and the quality indicators used to evaluate preschool programs, how these are combined to generate overall ratings, the availability of TQRIS and child outcome data, and policies regarding the administration of kindergarten entry assessments (KEAs) in each Round 1 state. The study also included interviews with state administrators to confirm and clarify the information obtained from documents and, as needed, gather information that could not be obtained from the document reviews.

4. *Estimated or Actual Completion Date:* An evaluation brief is scheduled for completion in 2016.

5. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/other_rtt.asp

Policy and Program Studies Service (PPSS)

Study of the Early Implementation of the ESEA Flexibility Provision

1. *Study Purpose:* On September 23, 2011, President Obama announced the opportunity for states to request flexibility of certain ESEA provisions to help states move forward with efforts to improve student achievement and the quality of instruction in their schools. With input from broad and diverse stakeholders, the Department designed the ESEA Flexibility initiative so that states could build on their existing reform efforts to: (1) transition to college- and career-ready standards and aligned assessments; (2) implement new systems of differentiated recognition, accountability, and support for schools; (3) evaluate and support teacher and principal effectiveness in more robust ways; and (4) reduce duplication and unnecessary burden on school districts by removing any duplicative and burdensome reporting requirements. The early implementation study will provide documentation of early state- and local-level implementation of the flexibility provision. This information is intended to inform federal and state policymakers and to support the Department's monitoring and technical assistance to states. The study includes reviews of state and local documents; interviews with education officials at the state, district, and school level in early implementing states; and analysis of baseline student outcome and other data obtained through extant data sources.

2. *Key Questions Addressed:*

   - What prior experiences and rationales guided state approaches to accountability and support under the ESEA Flexibility initiative, including states' selection of AMOs?
   - What are the primary components of state accountability and support systems under ESEA Flexibility?

- What modes of communication did states and districts use to inform and build local-level understanding of state systems under ESEA Flexibility? To what extent were these communication efforts perceived as effective?
- How did local-level officials perceive state accountability systems under ESEA Flexibility, including the criteria being used to identify low-performing schools?
- What approaches are states taking to identify and intervene in low-performing schools and districts? What improvement strategies did principals report implementing?
- What structures or mechanisms were states and districts using to support low-performing schools, and how did principals perceive these supports?
- How did states and districts perceive their capacity to implement ESEA Flexibility provisions, and what factors did states and districts report as challenging and supporting their implementation efforts?

3. *Design:* The primary data sources for this study included state ESEA Flexibility applications, state and district policy documents, and interviews with officials identified by state and district leaders as holding primary responsibility for accountability and support systems under ESEA Flexibility.

4. *Estimated Completion Date:* The final report is scheduled for completion in winter 2015–16.

State Efforts to Promote Equitable Access to Effective Teachers

1. *Study Purpose:* This report provides a broad overview of state efforts, as of the 2011–12 school year, to monitor equitable access to qualified and effective teachers among schools; develop and adopt multiple measures of teacher performance to rate teachers among at least three performance levels; and implement targeted strategies for promoting equitable access to qualified and effective teachers in schools serving high proportions of poor and/or minority students. The report examines the use of measures of teacher qualifications and teacher performance in the implementation of these strategies.

2. *Key Questions Addressed:*

   - What measures did states use to monitor equitable access to qualified and effective teachers among schools?
   - To what extent were states developing or using multiple measures of teacher performance to rate teachers among at least three performance levels?
   - What strategies did states use to promote equitable access to qualified and effective teachers in schools serving high proportions of poor and/or minority students?

3. *Design:* This report is based on telephone interviews with officials in SEAs in all states, the District of Columbia, and Puerto Rico. Study staff also reviewed extant sources including equity plans, Consolidated State Performance Reports, reports from federal monitoring visits, and other information on state websites. The interviews were conducted between August 2011 and January 2012, and the study reflects state efforts that were underway at that time, and predates implementation of the fall 2011 ESEA Flexibility initiative as well as the recent state equity plans submitted under the Excellent Educators for All initiative.

4. *Estimated Completion Date:* The final report is scheduled for completion in winter 2015–16.

Evaluation of the Teacher Incentive Fund: Final Report

1. *Study Purpose:* This study examines program implementation in the first two cohorts of TIF grantees (2006 and 2007), which included 33 grantees. All 33 grantees implemented performance pay systems for principals and other school administrators; 31 grantees also included teachers in their performance pay systems. The final report complements a previous 2012 report from this study on the early implementation of the program, and analyzes award payouts and educator perspectives on a variety of issues related to implementation.

2. *Key Questions Addressed:*

   - How did the size and distribution of incentive awards vary across educators and grantees?
   - To what extent were incentive payments based on student achievement vs. other factors such as supports for improving practice, performance evaluations, and teaching in hard-to-staff schools or subjects?
   - How did participating educators perceive the fairness and effectiveness of the performance pay system?

3. *Design:* Data collection included surveys of a representative sample of teachers and principals in schools served by TIF projects; financial data for awards paid to educators; interviews with TIF project directors, teachers, principals, and other stakeholders; and reviews of extant documents. The surveys were conducted in spring 2011, and the incentive award payout data are primarily for the 2010–11 school year.

4. *Estimated Completion Date:* The final report is scheduled for completion in winter 2015–16.

Study of Emerging Teacher Evaluation Systems

1. *Study Purpose:* This study will provide descriptive information on the design and early implementation of teacher evaluation systems in eight school districts. The findings are intended to help other districts and states learn from the experiences of eight districts featured in the study, and apply the design and implementation lessons to their own work as it relates to teacher evaluation and support.

2. *Key Questions Addressed:*

   - What are the purposes of the new teacher evaluation systems? With what stakeholders did districts consult and what measures were included when designing the new systems?
   - What steps did the districts take prior to full implementation to test the system and prepare teachers and staff to implement it?
   - How did the districts structure and conduct the classroom observation component of their teacher evaluation systems?
   - How did the districts analyze student achievement and other data to evaluate teacher performance?
   - How did the districts use teacher evaluation results to make personnel decisions?

- What administrative structures did districts use to support their new teacher evaluation systems?
- What are the perceived early effects of the teacher evaluation systems on districts, principals, and teachers?

3. *Design:* This descriptive study relies on interviews with key district administrators, principals, teachers, and representatives of community stakeholder groups, from eight districts, who were involved in the development and early implementation of the respective districts' teacher evaluation system. Given the limited sample, the findings cannot be generalized to other districts.

4. *Estimated Completion Date:* The final report is scheduled for completion in winter 2015–16.

National Evaluation of Title III Implementation: A Description of English Learner Student Achievement in Four Jurisdictions

1. *Study Purpose:* Under ESEA Title III accountability provisions, annual measurable achievement objectives (AMAOs) are used to provide district-level and state-level summary information about EL students' progress in attaining English proficiency and meeting state standards in English/language arts and mathematics. However, AMAOs provide only a partial understanding of EL performance because they do not control for the compositional shifts in the EL student population, disaggregate performance by subgroup characteristics (e.g., level of English language proficiency, poverty status), or provide continuous measures of student achievement. This report uses longitudinally linked student-level assessment data in four jurisdictions—New York, Texas, and two school districts in California—to examine student progress for consistent cohorts of ELs, former ELs, and non-ELs who could be followed for three years.

2. *Key Questions Addressed:*

   - Are EL students making progress in learning English? Does the amount of progress vary by student characteristics?
   - How long does it take for EL students to attain proficiency on the state ELP assessments, and to be redesignated as former English learners (ELs)?
   - Are EL students making progress toward meeting achievement targets on state content assessments in English/language arts and mathematics?
   - Are achievement gaps narrowing for EL students and for former EL students?

3. *Design:* The study analyzed consistent cohorts of those students who were tested in the base year and in each of the two subsequent years (i.e., those with three consecutive years of assessment data). Most analyses examined a three-year period, from 2006–07 through 2008–09 for New York and from 2005–06 through 2007–08 for the other three jurisdictions. The analytic sample of students is not representative of all students served by the four jurisdictions. Therefore, the findings cannot be generalized to all ELs, non-ELs, or former ELs in those states and districts, or to the nation as a whole.

4. *Estimated Completion Date:* The final report is scheduled for completion in winter 2015–16.

Study of English Learners with Special Needs

1. *Study Purpose:* The purpose of this study is to describe, on an exploratory scale, common issues in the identification of ELs for special education. The report will focus on four topics: procedures and practices used in identification; assessment data and instruments used to help determine ELs eligibility for special education; personnel, qualifications, and professional development to assist in identification; and criteria on which decisions are made to exit ELs with disabilities out of their language instruction programs.

2. *Key Questions Addressed:*

    - What procedures and instruments are used to evaluate and identify ELs with disabilities?
    - What personnel are involved in the assessment and identification of ELs with disabilities (as distinct from non-ELs) and what are their roles?
    - What are typical criteria for exiting ELs with disabilities from language instruction educational programs?
    - What procedures, practices, and instruments are used to assess and identify ELs with disabilities, and how do these differ from those used with non-ELs?
    - What are the roles, backgrounds, and qualifications of school and district personnel involved in the assessment and identification of ELs with disabilities?
    - What challenges do districts and schools encounter in the assessment and identification of disabilities among ELs and what strategies do they use to overcome these challenges?
    - What procedures and practices do districts and schools use to exit ELs with disabilities from language instruction educational programs, and what are the challenges they face?

3. *Design:* The study relied on a purposive sample of a diverse group of six case study districts, containing 18 schools total, which the study team visited in spring 2013. Study methods onsite largely consisted of interviews of a large number and variety of stakeholders involved in ESL, special education, and related support services at both the school district and school levels. Other data collected included special education data; published reports, guides, and regulations related to identification; and data on district and school websites. The data were coded to one or more of the three key questions and the findings were compared to those from a prior review of research.

4. *Estimated Completion Date:* The final report is scheduled for completion in spring 2016.

Feasibility Study on Improving the Quality of School-Level Expenditure Data

1. *Study Purpose:* This feasibility study explores options for improving the completeness, consistency, and accuracy of school-level expenditures that would be most appropriate to include for assessing equity, as well as technical and operational challenges for including certain types of expenditures. The study also examines the experiences of states and districts that currently track school-level expenditures, including variations in definitions and practices used in these jurisdictions, the types of changes to accounting systems and practices that are required, and the potential cost of implementing such strategies.

2. *Key Questions Addressed:*

   - In states and districts that currently track expenditures at the school level, what types of personnel and nonpersonnel expenditures are included in the school-level data?
   - What is the quality of existing school-level expenditure data? What specific steps could be taken to improve the completeness, consistency, and accuracy of these data?
   - What changes would states and districts need to make to track expenditures at the school level if they do not currently do so? What costs have states and districts incurred to implement such data systems?

3. *Design:* The study will explore options for improving the completeness, consistency, and accuracy of school-level expenditure reporting by: (1) convening an expert panel to identify specific challenges and potential solutions; (2) interviewing fiscal staff in five states and four school districts that have finance systems that track school-level finance data; and (3) collecting and analyzing available school-level expenditure data in the selected states and districts.

4. *Estimated Completion Date:* The final report is scheduled for completion in summer 2016.

Study of High School Strategies to Improve Graduation Rates

1. *Study Purpose:* This nationally representative survey of high school administrators is examining strategies that schools are using to reduce students' likelihood of dropping out of high school and to increase their likelihood of attaining a high school credential. The survey seeks information on what schools are implementing what activities with what students under what circumstances or conditions. The final report will use the survey data to describe the use and prevalence of various high school reform strategies to support at-risk youth and will compare high schools with high and low graduation rates.

2. *Key Questions Addressed:*

   - What strategies are high schools implementing to help students stay in school and graduate? Do these strategies very for high schools with high or low graduation rates?
   - How many students are served through each of these strategies? Are the strategies focused on particular student populations?
   - How do schools deliver services or interventions for each of the strategies? What specific services are provided, and who provides the services?

3. *Design:* The study is conducting a web-based survey of a nationally representative sample of approximately 2,000 high school administrators.

4. Estimated Completion Date: The final report is scheduled for completion in summer 2016.

Case Studies of the Implementation and Use of Kindergarten Entry Assessments (KEAs)

1. *Study Purpose:* The purpose of the KEAs implementation case studies is to document the processes, accomplishments, challenges, and solutions of four states implementing KEAs and to share what they have learned with federal and state policymakers and the field. Of particular interest is to identify what is working well in states that are early adopters of KEAs. This information is needed to support the technical assistance efforts of the Department and to inform KEA efforts across the nation.

2. *Key Questions Addressed:*

   - How have KEAs been developed and adopted by four states that were early to adopt a comprehensive KEA?
   - How are KEAs being implemented by 12 school districts within four states that were early adopters?
   - How do these four states and their districts and schools communicate and use KEA results to inform policy and practice?
   - What lessons did states, districts, and schools learn about KEA adoption, implementation, and use?

3. *Design:* The nested sample design includes four states, 12 districts, and 24 schools. Data collection will include review of state and local documents, phone interviews with SEA preschool directors and professional development staff who facilitate district-level training, and in-person interviews with district administrators, principals, kindergarten teachers, and other staff involved in local administration of KEAs.

4. *Estimated Completion Date:* The final report is scheduled for completion in summer 2016.

Study of Experiences and Needs of Rural Education Achievement Program (REAP) Grantees and Subgrantees

1. *Study Purpose:* The purpose of this descriptive study is to examine how grantees and subgrantees use REAP funds provided through the Small, Rural School Achievement (SRSA) and Rural and Low-Income Schools (RLIS) programs—on their own or in combination with other federal funds—as well as to explore technical assistance needs related to REAP. The study will inform program operations, technical assistance to grantees, and future reauthorization of the programs.

2. *Key Questions Addressed:*

   - What are REAP grantees' experiences of grant eligibility determination? To what extent do districts contact, or are they contacted by, the SEA regarding eligibility?
   - On what types of activities are REAP funds spent and in what proportions? What are grantees' experiences of deciding how to target funds (e.g., processes and factors, personnel and stakeholders involved, integration in larger spending decisions)? Do districts perceive a need for greater flexibility in the use of federal Title VI funds? How does this vary by grantee characteristic?
   - How do grantees use REAP funds in combination with other federal program funds? To what extent are other Department or other federal programs (e.g., E-Rate, USDA Rural Development grants) considered or integrated? What are the challenges in spending REAP funds?
   - How many SRSA-eligible grantees use REAP flexibility? Does the use of flexibility differ by grantee characteristics? If flexibility is not used, why not? Exactly how do SRSA grantees tend to use flexibility?
   - What are the major challenges and technical assistance needs that REAP grantees face (e.g., eligibility determination and compliance with program requirements)? Are there technical assistance needs that grantees perceive to be unaddressed? For what? What

is the frequency of technical assistance use by grantees? What is the purpose of such assistance, and who offers it?

- Is there anything that districts or states would recommend changing about the REAP program administration or design?

3. *Design:* The study consists of: 1) a survey of a sample of approximately 1,000 SRSA grantees and RLIS subgrantee districts; 2) telephone interviews with a sample of 30 SRSA grantees and RLIS subgrantees; and 3) telephone interviews with REAP coordinators in all states receiving REAP funds. Data collection will begin in winter 2015 and is expected to be completed by spring 2015. At the state level, the study will include interviews with all state REAP coordinators about state goals and priorities, the planning process for use of RLIS funds, the eligibility process for districts, management and distribution of SRSA and RLIS funds, and recommendations for the program. At the school district level, the study will include an online survey of a nationally representative sample of REAP coordinators about the REAP eligibility determination process, administration of REAP, and challenges and technical assistance needs related to REAP, as well as telephone interviews with a subsample of 30 districts. The interviews will include questions about program administration, technical assistance needs, and recommendations for changing the REAP program to better meet the needs of rural districts.

4. *Estimated Completion Date:* The final report is scheduled for completion in fall 2016.

A Study of Practices to Improve Learning in Kindergarten Through Third Grade

1. *Study Purpose:* This study will summarize how (a) aligning preschool through third grade education and (b) differentiating instruction for children in kindergarten and first grade may build on the positive effects of preschool and help students in kindergarten through third grade (K-3) make cognitive, social-emotional, and academic gains. In addition, the study will conduct case studies of five programs that help improve cognitive, social-emotional, and/or academic outcomes for disadvantaged students in grades K-3 and that may build on the positive effects of preschool by using policies, programs, and practices from the two topic areas (a and b above).

2. *Key Questions Addressed:*

   - What practices do educators and policymakers use to align preschool through third-grade (PK-3) education, and what considerations should stakeholders take into account when designing such PK-3 initiatives?
   - What are the findings and quality of research on the impact of differentiated instruction on children in kindergarten and first grade?
   - What are the characteristics (e.g., resources, personnel, staff characteristics, training, setting, population serviced) of PK-3 or differentiated instruction programs that aim to increase cognitive, social-emotional, or academic outcomes of students?
   - On what research, theory, and/or experiences did the designers of these programs base the program structure and content?
   - What are the challenges of implementing these programs, and how have staff and leaders tried to overcome these challenges?
   - How does the organization implementing the program ensure its sustainability?

3. *Design:* The literature review covers two topics: (1) preschool and K–3 alignment, and (2) differentiated instruction in kindergarten and first grade. The case studies will examine five sites that are implementing PK-3 education or differentiating instruction in kindergarten and first grade. The research time will interview principals, teachers, evaluators, and funders to understand programs' characteristics, challenges and solutions, and the sustainability of the programs.

4. *Estimated Completion Date:* The final case study report is scheduled for completion in winter 2016–17.

Implementation Study of the Turnaround School Leaders Program

1. *Study Purpose:* This study will examine the implementation of the Turnaround School Leaders Program (TSLP). The study will provide information on how grantees identify, develop, and support leaders and aspiring leaders of low-performing schools. The study will also examine how grantees: (1) maintain fidelity to the plans set forth in their original proposals; (2) use data to examine progress; and (3) work with project partners to meet goals.

2. *Key Questions Addressed:*

    - How do TSLP projects identify, develop, and support leaders for low-performing schools?
    - What role do project partners play in implementing projects and helping grantees to achieve project goals?
    - To what extent is grantee implementation of their projects consistent with their original proposals?
    - How are grantees measuring the success of their TSLP projects, and do early outcome data show promising results?

3. *Design:* The study will include case studies of five TSLP grantees, including each grantees' partners; an analysis of extant data, including grantee applications, early outcomes data, and other relevant project-specific data; and surveys of all local coordinators of TSLP projects.

4. *Estimated Completion Date*: The final report is scheduled for completion in fall 2017.

Study of School Climate Transformation Grants

1. *Study Purpose:* The study will describe how states and school districts that participate in the School Climate Transformation Grant program are coordinating services and supports with certain other related federal programs administered by the Departments of Health and Human Services and Justice.

2. *Key Questions Addressed:*

    - What does coordination between SCTG and Project AWARE grantees look like?
    - What does coordination between SCTG and DOJ grantees look like?
    - What did grantees say about the value of coordination?
    - What were the challenges and lessons learned?

3. *Design:* The study will conduct telephone interviews with representatives from 38 state and local grantees to explore the ways in which grantees coordinate services, the benefits that grantees have experienced from program coordination, and challenges and lessons learned.

4. *Estimated Completion Date:* The final report is scheduled for completion in fall 2017.

Study of Title I Schoolwide and Targeted Assistance Programs

1. *Study Purpose:* The study will examine how Title I schoolwide programs use the schoolwide flexibility to design services and strategies to address the needs of low-achieving students and subgroups, and how such strategies compare to approaches used in targeted assistance programs. The study will include interviews and analysis of extant data in approximately 30 Title I schools, including both schoolwide and targeted assistance programs, as well as surveys of principals and district administrators for a representative sample of Title I schools.

2. *Key Questions Addressed:*

    - How do schoolwide and targeted assistance programs use Title I funds to improve student achievement, particularly for low-achieving subgroups?
    - How do districts and schools make decisions about how to use Title I funds in schoolwide programs and targeted assistance programs?
    - To what extent do schoolwide programs commingle Title I funds with other funds or coordinate the use of Title I funds with other funds?

3. *Design:* The study will include both in-depth case studies and surveys of a nationally representative sample of 470 districts and 1,410 schools. The case studies will include approximately 30 Title I schools including both schoolwide and targeted assistance programs and data collection for the case studies will include telephone interviews as well as extant documents and data, including Title I budgets and plans.

4. *Estimated Completion Date:* The final report is scheduled for completion in fall 2017.

Study of Digital Learning Resources for Instructing English Learners (ELs)

1. *Study Purpose*: This study will examine the use of digital learning resources (DLRs) to support the English language acquisition and academic achievement of ELs in K-12 education. Specifically, the study will focus on DLRs that may be considered “apps” for enhancing instruction for EL students, including computer software, online programs, websites, mobile applications, and mobile computing devices.

2. *Key Questions Addressed:*

    - How do districts and schools make decisions regarding investments in digital learning resources to support ELs, and how do they identify and select specific DLRs for ELs? What DLRs are most commonly used to support ELs?
    - How do teachers of EL students use DLRs in the instruction of ELs? Do they receive professional development or coaching in effective use of DLRs? If so, what professional development approaches do they find to be most helpful?
    - What barriers inhibit ELs’ use of existing DLRs in the classroom and at home, and how can districts, schools, and DLR developers address those issues?

- How do districts and schools define and measure the success of their use of technology to support ELs?
- How could developers of DLRs and practitioners improve the usefulness of these tools for teaching EL students?

3. *Design:* The study will explore the range of such apps that are available for use with EL students, examine how districts and schools select and use these apps, and consult an expert panel of technology developers, practitioners, and education researchers for ideas on ways to improve the design and use of apps to support learning for EL students. It will rely on six key components: (1) a literature review; (2) market research on existing DLRs for K–12 instruction; (3) survey of school districts; (4) survey of teachers; (5) case studies; and (6) an expert panel of technology developers, practitioners, and education researchers.

4. *Estimated Completion Date:* The final report is scheduled for completion in fall 2017.

Study of the Title III Native American and Alaska Native Children in Schools Program

1. *Study Purpose*: The study will examine services and strategies for ELs in the Native American, Alaska Native, Native Hawaiian, and Pacific Islander communities that are supported through the Native American and Alaska Native Children in Schools (NAM) program. The study includes case study of 25 NAM grantees, and examines: (1) the types of services and strategies that NAM funds support to address the instructional needs of these communities and develop student proficiency in both English and (optionally) native languages; (2) how grantees plan, implement , and evaluate their respective projects; (3) how grantees coordinate and prioritize the use of NAM funds in relation to other federal, state and local resources; and (4) how grantees use data and evidence to inform program implementation and meet U.S. Department of Education reporting requirements.

2. *Key Questions Addressed:*

   - How does the NAM program support grantees in providing services to Native American, Alaska Native, Native Hawaiian, and Pacific Islander children, especially through teacher training and professional development, curriculum development, parent engagement, and English (especially academic English) and native language instruction? How do NAM grantees incorporate technology to support and/or preserve heritage languages through dual-language or other forms of English language instruction? How many students are served through each of these strategies? Are the strategies focused on particular student populations?
   - What challenges do NAM grantees face in providing funded services, and what steps have grantees taken to overcome these challenges? To what extent does the Department or other external entities provide support to overcome these challenges? What lessons have the grantees learned?
   - How do schools deliver services or interventions for each of the strategies? What specific services are provided, and who provides the services?
   - What are the roles and responsibilities among (as applicable) tribal entities, public schools, local education districts, and state agencies in implementing NAM grants and meeting federal reporting requirements?
   - What are NAM grant stakeholders' perceptions of community participation and student engagement in language instruction and other educational programs?

3. *Design*: The study will include site visits to NAM grantees to obtain detailed information regarding how they are implementing the NAM program, and meeting the needs of their students and communities, as well as telephone surveys or interviews of local grant coordinators and state directors of Indian education to inform the case study site visits. The study will also utilize extant data, including grant applications.

4. *Estimated Completion Date*: The final report is scheduled for completion in fall 2017.

Evaluation of the Title I, Part D Neglected or Delinquent Program

1. *Study Purpose:* The study will examine the implementation of educational programs for children and youth in residential facilities and correctional institutions funded under Title I, Part D of ESEA. The study will be informed by surveys of state grantees and local subgrantees to examine the types of services and strategies that Part D funds support, how state and local agencies assist students in transitioning back to schools, how state correctional facilities implement institution-wide Part D projects, and how grantees assess the educational outcomes of participating students.

2. *Key Questions Addressed:*

   - What types of services and strategies do Title I, Part D, funds support for children and youth in correctional and child welfare settings?
   - What types of services and strategies do Title I, Part D, funds support for children and youth in correctional and child welfare settings?
   - How do correctional facilities and agencies assist students in transitioning to districts and schools, including those outside their jurisdictions?
   - How do state correctional facilities plan and implement institutionwide Part D projects?
   - How do grantees assess the educational outcomes of students participating in Part D-funded educational programs?

3. *Design:* The study will include a review of extant data, a review of literature related to programs for neglected and delinquent youth, surveys of state and local coordinators of Title I-Part D funded programs, and site visits to state agencies, school districts, correctional institutions, and child welfare facilities to obtain more detailed information on how grantees and subgrantees are implementing the Part D programs and how they are meeting the needs of their students.

4. *Estimated Completion Date:* The final report is scheduled for completion in fall 2017.

Appendix F: Selected Department Web Links and Education Resources

College Cost Lists

The Department provides college affordability and transparency lists under the *Higher Education Opportunity Act of 2008.* Each list is broken out into nine different sectors to allow students to compare costs at similar types of institutions, including career and technical programs. http://collegecost.ed.gov/catc/

College Navigator

The Department provides a multidimensional review of higher education options for students and provides links to other sites. http://nces.ed.gov/collegenavigator/

Open Government Initiative

The Department's Open Government Initiative is designed to improve the way the Department shares information, learns from others, and collaborates to develop the best solutions for America's students. http://www2.ed.gov/about/open.html

College Scorecard

The College Scorecard tool in the Department's College Affordability and Transparency Center makes it easier to find out more about a college's affordability and value. The College Scorecard has been redesigned as a tool that further commits to the administration's Open Data Initiative and incorporates direct input from students, families, and their advisers to provide the clearest, most accessible, and most reliable national data on college cost, graduation, debt, and postcollege earnings. The old way of assessing college choices relied on static ratings lists compiled by someone who was deciding what value to place on different factors. The new way of assessing college choices, with the help of technology and open data, makes it possible for anyone—a student, a school, a policymaker, or a researcher—to decide which factors to evaluate. http://collegecost.ed.gov/scorecard/index.aspx

One-Stop Shopping for Student Loans

The Department provides a site from which students can manage their loans. http://studentloans.gov/

College Preparation Checklist

This Departmental tool gives prospective college students step-by-step instructions on how to prepare academically and financially for education beyond high school. Each section is split into subsections for students and parents, explaining what needs to be done and which publications or websites might be useful to them. http://studentaid.ed.gov

Additional resources within the checklist assist students in finding scholarships and grants.

http://studentaid.ed.gov/students/publications/checklist/main.html

https://studentaid.ed.gov/sa/types/grants-scholarships/finding-scholarships

College Completion Toolkit

The College Completion Toolkit provides information that governors and other state leaders can use to help colleges in their state increase student completion rates. It highlights key strategies and offers models to learn from, as well as other useful resources. http://www.ed.gov/college-completion/governing-win

Resources for Adult and Career and Technical Education

The Department, through the Perkins Collaborative Resource Network, offers resources and tools for the development and implementation of comprehensive career guidance programs. This includes guides for students, parents, teachers, counselors, and administrators across relevant topics, such as planning and exploring careers, selecting institutions, finances, and guidance evaluation. This source is an example of interdepartmental cooperation between the Department and the U.S. Department of Labor.
http://cte.ed.gov/nationalinitiatives/gandctools.cfm?&pass_dis=1

The Literacy Information and Communication System (LINCS) is a Department Initiative that seeks to expand evidence-based practice in the field of adult literacy. LINCS provides high-quality, on-demand educational opportunities to practitioners of adult education in order to help adult learners successfully transition to postsecondary education and employment. LINCS is comprised of three components: 1) the LINCS Resource Collection provides free online access to high-quality, evidence-based materials and self-access courses to help practitioners and state and local staff improve programs, services, instruction, and teacher quality; 2) LINCS Regional Professional Development Centers work with states to offer practitioners training and professional development activities; and 3) LINCS Community provides an online social learning space (a community of practice) for networking, information sharing, and collaboration among adult education leadership, professional developers, administrative staff, and practitioners across the country. http://lincs.ed.gov/

Program Inventory

The *GPRA Modernization Act of 2010,* P.L. 111-352, requires that OMB establish a single website with a central inventory of all federal programs, including the purpose of each program and its contribution to the mission and goals of the Department. The initial Federal Program Inventory was published in May 2013. The Department described each program within 27 budgetary accounts, as well as how the programs support the Department's broader Strategic Goals and Objectives.

Since that time, Congress passed the *Data Accountability and Transparency Act* (DATA Act) requiring new public reporting requirements, which impact the definition of program used in this guidance. OMB is currently working with agencies to merge the implementation of the DATA Act and the Federal Program Inventory requirements to the extent possible to avoid duplicative efforts. While OMB and agencies determine the right implementation strategy, the initial Federal Program Inventory remains available on performance.gov or at http://www2.ed.gov/programs/inventory.pdf.

Grants Information and Resources

In addition to student loans and grants, the Department offers other discretionary grants. These are awarded using a competitive process, and formula grants, which use formulas determined

by Congress with no application process. This site lists Department discretionary grant competitions previously announced, as well as those planned for later announcement, for new awards organized according to the Department's principal program offices.
http://www2.ed.gov/fund/grant/find/edlite-forecast.html

For more information on the Department's programs, see http://www2.ed.gov/programs.

Practice Guides for Educators

The Department offers guides that help educators address everyday challenges faced in classrooms and schools. Developed by a panel of nationally recognized experts, practice guides consist of actionable recommendations, strategies for overcoming potential roadblocks, and an indication of the strength of evidence supporting each recommendation. The guides themselves are subjected to rigorous external peer review. Users can sort by subject area, academic level, and intended audience to find the most recent, relevant, and useful guides.
http://ies.ed.gov/ncee/wwc/publications_reviews.aspx

Performance Data

ED*Facts* is a Department initiative and data repository to put performance data at the center of policy, management, and budget decisions for all K–12 educational programs.
http://www.ed.gov/about/inits/ed/edfacts/index.html

Condition of Education and Digest of Education Statistics

The Condition of Education is a congressionally mandated annual report that summarizes developments and trends in education using the latest available statistics. The report presents statistical indicators containing text, figures, and data from early learning through graduate-level education. http://nces.ed.gov/programs/coe/

The primary purpose of the Digest of Education Statistics is to provide a compilation of statistical information covering the broad field of American education from prekindergarten through graduate school. The Digest includes a selection of data from many sources, both government and private, and draws especially on the results of surveys and activities carried out by the NCES. http://nces.ed.gov/programs/digest/

Projections of Education Statistics to 2021

For the 50 states and the District of Columbia, the tables, figures, and text in this report contain data on projections of public elementary and secondary enrollment and public high school graduates to the year 2021. The report includes a methodology section that describes the models and assumptions used to develop national and state-level projections.
http://nces.ed.gov/pubsearch/pubsinfo.asp?pubid=2013008

National Assessment of Educational Progress

The National Assessment of Educational Progress assesses samples of students in grades 4, 8, and 12 in various academic subjects. Results of the assessments are reported for the nation and states in terms of achievement levels—*Basic, Proficient,* and *Advanced.*
http://nationsreportcard.gov/

Government Accountability Office

The Government Accountability Office supports Congress in meeting its constitutional responsibilities and helps improve the performance and accountability of the federal government for the benefit of the American people. http://www.gao.gov/docsearch/agency.php

Office of Inspector General

The Office of Inspector General conducts independent and objective audits, investigations, inspections, and other activities to promote the efficiency, effectiveness, and integrity of the Department's programs and operations. http://www.ed.gov/about/offices/list/oig/index.html

For a list of recent reports, go to: http://www2.ed.gov/about/offices/list/oig/reports.html.

Appendix G: Glossary of Acronyms and Abbreviations

AARTS	Audit Accountability and Resolution Tracking System
ABCP	Asset-Backed Commercial Paper
ADA	*Anti-Deficiency Act*
AFR	*Agency Financial Report*
AP	Advanced Placement
APG	Agency Priority Goals
APP	Annual Performance Plan
APR	*Annual Performance Report*
BIE	Bureau of Indian Education (U.S. Department of the Interior)
AY	Academic Year
CAP Goals	Cross-Agency Priority Goals
CCDF	Child Care Development Fund
CCDR	Cohort Default Rate
CCSO	Council of Chief State School Officers
CEDS	Common Education Data Standards
CFO	Chief Financial Officer
CFO Act	*Chief Financial Officers' Act of 1990*
CFR	Code of Federal Regulations
CoSN	Consortium for School Networking
CPS	Current Population Survey
CRDC	Civil Rights Data Collection
CY	Calendar Year
DATA Act	*Digital Accountability and Transparency Act of 2014*
DEC	Division of Early Childhood
DM	Document Management
DOI	U.S. Department of the Interior
DOJ	U.S. Department of Justice

DST	Data Strategy Team
EAG	Enhanced Assessment Grants
EASN	Equitable Access Support Network
EC	Early Childhood
ECPC	Early Childhood Personnel Center
ECS	Education Commission on the States
EDGAR	Education Department General Administrative Regulations
ELC	Early Learning Challenge
ELC TA	Early Learning Challenge Technical Assistance Center
EMAPS	EDFacts Metadata and Process System
EPG	Evidence Planning Group
EQUIP	Educational Quality through Innovative Partnerships
ERIC	Education Resources Information Center
ESEA	*Elementary and Secondary Education Act of 1965*
ESSA	*Every Student Succeeds Act*
EVS	Employee Viewpoint Survey
FAFSA	Free Application for Federal Student Aid
FERPA	*Family Educational Rights and Privacy Act*
FEVS	Federal Employee Viewpoint Survey
FFEL	Federal Family Education Loan
FPCO	Family Policy Compliance Office
FSA	Federal Student Aid
FY	Fiscal Year
GEAR UP	Gaining Early Awareness and Readiness for Undergraduate Programs
GPRA	*Government Performance and Results Act of 1993*
GPRAMA	*GPRA Modernization Act of 2010*
GSA	General Services Administration
HBCUs	Historically Black Colleges and Universities
HEA	*Higher Education Act of 1965*

HEAL	Health Education Assistance Loans
HHS	U.S. Department of Health and Human Services
HR	Human Resources
HUD	U.S. Department of Housing and Urban Development
i3	Investing in Innovation Program
IDEA	*Individuals with Disabilities Education Act*
IES	Institute of Education Sciences
IHE	Institutions of Higher Education
IOM	Institute of Medicine
IPEDS	Integrated Postsecondary Education Data System
ISU	Implementation and Support Unit
IT	Information Technology
JOA	Job Opportunity Announcement
KEA	Kindergarten Entry Assessment
LEA	Local Education Agency
LINCS	Literacy Information and Communication Systems
MCO	Mission Critical Operation
MSP	Mathematics and Science Partnerships
NA	Not Applicable
NAEP	National Assessment of Educational Progress
NCER	National Center for Education Research
NCES	National Center for Educational Statistics
NIEER	National Institute for Early Education Research
NPP	Notice of Proposed Priorities
NSF	National Science Foundation
OCFO	Office of the Chief Financial Officer
OCIO	Office of the Chief Information Officer
OCPO	Office of the Chief Privacy Officer
OCR	Office for Civil Rights

OCTAE	Office of Career, Technical, and Adult Education
OELA	Office of English Language Acquisition
OESE	Office of Elementary and Secondary Education
OET	Office of Educational Technology
OGC	Office of the General Counsel
OHR	Office of Human Resources
OIG	Office of Inspector General
OII	Office of Innovation and Improvement
OM	Office of Management
OMB	Office of Management and Budget
OPE	Office of Postsecondary Education
OPEPD	Office of Planning, Evaluation, and Policy Development
OPM	Office of Personnel Management
OSEP	Office of Special Education Programs
OSERS	Office of Special Education and Rehabilitative Services
OSS	Office of State Support
P3	Performance Partnership Pilots
PDG TA	Preschool Development Grant Technical Assistance
POC	Principal Office Component
PPIRS	Past Performance Information Retrieval System
PPSS	Policy and Program Studies Service
QRIS	Quality Rating and Improvement Systems
RDA	Results Driven Accountability
RELs	Regional Educational Laboratories
RTT	Race to the Top
RTTA	Race to the Top-Assessment
SASA	Student Achievement and School Accountability
SASS	Schools and Staffing Survey
SEA	State Education Agency

SFA	Student Financial Assistance
SIG	School Improvement Grant
SIP	Strengthening Institutions Program
SLDS	Statewide Longitudinal Data System
SOAR Act	*Scholarships and Opportunities for Results Act*
SSIP	State Systemic Improvement Plan
SST	State Support Team
STEM	Science, Technology, Engineering, and Mathematics
SWD	Students with Disabilities
SY	School Year
TA	Technical Assistance
TBD	To Be Determined
TEACH	Teacher Education Assistance for College and Higher Education Grant
TQRIS	Tiered Quality Rating and Improvement System
Treasury	U.S. Department of Treasury
TRIO	Federal TRIO Programs
U.S.	United States
VR	Vocation Rehabilitation
WIOA	*Workforce Innovation and Opportunity Act*

This page intentionally left blank.

OUR MISSION IS TO PROMOTE STUDENT ACHIEVEMENT AND PREPARATION FOR GLOBAL COMPETITIVENESS BY FOSTERING EDUCATIONAL EXCELLENCE AND ENSURING EQUAL ACCESS.

WWW.ED.GOV