



U.S. Department of Education
FY 2019 Annual
Performance
Report and
FY 2021 Annual
Performance Plan



Message from the Secretary



Education is primarily a local concern. The U.S. Constitution reserves responsibility for education to those closest to students—state and local governments. The *U.S. Department of Education Strategic Plan for Fiscal Years 2018–22* reflects President Donald Trump’s commitment to work alongside states and localities to enhance, supplement, and augment their efforts to serve each and every student.

All students need the freedom to learn in ways and in places that work for them. To this end, expanding educational freedom for students of all ages, as well as their families and teachers, is a top priority for this Administration.

Our Education Freedom Scholarships proposal represents a historic investment in America’s students. It creates a \$5 billion annual federal tax credit for voluntary contributions to state-based, non-profit organizations that provide scholarships to students. The proposal does not grow the federal government, nor does it divert a single dollar from public school students. Instead, it fuels states to create new opportunities for disadvantaged students.

In addition to promoting education freedom, we have continued to faithfully implement the bipartisan K–12 law, the *Every Student Succeeds Act*, which affords states and communities more flexibility to address their challenges. At the beginning of fiscal year (FY) 2019, I was pleased to [write](#) to parents and guardians to encourage them to take note of these flexibilities, and I will continue to urge states to seize the opportunities the law affords.

Education freedom also means setting aside the belief that all students must follow the same path to success. There should be as many pathways as there are students, interests, job requirements, and career opportunities. To that end, each state plus the District of Columbia, Puerto Rico, and the Republic of Palau now has an approved transition plan under the *Strengthening Career and Technical Education for the 21st Century Act*, or Perkins V, which took effect this year. Full Perkins V state plans covering FYs 2020–2023 will be submitted to the Department for approval this spring.

In other areas, the Department has published regulations that will reduce unnecessary burdens. We have also taken great strides in improving accretor oversight of our

nation’s colleges and universities and streamlining state authorization requirements for distance education and correspondence courses. These changes, developed by consensus from a diverse rulemaking panel, are designed to encourage innovation in higher education and establish appropriate guardrails to support students as they pursue the right higher education options for them.

Furthermore, I have delivered on my promise to provide students with more information than ever as they make decisions about their postsecondary options. Through a groundbreaking redesign of the College Scorecard, students can now find and compare data to include potential debt and earnings based on fields of study (including data for two-year programs, four-year degrees, certificate programs, and some graduate programs) and graduation rates regardless of full-time, part-time, first-time, or transfer status, as well as links to search for apprenticeships and careers. This new design with these new data allows students to explore key information about each field of study for the schools they may be considering, without regard to the type of school.

In addition to providing improved data to assist students with decision-making, the Department has worked to improve the quality of students’ experiences in the financial aid process. Our movement to the next generation of service in Federal Student Aid—an initiative called Next Generation Financial Services Environment (or Next Gen FSA)—streamlines the Department’s student aid systems and processes through innovations to our online tools, including the [StudentAid.gov](https://studentaid.gov) website and the myStudentAid mobile app. With these improvements, in FY 2019, more than 2.2 million people used a mobile device to submit a *Free Application for Federal Student Aid*®.

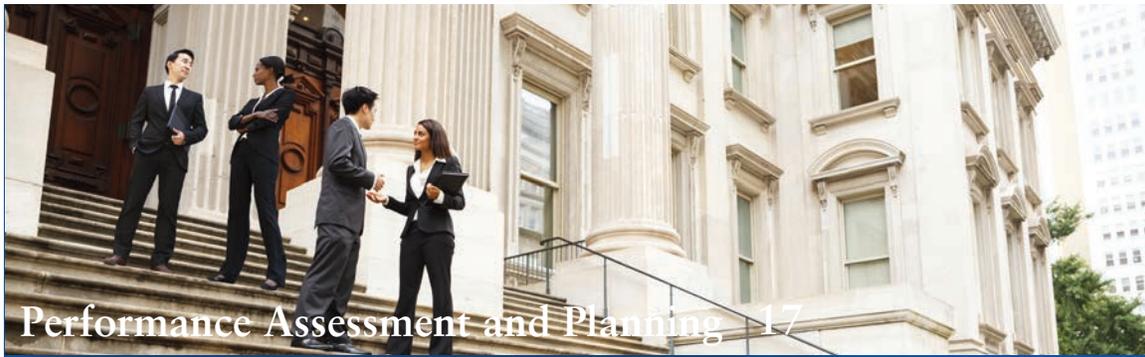
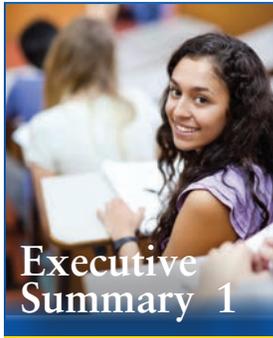
Finally, this Administration is upholding the promise Congress made more than 40 years ago—that establishing the Department would “not increase the authority of the Federal Government over education or diminish the responsibility for education which is reserved to the States.” In this regard, we have followed through on the President’s regulatory reform charge to federal agencies. We have repealed, replaced, and modified hundreds of burdensome federal regulations and guidance documents.

We live in the most exciting and opportunity-filled times ever. America’s students deserve our unwavering commitment to their success. This Administration and the Department I lead will always defend and extend the freedom to pursue quality and personalized learning to prepare all students for what comes next.

Betsy DeVos
Secretary of Education

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Executive Summary

As a precursor to this annual report, in February 2018, the Department issued its *U.S. Department of Education Strategic Plan for Fiscal Years 2018–22* (Strategic Plan). The Strategic Plan establishes four broad, overarching goals—one goal each in the areas of K–12 education, postsecondary education and training, data quality and accessibility, and the effectiveness and accountability of the Department. Each goal, in turn, has within it separate strategic objectives that state a specific manner in which the Department will accomplish the goal.

The *Government Performance and Results Act Modernization Act of 2010* (GPRAMA) (Pub. L. No. 111-352) updated the *Government Performance and Results Act of 1993* (GPRA) (Pub. L. No. 103-62) and provides the legal basis for the Strategic Plan, goals, and strategic objectives. In accordance with GPRAMA, the Deputy Secretary serves as the Chief Operating Officer of the Department and leads the Department’s work toward achieving its goals.

This year’s annual report, the *FY 2019 Annual Performance Report and FY 2021 Annual Performance Plan*, summarizes the results of the Department’s first full year executing its Strategic Plan.

As shown in this report, the Department made significant strides—proposing a new initiative to promote education freedom for students and families; encouraging students and families to rethink the traditional American education model to consider a variety of postsecondary options; modernizing the technology and operational components that support federal student aid programs; helping states and school districts comply with recent federal laws; making the Department’s data more transparent and available for the public; and reorganizing the Department to make its corporate structure more efficient and to better respond to current needs.

Using the standards it set for itself—that is, the set of 54 metrics with annual targets that gauge the Department’s performance in fiscal year (FY) 2019, the Department met its

targets for 38 metrics (70.4 percent). The Department did not meet its targets for 16 of the 54 metrics (29.6 percent). There were seven other metrics in FY 2019 that did not have annual targets given the Department was gathering data to set a baseline and establish targets for future years.

Accomplishing the goals of the Strategic Plan is about much more than meeting targets for metrics and has encompassed a wide array of activities. This report discusses the accomplishments of the Department during FY 2019 as well as the challenges encountered. The report further summarizes the actions the Department will take within the next two years (FYs 2020–2021) to achieve its goals. This information can be found in the FY 2021 Annual Performance Plan sections within each strategic objective.

About the Department

Mission and FY 2019 Organization Structure

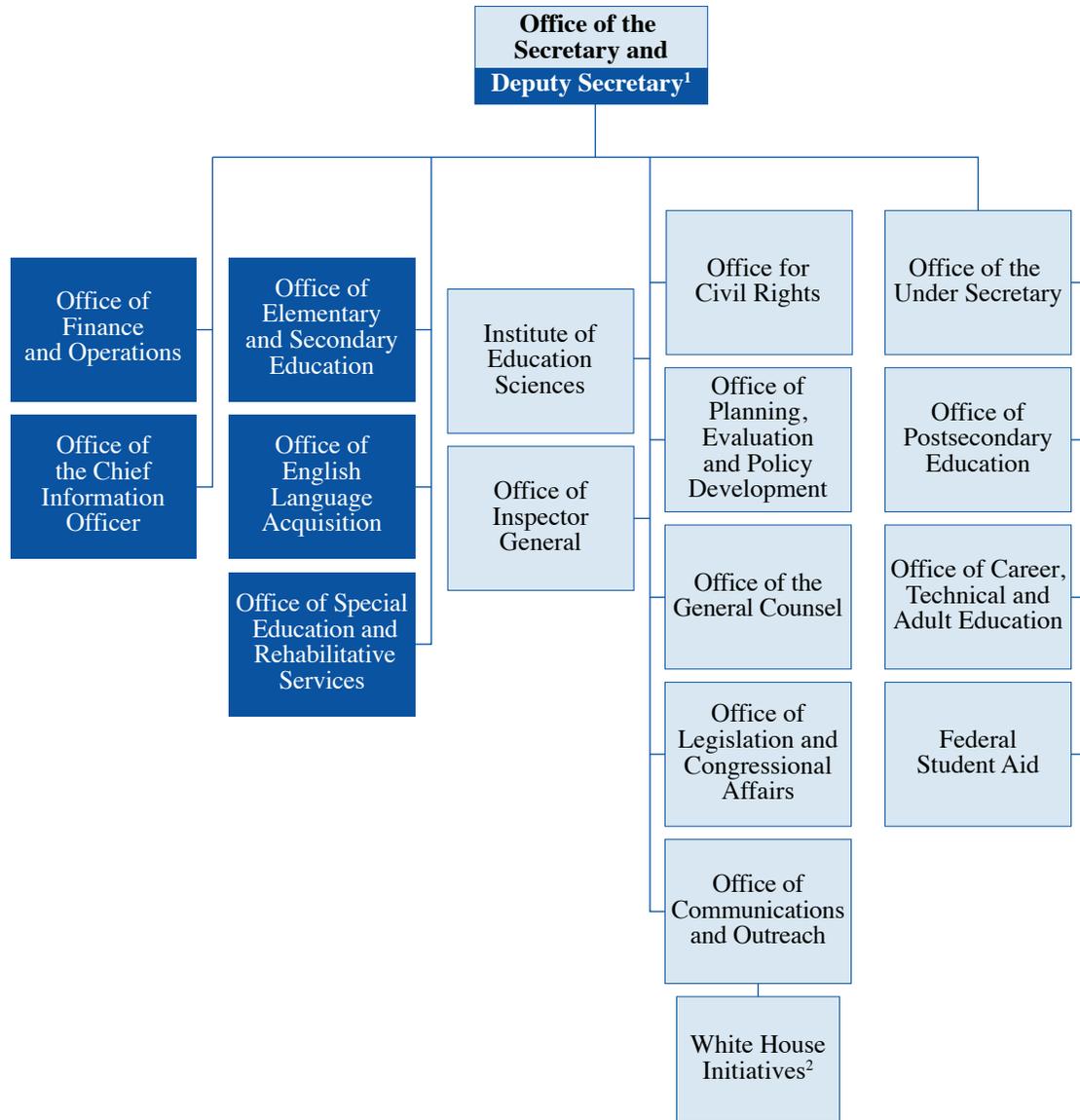
Mission

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.

The Department accomplishes its mission by administering programs that provide services from early intervention services to employment training programs. Many of these programs provide grants to states or local educational agencies and support students and families from vulnerable populations, including children with disabilities and those from disadvantaged backgrounds. These programs also provide grants and loans to postsecondary students and facilitate research that examines ways that states, schools, districts, and postsecondary institutions can improve America's education system. In addition, the Department fulfills its mission through the enforcement of civil rights laws that provide equal access to Department programs for all individuals.

FY 2019 Organization Structure

The following shows the coordinating structure used in fiscal year (FY) 2019.



¹The Deputy Secretary is the Chief Operating Officer of the agency. As Chief Operating Officer, the Deputy Secretary is responsible for improving the management and performance of the agency and providing overall organizational management to improve agency performance and achieve the mission and goals of the agency through the use of strategic and performance planning, measurement, analysis, regular assessment of progress, and use of performance information to improve the results achieved. *Government Performance and Results Act Modernization Act of 2010*, Pub. L. No. 111-352, January 4, 2011, 124 Stat 3866; 31 U.S.C.A. §§ 1123 (a) and (b)(1).

²White House Initiatives in fiscal year 2019 were the Center for Faith and Opportunity Initiatives, American Indian and Alaskan Native Education, Asian Americans and Pacific Islanders, Educational Excellence for African Americans, Educational Excellence for Hispanics, and Historically Black Colleges and Universities.

National Landscape

Pathways to Higher Income—It’s Broader than Just a Bachelor’s Degree

Postsecondary education is one of the most important investments that individuals make, and it can be one of the most expensive. Conventional wisdom holds that a bachelor’s degree is an essential building block for a career with family-sustaining wages. From a taxpayer’s perspective, postsecondary education seems like a surefire bet: the nation, states, and individual communities all benefit from higher-paid workers. It is not surprising that for decades, the nation has pursued policies designed to increase the number of students who attend college.

For those students who do attend college, some struggle with repaying student loan debt. According to the Department’s Federal Student Aid, outstanding student loan debt stands at around \$1.5 trillion, and nearly 17 percent of borrowers are more than 30 days late in repayment, making them officially classified as delinquent.¹

Students with such debt have often failed to complete their studies.² While there is a strong “sheepskin effect” in which the wages of graduates are greater compared to the wages of students who have failed to complete their studies, many graduates—i.e., the students who do receive a degree—are still entering professions that do not pay a high enough wage to pay off their debt and start a family. Students should be made aware of the earnings potential of various majors or fields of study to help inform their educational decisions. They should also be made aware of other alternatives to a bachelor’s degree before deciding to take on debt.

Not all degrees and fields of study automatically lead to higher wages. Consider figure 1, which shows substantial variation in the annual average earnings of college graduates based on their field of study. Electrical engineers earn \$73,000 per year, which is about twice that of elementary education graduates, who earn \$38,000.

¹See <https://ifap.ed.gov/eannouncements/010320FSAPostsNewReportstoFSADataCenter.html>.

²About 40 percent of bachelor’s degree students have not finished their degree six years after enrolling. Among students pursuing an associate degree, two-thirds have not completed their two-year degree three years after enrolling. Completion rates for black and Hispanic students are lower. See https://nces.ed.gov/programs/coe/indicator_ctr.asp and https://nces.ed.gov/programs/digest/d18/tables/dt18_326.10.asp.

The highest paid recipients of bachelor's degrees are clustered in science, technology, engineering, and mathematics (STEM) fields. Economics, finance, and accounting majors are also among the best paid. In contrast, the average wage for psychology, which is one of the most popular majors in the nation, are fourth from the bottom (\$42,000), just above general education, fine arts, and elementary education majors.

Certainly, many choose to work in professions with lower salaries that are personally rewarding. Teaching, social work, and fine arts are not only personally rewarding but vital to our nation and communities. Students who choose one of the lower-paying majors in college may also be able to increase their potential income by earning a graduate degree. But, the return on investment in advanced degrees also varies greatly based on field of study. The Bureau of Labor Statistics has identified the fields in which a master's degree is associated with higher wages. These include business, education, health care, social services, and STEM.³ Master's degree graduates in fields such as philosophy, art, and early childhood education have the lowest median earnings—often less than graduates with bachelor's degrees or even associate degrees.⁴

As students complete high school and consider their next steps, they should understand the available postsecondary choices and the various income implications. Average earnings data mask the fact that some bachelor's degrees are not necessarily a path to higher income by themselves. Academic majors and the skills associated with them lead to radically different wage outcomes.

The fact is, there are pathways to higher income that do not require a bachelor's degree. Many two-year technical associate degrees provide higher returns than many bachelor's degrees. For example, the Georgetown University Center on Education and the Workforce reports that the median earnings of individuals with an associate degree in a STEM field (\$60,000) exceed those of individuals with a bachelor's degree in liberal arts (\$53,000).⁵

Enrollment in community college programs that prepare students for STEM fields has risen steadily. For example, between academic years 2000–2001 and 2016–2017, the number of certificates and associate degrees awarded increased more than 70 percent, exceeding the growth in bachelor's degrees. Technical and STEM fields are growing at community colleges, especially in computer and information technology-related studies. However, the increase in the number of students completing associate degrees in these fields is relatively

³See <https://www.bls.gov/careeroutlook/2015/article/should-i-get-a-masters-degree.htm#Business>.

⁴See <https://www.aei.org/research-products/report/the-masters-as-the-new-bachelors-degree-in-search-of-the-labor-market-payoff/>.

⁵Carnevale, Anthony P. and Cheah, Ban (2018). *Five Rules of the College and Career Game*. Washington, D.C.: Georgetown University Center on Education and the Workforce. Retrieved from <https://cew.georgetown.edu/cew-reports/5rules/>.

small compared to the hundreds of thousands of associate degrees awarded in general studies and liberal arts—degrees that often lead to low-paying careers.⁶

These data are national in scope. State data consistently show variation in wage outcomes by program of study that is far larger than income differences across colleges and universities within a state.⁷

Given the importance of earning a livable wage to students,⁸ and given that income is strongly related to one’s field of study, the Department released the new version of the [College Scorecard](#) in November 2019.

The College Scorecard now includes potential debt and earnings by field of study (including for two-year programs, four-year degrees, certificate programs, and some graduate programs); it also provides graduation rates regardless of full-time, part-time, first-time, or transfer status as well as links to search for apprenticeships and careers.

Though outcomes for apprenticeship programs are not part of the College Scorecard, research continues to demonstrate the importance of such programs as viable pathways to good careers and higher wages.⁹

With income information, students are far better positioned to decide how much to borrow and how much to spend as well as the most lucrative fields of study to pursue. They will be able see that there are many pathways to family-sustaining wages that do not involve receiving a bachelor’s degree.

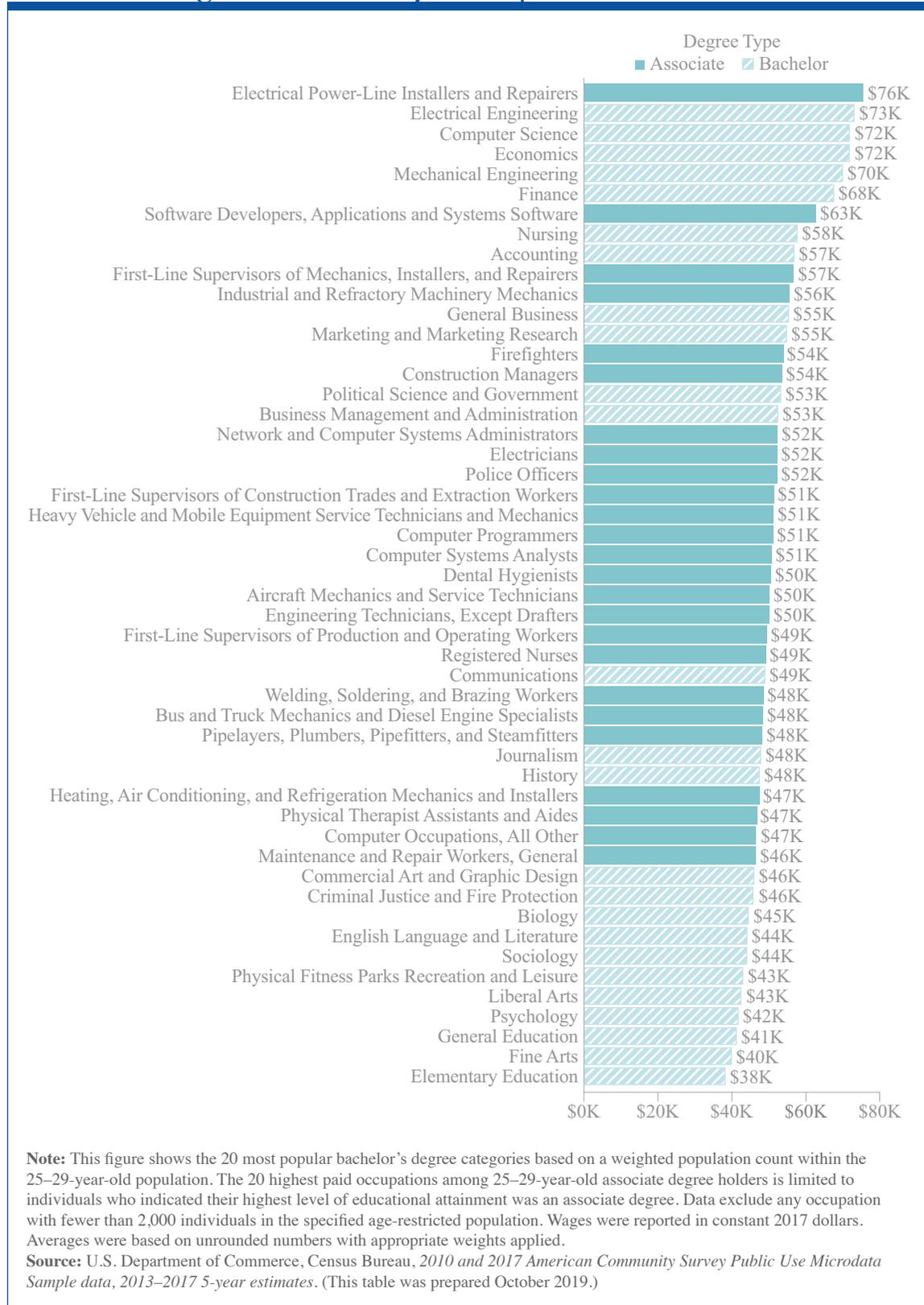
⁶See https://www.burning-glass.com/wp-content/uploads/RPT_Saving_the_Associates_of_Arts_Degree.pdf.

⁷See, for example, the work of College Measures, <https://www.air.org/project/college-measures>, or the work of Georgetown University’s Center for Education and the Workforce, including <https://cew.georgetown.edu/states/oregon/> or its [The Good Jobs Project](https://goodjobsdata.org/), <https://goodjobsdata.org/>.

⁸According to an annual [nationwide survey of freshmen conducted by the University of California Los Angeles’s Higher Education Research Institute](#), the majority of students agree that a very important reason for going to college is “to be able to get a better job” (85 percent) and “to get training for a specific career” (76 percent). Additionally, 60 percent say that when choosing a college, the ability of its graduates to obtain good jobs is very important.

⁹See <https://www.aei.org/research-products/report/apprenticeships-and-community-colleges-do-they-have-a-future-together/>; Seleznow, Eric M., “The U.S. Department of Labor’s Registered Apprenticeship Program Works for Employers and Workers, Jobs for the Future,” November 17, 2017, <https://www.jff.org/points-of-view/us-department-labors-registered-apprenticeship-program-works-employers-and-workers/>; Apprenticeship Expansion Task Force, “Task Force on Apprenticeship Expansion Final Report to the President of the United States,” May 10, 2018, <https://www.dol.gov/apprenticeship/docs/task-force-apprenticeship-expansion-report.pdf>; Schneider, Mark, “Measuring the Economic Success of Florida’s Graduates: Economic Security Report 2017,” College Measures at the American Institutes for Research, December 2017, figure 1, <http://www.fldoe.org/core/fileparse.php/7749/urlt/16EcoSecReport.pdf>.

Figure 1. Average Annual Wages for 25–29-year-old Bachelor’s Degree Holders by Field of Study and Associate Degree Holders by Occupation in 2017

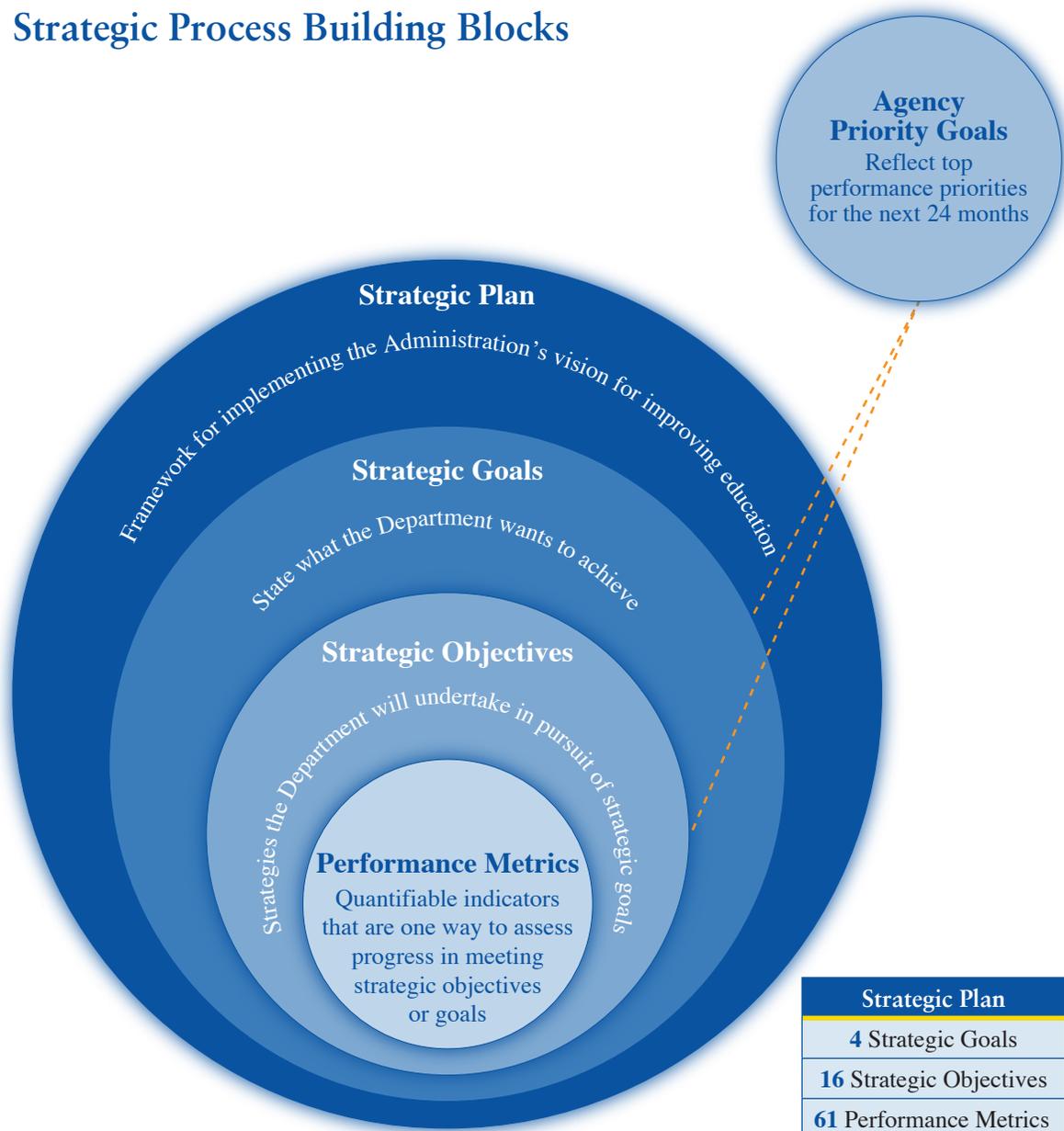


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About the Report

Strategic Process Building Blocks and How to Read Performance Data

Strategic Process Building Blocks



How to Read Performance Data

Performance metrics are presented at the end of each strategic objective section in standardized tabular and graphic format. This page explains the design elements on those pages.

Title
Identifies the performance elements being measured.

Notes: Identifies trends and data availability

Data Source: Indicates the source for the data

FY 2019 Period of Performance: Indicates the time period the data reference

2014	2015	2016	2017	2018	2019		2020	2021
				672	Actual	Target		
—	—	—	—	672	882	773	970	Prior year + 5%

Note: Data are not available prior to fiscal year (FY) 2018.
Data Source: Department offices that deliver technical assistance.
FY 2019 Period of Performance: October 2018 through September 2019.

Icon Provides a quick visual assessment of performance against the established target for FY 2019.

Odometer Provides graphical representation of the FY 2019 target and actual performance.

Odometer and Icon Examples

Target not established

Needle and center number identify FY 2019 performance

Odometers are oriented to show performance from worst to best, left to right.

Met or exceeded target

Percentages are shown on a 0 to 100 percent scale.

Met or exceeded target

Target (18.4%)
FY 2019 Actual (16.6%)

Ranges are inverted for metrics where lower numbers show improved performance.

Improved from previous year

FY 2019 Actual (3,630)
Target (3,719)

Numeric measures are set at zero and range to the FY 2019 actual or target, whichever is higher.

No or negative improvement

FY 2019 Actual (1,608,691)
Target (1,634,800)

Color banding accompanies the arrow and is coordinated to match the color selection from the icon.

Acronyms and Abbreviations

The following acronyms and abbreviations are regularly used throughout the metrics:

N/A = not applicable, TBD = to be determined, SY = school year (i.e., August to July and is aligned with a P-12 school year), FY = fiscal year (i.e., federal fiscal year), and — = not available.

Strategic Framework

FY 2018–2022 Strategic Goals and Objectives and Priority Goals

FY 2018–2022 Strategic Goals and Objectives

The following tables show the Department’s fiscal year (FY) 2018–2022 Strategic Goals and objectives.

 Strategic Goal 1: Support state and local efforts to improve learning outcomes for all P–12 students in every community.	
Strategic Objective 1.1	Increase high-quality educational options and empower students and parents to choose an education that meets their needs.
Strategic Objective 1.2	Provide all P–12 students with equal access to high-quality educational opportunities.
Strategic Objective 1.3	Prepare all students for successful transition to college and careers by supporting access to dual enrollment, job skills development and high-quality science, technology, engineering and mathematics.
Strategic Objective 1.4	Support agencies and institutions in the implementation of evidence-based strategies and practices that build the capacity of school staff and families to support students’ academic performance.

 Strategic Goal 2: Expand postsecondary educational opportunities, improve outcomes to foster economic opportunity and promote an informed, thoughtful and productive citizenry.	
Strategic Objective 2.1	Support educational institutions, students, parents and communities to increase access and completion of college, lifelong learning and career, technical and adult education.
Strategic Objective 2.2	Support agencies and educational institutions in identifying and using evidence-based strategies or other promising practices to improve educational opportunities and successfully prepare individuals to compete in the global economy.
Strategic Objective 2.3	Support agencies and educational institutions as they create or expand innovative and affordable paths to relevant careers by providing postsecondary credentials or job-ready skills.
Strategic Objective 2.4	Improve quality of service for customers across the entire student aid life cycle.
Strategic Objective 2.5	Enhance students’ and parents’ ability to repay their federal student loans by providing accurate and timely information, relevant tools and manageable repayment options.

 Strategic Goal 3: Strengthen the quality, accessibility and use of education data through better management, increased privacy protections and transparency.	
Strategic Objective 3.1	Improve the Department’s data governance, data life cycle management and the capacity to support education data.
Strategic Objective 3.2	Improve privacy protections for, and transparency of, education data both at the Department and in the education community.
Strategic Objective 3.3	Increase access to, and use of, education data to make informed decisions both at the Department and in the education community.

 Strategic Goal 4: Reform the effectiveness, efficiency and accountability of the Department.	
Strategic Objective 4.1	Provide regulatory relief to educational institutions and reduce burden by identifying time-consuming regulations, processes and policies and working to improve or eliminate them, while continuing to protect taxpayers from waste and abuse.
Strategic Objective 4.2	Identify, assess, monitor and manage enterprise risks.
Strategic Objective 4.3	Strengthen the Department’s cybersecurity by enhancing protections for its information technology infrastructure, systems and data.
Strategic Objective 4.4	Improve the engagement and preparation of the Department’s workforce using professional development and accountability measures.

FY 2018–2019 Agency Priority Goals

Agency Priority Goals (APGs) state results to be achieved in a 24 month period. The effective implementation of the Department’s APGs depends, in part, on the effective use of high-quality and timely data, including evaluations and performance measures. Quarterly updates for the APGs are available at www.performance.gov.

The Department identified four APGs for fiscal year (FY) 2018–2019. The goals aimed to increase education choices, improve the Department’s customer service, ensure data privacy protections, and provide regulatory relief to stakeholders.

<p>APG: Improve the access to and the quality and transparency of school choice options for K–12 students.</p> <p>By September 30, 2019, the Charter Schools Program (CSP) will support the creation and expansion of 300 new charter schools nationally. CSP will also support the enrollment of 50,000 students in new charter schools. Additionally, by September 30, 2019, the Department will disseminate eight resources, at least one per quarter, on evidence-based and promising practices related to school choice.</p>	<p>Related Strategic Objective: 1.1</p> <p>Increase high-quality educational options and empower students and parents to choose an education that meets their needs.</p>
<p>APG: Improve borrowers’ access to quality customer service.</p> <p>By September 30, 2019, Federal Student Aid (FSA) will advance the adoption of the Next Generation Financial Services Environment, enabling over 1.8 million customers to submit their <i>Free Application for Federal Student Aid</i>® through the FSA mobile platform and 30,000 customers to use the mobile platform to check on their loan balances.¹</p>	<p>Related Strategic Objective: 2.4</p> <p>Improve quality of service for customers across the entire student aid life cycle.</p>
<p>APG: Improve student privacy and data security at Institutions of Higher Education (IHEs) through outreach and compliance efforts.</p> <p>By September 30, 2019, the Department will increase information security program outreach activities to IHEs by 40 percent in order to help protect information technology systems and data privacy and commence audits of IHEs subject to A-133 and <i>Gramm-Leach-Bliley Act</i> (GLBA), resulting in 36 IHEs (from a baseline of zero), completing an audit of GLBA-related information security safeguards with no significant findings.</p>	<p>Related Strategic Objective: 3.2</p> <p>Improve privacy protections for, and transparency of, education data both at the Department and in the education community.</p>
<p>APG: Provide regulatory relief to education stakeholders.</p> <p>By September 30, 2019, the Department will reduce the regulatory burden on education stakeholders by submitting to the Office of Management and Budget no less than 25 deregulatory actions (against a baseline of 0 for FY 2015 and FY 2016).</p>	<p>Related Strategic Objective: 4.1</p> <p>Provide regulatory relief to educational institutions and reduce burden by identifying time-consuming regulations, processes and policies and working to improve or eliminate them, while continuing to protect taxpayers from waste and abuse.</p>

¹This Agency Priority Goal changed in Quarter 1 of fiscal year 2019 with the Department’s transition to a new paradigm of student loan processing.

FY 2020–2021 Agency Priority Goals

Agency Priority Goals (APGs) state results to be achieved in a 24 month period. The Department identified five APGs for fiscal years 2020–2021. These goals seek to increase education choices, enhance multiple pathways for student success in career and job ready skills, improve the Department’s Federal Student Aid customer service, improve student privacy protection and cybersecurity at institutions of higher education, and provide regulatory relief and burden reduction to stakeholders.

Education Freedom: Improve awareness of and access to high-quality K–12 education opportunities for students and families.	
Related Strategic Objective: 1.1	Increase high-quality educational options and empower students and parents to choose an education that meets their needs.
By September 30, 2021, the Department will increase both the number and percentage of total charter school students and total scholarship students nationwide. <ul style="list-style-type: none"> • Charter school student enrollment will increase from 3.29 million to 3.51 million (6.90 percent of all students in public schools). • The number of scholarship students, including participants in state-based vouchers, tax-credit scholarship, and education savings account programs, will increase from 482,000 to 579,250 (1.10 percent of the total school age population). • The number of parents who receive support and engagement through technical assistance and other resources will increase by 5 percent per year. 	
Multiple Pathways to Success: Improve nationwide awareness of and access to career pathways that support job skills development and career readiness.	
Related Strategic Objectives: 1.3 and 2.3	Prepare all students for successful transitions to college and careers by supporting access to dual enrollment, job skills development and high-quality STEM. Support agencies and educational institutions as they create or expand innovative and affordable paths to relevant careers by providing postsecondary credentials or job-ready skills.
By September 30, 2021, the Department will, through programs such as the Career and Technical Education and Adult Education State Grants: <ul style="list-style-type: none"> • Support the creation and expansion of integrated education and training (IET) programs in all 50 states, Puerto Rico, and the District of Columbia. • Increase by 70,000 participants enrollment in IET programs. • Increase by 10 percent enrollment of Career and Technical Education concentrators in science, technology, engineering, and mathematics (STEM) fields. • Increase by 25,000 the number of federal financial aid recipients who earn a postsecondary credential in STEM. 	

Federal Student Aid Customer Service: Leverage the Next Generation Financial Services Environment (Next Gen FSA) to improve and personalize customers' experience with Federal Student Aid (FSA).	Related Strategic Objective: 2.4
<p>By September 30, 2021, FSA will transform its relationship with prospective and current customers through deployment of significant components of the Next Gen FSA that result in a personalized experience:</p> <ul style="list-style-type: none"> • The number of individuals submitting a <i>Free Application for Federal Student Aid</i>® (FAFSA®) through a mobile device will increase to 2.6 million. • The overall customer satisfaction level throughout the student aid life cycle, as measured by the FSA Customer Satisfaction Score,² will increase. 	<p>Improve quality of service for customers across the entire student aid life cycle.</p>
Student Privacy and Cybersecurity: Improve student privacy and cybersecurity at institutions of higher education (IHEs) through outreach and compliance efforts.	Related Strategic Objective: 3.2
<p>By September 30, 2021, the Department will participate in 12 engagements with sector-related non-governmental organizations to inform the development of five best practice programmatic improvements.</p>	<p>Improve privacy protections for, and transparency of, education data both at the Department and in the education community.</p>
Regulatory Reform: Provide regulatory relief to education stakeholders as necessary and appropriate.	Related Strategic Objective: 4.1
<p>By September 30, 2021, the Department will provide regulatory relief for education stakeholders by taking no fewer than eight deregulatory actions, which includes reduction in paperwork burden.</p>	<p>Provide regulatory relief to educational institutions and reduce burden by identifying time-consuming regulations, processes, and policies and working to improve or eliminate them, while continuing to protect taxpayers from waste and abuse.</p>

²The Federal Student Aid customer satisfaction score is an annual composite metric that measures the overall customer satisfaction level throughout the student aid life cycle for *Free Application for Federal Student Aid*® (FAFSA®) applicants (mobile and [FAFSA.gov](https://fafsa.gov)), Title IV aid recipients in school, and borrowers in repayment. The score is based on the American Customer Satisfaction Index surveys.

Cross-Agency Priority Goals

In addition to the Agency Priority Goals, the Department contributes to Cross-Agency Priority (CAP) Goals established by the Administration in the *President's Management Agenda (PMA)* of March 2018. These CAP Goals are used to accelerate progress on Presidential priority areas that require active collaboration among multiple agencies to ensure successful implementation.

The PMA includes 14 CAP Goals. The following three CAP Goals are identified as key drivers of transformation: (1) Information Technology (IT) Modernization; (2) Data, Accountability, and Transparency; and (3) People—Workforce for the Future. The remaining CAP Goals are organized as either cross-cutting or functional priority areas. The Office of Management and Budget is leading various initiatives to advance all the CAP Goals and coordinating with agencies as appropriate.

The Department co-leads efforts on CAP Goal 8 (Results-Oriented Accountability for Grants) and CAP Goal 10 (Improving Outcomes Through Federal IT Spending Transparency). The Department supports CAP Goal 8 through its participation in working groups. For example, the Single Audit Workgroup is looking for a unified solution for audit work across all federal agencies, with a focus on documenting the specific steps in the process (from intake through audit resolution and closure). Additionally, the Department's Technology Business Management Solution initiative directly supports CAP Goal 10. By understanding the total costs to run an application or business service, leadership will further understand the costs and value received as the Department modernizes its IT through fiscal year 2022. Using industry best practices, the federal government can leverage data decisions and analyze trade-offs between costs, quality, and value as it strategically modernizes its IT portfolio. In addition to supporting the CAP Goals it co-leads, the Department also contributes to other goals of the PMA. For example, the Department supports CAP Goal 2 by contributing leadership and staff for working groups developing the Federal Data Strategy, which articulates a vision for leveraging federal data as a strategic asset to better deliver on mission, serve the public, and steward resources.

Please refer to www.performance.gov for the Department's contributions to those goals and progress, where applicable.

Performance Assessment and Planning

Performance Assessment Overview and Strategic Goals

STRATEGIC GOALS

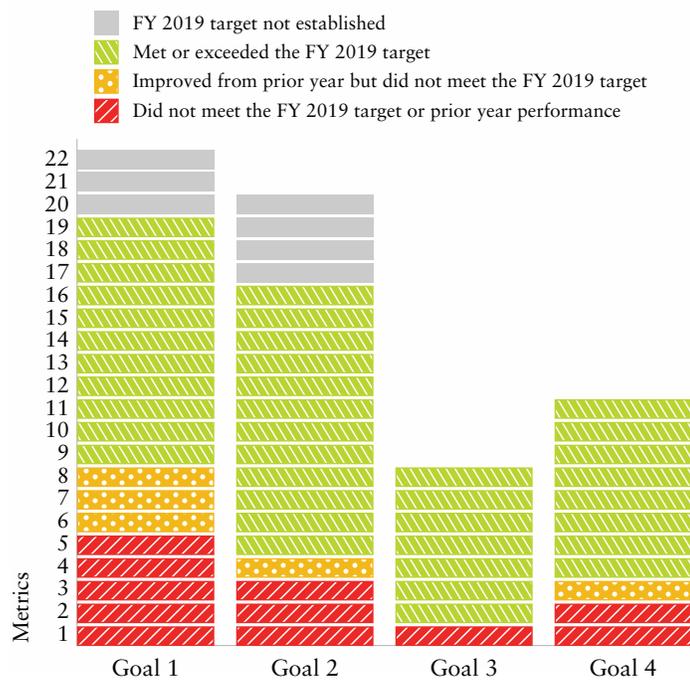
- 1 Support state and local efforts to improve learning outcomes for all P-12 students in every community.
- 2 Expand postsecondary educational opportunities, improve outcomes to foster economic opportunity and promote an informed, thoughtful and productive citizenry.
- 3 Strengthen the quality, accessibility and use of education data through better management, increased privacy protections and transparency.
- 4 Reform the effectiveness, efficiency and accountability of the Department.

Performance Assessment Overview

The following provides an overview of the Department’s performance across its four Strategic Goals.

Metric Performance Overview

In fiscal year (FY) 2019, the Department had 61 metrics. Of these 61 metrics, 38 metric targets were met or exceeded, five metrics showed improvement in performance from the prior year but did not meet the established targets, and 11 metrics performed below both this year’s target and the prior year’s performance. Additionally, seven metrics do not have an established target and are baselined in FY 2019 or later.



Strategic Goal 1

Support state and local efforts to improve learning outcomes for all P–12 students in every community.

GOAL LEADER:

Assistant Secretary for Elementary and Secondary Education

GOAL 1 OBJECTIVES

- 1.1 Increase high-quality educational options and empower students and parents to choose an education that meets their needs.
- 1.2 Provide all P–12 students with equal access to high-quality educational opportunities.
- 1.3 Prepare all students for successful transition to college and careers by supporting access to dual enrollment, job skills development and high-quality science, technology, engineering and mathematics.
- 1.4 Support agencies and institutions in the implementation of evidence-based strategies and practices that build the capacity of school staff and families to support students' academic performance.



Goal Spotlight:

Education is, and always has been, an essential aspect of American life. In fall 2019, the United States was projected to have about 51 million students in public schools and about 6 million students in private schools at the elementary and secondary education levels. These students attend the 98,500 public elementary and secondary schools and 34,600 private schools in the United States based on the most recent estimates.¹

Yet, multiple reports indicate American education is not working. According to the 2019 results of the National Assessment of Educational Progress (known as the “Nation’s Report Card”), two-thirds



¹The number of public elementary and secondary schools is from school year (SY) 2017–2018; the number of private schools in the United States is from SY 2015–2016. https://nces.ed.gov/programs/digest/d18/tables/dt18_105.50.asp?current=yes.

of American eighth graders are not proficient in reading, mathematics, or science—and test scores have essentially stayed the same for decades.

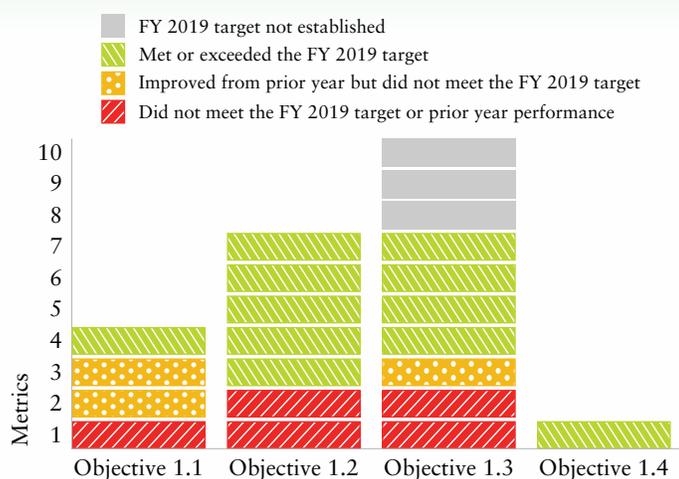
Internationally, the United States is ranked 13th in reading, 37th in mathematics, and 18th in science according to the results on the most recent 2018 [Program for International Student Assessment](#), which measures reading, mathematics, and science literacy and other key skills every three years among 15-year-olds in 79 countries and economies.

The effects of a lack of preparation in early childhood can follow students throughout high school into their postsecondary education and careers. Goal 1 of the *U.S. Department of Education Strategic Plan for Fiscal Years 2018–22* aims to fundamentally rethink elementary and secondary education in order to improve student achievement. To that end, the Department strives to come alongside state and local leaders, teachers, parents, and students themselves to expand education freedom and to urge new and innovative ways for students of all ages to learn. The Department creates policies, administers programs, and awards grants to further that goal, and it provides technical assistance as well.

The following pages discuss the Department’s major accomplishments of the past fiscal year—October 1, 2018, through September 30, 2019—to achieve Goal 1 and its four underlying strategic objectives. While everything the Department accomplished within this timeframe is too vast to include, the following information provides a snapshot.

Metric Performance Overview

In FY 2019, the Department had 22 metrics for this goal. Of these 22 metrics, 11 metric targets were met or exceeded, three metrics showed improvement in performance from the prior year but did not meet the established targets, and five metrics performed below both this year’s target and the prior year’s performance. Additionally, three metrics do not have an established target and are baselined in FY 2019 or later.

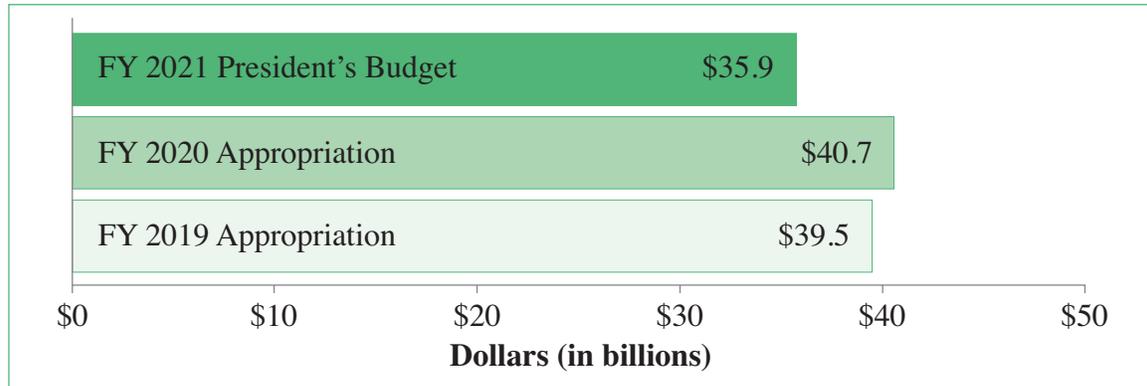




Goal 1 Discretionary Resources

The following figure and table show total Goal 1 discretionary resources and examples of select major discretionary programs and activities supporting the goal, respectively.

Goal 1 Discretionary Resources



Major Discretionary Programs and Activities Supporting Goal 1 in Thousands

POC	ACCT	Objective	Program	FY 2019 Appropriation	FY 2020 Appropriation	FY 2021 President's Budget
OESE	ED	1.2, 1.3, 1.4	Title I Grants to Local Educational Agencies	\$15,859,802	\$16,309,802	\$0
OESE	IESE	1.1, 1.2, 1.3, 1.4	Elementary and Secondary Education for the Disadvantaged Block Grant (proposed legislation)	\$0	\$0	\$19,363,430
OESE	I&I	1.3, 1.4	Education Innovation and Research	\$130,000	\$190,000	\$0
OESE	I&I	1.2, 1.4	Teacher and School Leader Incentive Grants	\$200,000	\$200,000	\$0
OESE	I&I	1.1, 1.2	Charter Schools Grants	\$440,000	\$440,000	\$0
OESE	I&I	1.1, 1.2	Magnet Schools Assistance	\$107,000	\$107,000	\$0
OESE	SIP	1.2, 1.4	State Assessments	\$378,000	\$378,000	\$369,100
OESE	SSCE	1.2	School Safety National Activities	\$95,000	\$105,000	\$0
OESE/ OLEA	ELA	1.2	English Language Acquisition	\$737,400	\$787,400	\$0
OSERS	SE	1.1, 1.2, 1.4	Special Education Grants to States	\$12,364,392	\$12,764,392	\$12,864,392
Other	N/A	N/A	All Other Programs	\$9,177,122	\$9,432,726	\$3,288,803

Note:

Discretionary resources listed here include Department programs that may contribute to multiple goals. A list of programs by goal is provided in appendix C.

Acronyms and Definitions:

POC = Principal Operating Component; ACCT = Account; OESE = Office of Elementary and Secondary Education; ED = U.S. Department of Education; IESE = Improving Elementary and Secondary Education; I&I = Innovation and Improvement; SIP = Strengthening Institutions Program; SSCE = Safe Schools and Citizenship Education; OLEA = Office of English Language Acquisition; ELA = English Language Acquisition; OSERS = Office of Special Education and Rehabilitative Services; SE = Special Education; and N/A = Not Applicable.



STRATEGIC OBJECTIVE: 1.1 1.2 1.3 1.4

Increase high-quality educational options and empower students and parents to choose an education that meets their needs.

Objective Leader: Deputy Assistant Secretary for Policy and Programs for Elementary and Secondary Education

Overview

The Department continues to support greater state and local flexibility in elementary and secondary education and encourages states and local educational agencies (school districts) to provide meaningful school choice. Parents and students should be able to select the educational experience that best suits students' needs. To encourage opportunities and choices, states and school districts should ensure that all interested parties have knowledge and understanding of all available education options.

The Department supports improved learning outcomes for prekindergarten through grade 12 students by awarding about \$40 billion annually in formula and discretionary grants (through a competitive process) to states, school districts, and nonprofit organizations. States can support increased educational options through a variety of ways, including open enrollment policies, virtual schools, homeschooling, customized learning, and dual enrollment.

The President's fiscal year 2021 budget proposes to consolidate most formula and competitive grant programs authorized by the *Elementary and Secondary Education Act of 1965* into a single flexible formula grant. This Elementary and Secondary Education for the Disadvantaged Block Grant (ESED Block Grant) would help right-size the federal role in education by shifting authority and responsibility from the federal government to the states and reducing the size and cost of the federal bureaucracy. This approach empowers states, school districts, and local leaders to determine how best to use federal resources within existing federal guardrails while recognizing local needs and context. It also minimizes federal intrusion in local schools while still enabling the federal government to fulfill its role of helping states improve educational outcomes for the most vulnerable children.

Several offices across the Department support this strategic objective, including the Office of Elementary and Secondary Education; the Office of Special Education and Rehabilitative Services; the Office for Civil Rights; the Office of Career, Technical, and Adult Education; the Institute of Education Sciences; and the Office of English Language Acquisition.

FY 2019 Annual Performance Report

Education Freedom Scholarships. The Trump Administration unveiled a policy proposal, Education Freedom Scholarships (EFS), that will drive a historic voluntary investment of up to \$5 billion a year in America’s students by providing tax credits to fund educational choice for families. Scholarships will help students access a variety of state-determined educational activities such as career and technical education, apprenticeships, dual enrollment, special education services, advanced or elective courses not available in their assigned schools, and transportation to out-of-zone education providers.

EFS would be funded through taxpayers’ voluntary contributions to state-identified scholarship granting organizations. Those taxpayers would then receive a nonrefundable, dollar-for-dollar federal tax credit. EFS would not create a new federal education program but would instead allow states to decide whether to participate and how to select eligible students, education providers, and allowable education expenses. The Department has established an Agency Priority Goal (APG) for fiscal years (FYs) 2020–2021 to increase school choice options through multiple avenues and better support parents with technical assistance and other resources.

Opportunities for education freedom, such as through the EFS proposal, enable students to enhance their current learning environments by paying for educational activities including academic enrichment courses such as art, music, or world languages; summer and after-school education programs offered by private schools; and tutoring offered by private school teachers to public and private school students. It empowers families to find the best learning environments for their children. EFS has the potential to also empower all participating students, especially students who may not have had the same advantages in life as others.

“I believe every student in America deserves the opportunity to pursue the education that best meets his or her needs. The major shift is that a student’s needs and preferences, not their address or family income, will determine the type and quality of education they can pursue.”

*—U.S. Secretary of Education
Betsy DeVos*

Charter Schools. Data show that more students and families are seeking various kinds of school choice options. There are 45 states that allow charter schools in addition to the District of Columbia, Guam, and Puerto Rico. In the 2017–2018 school year, approximately

3.2 million children attended a charter school—a growth of 39 percent in five years. By one estimate, an additional [1 million students are on waiting lists](#) to attend charter schools across the country.¹

FY 2019 marked the conclusion of a two-year effort by the Department to meaningfully improve access to, and quality and transparency of, school choice options for K–12 students. The Department made this an APG in FY 2018 and pledged that by September 30, 2019, it would support the creation and expansion of 300 new charter schools nationally and the enrollment of 50,000 students in new Charter Schools Program (CSP)-funded schools. Reviews at the end of the two-year period showed CSP supported 337 new, expanded, or replicated charter schools during the two-year period, and student enrollment in CSP-funded charter schools increased by 52,674 during the two-year period.

There were, however, challenges in meeting higher targets for FY 2019 that the Department established for related metrics within this strategic objective. The number of students attending charter schools funded by CSP declined in the past year by 1,189 students from FY 2018. As such, the FY 2019 enrollment of 1,624,564 students in CSP-funded charter schools fell 26,189 students short of the annual target of 1.63 million students (see metric 1.1-B). The Department also did not meet its annual target for the number of charter schools financially supported by the Department. The year-end number of such schools (3,670) was short of the annual target of 3,761, but it was up from the FY 2018 year-end total of 3,595 (see metric 1.1A).

The Department did meet the APG’s target to release eight resources on evidence-based and promising practices related to school choice over the two-year period—five the first year and three the second year. The Department did not meet its goal to release one such publication per quarter. Three of the resources, each developed by the Institute of Education Sciences, were released in FY 2019: *Presenting School Choice Information to Parents: An Evidence-Based Guide*, *Do Charter Middle Schools Improve Students’ College Outcomes?*, and *Evaluation of the D.C. Opportunity Scholarship Program: Impacts After Three Years*.

CSP also sought to better align its grants with the Secretary’s focus on expanding opportunities for all students, particularly traditionally underserved students, to attend high-quality public charter schools and meet challenging state academic standards. To this end, CSP used a variety of competitive preference priorities, including priorities for grant applicants proposing to serve students in rural areas and Native American communities, as well as for novice applicants. One competition also included a competitive preference priority for applicants proposing to open, replicate, or expand a charter school located in a qualified opportunity zone,

¹Another estimate puts the number of students on waiting lists for charter schools at 5 million. See <https://www.publiccharters.org/latest-news/2019/03/11/national-alliance-statement-president-trumps-fy2020-budget-proposal>.

as designated by the Secretary of the Treasury. Qualified opportunity zones are designed to spur economic development and job creation in distressed communities throughout the country and U.S. possessions by providing tax benefits to those who invest eligible capital in these communities.

The five CSP grant competitions of the past year were: (1) grants to state entities, (2) grants to charter management organizations (CMOs) for the replication and expansion of high-quality charter schools, (3) grants to charter school developers for the opening of new charter schools and the replication and expansion of high-quality charter schools, (4) credit enhancement grants, and (5) state incentive grants. The Department conducted rulemaking for three of these five grant competitions to incorporate the Secretary's priorities.

CSP partnered with the U.S. Department of Treasury so that Community Development Financial Institutions, which are a vital source of capital for charter school operators, could leverage funds from the CSP credit enhancement program and Treasury's Bond Guarantee program in tandem. This aims to help charter schools leverage additional capital for the building of new facilities in distressed and underserved areas.

In March 2019, the Department awarded more than \$100 million in 15 new grants to CMOs for the planned implementation of 138 new public charter schools and the expansion of 96 high-quality public charter schools. These grants are intended to support public charter schools that serve early childhood, elementary school, or secondary school students by providing funds to eligible applicants for the replication and expansion of high-quality public charter schools. A few months later in May, the Department awarded \$30 million to boost academic improvement in public charter schools in the District of Columbia via the *Scholarships for Opportunity and Results Act of 2011*.

In addition to awarding grants, the Department also sought to increase its monitoring of the quality of the charter schools it funds. In the past fiscal year, the Department made 25 visits to monitor the quality of charter schools, working with grantees to highlight and share successes as well as areas in need of improvement. The Office of Elementary and Secondary Education will share findings of the monitoring visits with the grantees and will engage them in post-monitoring follow-ups to gauge the grantees' plans for addressing the areas noted for improvement.

Magnet Schools. The Department also sought to more closely monitor the performance of its federally funded magnet schools. In addition to reviewing annual end-of-year reports submitted by these magnet schools, program officers for the Magnet Schools Assistance Program initiated a new practice of convening monthly monitoring calls with recipients of magnet school funds. The calls have been an avenue for the Department to collect additional information.

In May, the Department provided a webinar to grantees on Core Concepts of Strategic Enrollment Management (SEM) to introduce grantees to the various tenets of SEM practice and to assist grantees in increasing the number of students enrolled in magnet schools. Program officers are gathering information on how grantees propose to increase the number of students enrolled in their magnet programs, their enrollment period, and their enrollment process. The Department exceeded its annual target for the number of students who are enrolled in federally funded magnet schools (see metric 1.1-D). Final data from the 2018–2019 school year put such enrollment at 84,296, which was 694 students more than the FY 2019 target of 83,602.

FY 2021 Annual Performance Plan

During fiscal year (FY) 2021, the Department will revise several of its Goal 1 performance metrics, should the President’s FY 2021 budget proposal to consolidate most formula and competitive grant programs authorized by the *Elementary and Secondary Education Act of 1965* into a single flexible formula grant be included in the FY 2021 appropriation.

During FY 2020 and FY 2021, the Department will:

- Fulfill a new Agency Priority Goal to improve awareness of and access to high-quality K–12 education opportunities for students and families. Specifically, the Department will work to:
 - Increase the number and percentage of total charter school students nationwide from 3.29 million to 3.51 million students (i.e., 6.90 percent of all students in public schools).
 - Increase the number and percentage of total scholarship students, including participants in state-based vouchers, tax-credit scholarships, and education savings account programs, nationwide from 482,000 to 579,250 (i.e., 1.10 percent of the total school age population).
 - Increase the number of parents who receive support and engagement through technical assistance and other resources by 5 percent per year.
- Look for opportunities when monitoring existing grants through the Magnet Schools Assistance Program (MSAP) to partner with a newly created Risk Management and Consolidated Monitoring team in the Office of Grants Administration. This team has piloted several consolidated monitoring and engagement efforts with other offices in the Office of Elementary and Secondary Education, and it leverages the lessons learned from pilot projects into improved practices. The goal for MSAP in working with the team will be to address the substance and quality of the annual performance plans of federally funded magnet schools.
- Incorporate the Secretary’s supplemental priority on education choice where appropriate.

- Leverage findings from research on charter schools and school choice to provide targeted technical assistance.
- Support more outreach and communication about the impact and results of educational choice options, including engaging more families and communities.
- Identify one or more questions related to education choice and parent information for inclusion in the Department’s learning agenda consistent with the *Foundations for Evidence-Based Policymaking Act of 2018*. The Department’s learning agenda summarizes the key programmatic and operational questions staff need answers to so that they can meet the Department’s strategic objectives, driving evidence-building and use activities across the Department.

Performance Measures

Table 1.1-A. Number of open and operating charter schools supported by the Charter Schools Program (CSP).



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	3,599	3,595	3,670	3,761	3,820	Prior year + 150

Notes: (1) Grant funding cycles and priorities expanded the list of charter schools that have received CSP funding each year. (2) Data are not available prior to fiscal year (FY) 2017.

Data Source: National Center for Education Statistics Common Core of Data and grantee annual performance reports.

FY 2019 Period of Performance: School year 2018–2019.

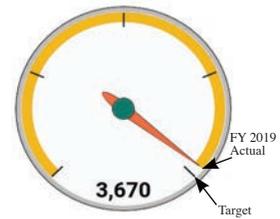


Table 1.1-B. Number of students enrolled in charter schools supported by the Charter Schools Program (CSP).



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	1,556,017	1,609,880	1,624,564	1,634,880	1,649,564	Prior year + 25,000

Notes: (1) Grant funding cycles and priorities expanded the list of charter schools that have received CSP funding each year. (2) Data are not available prior to fiscal year (FY) 2017.

Data Source: National Center for Education Statistics Common Core of Data and grantee annual performance reports.

FY 2019 Period of Performance: School year 2018–2019.

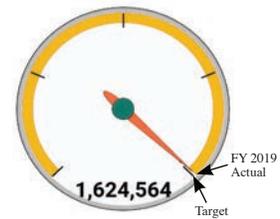


Table 1.1-C. Number of new resources on evidence-based and promising practices related to school choice disseminated.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
2	0	0	3	5	3	4	4	4

Data Source: National Charter School Resource Center and Institute for Education Sciences-sponsored materials.

FY 2019 Period of Performance: October 2018 through September 2019.

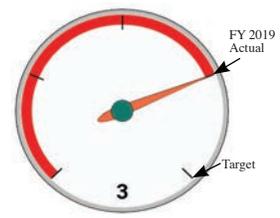


Table 1.1-D. Number of students enrolled in federally funded magnet schools.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	81,963	81,342	84,296	83,602	85,982	Prior year + 2%

Notes: (1) The period of performance was changed to reflect more recent school years. (2) Data are not available prior to fiscal year (FY) 2017. (3) Grant funding cycles and priorities expand the list of magnet schools that have received Magnet School Assistance Program (MSAP) funding each year.
Data Source: MSAP grantee annual performance reports.
FY 2019 Period of Performance: School year 2018–2019.



Table 1.1-E. Number of open and operating public charter schools (new).



2014	2015	2016	2017	2018	2019	2020	2021
Actual						Target	Target
6,934	7,304	7,288	7,137	7,335	7,393	7,443	7,493

Note: This metric will be added in fiscal year (FY) 2020.
Data Source: National Center for Education Statistics Common Core of Data.
FY 2019 Period of Performance: The FY 2019 number reported here is for school year 2018–2019.



Table 1.1-F. Number of students enrolled in public charter schools (new).



2014	2015	2016	2017	2018	2019	2020	2021
Actual						Target	Target
2,522,202	2,722,013	2,844,654	3,010,152	3,144,229	3,291,403	3,400,701	3,510,000

Note: This metric will be added in fiscal year (FY) 2020.
Data Source: National Center for Education Statistics Common Core of Data.
FY 2019 Period of Performance: The FY 2019 number reported here is for school year 2018–2019.

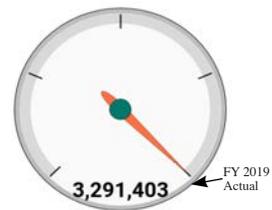


Table 1.1-G. Number of students enrolled in public magnet schools (new).

B

2014	2015	2016	2017	2018	2019	2020	2021
Actual						Target	Target
2,557,811	2,610,228	2,605,134	2,538,036	2,666,691	2,658,942	TBD	TBD

Notes: (1) This metric will be added in fiscal year (FY) 2020. (2) The definition of magnet school from the National Center for Education Statistics Common Core of Data is more expansive than those eligible for assistance through the Magnet School Assistance Program.

Data Source: National Center for Education Statistics Common Core of Data.

FY 2019 Period of Performance: The FY 2019 number reported here is for school year 2018–2019.



Table 1.1-H. Number of scholarships provided through state-based vouchers, tax credit scholarships, and education savings account programs (new).

B

2014	2015	2016	2017	2018	2019	2020	2021
Actual						Target	Target
—	—	399,280	446,000	466,000	482,000	538,464	579,250

Notes: (1) This metric will be added in fiscal year (FY) 2020. (2) Students may participate in more than one program. (3) See appendix A for more information on imputation and projections. (4) Data are not available prior to FY 2016.

Data Source: EdChoice, *The ABCs of School Choice*. The targets for FY 2020 and FY 2021 are imputed by the Office of Elementary and Secondary Education based on EdChoice reported data for the last three years.

FY 2019 Period of Performance: The FY 2019 number reported here is for school year 2018–2019.



Table 1.1-I. Number of parents receiving support and engagement on school choice options through technical assistance and other resources (new).

B

Baseline will be established in fiscal year (FY) 2020.

Notes: Data are not available prior to FY 2020.

Data Source: Internal Department outreach data and performance reports from Department-funded technical assistance centers.

FY 2019 Period of Performance: This metric will be added in FY 2020.



STRATEGIC OBJECTIVE: 1.1 1.2 1.3 1.4

Provide all P–12 students with equal access to high-quality educational opportunities.

Objective Leader: Assistant Secretary for Special Education and Rehabilitative Services

Overview

Every child, regardless of zip code or family income, should have access to a high-quality education. The Department is committed to improving access to high-quality prekindergarten through grade 12 educational opportunities for every student and will support educational institutions, parents, and communities in developing such opportunities as well as their capacity to improve the outcomes for every student.

Several offices across the Department support this strategic objective, including the Office of Elementary and Secondary Education; the Office of Special Education and Rehabilitative Services; the Office for Civil Rights; the Office of Career, Technical, and Adult Education; and the Office of Planning, Evaluation, and Policy Development.

FY 2019 Annual Performance Report

State and Local Report Cards. Students are not the only ones who got report cards this past year. Under Title I, Part A of the *Elementary and Secondary Education Act of 1965* (ESEA) as amended by the *Every Student Succeeds Act* (ESSA), each state and local educational agency (school district) receiving these federal funds has to produce report cards assessing its own performance. The report cards provide data on, among others, how students fared on standardized tests by demographic group, high school graduation rate, information about school quality, climate and safety (e.g., rates of school suspensions, expulsions, school-related arrests, and incidences of violence, including bullying and harassment) as well as the professional qualifications of teachers. The target audiences for these report cards are parents and communities.

Although states and districts have been required to publish report cards since 2003, this past school year (2018–2019) was the first that districts and states had to publish report cards that comply with ESSA requirements. One requirement is that the report cards be concise and presented in an understandable and uniform format that is accessible to the public, including persons with disabilities, and, to the extent practicable, are in a language

that parents and other stakeholders can understand. The report cards must also be posted on state and school district websites.

The Department monitors when states publish their report cards. By January 15, 2020, some 75 percent of states had published their report cards for the 2018–2019 school year (see metric 1.2-F). Over the past year, the Department also held listening sessions with parents and other stakeholders to gather their feedback on the format and accessibility of information on the new report cards. These listening sessions provided the Department with an opportunity to hear from parents and others about what information is most important to them and the challenges they encounter when using report cards. This feedback, and additional feedback from a public comment period, was incorporated into guidance the Department developed for states and districts. In September 2019,

“State and local report cards should be a rich source of information for parents to understand exactly how their child’s school is performing, how much is being spent on their child, and how it compares to other schools in their community. But, if report cards are hard to understand or obfuscate, they will not serve their intended purpose which is to empower families with relevant, accurate, and actionable data.”

*— U.S. Secretary of Education
Betsy DeVos*

the Department published the [*Opportunities and Responsibilities for State and Local Report Cards Under the Elementary and Secondary Education Act of 1965, as Amended by the Every Student Succeeds Act*](#), which provides useful information for education leaders on the content, development, design, and dissemination of their report cards. The publication of this guidance followed the release of a special [*Parent Guide to State and Local Report Cards*](#), which the Department issued in November 2019.

Through its Office of Elementary and Secondary Education (OESE), the Department also supported states and districts in developing useful and timely report cards. OESE provided a self-assessment tool for states to use in examining their state report cards and identifying areas for improvement. In November, OESE also conducted a report card design challenge that brought together states and website designers to focus on creating samples of report cards that are

accessible and user friendly. They also discussed ways to present a new data feature of the report cards—per-pupil expenditures. Between February and December 2018 (which was partially in fiscal year (FY) 2019, which runs from October 2018 through September 2019), OESE convened a [*state report card community of practice \(CoP\)*](#) with nine states and the Bureau of Indian Education. Together, they worked with subject-matter experts on ways to incorporate ESEA’s requirements to add more data to the report cards as well as how to communicate complex data to various external and internal stakeholders.

Another CoP hosted by OESE met from September 2018 through May 2019 and focused on helping states improve the quality, accuracy, and timeliness of their data for state and local report cards. OESE also created a [report card resource library](#) that provides examples of how states are designing—and communicating about—their report cards.

Supplement Not Supplant Under Title I, Part A. The same federal law mandating that states and districts publish report cards on how they are doing (i.e., Title I, Part A) was also the foundation for the Department’s issuance of guidance in June titled [Supplement Not Supplant Under Title I, Part A of the Elementary and Secondary Education Act of 1965, as Amended by the Every Student Succeeds Act](#). This guidance clarifies an important change in Title I, Part A. Specifically, it provides information to states and districts regarding how to ensure that federal funds from Title I are supplemental and do not supplant or replace state and local funds that schools would otherwise have received.

As explained in the guidance, Congress changed the way a school district demonstrates compliance with the Title I, Part A supplement not supplant requirement when it reauthorized ESEA in 2015. Specifically, Congress eliminated the cost-by-cost analysis that ESEA previously required and replaced it with a new test intended to simplify the compliance process, reduce burden, and, most importantly, prioritize effective spending. Now, in order to comply, a school district only needs to show that its methodology to allocate state and local resources to schools does not consider a school’s Title I status (i.e., the methodology is Title I neutral).

“Schools need to spend resources on what’s best for students, not what’s least likely to come up in an audit. This [guidance] does not change the legal obligations school districts have to make appropriate investments in education. It simply makes clear that a school district has significant flexibility in how it demonstrates compliance with the law.”

*— U.S. Secretary of Education
Betsy DeVos*

English Learners. Students for whom English is not a first language, or who otherwise meet the criteria to be designated as English learners (ELs), [rose to nearly 10 percent of students in public schools](#) in the United States by fall 2016, and their numbers are projected to have continued rising since then. The Department’s Office of English Language Acquisition (OELA) spent much of FY 2019 overseeing the implementation of two grant programs, one to support the [teaching, learning, and studying of Native American languages](#) (while also increasing the English language proficiency of these students) and the other to [support training for the teachers and other school personnel who work with ELs](#).

In addition, in May, OELA, in conjunction with the Department’s Office of Planning, Evaluation, and Policy Development (OPEPD), released [*Supporting English Learners through Technology: What Districts and Teachers Say about Digital Learning Resources for English Learners*](#). The report was the culmination of a nationally representative study conducted during the 2016–2017 school year and included findings from 767 district and 706 teacher surveys. It found that the use of digital learning resources (DLRs) for EL instruction was widespread, with 85 percent of teachers who instruct EL students reporting their use as instructional tools (although teachers used DLRs designed for EL students only 65 percent of the time, indicating a preference for the general tools that did not single out EL students). Information from this study was incorporated into OPEPD’s Office of Education Technology’s EdTech for English Learners technical assistance resources, including two toolkits released in October—[one](#) for DLR developers to make technology tools useful for EL students and [another](#) for educators to help them integrate these resources into the classroom.

The National Clearinghouse for English Language Acquisition & Language Instruction Educational Programs released three fact sheets: [*English Learners \(ELs\) Who Are Arab Americans*](#) in January, [*County Maps of the English Learner \(EL\) Population*](#) in April, and [*English Learners \(ELs\) Who Are Native Hawaiian or Other Pacific Islander \(NHPI\)*](#) in June. These fact sheets provide data in an easy-to-access and user-friendly format for the general public.

OELA also provided a series of webinars to various stakeholders to build capacity and raise awareness on topics ranging from ELs and implementation of ESEA to the evaluation of available grant programs. OELA hosted an EL symposium on multi-literacy in May. It was a follow-up to a community of practice on EL accountability OELA hosted in 2018 for nearly two dozen states. Although the main purpose of the CoP was related to accountability, issues of better serving a growing population of ELs arose, such as evaluating programs that are effective in increasing academic achievement and the English language proficiency of such students.

Incorporation of Technology into Classrooms. Another way the Department has sought to ensure equal opportunities for all students is by supporting technology in K–12 classrooms. A student who has access to basic levels of high-speed Internet (generally, 100 kilobits per second, or kbps) can harness a world beyond his or her classroom, with DLRs that would be more difficult to provide if Internet speeds were slower and multiple students tried to go online at the same time.

The Department is on track to meet its goal to have 99 percent of the nation’s students attend schools with Internet access speeds at (or in excess of) 100 kbps per student by

FY 2020 (see metric 1.2-D). [In FY 2019](#), 98 percent of the nation's students (44.7 million students) attended such schools, up from the 30 percent who attended such schools in 2013. Additionally, [in 2018](#), only 1,356 schools lacked fiber-optic data connections, an improvement from the 21,600 schools lacking these connections in 2013. The E-Rate program of the Federal Communications Commission, founded to implement the *Telecommunications Act of 1996*, has had a central role in making such access affordable.

Policies and Procedures to Monitor Grantees' Performance. Just before the start of FY 2019, in September 2018, the Department's Office of Inspector General (OIG) issued its findings of an audit it conducted of grants issued by the Department's Office of Indian Education (OIE). OIG stated its purpose in conducting the audit was to determine whether the Department has an adequate process in place to ensure grantees are using funds appropriately and performance goals are met. OIG found that while OIE does collect some data on grantee performance and use of funds, there was little evidence that the data were used to provide assistance to grantees in implementing the program successfully. In response, in FY 2019, OESE developed written policies and procedures to monitor grantees' performance, both in distinct areas and in overall achievement of a program's goals and objectives. The policies and procedures also included means for OESE to verify data provided by grantees and request timely follow-up on corrective actions when needed.

More fundamentally, OESE underwent a structural reorganization during this past year with substantial changes throughout the office. For example, it:

- Created a new state and grantee relations team to provide front-line support and additional customer service for states and grantees. This team is exclusively dedicated to servicing the relationship between grantees and OESE, with the intent of helping OESE better understand the context and goals of the work of its grantees.
- Added an evidence-based practices team, with the intention of better integrating the use of evidence into policy, planning, and technical assistance. The team will also look to highlight evidence-based practices currently taking place among grantees and provide data and perspectives to help improve program decision-making and implementation.
- Created an Office of Administration and assigned to it administrative tasks traditionally handled by other staff, who can now focus on their other job duties and delivery of service to grantees and others.

Federal Commission on School Safety. In March 2018, President Trump established the Federal Commission on School Safety (FCSS) to review safety practices and make meaningful and actionable recommendations for best practices to keep students safe. In December 2018, FCSS released its [final report](#), marking the culmination of months of focused study. Secretary DeVos chaired the commission. Its members included the then Attorney General of the U.S. Department of Justice (DOJ), the Secretary of the U.S.

“Each of us has an important role to play in keeping our nation’s students, teachers, and faculty safe at school. We want local leaders to have the resources and support they need to help prevent school violence and effectively respond and recover should tragedy occur.”

*— U.S. Secretary of Education
Betsy DeVos*

Department of Health and Human Services (HHS), and the former Secretary of the U.S. Department of Homeland Security (DHS). FCSS studied what was already working well in states and local communities and issued nearly 100 recommendations for best practices, recognizing that one size does not fit all. Included in the report was a recommendation that all appropriate federal, state, and local agencies should increase awareness of mental health issues among students and expand access to care while reducing the stigmas often associated with mental health issues.

The Department also launched a [website](#) for FCSS; it features the final report of the commission along with its recommendations. The website includes a Frequently Asked Questions page that consolidates previously issued guidance and technical assistance into a single resource to help raise schools’ and districts’ awareness of the support available to help students, teachers, and schools.

In June 2019, as a follow-up to these recommendations, OESE announced plans to award \$15 million in grants under the new [Mental Health Service Professional Demonstration Grant Program](#) to support partnerships that train school-based mental health service providers for employment in schools and local educational agencies (school districts) that serve children from low-income families.

In September, the Department completed another recommendation—this one to provide resources to assist schools and districts in developing customized school emergency operations plans (EOPs) with their community partners, such as first responders. The Department, in conjunction with DOJ, HHS, and DHS, released a new planning guide to help districts support schools in developing and maintaining customized EOPs: [The Role of Districts in Developing High-Quality School Emergency Operations Plans](#). The guide serves as a complement to 2013’s [Guide for Developing High-Quality School Emergency Operations Plans](#) and provides information about a variety of support to help schools develop local policies and procedures that address and plan for hazards and threats specific to their school community.

FY 2021 Annual Performance Plan

During fiscal year (FY) 2020 and FY 2021, the Department will:

- Monitor several states for the implementation of their approved plans for complying with the *Elementary and Secondary Education Act of 1965* (ESEA) as amended

by the *Every Student Succeeds Act* (ESSA), including report card requirements. Specifically, the Office of Elementary and Secondary Education (OESE) will:

- Monitor two states for compliance with Title I, Part A; Title II, Part A; and Title III, Part A of ESEA in Quarter 1 of FY 2020, through OESE and its new Office of School Support and Accountability. These states were chosen based on a risk assessment.
- Review every state’s report card in January 2020 to evaluate whether they have been published and include required information for parents and stakeholders, including the list of schools identified for comprehensive or targeted support and improvement; data on the newly required demographic subgroups (i.e., homeless students, students in foster care, and students with a parent in the Armed Forces); data on per-pupil expenditures; and districts and schools receiving school improvement funds, including the amount of funds and types of strategies implemented.
- Determine the effectiveness of its methods for monitoring compliance and assess whether additional tools, methods, or communications should be explored to support state implementation of key ESEA requirements in FY 2020.
- Release a guidebook via its contractor, the State Support Network, that will compile lessons learned from a 2018 community of practice on EL accountability. Specifically:
 - The Department will also host, in Quarter 2 of FY 2020, a “peer-to-peer” opportunity for all states on English learners.
 - This will provide a platform for states to exchange best practices and resources on better serving these students.
- Publish guidance documents on key issues (e.g., equitable services for students in private schools and school improvement and fiscal requirements in Title I) and create several additional communities of practice (CoPs) with states (e.g., communication around report cards, equitable services for students in private schools, support for evidence-based practices in school improvement, and foster care).
- Support and monitor states and districts in the implementation of multi-tiered systems of support to improve school climate and access to mental health services for students exposed to violence or traumatic events. The Department will also support the development of emergency management plans to address school safety.
- Publish guidance documents on key issues related to mental health services for vulnerable populations.
- Create CoPs on mental health/trauma/social and emotional learning or convene focus groups.
- Release a tool by Quarter 4 of FY 2020 to help states analyze their accountability systems and identify how to strengthen and improve their systems.

- Work collaboratively with 19 other federal agencies that are members of the U.S. Interagency Council on Homelessness to provide technical assistance and information to address the needs of homeless children and youths.
- Enhance the intra/interagency collaboration for the directors of federal and state programs for neglected, delinquent or at-risk children and youths. Participating offices include, but are not limited to, the Department's Office of Elementary of Secondary Education; Office of School Support and Accountability; Office of Career, Technical, and Adult Education; and the Office of Special Education Programs. The Department will share technical assistance and information with the U.S. Department of Justice's Office of Juvenile Justice and Delinquency Prevention.
- Develop and convene a Tribal Broadband Summit of community leaders with information and resources to assist in effective program implementation strategies.
- Improve Small, Rural School Achievement program and Rural Low-Income School program grantees' knowledge of program flexibilities by Quarter 2 of FY 2020 by disseminating an informational document that explains program requirements and available uses of funds.
- Continue to use the National Assessment of Educational Progress mathematics and reading participation and proficiency scores as factors in calculating states' annual determinations under Section 616(d) of the *Individuals with Disabilities Education Act* about outcomes for children and youths with disabilities, or develop an alternative approach using state assessment results.
- Issue a final regulation in Quarter 1 of FY 2020 for the Migrant Education program to reduce burden on state educational agencies related to requirements to conduct independent interviewing to verify child eligibility for the program.
- Identify for inclusion in the Department's learning agenda, consistent with the *Foundations for Evidence-Based Policymaking Act of 2018*, one or more questions related to how state and local educational agencies (school districts) select and implement evidence-based practices designed to improve student performance.
- Launch a school safety clearinghouse (a major resource for state and local school officials, law enforcement authorities, mental health professionals, and others) to help keep students safe, through the Department and the Departments of Homeland Security, Health and Human Services, and Justice, fulfilling a recommendation included in the final report of the Federal Commission on School Safety.

Performance Measures

Table 1.2-A. Percentage of states that show improvement across a three-year trend in the percentage of students in grades 3 through 8 scoring at or above proficient on state assessments in reading in the following subgroups: economically disadvantaged, children with disabilities, English learners, migrant, homeless, and major racial and ethnic groups.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	24%	20%	17%	24%	21%	Prior year + 4 percentage points

Notes: (1) Data updated since prior reporting to reflect methodological changes. See appendix B for details. (2) Data are not available prior to fiscal year (FY) 2017.

Data Source: The Department's annual Assessment Data File that includes state-reported data pulled from ED Facts files C175, C178, C185, and C188.

FY 2019 Period of Performance: School year 2017–2018.

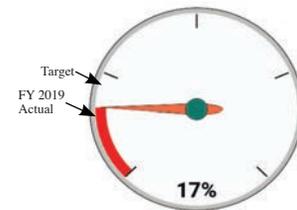


Table 1.2-B. Percentage of states that show improvement across a three-year trend in the percentage of students in grades 3 through 8 scoring at or above proficient on state assessments in mathematics in the following subgroups: economically disadvantaged, children with disabilities, English learners, migrant, homeless, and major racial and ethnic groups.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	37%	24%	17%	24%	21%	Prior year + 4 percentage points

Notes: (1) Data and target updated since prior reporting to reflect methodological changes. See appendix B for details. (2) Data are not available prior to fiscal year (FY) 2017.

Data Source: The Department's annual Assessment Data File that includes state-reported data pulled from ED Facts files C175, C178, C185, and C188.

FY 2019 Period of Performance: School year 2017–2018.

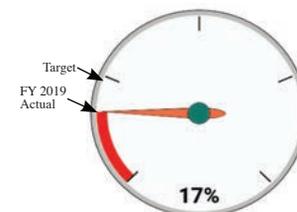


Table 1.2-C. Percentage of states with 80 percent or more of preschoolers with disabilities that showed greater than expected growth in social-emotional skills by the time they exit *Individuals with Disabilities Education Act (IDEA) Part B, Section 619* services.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	55%	55%	60%	56%	57%	58%

Note: Data are not available prior to fiscal year (FY) 2017.
 Data Source: IDEA Part B state annual performance reports.
 FY 2019 Period of Performance: School year 2017–2018.



Table 1.2-D. Percentage of students in the country who have Internet bandwidth at school of at least 100 kbps per student.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	88%	96%	98%	98%	99%	99%

Note: Data are not available prior to fiscal year (FY) 2017.
 Data Source: EducationSuperHighway.
 FY 2019 Period of Performance: October 2018 through September 2019.

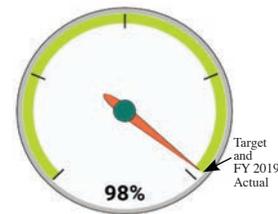


Table 1.2-E. Percentage of rural schools connected to a broadband infrastructure capable of scaling to 10 gigabits per second.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	96%	97%	98%	98%	99%	99%

Notes: (1) Data updated from prior reporting. (2) Rural schools include small town schools. (3) Data are not available prior to fiscal year (FY) 2017.
 Data Source: EducationSuperHighway.
 FY 2019 Period of Performance: October 2018 through September 2019.

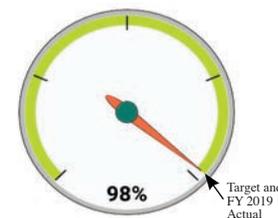


Table 1.2-F. Percentage of states publishing report cards on the preceding school year in a timely manner (i.e., by January 15th of the year following the reporting year).



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	—	68%	75%	≥68%	≥ prior year	≥ prior year

Note: Data are not available prior to fiscal year (FY) 2018.
Data Source: Consolidated State Performance Report.
FY 2019 Period of Performance: School year 2018–2019.

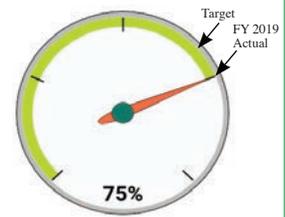
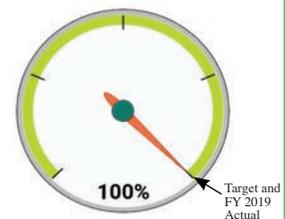


Table 1.2-G. Percentage of monitored states publicly reporting information on each indicator in the state’s accountability system, including the list of schools identified for comprehensive or targeted support and improvement.



2014	2015	2016	2017	2018	2019	2019	2020	2021
Actual					Actual	Target	Target	
—	—	—	—	—	100%	100%	100%	100%

Note: Data are not available prior to fiscal year (FY) 2019.
Data Source: The Office of Elementary and Secondary Education’s Office of School Support and Accountability monitors state compliance with Title I requirements, including the requirement to publish state and local report cards.
FY 2019 Period of Performance: School year 2018–2019.





STRATEGIC OBJECTIVE: 1.1 1.2 1.3 1.4

Prepare all students for successful transitions to college and careers by supporting access to dual enrollment, job skills development and high-quality science, technology, engineering and mathematics (STEM).

Objective Leader: Assistant Secretary for Career, Technical, and Adult Education

Overview

The most recently available data on graduation rates (school year 2016–2017) indicate that 85 percent of public school students graduate within four years of starting high school. In a June 2018 speech at the National Leadership and Skills Conference, Secretary DeVos noted that “there are many avenues to earn what individual students want and what employers need: industry-recognized certificates, two-year degrees, stackable credits, credentials, licenses, advanced degrees, badges, four-year degrees, micro-degrees, apprenticeships, and so on. All of these are valid pursuits. Each should be embraced . . .” This observation stresses the importance of informed decision-making as students transition to college and careers.

To support this strategic objective, the Department is working to expand the practical and affordable options available to students and parents for successful transition from high school to postsecondary education and careers, including dual or concurrent enrollment programs; access to accelerated coursework, such as Advanced Placement and International Baccalaureate courses to earn postsecondary credit while still in high school; and high-quality science, technology, engineering, and mathematics instruction and job skills development through career and technical and adult education programs. These options are critical for students as they prepare for the transition to college and careers and the quickly changing demands of the technology-driven global economy.

Several offices across the Department support this strategic objective, including the Office of Career, Technical, and Adult Education; the Office of Elementary and Secondary Education; the Office of Planning, Evaluation, and Policy Development; the Office for Civil Rights; the Office of Postsecondary Education; the Office of Special Education and Rehabilitative Services; and the Institute of Education Sciences.

FY 2019 Annual Performance Report

Perkins V. Much of the year was spent helping states prepare to meet the requirements of the *Carl D. Perkins Career and Technical Education Act of 2006*, as amended and reauthorized by the [*Strengthening Career and Technical Education for the 21st Century Act*](#) (Perkins V), which went into effect on July 1 and will be fully implemented by states, local educational agencies (school districts), institutions of higher education (IHEs), and other recipients on July 1, 2020. Originally enacted as the *Vocational Education Act of 1963*, the law was updated to better reflect the changing needs of preparing students in career and technical education (CTE). Perkins V requires extensive collaboration among state- and local-level secondary, postsecondary, and business and industry partners to develop and implement high-quality CTE programs and programs of study. It also requires local grantees to conduct a needs assessment to align CTE programs to locally identified, high-wage, high-skill, or in-demand career fields, and it expands the reach and scope of career guidance and academic counseling.

In April, in preparation for the implementation of Perkins V, the Office of Career, Technical, and Adult Education (OCTAE) published the [*Guide for the Submission of State Plans*](#), hosted a national “Re-Think CTE summit,” and launched a web-based video series to encourage states to take advantage of the opportunities created by the law to improve CTE and student outcomes. One month prior, OCTAE also sponsored a convening to help stakeholders (e.g., IHEs, adult education providers, and workforce boards) make full use of the ability to benefit (ATB) provisions in Title IV of the *Higher Education Act of 1965* as amended by the *Consolidated and Further Continuing Appropriations Act of 2015*. ATB provisions allow a student who did not receive a high school diploma (or its recognized equivalent), or who did not complete a secondary school education in a home-school setting, to be eligible for Title IV financial aid and thus finance a postsecondary education or training. OCTAE provided assistance on how stakeholders could remove barriers that in the past have stymied participation in ATB programs.

Science, Technology, Engineering, and Mathematics Workforce Preparation and the Workforce Innovation and Opportunity Act. The Department also announced 15 new competitive grant competitions that prioritized science, technology, engineering, and mathematics (STEM) activities through competitive preference or absolute priorities, exceeding the fiscal year (FY) 2019 target of nine and the FY 2018 actual number achieved of 12 (see metric 1.3-A). The Department also exceeded its FY 2019 target by 145,263 students for the number of secondary CTE concentrators enrolling in STEM courses (see metric 1.3-J).

With record national employment and fewer adults enrolling in education programs, the Department experienced challenges in meeting its established targets for getting adults to pursue additional education. For example, the Department administers programs under the *Workforce Innovation and Opportunity Act* (WIOA), which aims to help adults with barriers

to employment, including individuals with disabilities, achieve high-quality careers and assists employers with hiring and retaining skilled workers. The actual number of students in one of these WIOA Title II programs who achieved what is called a “measurable skill gain” in FY 2019 fell short of the annual target by 22,047 students (see metric 1.3-D), largely because overall enrollment in the program dropped seven percent. However, performance did improve; during the 2018 program year, 46 percent of participants achieved a measurable skill gain—up two percentage points from 2017.

Title II of WIOA, which supports adult education programs, authorized a new, innovative program strategy called integrated education and training (IET). In these programs, eligible adults participate, concurrently, in both occupational skills training and adult education and literacy activities (e.g., programs that help adults earn a high school diploma or its equivalent or become proficient in English). The number of adults enrolled in IET programs fell short of the annual target by 25,567 participants even though the number of adults enrolled in such programs nearly doubled from the number enrolled in FY 2018 (see metric 1.3-G). The Department will revise its targets for these metrics next year and, at the same, intensify its efforts to improve performance on these measures. They have become part of an Agency Priority Goal for FY 2020–2021 in which the Department pledges to improve nationwide awareness of, and access to, career pathways that support job skills development and career readiness.

Opportunities for Students and Youths with Disabilities. In September, the Department released [guidance](#) clarifying that vocational rehabilitation and *Individuals with Disabilities Education Act* funds can be used to support dual enrollment, comprehensive transition, and other postsecondary education programs for students and youths with disabilities. The Department produced the guidance, in the form of a set of questions and answers, after receiving reports that there was confusion about whether and when these federal funds could be used to help students and youths with disabilities access these educational options. The guidance explains that select federal funds can be used to help students with disabilities, as appropriate, enroll in postsecondary education programs while still in high school and that there are specific financial aid options available.

In addition, the Department continued work on the Promoting Readiness of Minors in Supplemental Security Income (PROMISE) program, which is a joint initiative with the U.S. Department of Health and Human Services, U.S. Department of Labor, and the U.S. Social Security Administration. The program was created to foster improved health, education, and postsecondary outcomes for children ages 14–16 who receive Supplemental Security Income, as well as their families; it supports improved coordination of various services and seeks to facilitate the increased use of such services, ensuring that families are tied into programs for which they might be eligible, but are not yet participating. In April, the Office of Special Education and Rehabilitative Services held

a live webcast to discuss the findings of six model demonstration projects for PROMISE that explored topics such as accomplishments and challenges in the context of disability and poverty.

FY 2021 Annual Performance Plan

In fiscal year (FY) 2020 and FY 2021, the Department will:

- Fulfill a new Agency Priority Goal to improve nationwide awareness of and access to career pathways that support job skills development and career readiness. Specifically, through programs such as the Career and Technical Education (CTE) and Adult Education State Grants, by September 30, 2021, the Department will:
 - Support the creation and expansion of integrated education and training (IET) programs in all 50 states, Puerto Rico, and the District of Columbia.
 - Support the enrollment of 70,000 participants in IET programs.
 - Increase enrollment of CTE concentrators in science, technology, engineering, and mathematics (STEM) fields by 10 percent.
 - Increase the number of students who are federal financial aid recipients who earn a postsecondary credential in STEM by 25,000.
- Develop guidance for state special education and vocational rehabilitation staff on transition services and pre-employment transition services for youths and students with disabilities.
- Publish practitioner briefs on Title IV, Part A of the *Elementary and Secondary Education Act of 1965*, as amended by the *Every Student Succeeds Act*, regarding the implementation of specific evidence-based interventions, including well-rounded education and STEM programs.
- Issue a revised *Transition Resource Guide* by Quarter 1 of FY 2020. The guide will provide information to students with disabilities and their families on using *Achieving a Better Life Experience Act* accounts. These are tax-free savings accounts for individuals with disabilities and can be used to cover qualified expenses such as education, housing, and transportation.
- Initiate a significant new effort to support states in their ongoing efforts to ensure high-quality, evidence-based mathematics instruction for adult learners.
- Provide technical assistance, through special initiatives and subject-matter experts, to ensure that grantees serving out-of-school migrant and seasonal farmworkers can provide students with the skills and knowledge required for employment in in-demand industry sectors and occupations.
- Continue to support state efforts to improve the transition of high school CTE students to postsecondary education and employment through work-based learning, such as apprenticeships, with an emphasis on STEM fields.

- Encourage the integration of applied STEM instruction in high school CTE and expose students to careers in technology and aerospace through the CTE Cube Satellite nationwide challenge, which will encourage and help high school CTE students compete to design, build, and test cube satellite prototypes in collaboration with the National Aeronautics and Space Administration.
- Increase the number of teachers certified to teach cybersecurity through CTE Cyber Camps.
- Increase access to cybersecurity programs of study by students in underserved communities.
- Expand high school pathways to postsecondary cybersecurity programs at community and technical colleges designated as Centers of Academic Excellence in Cybersecurity by the National Security Agency and the U.S. Department of Homeland Security.

Performance Measures

Table 1.3-A. Number of discretionary grant notices with science, technology, engineering, and mathematics as a priority.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	3	12	15	9	10	12

Note: Data are not available prior to fiscal year (FY) 2017.

Data Source: Program offices holding discretionary grant competitions each year, including the Office of Elementary and Secondary Education; the Office of Innovation and Improvement; the Office of Special Education and Rehabilitative Services; the Office of Postsecondary Education; the Office of Career, Technical, and Adult Education; the Institute of Education Sciences; and the Office of English Language Acquisition.

FY 2019 Period of Performance: October 2018 through September 2019.

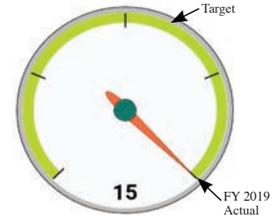


Table 1.3-B. Number of public high school students by graduating cohort who have taken at least one Advanced Placement science, technology, engineering, and mathematics exam while in high school.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
527,001	555,119	592,410	622,553	644,485	677,702	676,709	711,587	Prior year + 5%

Data Source: College Board.

FY 2019 Period of Performance: School year 2017–2018.



Table 1.3-C. Number of public high school students by graduating cohort who have taken at least one Advanced Placement science, technology, engineering, and mathematics exam while in high school and scored a 3 or better.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
291,946	312,421	325,329	339,784	348,322	370,231	365,738	388,743	Prior year + 5%

Data Source: College Board.

FY 2019 Period of Performance: School year 2017–2018.



Table 1.3-D. Number of adult education participants who achieved a measurable skill gain.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	—	676,178	654,853	676,900	655,508	Prior year + 0.1%

Notes: (1) The number of adult education participants refers to participants in *Workforce Innovation and Opportunity Act* Title II programs. (2) Data are not available prior to fiscal year (FY) 2018.

Data Source: National Reporting System for Adult Education.

FY 2019 Period of Performance: July 2017 through June 2018.

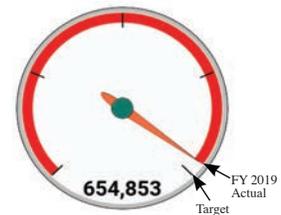


Table 1.3-E. Number of adult education participants who obtained a secondary school diploma or its equivalent and are employed or enrolled in an education or training program within one year following exit.

B

Baseline will be established in fiscal year (FY) 2020.

Notes: (1) The number of adult education participants refers to participants in *Workforce Innovation and Opportunity Act* Title II programs. (2) Data are not available prior to FY 2020.

Data Source: National Reporting System for Adult Education.
 FY 2019 Period of Performance: July 2017 through June 2018.

Table 1.3-F. Number of secondary career and technical education (CTE) concentrators who attained a secondary school diploma, a General Education Development credential, or another state-recognized equivalent.

X

2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
1,106,065	1,135,572	1,095,254	1,093,531	1,112,329	84.1% of CTE	96% of CTE	96% of CTE	—

Notes: (1) Fiscal year (FY) 2019 performance represents 84.1 percent of CTE concentrators, which is down from 96 percent in FY 2018. (2) No data will be reported in FY 2021.

Data Source: *State Consolidated Annual Reports for the Strengthening Career and Technical Education for the 21st Century Act* (Perkins V).

FY 2019 Period of Performance: October 2017 through September 2018.

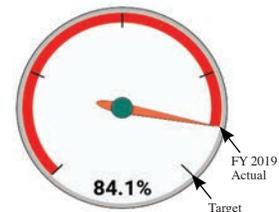


Table 1.3-G. Number of adult education participants enrolled in an integrated education and training program.

—

2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	—	23,307	43,904	69,471	56,000	70,000

Notes: (1) The number of adult education participants refers to participants in *Workforce Innovation and Opportunity Act* Title II programs. (2) Data are not available prior to fiscal year (FY) 2018.

Data Source: National Reporting System for Adult Education.
 FY 2019 Period of Performance: July 2017 through June 2018.

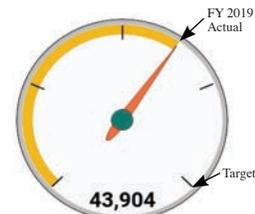


Table 1.3-H. Number of adult education participants who advanced one educational functioning level in mathematics.



Baseline will be established in fiscal year (FY) 2020.

Notes: (1) The number of adult education participants refers to participants in *Workforce Innovation and Opportunity Act* Title II programs. (2) Data are not available prior to FY 2020.
Data Source: National Reporting System for Adult Education.
FY 2019 Period of Performance: July 2017 through June 2018.

Table 1.3-I. Percentage of secondary career and technical education (CTE) concentrators placed in employment, further training, or the military.



Baseline will be established in fiscal year (FY) 2022.

Notes: (1) Data are not available prior to FY 2020. (2) Title changed since prior reporting; see appendix B for details. (3) *National and Community Service Act* volunteers references the *National and Community Service Act of 1990* (42 U.S.C. 12511 et seq.), Title I program. (4) Peace Corps volunteers references the *Peace Corps Act* (22 U.S.C. 2504(a)).
Data Source: *State Consolidated Annual Reports* for the [Strengthening Career and Technical Education for the 21st Century Act](#) (Perkins V).
FY 2019 Period of Performance: October 2017 through September 2018.

Table 1.3-J. Number of secondary career and technical education concentrators enrolling in science, technology, engineering, and mathematics.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
965,673	992,302	1,020,914	1,154,916	1,251,886	1,409,668	1,264,405	1,480,151	1,550,635

Data Source: *State Consolidated Annual Reports* for the [Strengthening Career and Technical Education for the 21st Century Act](#) (Perkins V).
FY 2019 Period of Performance: School year 2017–2018.





STRATEGIC OBJECTIVE: 1.1 1.2 1.3 1.4

Support agencies and institutions in the implementation of evidence-based strategies and practices that build the capacity of school staff and families to support students' academic performance.

Objective Leader: Assistant Secretary for Planning, Evaluation, and Policy Development

Overview

Focusing on evidence of what works will better serve students, families, and communities. This strategic objective aims to support the development of evidence about what works in prekindergarten through grade 12 education, primarily through expanded support for states and local educational agencies (school districts) as they implement provisions in the *Every Student Succeeds Act* that require the use of evidence-based interventions whenever practicable.

Several offices across the Department support this strategic objective, including the Office of Planning, Evaluation, and Policy Development; the Office of Special Education and Rehabilitative Services; the Office of Elementary and Secondary Education; and the Institute of Education Sciences.

FY 2019 Annual Performance Report

New Offices. The Grants Policy Office, a new component of the Office of Planning, Evaluation, and Policy Development, works with offices across the Department to ensure alignment with the Secretary's priorities, including evidence-based practices. It looks to see where the Department and the field can continuously improve, and it does so by building stronger evidence, making decisions based on a clear understanding of the available evidence, and disseminating evidence to decision-makers.

Specific activities of the office include strengthening the connection between the Secretary's policies and grant implementation, from design through evaluation; supporting a culture of evidence-based practices; providing guidance to grant-making offices on how to integrate evidence into program design; and identifying opportunities where the Department and field can improve by building, understanding, and using evidence. In addition, the Grants Policy Office works with offices across the Department to award new competitive grants earlier in the fiscal year to better support the education community.

In addition to the new Grants Policy Office, the Department launched a new office for Evidence-Based Practices in January, within the Office of Elementary and Secondary Education (OESE). This office aims to identify and promote effective practices for internal and external stakeholders to support academic and program excellence, ensure educational opportunities and equity for all children, and improve the quality of teaching and learning. Among its duties are building direct relationships with teachers, principals, and other educators across the country to hear first-hand about shared concerns.

This office will also serve as an informational resource for the public and develop and plan the design of OESE grant program activities to ensure they align with the Department’s priorities. It will also develop policies based on the identification of effective practices. It is the Department’s subject-matter expert in cross-cutting areas, such as turning around low-performing schools, engaging families and communities, and improving charter and magnet schools.

Exploring What Works. Programs within the Institute of Education Sciences (IES) are designed to identify, synthesize, and disseminate information about what works in education to improve student outcomes. Many of these activities are sponsored by IES’ National Center for Education Evaluation and Regional Assistance (NCEE). In addition to conducting high-quality evaluations, NCEE oversees the [What Works Clearinghouse](#), which reviews the existing research on programs, products, practices, and policies in education to provide educators with the information they need to make evidence-based decisions.

In fiscal year (FY) 2019, IES added to the Department’s understanding of “what works” via rigorous evaluations in several ways. For example, in September, the Department released the report [Evaluation of Support for Using Student Data to Inform Teachers’ Instruction](#). This study assessed one approach to supporting teachers’ use of student data to tailor their instruction; it assigned half of the 102 participating elementary schools to receive funding for a data coach of their choosing as well as intensive professional development for coaches and school leaders. In the end, the study’s coaching and professional development interventions did not increase teachers’ data usage or change their instructional practices. Furthermore, the support offered through the study did not lead to an increase in student achievement.

Additionally, in May, the Department released the final report from a rigorous evaluation of the D.C. Opportunity Scholarship Program. The program, established in 2004, is the only federally funded private school voucher program for low-income parents in the United States. As reported, this evaluation examined impacts on achievement and other outcomes three years after eligible students were selected (or not selected) to receive scholarships using a lottery process in 2012, 2013, and 2014. The report indicates that, although being offered or using a scholarship did not affect student achievement, it did

reduce chronic absenteeism. Participating in the program also had positive effects on students' satisfaction with their schools and perceptions of school safety but had no effect on their parents' views on these issues.

IES also oversees the 10 [Regional Educational Laboratories \(RELs\)](#) that work in partnership with educators and policymakers to develop and use research that improves academic outcomes for students. As part of IES' Knowledge Use Division, the RELs and [What Works Clearinghouse](#) programs provided leadership for more than 550 technical assistance engagements, events, or related activities or products focused on evidence building and evidence use in FY 2019. RELs supported more than 75 partnerships across the nation, bringing together educators, policymakers, and researchers to find solutions to some of stakeholders' most vexing problems, including supporting early literacy outcomes, improving mathematics instruction, and supporting teacher effectiveness. Examples of partnership activities included professional development focused on literacy instruction in Mississippi; data analytics to understand teacher retention and mobility in Colorado, Missouri, Nebraska, and South Dakota; and the development of measures of school climate to support implementation of Maryland's plan for the *Every Student Succeeds Act*.

In addition to new [practice guides](#) and [intervention reports](#), the clearinghouse developed a series of events and materials focused on supporting state, district, and school use of the clearinghouse to find evidence-based practices and interventions. This included a [video](#), as well as three new webinars and two new in-person training modules. The video, released in February, featured how public schools in Cleveland, OH, are using resources from the clearinghouse to make informed decisions about program adoption.

By the end of the fiscal year, OESE had awarded 41 Education Innovation and Research (EIR) grants worth \$123 million. OESE oversees and administers the EIR grants program, which is designed to generate and validate solutions to persistent education challenges and support the expansion of those solutions to serve substantially larger numbers of students. All grantees must develop, implement, replicate, or scale up interventions or innovations that prior research suggest have promise or are demonstrated to have an impact on

“For too long, the one-size-fits-all approach to education has failed too many students. Through the EIR program, grantees have the opportunity to rethink education and approach student learning in new ways. I’m excited to see states, school districts, and nonprofits proposing more creativity, innovation, and personalization on behalf of students.”

—U.S. Secretary of Education Betsy DeVos

improving student achievement or student growth, closing achievement gaps, decreasing dropout rates, increasing high school graduation rates, or increasing college enrollment and completion rates for high-need students. The grants serve 590,000 students in 3,200 schools and 560 districts across 35 states and the District of Columbia.

FY 2021 Annual Performance Plan

In fiscal year (FY) 2020 and FY 2021, the Department will:

- Include questions in the Department’s learning agenda, consistent with the *Foundations for Evidence-Based Policymaking Act of 2018*, which support generating evidence in the following:
 - One or more core academic subjects (e.g., supporting struggling readers) or domains of education policy (e.g., teacher preparation or professional development) where significant gaps exist in knowledge about effective practice.
 - How the Department can maximize the effectiveness of technical assistance programs designed to serve state and local educational agencies, parents, and other relevant education stakeholders.
- Collaborate with internal and external partners to disseminate resources related to the use of evidence, including an internal evidence training agenda to build staff capacity to support discretionary and formula grantees and the broader education community.
- Begin or complete more than a dozen What Works Clearinghouse intervention reports focused on prekindergarten to grade 12 as well as two clearinghouse practice guides related to evidence-based practices in assisting students struggling with mathematics and promoting pro-social behavior.
- Continue to refine the work of the new office of Evidence-Based Practices to meet the needs of the Office of Elementary and Secondary Education, states, and districts.

Performance Measures

Table 1.4-A. Number of technical assistance engagements, events, or related activities or products focused on the grantees' use of evidence in prekindergarten through grade 12 education.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	—	672	1,008	773	1,109	Prior year + 5%

Note: Data are not available prior to fiscal year (FY) 2018.

Data Source: Department offices that deliver technical assistance.

FY 2019 Period of Performance: October 2018 through September 2019.



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Strategic Goal 2

Expand postsecondary educational opportunities, improve outcomes to foster economic opportunity and promote an informed, thoughtful and productive citizenry.

GOAL LEADER:

Assistant Secretary for
Postsecondary Education

GOAL 2 OBJECTIVES

- 2.1 Support educational institutions, students, parents and communities to increase access and completion of college, lifelong learning and career, technical and adult education.
- 2.2 Support agencies and educational institutions in identifying and using evidence-based strategies or other promising practices to improve educational opportunities and successfully prepare individuals to compete in the global economy.
- 2.3 Support agencies and educational institutions as they create or expand innovative and affordable paths to relevant careers by providing postsecondary credentials or job-ready skills.
- 2.4 Improve quality of service for customers across the entire student aid life cycle.
- 2.5 Enhance students' and parents' ability to repay their federal student loans by providing accurate and timely information, relevant tools and manageable repayment options.



Goal Spotlight:

This year, 20 million students across the country are expected to pursue higher education. Of these, 13.4 million will enroll in four-year colleges and universities, and the remaining 6.7 million will pursue alternative pathways such as two-year colleges, apprenticeships, or some form of technical education.

A primary focus for institutions of higher education should be on adequately preparing students for work in today's and tomorrow's economies. The nature of work is always changing. That means institutions must prepare American workers to be agile and adaptive.

More and more students are not pursuing a traditional bachelor's degree and are instead pursuing career and technical education (CTE), certificate programs, and associate degree programs. These pathways are significant and necessary for today's workforce as well as for the future.



For some students, an apprenticeship or six-month industry-recognized certificate may be the right choice after high school. For others, a bachelor’s degree or even a Ph.D. may be necessary to get them to their career objectives. The Department seeks to provide multiple opportunities for any of these paths and for others that a student may choose. Goal 2 explores the ways in which the Department expands postsecondary educational opportunities to foster successful careers and meaningful lives.

Consistent with industry demands and with where many of today’s economic opportunities lie, the Trump Administration and the Department have made coursework and training in science, technology, engineering, and mathematics (STEM) a significant part of these efforts. In fiscal year 2019, the Department invested [\\$540 million in STEM education](#) through discretionary and research grants in accordance with the President’s directive to foster expanded opportunities in these in-demand career fields.

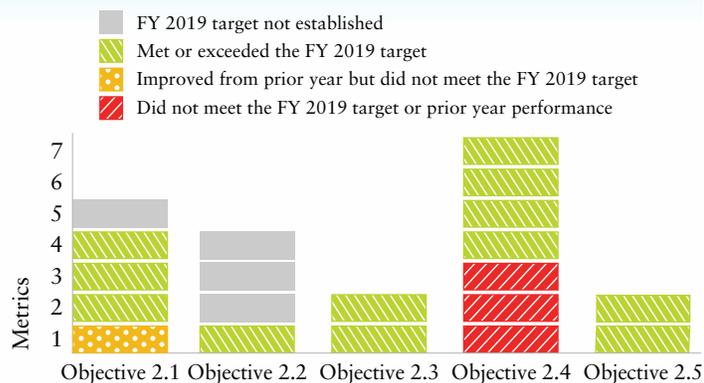
“This Administration continues to make strategic investments in STEM education and is working to ensure that all Americans have access to high-quality STEM education, no matter where they are in their life-long learning journeys,” Secretary DeVos stated.

The funds—about \$200 million for new awards and nearly \$345 million for continuation awards—have been used to prepare a corps of STEM teachers; provide graduate student fellowships in areas of national need; increase the number of low-income students who are prepared to enter and succeed in postsecondary education; and support state initiatives to expand and improve the transition of high school CTE students to postsecondary education and employment through apprenticeships, among other areas.

The following pages discuss the Department’s major accomplishments of the past fiscal year—October 1, 2018, through September 30, 2019—to achieve Goal 2 and its five underlying strategic objectives. While everything the Department accomplished within this timeframe is too vast to include, the following information provides a snapshot.

Metric Performance Overview

In FY 2019, the Department had 20 metrics for this goal. Of these 20 metrics, 12 metric targets were met or exceeded, one metric showed improvement in performance from the prior year but did not meet the established target, and three metrics performed below both this year’s target and the prior year’s performance. Additionally, four metrics do not have an established target and are baselined in FY 2019 or later.

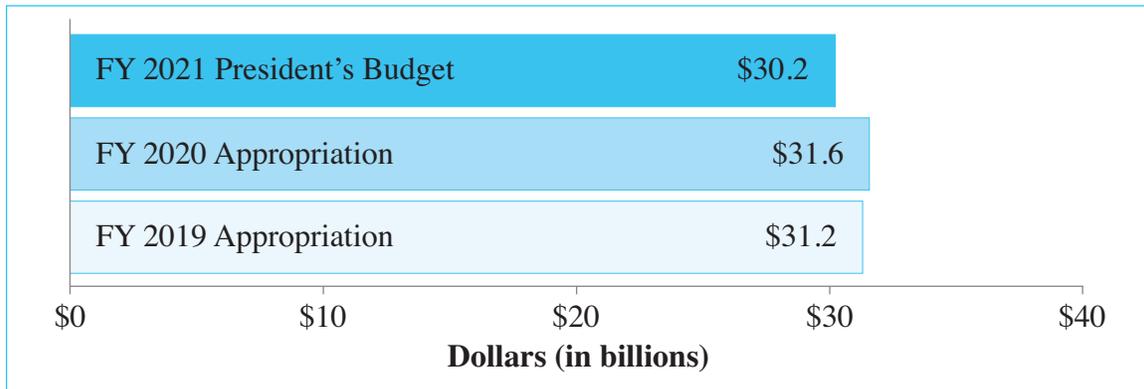




Goal 2 Discretionary Resources

The following figure and table show total Goal 2 discretionary resources and examples of select major discretionary programs and activities supporting the goal, respectively.

Goal 2 Discretionary Resources



Major Discretionary Programs and Activities Supporting Goal 2 in Thousands

POC	ACCT	Objective	Program	FY 2019 Appropriation	FY 2020 Appropriation	FY 2021 President's Budget
FSA	SFA	2.1, 2.3	Federal Pell Grants: Discretionary	\$22,475,352	\$22,475,352	\$22,475,352
OCTAE	CTAE	2.1, 2.3	Career and Technical Education State Grants	\$1,262,598	\$1,282,598	\$1,962,598
OPE	HE	2.1	Strengthening HBCUs	\$282,420	\$324,792	\$324,792
OPE	HE	2.1, 2.2, 2.3	Federal TRIO Programs	\$1,060,000	\$1,090,000	\$950,000
Other	N/A	N/A	All Other Programs	\$6,173,589	\$6,467,752	\$4,442,346

Note:

Discretionary resources listed here include Department programs that may contribute to multiple goals. A list of programs by goal is provided in appendix C.

Acronyms and Definitions:

POC = Principal Operating Component; ACCT = Account; FSA = Federal Student Aid; SFA = Student Financial Assistance; OCTAE = Office of Career, Technical, and Adult Education; CTAE = Career, Technical, and Adult Education; OPE = Office of Postsecondary Education; HE = Higher Education; HBCU = Historically Black College and University; and N/A = Not Applicable.



STRATEGIC OBJECTIVE: 2.1 2.2 2.3 2.4 2.5

Support educational institutions, students, parents and communities to increase access and completion of college, lifelong learning and career, technical and adult education.

Objective Leader: Assistant Secretary for Postsecondary Education

Overview

The Department recognizes that effective grant making is in the best interests of the students the grants serve, is critical to responsible stewardship of public dollars, and, in the long term, can yield measurable returns to society as a whole. In fiscal year 2019, the Office of Postsecondary Education (OPE) awarded more than 5,000 discretionary grants totaling just over \$2.4 billion to increase college access and completion. Grants were given to institutions of higher education, state and local educational agencies (school districts), community-based organizations, and other education providers. OPE focused this year on laying the groundwork to increase timeliness and efficiency in its grant-making process—important work since the lack of alignment between the Department’s fiscal year and the academic year on which schools operate can result in grantees receiving their awards too late to effectively plan in advance for success.

Several offices across the Department contribute to this strategic objective, including OPE; Federal Student Aid; the Office of Career, Technical, and Adult Education; and the Office of Special Education and Rehabilitative Services.

FY 2019 Annual Performance Report

Regulatory Reform. In the past fiscal year, the Department focused multiple regulatory efforts on easing the burden for institutions of higher education (IHEs) trying to comply with a maze of federal laws, and, at the same time, holding them accountable. The Department reached consensus through a negotiated rulemaking process on [forthcoming accreditation and state](#)

“With these reforms, our nation’s colleges and universities can spend more time and effort on serving students and less time, energy, and money focused on bureaucratic compliance.”

*-U.S. Secretary of Education
Betsy DeVos*

[authorization distance education regulations](#) to improve the process for recognizing accrediting agencies, expand educational options for students, lower the cost of postsecondary education, and ensure that occupationally focused education meets current workforce needs. The Department [published a final rule](#) on July 1 rescinding the 2014 Gainful Employment Rule and on August 30 [finalized the borrower defense regulations](#) after two years of deliberations, public hearings, negotiated rulemaking, and consideration of tens of thousands of public comments. These regulations will help protect student borrowers, hold IHEs accountable, and provide financial protections to taxpayers.

Federal Work-Study Program Experiment. For decades, college work-study programs have provided opportunities for students to earn money for their studies, usually by working as office assistants, cafeteria aides, residential assistants, and a variety of other positions on campus. These jobs do not necessarily train students for careers but give them money to help pay for college expenses.

In May, the Department [launched an experiment](#) that may one day change how colleges leverage work-study funds. The Department announced that it would, for a limited number of IHEs, broaden the Federal Work-Study Program (FWSP) beyond its traditional confines to include more jobs in the private sector—among them, internships, externships, apprenticeships, clinical rotations, and student teaching—that can help students not only pay for college but train for careers. For participating IHEs, the Department will eliminate barriers that often make using federal work-studies with private sector employers undesirable. For example, the Department will not limit the amount of FWSP funds that participating IHEs can use with private-sector employers. Additionally, the Department will increase the amount of Job Location and Development program funds, a component of FWSP, that are available to participating IHEs to assist them in fostering long-term partnerships with companies that could serve as potential employers for their students. The Department will then examine data collected as part of the experiment to gauge support for changes to the regulations and statute governing the FWSP.

Before this experiment, nearly 92 percent of all FWSP funds nationwide were spent to support students in on-campus employment, while just over eight percent supported students working for non-profit organizations. Less than one-tenth of one percent, or just \$726,000 of the multi-billion dollar FWSP, was spent to support students in private-sector employment even though many students are likely to seek permanent employment in the private sector. Through this experiment, the Department will explore whether paying students for off-campus internships and other private-sector jobs is associated with improved on-time college completion rates and student satisfaction as well as reduced student loan borrowing and improved employment outcomes.

The Department was able to launch the experiment through its Experimental Sites Initiative (ESI), which is a limited waiver authority provided under Section 487A(b) of the *Higher*

Education Act of 1965 (HEA), which allows the Department to evaluate new policy ideas for potential broader applicability. Under ESI, Secretary DeVos has authority to grant waivers of certain federal student aid program statutory or regulatory requirements to test alternative methods of administering federal student aid programs.

This experiment is just one of the many ways the Department sought to prepare all students for successful transitions to college and careers in fiscal year (FY) 2019.

College Scorecard. One significant effort the Department made, in May, was to revise its website for the [College Scorecard](#) in May, which, since its inception in 2015, has provided basic data about postsecondary institutions by type of degree, location, size, public or private status, and specialized mission (e.g., a women’s college, a Historically Black College and University, or religious affiliation).

The revisions to the website have enabled students who are on the verge of completing their K–12 studies to visit the website and research options for obtaining additional education at the level of a certificate or at the two-year or four-year degree level. Students who want to do an apprenticeship can find information there too, and all users can find information about ways to finance their additional education or job training.

Second Chance Pell. In May, the Department announced it would expand its Second Chance Pell experiment, which was first launched in 2016 to allow participating colleges and universities to provide federal need-based Pell grant funding to students who are incarcerated in federal or state penal institutions. Under 401(b)(6) of HEA, people who are incarcerated in a federal or state penal institution are not eligible to receive federal Pell grants. The initiative provides limited exceptions to that rule for incarcerated students who are eligible for release into the community, with priority given to individuals likely to be released within five years of enrollment in the program. The initiative examines the impact that expanded access to financial aid has on incarcerated adults’ participation in educational opportunities. Sixty-four IHEs have made more than 20,000 Pell grant awards to incarcerated students totaling nearly \$64 million since the experiment began in 2016. Approval has been received for the Second Chance Pell experiment to continue for the 2019–2020 award year; the expansion will further increase the number of participating colleges and students.

Office for Civil Rights. All students should have equal access to education free from discrimination. The protection of students’ civil rights is central to supporting students, parents, and communities in increasing access and completion of college; lifelong learning; and career, technical, and adult education.

In July, the Department’s Office for Civil Rights (OCR) announced that in FY 2017 and FY 2018, it had resolved, on average, 16,000 complaints per year compared to an average of 8,200 complaints per year under the previous Administration. In addition, during

FY 2017 and FY 2018, OCR achieved a 60 percent increase over the previous eight years in the annual number of complaint resolutions requiring a school to make a substantive change to protect students' civil rights. OCR attributed these increases to changes in the way it processes case investigations—that is, the office addressed issues with the individual students who filed complaints instead of using individual complaints as an impetus to launch a broad investigation into whether the institution or school district had additional or systemic civil rights concerns beyond what was alleged in the individual complaint.

Free Application for Federal Student Aid®. Access to educational or training options beyond grade 12 requires, for many students, assistance with financing such options. The Department has two performance metrics to assess its efforts to provide this assistance. These metrics assess the percentage of first-time filers of the *Free Application for Federal Student Aid® (FAFSA®)* among high school seniors (see metric 2.1-D) and the persistence of these filers in completing FAFSA® (see metric 2.1-E). Meeting the performance standards for these metrics requires that the Department, throughout the year, extensively reach out to high school seniors, their parents, and others to tout the benefits of filing FAFSA®. Without filing it, students are not eligible for federal student loans and may not be eligible for scholarships and grants offered by states, colleges, universities, and private organizations.

Just before the start of the fiscal year, as schools across the country were beginning a new academic year, the Department launched a “But First, FAFSA!” public information campaign to help boost the number of timely FAFSA® filers. The campaign continued in FY 2019 and was the Department’s first to tout the use of a new mobile app that allows users to complete FAFSA® on a smartphone with the same ease that they could have on a computer or the more traditional method of filing paperwork.

The Department’s expansion of FAFSA® to smartphones also made it more accessible to a wider array of students. According to [data released by the Pew Research Center](#) in June, 37 percent of Americans (and 58 percent of adults ages 18 to 29) now go online mostly by using a smartphone instead of a computer or tablet.

Students from specific demographic groups are even more likely to rely on smartphones for Internet use. [According to the same Pew survey](#), 92 percent of adults from households earning \$75,000 or more a year say they have broadband Internet at home, but only 56 percent of adults with an annual household income below \$30,000 have broadband Internet at home. There are [similar gaps between racial groups](#), with about one in four blacks and one in four Hispanics reporting they rely exclusively on their smartphones for Internet access at home, while only one in 10 whites do so. A study by the Department’s Institute of Education Sciences and its National Center for Education Statistics also found that, in 2015, students whose parents did not go to college were less likely than their peers with

college-educated parents to have access to high-speed Internet access at home. However, [these gaps in access](#) closed in relation to access to the Internet through mobile devices.

With FAFSA® now available in a mobile-friendly form, students and others can more readily apply for the financial assistance needed to further their educations. In the past year, several states also passed laws encouraging high school seniors to file FAFSA®. In Illinois, Louisiana, and Texas, the new legislation means seniors may not be able to graduate high school unless they file FAFSA® or receive a waiver exempting them from doing so.

FY 2021 Annual Performance Plan

In fiscal year (FY) 2020 and FY 2021, the Department will:

- Publish three final regulatory packages stemming from a negotiated rulemaking that began in FY 2018 and continued in FY 2019. The Department plans to publish:
 - Final regulations regarding [accreditation](#) by Quarter 1 of FY 2020. As a result of these regulations, the Department will more clearly define the roles of accreditors, states, and the Department in the oversight of institutions; increase career mobility by facilitating the transfer of credits and addressing some of the issues associated with the level of credentials needed for state licenses; provide greater flexibility to institutions; ensure that accreditors honor institutional autonomy and campus mission; and clarify the accreditor recognition process.
 - A notice of proposed rulemaking and final regulations relating to the development of innovative programs that are responsive to students and employers. These regulations will focus on removing barriers to student access and completion.
 - A notice of proposed rulemaking and final regulations designed to: (1) simplify the Teacher Education Assistance for College and Higher Education (TEACH) Grants to minimize inadvertent grant to loan conversions and provide opportunities to correct erroneous conversions and (2) clarify the eligibility of faith-based entities and individuals to participate in student aid programs under Title IV of the *Higher Education Act of 1965*, as amended.
- Award grants earlier in the fiscal year so that grantees (who operate on a school year, not fiscal year, schedule) can have funds in optimal time for program planning and implementation.
- Restructure the annual performance report (APR) for the Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP). The APRs will collect improved program outcome data (i.e., performance indicators) to measure the extent to which the goals of each program are achieved and document program effectiveness.

- Continue to strengthen the Office of Postsecondary Education’s capacity to collect and interpret meaningful and reliable data, reinforce accountability for results, and support the identification and replication of practices that result in improved student outcomes.
- Continue to increase both the percentage of first-time *Free Application for Federal Student Aid*® filers among high school seniors as well as persistence among first-time applicants.

Performance Measures

Table 2.1-A. Percentage of Office of Postsecondary Education grantees with large available balances.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	—	1%	0%	1%	N/A	N/A

Notes: (1) This metric will not be tracked for fiscal year (FY) 2020 forward. (2) Data are not available prior to FY 2018. (3) Data are point-in-time measures rounded to the whole percentage point.

Data Source: The Department's Grants Management System grantee documentation.

FY 2019 Period of Performance: October 2018 through September 2019. The 0 percent noted here was the percentage assessed on the last day of the fiscal year, September 30, 2019.



Table 2.1-B. Percentage of Office of Postsecondary Education grantees with large available balances that received technical assistance resulting in "Resolved with Good Explanation."



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	—	100%	100%	100%	N/A	N/A

Notes: (1) This metric will not be tracked for fiscal year (FY) 2020 forward. (2) Data are not available prior to FY 2018. (3) Data are point-in-time measures rounded to the whole percentage point.

Data Source: The Department's Grants Management System grantee documentation.

FY 2019 Period of Performance: October 2018 through September 2019.



Table 2.1-C. Percentage of annual statutory requirements for Office of Postsecondary Education (OPE) programs that are fulfilled by OPE.



The Department is removing this metric.

Note: This metric will not be tracked to ensure Department efforts are focused on grant performance and accountability instead of tracking. Tracking this metric for purposes of determining metric performance would involve approximately 1,700 statutory requirements across 37 higher education programs and more than 5,000 active OPE grants.

Data Source: The Department's Grants Management System.

FY 2019 Period of Performance: October 2018 through September 2019.

Table 2.1-D. Percentage of first-time *Free Application for Federal Student Aid*® filers among high school seniors.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
60.1%	60.5%	57.5%	60.2%	67.4%	65.9%	61.5%	66.0%	68.0%

Data Source: Federal Student Aid’s Central Processing System.
 FY 2019 Period of Performance: October 2018 through September 2019.

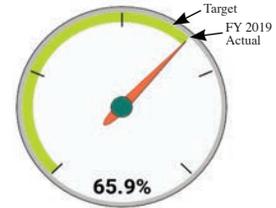


Table 2.1-E. Persistence among first-time filing aid recipients.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
79.6%	79.5%	79.7%	82.6%	82.5%	82.8%	83.0%	83.0%	84.0%

Data Source: Federal Student Aid’s Common Origination and Distribution System.
 FY 2019 Period of Performance: October 2018 through September 2019.

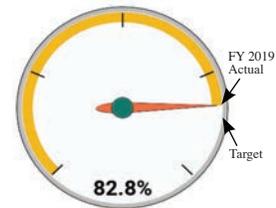


Table 2.1-F. Percentage of Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) participants who obtain a secondary school diploma or its equivalent and, within one year, are enrolled in postsecondary education (new).



Baseline will be established in fiscal year (FY) 2020.

Data Source: GEAR UP annual performance reports.
 FY 2019 Period of Performance: This metric will be added in fiscal year (FY) 2020.



STRATEGIC OBJECTIVE: 2.1 2.2 2.3 2.4 2.5

Support agencies and educational institutions in identifying and using evidence-based strategies or other promising practices to improve educational opportunities and successfully prepare individuals to compete in the global economy.

Objective Leader: Assistant Secretary for Planning Evaluation, and Policy Development

Overview

The Department is committed to improving educational opportunities for the existing and future American workforce. As such, this strategic objective promotes the identification and use of evidence in federal programs that provide educational opportunities, training, and support services focused on the workforce. It is also essential that the Department fulfills its commitment to individuals with disabilities by working with state and local agencies to provide job-driven training and support services consistent with the *Workforce Innovation and Opportunity Act*.

To increase the likelihood that these programs achieve their goals, the Department supports the use of evidence across multiple programs that address postsecondary education and workforce outcomes.

Several offices across the Department support this strategic objective, including the Office of Postsecondary Education; the Office of Planning, Evaluation, and Policy Development; the Institute of Education Sciences; the Office of Special Education and Rehabilitative Services; and the Office of Career, Technical, and Adult Education.

FY 2019 Annual Performance Report

Reshaping of Traditional Vocational Education. Formerly known as “vocational education,” career and technical education (CTE) generally comprises instruction in academic, technical, and employability skills and knowledge that are required to get, and succeed in, jobs in a wide array of industries. At the secondary school level, CTE is a potential avenue for career success, and it can be an important aspect of ensuring that students are college and career ready by the time they graduate from high school. CTE can also expand

opportunities for college students and for adults who may have been out of school for an extended period of time.

Recognizing the demand for evidence about effective CTE programs and courses, the Department launched a new CTE Research Network, “[Expanding the Evidence Base for Career and Technical Education](#),” just before the start of fiscal year (FY) 2019. The network is administered through a partnership between the Department’s Institute of Education Sciences (IES) and the Department’s [Office of Career, Technical, and Adult Education \(OCTAE\)](#). Together, they will work with researchers over the next five years to: (1) increase the number of impact studies examining the effects of CTE policies, programs, and practices on students’ academic, career, technical, and employment outcomes; (2) increase the pipeline of new CTE researchers; and (3) promote and disseminate high-quality research studies to CTE practitioners and the broader research community.

During FY 2019, the network also launched a nationwide search for promising CTE programs and strategies that are suitable for rigorous research and evaluation; the results of this search will be reported in FY 2020. Also in FY 2019, the network formed three subgroups, each tackling critical CTE issues: (1) CTE definitions and measurement, (2) approaches to studying CTE using causal research designs, and (3) strategies for increasing equity in CTE. The network is one of the ways the Department supports agencies and educational institutions in identifying and using evidence-based strategies or other promising practices to improve educational opportunities and successfully prepare individuals to compete in the global economy.

The Department also examined the percentage of *Workforce Innovation and Opportunity Act* (WIOA) Title II adult education program participants who are in unsubsidized employment during the second quarter after exit from a WIOA program (see metric 2.2-B). The year-end result of 25.6 percent will be used to establish a performance target for future years. WIOA helps adults with barriers to employment, including individuals with disabilities, achieve high-quality careers and helps employers hire and retain skilled workers.

In another effort to support future achievement of adult learners, OCTAE awarded a new \$1.8 million technical assistance contract in September to support states’ implementation and scaling of integrated education and training (IET) in adult education. In IET programs, adult participants receive training in work skills as well as adult education and literacy. OCTAE’s new contract will create an IET design toolkit and provide training that will be available to all 50 states, the District of Columbia, and Puerto Rico to help them expand IET opportunities and provide integrated English literacy and civics education in combination with IET.

In September, OCTAE also awarded a new \$2.1 million technical assistance contract to launch a pre-apprenticeship challenge for adult education programs. Over the next two years, this initiative is expected to result in the development of 100 or more new pre-apprenticeship programs involving partnerships among adult education providers, sponsoring apprenticeship organizations, and employers.

The Office of Special Education and Rehabilitative Services (OSERS) issued its [*State Vocational Rehabilitation Services and State Supported Employment Services Programs Federal Fiscal Year 2019 Monitoring and Technical Assistance Guide*](#) in February. Section 107 of the *Rehabilitation Act* requires periodic on-site monitoring of vocational rehabilitation (VR) agencies; in FY 2019, OSERS conducted on-site monitoring of 12 VR agencies. OSERS selected which states to monitor by using a risk accountability model; it then provided technical assistance to these states.

Finding What Works. In October, IES released its [first report](#) on the impact of enhanced college advising in the Department’s Upward Bound program. The report described an experiment IES conducted of a program of promising, low-cost advising strategies, called *Find the Fit*, that were designed to help low-income and first-generation students enrolled in Upward Bound choose more selective colleges and stay in them until they complete a degree. About 200 Upward Bound projects with 4,500 seniors agreed to participate. The study found that the enhanced advising of *Find the Fit* increased the number and selectivity of colleges to which students applied. Given positive early findings, the Department met with national organizations to discuss how the approach might be made more widely available to its members.

In FY 2019, the [Regional Educational Laboratories](#) (RELs) and [What Works Clearinghouse](#) programs provided leadership for more than 125 technical assistance engagements, events, related activities, or products focused on evidence in postsecondary settings. Each of the 10 RELs had at least one partnership focused on postsecondary transitions.

The clearinghouse increased its emphasis on education and training after high school. Four new reviews of individual studies were released, including reviews of [a program](#) that helps incoming students who did not meet placement requirements for college-level coursework and [another program](#) that encourages low-income students to apply to highly selective colleges. In May, the clearinghouse released its [Using Technology to Support Postsecondary Learning](#) practice guide. Finally, the clearinghouse also launched its Postsecondary Studies of the Month program, reviewing two studies of interest to educators who focus on postsecondary success and supporting their awareness of evidence-based policy and practices.

In all, in FY 2019, the Department completed 188 technical assistance events or related activities or products focused on the use of evidence in federal programs that promote educational opportunities, training, and support services for the workforce (see metric 2.2-A). This was significantly more than the annual target of 85 and was also a significant increase from the 77 events, activities, and products achieved in FY 2018. The Department also gathered data on two other metrics, 2.2-C and 2.2-D, which will help it to establish performance targets for these metrics in future years. Through those metrics, the Department tracks the success of former participants in VR programs by evaluating whether they have subsidized employment (see metric 2.2-C) or are enrolled in specific types of education or training programs and are achieving what is known as “measurable skill gains” in documented academic, technical, or occupational fields (see metric 2.2-D).

FY 2021 Annual Performance Plan

In fiscal year (FY) 2020 and FY 2021, the Department will:

- Collaborate with internal and external partners to disseminate resources related to the use of evidence, including an internal evidence training agenda to build staff capacity to support discretionary and formula grantees.
- Launch a new national evaluation of the implementation of the [*Strengthening Career and Technical Education for the 21st Century Act*](#) (Perkins V), as required by law.
- Work (via the What Works Clearinghouse) on a practice guide related to evidence-based practices in career and technical education (CTE) in community college settings as well as advise colleges and universities that accept a majority of students who apply (i.e., grant broad access).
- Revise and implement the FY 2020 vocational rehabilitation (VR) program monitoring and technical assistance process and identify six state VR agencies for focused on-site monitoring and technical assistance using a risk accountability model.
- Provide technical assistance to promote the development and use of stackable credentials by community and technical colleges to improve the attainment of CTE credentials by their students. By awarding credit for a range of education, training, and workplace learning and skill-building experiences that “stack” toward associate degrees, stackable credential programs help working students develop the skills they need to simultaneously advance on the job and earn credentials that enable further study. Such programs accelerate credit attainment and may increase the likelihood of degree completion.
- Disseminate a Young Adult Diversion Tool Kit to help state and local governments learn how to provide justice-involved young adults with alternatives to prosecution and/or incarceration.

- Identify one or more questions related to improving student outcomes in (1) CTE, (2) adult basic education, (3) access to college, and (4) postsecondary completion for inclusion in the Department’s learning agenda, consistent with the *Foundations for Evidence-Based Policymaking Act of 2018*.

Performance Measures

Table 2.2-A. Number of technical assistance events or activities and products focused on the use of evidence in federal programs that promote educational opportunities, training, and support services for the workforce.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	—	77	188	85	207	Prior year + 5%

Note: Data are not available prior to fiscal year (FY) 2018.
Data Source: Department offices that deliver technical assistance.
FY 2019 Period of Performance: October 2018 through September 2019.

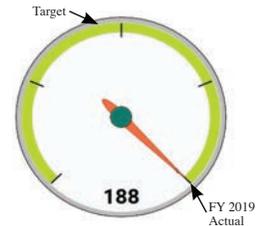


Table 2.2-B. Percentage of adult education program participants who were in unsubsidized employment during the second quarter after exiting the program.



2014	2015	2016	2017	2018	2019	2020	2021
Actual					Actual	Target	
—	—	—	—	—	25.6%	27.0%	28.5%

Notes: (1) The number of adult education participants refers to participants in *Workforce Innovation and Opportunity Act* Title II programs. (2) Data are not available prior to fiscal year (FY) 2019.
Data Source: National Reporting System annual state reports.
FY 2019 Period of Performance: July 2017 through June 2018.

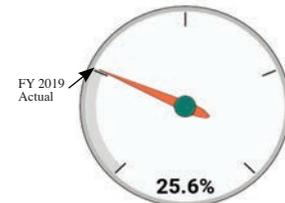


Table 2.2-C. Percentage of Vocational Rehabilitation program participants who were in unsubsidized employment during the second quarter after exiting the program.

B

2014	2015	2016	2017	2018	2019	2020	2021
Actual					Actual	Target	
—	—	—	—	—	50.4%	TBD	TBD

Note: Data are not available prior to fiscal year (FY) 2019.

Data Source: Rehabilitation Services Administration's *911 Vocational Rehabilitation Case Service Report*.

FY 2019 Period of Performance: Program year 2018.

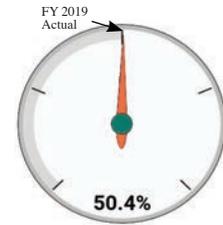


Table 2.2-D. Percentage of Vocational Rehabilitation program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, toward such a credential or employment.

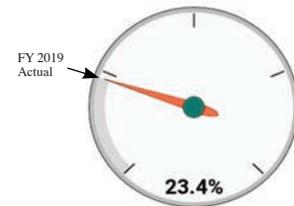
B

2014	2015	2016	2017	2018	2019	2020	2021
Actual					Actual	Target	
—	—	—	—	21.1%	23.4%	TBD	TBD

Note: Data are not available prior to fiscal year (FY) 2019.

Data Source: Rehabilitation Services Administration's *911 Vocational Rehabilitation Case Service Report*.

FY 2019 Period of Performance: Program year 2018.





STRATEGIC OBJECTIVE: 2.1 2.2 **2.3** 2.4 2.5

Support agencies and educational institutions as they create or expand innovative and affordable paths to relevant careers by providing postsecondary credentials or job-ready skills.

Objective Leader: Assistant Secretary for Career, Technical, and Adult Education

Overview

It is critical that the Department helps ensure the nation's workforce is prepared to meet the challenges of tomorrow with the skills and credentials that employers require. Postsecondary credentials and job-ready skills for in-demand industries may be obtained by students through a wide variety of education providers, such as traditional institutions of higher education, non-traditional education providers, and providers of self-guided learning. Through this strategic objective, the Department will provide grant funding and technical assistance resources to develop, evaluate, and replicate practices and programs that expand access to viable education and career pathways.

Several offices across the Department support this strategic objective, including the Office of Career, Technical, and Adult Education; the Office of Postsecondary Education; and the Office of Special Education and Rehabilitative Services.

FY 2019 Annual Performance Report

Perkins V. As of July 1, every state began implementing the *Carl D. Perkins Career and Technical Education Act of 2006* as amended and reauthorized by the [*Strengthening Career and Technical Education for the 21st Century Act \(Perkins V\)*](#), which is designed to improve career and technical education (CTE) by helping students gain the skills they need to compete for in-demand, high-wage jobs in their communities. Through this law, the Administration will direct \$1.3 billion in federal funding to CTE programs nationwide, beginning as early as fifth grade.

States must work with business, industry, and community partners to set goals for how they will prepare an educated and skilled workforce. To help, the Department in the past year issued planning guidance one year before full state plans were due, and it reviewed and approved each state's individual transition plan. In August, the Office of Career, Technical, and Adult Education (OCTAE) also rescinded 75 pages of nonregulatory guidance that

had been issued under previous authorizations of the law. To preserve state and local flexibility, OCTAE does not plan to issue new nonregulatory guidance under Perkins V.

In September, OCTAE also awarded more than \$1.4 million to nine grantees in an inaugural competition for the Perkins Innovation and Modernization Grant Program that was newly authorized under Perkins V. These grants are intended to test new ideas to help prepare students for success in the workforce by identifying, supporting, and evaluating evidence-based strategies for improving CTE. All projects focus on science, technology, engineering, and mathematics and will serve students in qualified opportunity zones. These zones are areas of cities or towns that meet federal definitions of economic distress and determinations that new investments, under certain conditions, could be eligible for preferential tax treatment.

Other Initiatives in Adult Education. Many other activities in the Department support agencies and educational institutions as they create or expand innovative and affordable paths to relevant careers by providing postsecondary credentials or job-ready skills. For example, OCTAE recruited five states—Arizona, Arkansas, Illinois, Pennsylvania, and Virginia—to pilot a new professional development program, Teaching Skills that Matter. The program helps adult education instructors integrate digital literacy, financial literacy, health, and employability skills development with academic instruction. When pilot testing is completed in January 2020, the program will be made available to 20 additional states.

The Department surpassed its fiscal year (FY) 2019 goal of providing technical assistance intended to expand or enhance the integration of workforce preparation activities within academic instruction in adult education classrooms. The number of such technical assistance presentations provided in FY 2019 (i.e., 24) was double the annual target. The Department also surpassed its annual target for the percentage of postsecondary CTE concentrators who received an industry-recognized credential, certificate, or degree (see metric 2.3-B).

Rural Community Colleges. In July, OCTAE also joined with eight federal agencies to host a first-of-its-kind event for rural community colleges. The event aimed to assist these colleges in identifying, and successfully competing for, federal grants. Joining OCTAE for this event were the Departments of Agriculture, Commerce, Health and Human Services, and Labor; the Environmental Protection Agency; the Federal Communications Commission; the National Endowment for the Arts; and the National Science Foundation. The Delta Regional Authority, a federal-state partnership aimed at improving the lives of residents of the Mississippi River Delta region, also participated. The Department's collaboration with these other agencies was crucial because the agencies administer competitive grants for which rural community colleges may be eligible. Receiving one of these grants could improve the capacity of rural community colleges to deliver cutting-edge CTE programs to the communities they serve.

Vocational Rehabilitation. The Department also supported agencies and educational institutions in helping their adult learners. For example, the Office of Special Education and Rehabilitative Services, through its Workforce Innovation Technical Assistance Center (WINTAC), entered into 49 agreements covering 52 state vocational rehabilitation (VR) agencies to assist them in implementing the *Workforce Innovation and Opportunity Act* (WIOA). The agreements provide intensive technical assistance in implementing [pre-employment transition services](#); meeting the [requirements of WIOA Section 511](#) relating to employment at subminimum wage; improving the number and quality of [competitive employment outcomes](#) for individuals with disabilities; integrating state VR agencies into state and local workforce development systems (i.e., helping the state agencies function as core partners in the workforce system, mostly through working with the local American Job Centers); and [transitioning to common performance measures](#).

WINTAC is also working with some state VR agencies on multi-year pilot projects, including use of the Career Index Plus labor market information system, use of the semi-autonomous rehabilitation assistants, implementation of peer mentoring programs, and development of state service systems to implement [customized employment programs](#).

FY 2021 Annual Performance Plan

In fiscal year (FY) 2020 and FY 2021, the Department will:

- Fulfill a new Agency Priority Goal to improve nationwide awareness of and access to career pathways that support job skills development and career readiness. Specifically, through programs such as the Career and Technical Education (CTE) and Adult Education State Grants, by September 30, 2021, the Department will:
 - Support the creation and expansion of integrated education and training (IET) programs in all 50 states, Puerto Rico, and the District of Columbia.
 - Support the enrollment of 70,000 participants in IET programs.
 - Increase enrollment of CTE concentrators in science, technology, engineering, and mathematics (STEM) fields by 10 percent.
 - Increase the number of federal financial aid recipients who earn a postsecondary credential in STEM by 25,000.
- Provide critical new technical assistance to support states in their efforts to implement the [Strengthening Career and Technical Education for the 21st Century Act](#) (Perkins V), including a data quality institute to help states meet the law's new reporting requirements, as well as review and approve new Perkins V state plans that will be submitted in spring 2020.

- Educate states, community, and technical colleges and adult education providers about how they can implement the provisions in the *Higher Education Act of 1965*, as amended, that allow students who lack a high school credential to access federal student aid to finance their postsecondary education or training (i.e., “ability to benefit” alternatives).
- Increase opportunities for adults to participate in apprenticeships through both a national challenge aimed at designing effective pre-apprenticeship programs for low-skilled adults and through other outreach and technical assistance activities.
- Strengthen the capacity and effectiveness of community and technical colleges serving rural communities by providing technical assistance on identifying and successfully competing for federal grant opportunities.

Performance Measures

Table 2.3-A. Number of technical assistance activities sponsored by the Department intended to expand or enhance the integration of workforce preparation activities within academic instruction in adult education classrooms.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	3	23	24	12	15	18

Note: Data are not available prior to fiscal year (FY) 2017.

Data Source: Contractor quarterly progress reports.

FY 2019 Period of Performance: October 2018 through September 2019.

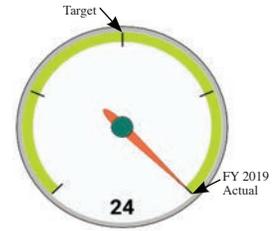


Table 2.3-B. Percentage of postsecondary career and technical education concentrators who received an industry-recognized credential, certificate, or degree.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
49.9%	53.0%	54.6%	54.9%	56.4%	58.1%	56.0%	56.0%	—

Note: No data will be reported for fiscal year (FY) 2021 due to the transition to the [Strengthening Career and Technical Education for the 21st Century Act](#) (Perkins V). A new baseline will be established in FY 2022.

Data Source: State Consolidated Annual Reports for the [Strengthening Career and Technical Education for the 21st Century Act](#) (Perkins V).

FY 2019 Period of Performance: October 2017 through September 2018.



Table 2.3-C. Number of postsecondary science, technology, engineering, and mathematics degrees and certificates conferred (new).

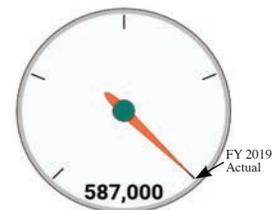


2014	2015	2016	2017	2018	2019	2020	2021
Actual						Target	Target
604,167	635,800	668,091	704,580	N/A	587,000	662,000	737,000

Note: This metric will be added in fiscal year (FY) 2020.

Data Source: The National Center for Education Statistics' Integrated Postsecondary Education Data System Completions component.

FY 2019 Period of Performance: The FY 2019 actual value is from school year 2018–2019.





STRATEGIC OBJECTIVE: 2.1 2.2 2.3 **2.4** 2.5

Improve quality of service for customers across the entire student aid life cycle.

Objective Leader: Chief Operating Officer for Federal Student Aid

Overview

As the nation's largest provider of financial aid for education beyond high school, the Department's Federal Student Aid (FSA) delivers more than \$120 billion in financial aid each year to students and their families. FSA also manages oversight of nearly 6,000 post-secondary institutions that participate in the federal student aid programs. In every interaction with students and their families, FSA strives to be the most trusted and reliable source of student financial aid information and services in the nation.

FY 2019 Annual Performance Report

High school students and their families become customers of the Department's Federal Student Aid (FSA) when they start thinking about how to finance their future education or job skills training. They will want to know how, where, and when to apply for federal financial assistance. They may have many questions about the process, and the need to get answers could continue after students have enrolled in college or started an apprenticeship. Questions will continue even after students have separated from school and loan repayment begins.

In fiscal year (FY) 2019, the Department began executing its plan to transform federal student aid and improve customer service by modernizing the technology and very way of operating federal student aid programs. The plan, known as the Next Generation Financial Services Environment (Next Gen FSA), will transform current and prospective customers' experience of applying for, receiving, and repaying federal student aid for millions of students, parents, and borrowers as well as nearly 6,000 postsecondary institutions.

To help students and their families as they become customers—that is, as they are just starting the process of applying for assistance—FSA launched the [myStudentAid app](#) in October 2018 for use on smartphones and other mobile devices. The app is available from both Apple's App Store (iOS) and Google Play (Android). Its *myFAFSA* component, which is used to complete the form for the *Free Application for Federal Student Aid*® (FAFSA®), is the app's featured function and allows users to fill out and submit FAFSA® on their smartphones.

The app also includes answers to basic questions about the process of applying for aid and allows customers to check the status of their applications for grants and student loans and check the balances on those loans. As of July, the app also includes the *myChecklist* feature, which provides users with guidance on next steps in the student aid process. Push notifications were also added; these send reminder messages directly to users. Between October 2018 and August 2019, FSA made more than 295 iterative changes to the app to improve usability based on customer feedback.

By the end of the fiscal year, the number of downloads of the app had exceeded the target of 1 million by an additional 226,234 downloads (see metric 2.4-D).

This volume of usage was part of the Department's vision when it created an Agency Priority Goal (APG) for FY 2018–2019 that pledged that, by September 30, 2019, more than 1.8 million customers would submit a FAFSA® through one of FSA's mobile platforms (i.e., either the app or the redesigned fafsa.gov website, see metric 2.4-F). FSA redesigned its website in FY 2019 so that its pages (e.g., the pages with the FAFSA® form) fit the screen size and shape of any device, including desktop or laptop computers and mobile devices, such as smartphones and tablets. The Department exceeded its APG target, as more than 2.2 million customers submitted a FAFSA® through one of the two mobile platforms by the September 30, 2019, target date.

The APG also included a pledge to have 30,000 customers use the mobile app to check their student loan balances by September 30, 2019. The Department exceeded its target for this as well, with 65,718 customers using the mobile app to check their student loan balances by the target date (see metric 2.4-E).

In February, FSA awarded a contract to provide for Digital and Customer Care (DCC), which will combine the content and functionality from multiple customer-facing websites and telephone numbers into StudentAid.gov and the myStudentAid mobile app, allowing customers to complete all business with FSA on one digital platform. The use of a single platform will assist customers in receiving prompt, accurate, and consistent answers at all phases of the student aid lifecycle. By the end of the year, FSA had completed the requirements, design, and build for DCC's digital, customer care, and marketing and communications platforms.

As FSA continues its emphasis on the use of technology to provide better customer service, it also maintains call centers that answer telephone calls from students and others who have questions about applying for student loans or paying back their loans, along with other related issues. FSA has two performance metrics to assess how well its nine loan servicing call centers operate: metric 2.4-A examines how quickly someone at a loan servicing call center answers a telephone call, while metric 2.4-B examines the rate at which callers who are put on hold abandon their calls by hanging up before they reach a live person.

In FY 2019, FSA was challenged in meeting its performance targets for both of those metrics. Throughout the year, their performance lagged behind both the FY 2019 performance targets and the FY 2018 rates achieved. While most of the loan servicing call centers were meeting performance standards throughout the year, a few were not, and their performance negatively impacted the overall annual averages. Still, overall average performance improved in the second half of the fiscal year due to a range of measures FSA implemented. For example, FSA piloted a new program to help all centers more expeditiously process the security clearances of new staff so that the centers could have more staff on hand during peak calling seasons. FSA leadership also visited each of the call centers and required centers that were not meeting the FY 2019 performance targets to establish “get well” plans.

FY 2021 Annual Performance Plan

In fiscal year (FY) 2020 and FY 2021, the Department will:

- Continue its commitment to improving customer experience with the implementation of the Next Generation Financial Services Environment (Next Gen FSA). Specifically, for the next two fiscal years, as part of an Agency Priority Goal for FY 2020–2021, the Department has established new, higher-performance targets than it attained in FY 2019. These include:
 - At least 2.6 million customers will submit a *Free Application for Federal Student Aid*® through the mobile app by September 30, 2021.
 - The overall customer satisfaction level throughout the student aid life cycle, as measured by the FSA Customer Satisfaction score, will increase.
- Release, in FY 2020, the Digital and Customer Care (DCC) platform and its array of services across the student aid lifecycle. Specifically:
 - DCC will enhance the digital experience of student aid customers by combining the content and functionality from multiple websites into [StudentAid.gov](https://studentaid.gov) and the myStudentAid mobile app. This will allow customers to complete all business with FSA on one digital platform.
 - This release will be consistent with Executive Order 13864 requiring a secure and confidential website and a mobile application that inform federal student loan borrowers of: (1) how much they owe, (2) how much their monthly payment will be when they enter repayment, (3) what repayment options are available, (4) how long each repayment option will take, and (5) how to enroll in the repayment option that best serves their needs.
- Award contracts for Enhanced Processing Solution (EPS), Business Process Operations (BPO), and Optimal Processing Solution (OPS) to improve loan servicing throughout the student aid lifecycle. Specifically:
 - EPS will provide a transitional core processing system to house the legacy portfolio of 35 million borrowers currently serviced under contracts set to

expire by December 2019. FSA is reviewing vendor proposals and expects to make an award by Quarter 3 of FY 2020.

- BPO will identify multiple vendors to staff, operate call centers, and manage manual processing associated with customers on the EPS and OPS systems. FSA is reviewing vendor proposals and expects to make an award by Quarter 3 of FY 2020.
- OPS will create a state-of-the-art, enterprise-wide core processing capability for new customers. FSA anticipates receiving vendor proposals for this in FY 2021.
- Provide a single entry point, through 1-800-4FEDAID, to any one of FSA's call centers based on each customer's need. For example, for customers wishing to reach their loan servicer, an automatic lookup will be performed against the telephone numbers the customers are calling from, and, if matched against FSA's records, the customers will get the option of being routed to their loan servicer. This will provide customers with a single, consistent point of contact and also address the current problem of borrowers not knowing the identity of their loan servicers or how to contact them.
- Continue planning for the Next Generation Partner Participation and Oversight (PPO) program, which will transform the way FSA interacts with the thousands of schools, financial institutions, and other partners that participate in FSA programs. Specifically:
 - FSA will deliver phase 1 of the PPO in Quarter 1 of FY 2021; it will include the basic user platform for schools and will grow in capability over time.
 - Goals for PPO include a single portal through which institutions can access FSA systems and processes, streamlined processes for submitting and reviewing program participation and other eligibility materials, and improved FSA workflow tools to support faster decision-making.

Performance Measures

Table 2.4-A. Average speed to answer incoming calls to Federal Student Aid’s call centers.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	77 seconds	66 seconds	139 seconds	≤70 seconds	≤60 seconds	≤60 seconds

Notes: (1) Data are not available prior to fiscal year (FY) 2017. (2) Data represent the fiscal year. For example, 2019 data represent FY 2019.

Data Source: Federal servicers’ quarterly reports.

FY 2019 Period of Performance: October 2018 through September 2019.



Table 2.4-B. Average abandon rate for incoming calls to Federal Student Aid’s call centers.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	3.8%	3.9%	6.5%	≤3.5%	≤2.0%	≤2.0%

Note: Data are not available prior to fiscal year (FY) 2017.

Data Source: Federal servicers’ quarterly reports.

FY 2019 Period of Performance: October 2018 through September 2019.

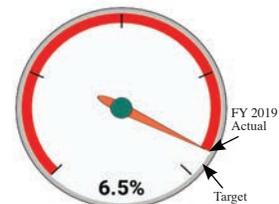


Table 2.4-C. American Customer Satisfaction Index (ACSI) Surveys.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	70	71	70	71	73	74

Note: Data are not available prior to fiscal year (FY) 2017.

Data Source: ACSI.

FY 2019 Period of Performance: October 2018 through September 2019.

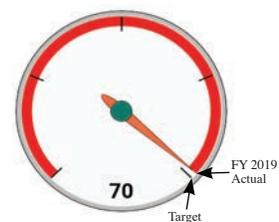


Table 2.4-D. Number of downloads of the myStudentAid mobile app.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
N/A	N/A	N/A	N/A	N/A	1,226,234	1,000,000	1,300,000	1,400,000

Notes: (1) Data are not available prior to fiscal year (FY) 2019. (2) The myStudentAid mobile app officially launched in FY 2019.

Data Source: Federal Student Aid’s online platform analytics.

FY 2019 Period of Performance: October 2018 through September 2019.

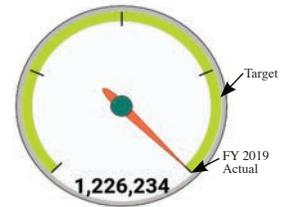


Table 2.4-E. Number of customers checking loan balances via the myStudentAid mobile app.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
N/A	N/A	N/A	N/A	N/A	65,718	30,000	70,000	1,500,000

Note: Data are not available prior to fiscal year (FY) 2019.

Data Source: Federal Student Aid’s online platform analytics.

FY 2019 Period of Performance: October 2018 through September 2019.



Table 2.4-F. Number of customers submitting a Free Application for Federal Student Aid® via a mobile platform—the myStudentAid mobile app or fafsa.gov.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	—	0	2,201,000	1,800,000	2,400,000	2,600,000

Note: Data are not available prior to fiscal year (FY) 2019.

Data Source: Federal Student Aid’s online platform analytics.

FY 2019 Period of Performance: October 2018 through September 2019.

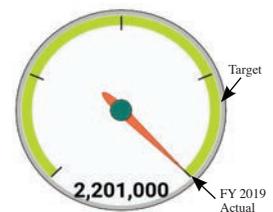


Table 2.4-G. Number of visits (sessions) demonstrating adoption of the updated StudentAid.gov site.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	—	44,500,000	183,700,000	150,000,000	190,000,000	210,000,000

Note: Data are not available prior to fiscal year (FY) 2018.
Data Source: Federal Student Aid’s online platform analytics.
FY 2019 Period of Performance: October 2018 through September 2019.

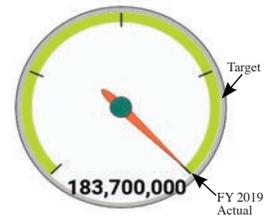


Table 2.4-H. Number of users of “Aidan,” the StudentAid.gov virtual assistant (new).



2014	2015	2016	2017	2018	2019	2020	2021
Actual						Target	Target
N/A	N/A	N/A	N/A	N/A	N/A	25,000	100,000

Notes: (1) This metric will be added in fiscal year (FY) 2020. (2) “Aidan” is scheduled to launch in FY 2020.
Data Source: Federal Student Aid’s online platform analytics.
FY 2019 Period of Performance: Not applicable.



STRATEGIC OBJECTIVE: 2.1 2.2 2.3 2.4 2.5

Enhance students' and parents' ability to repay their federal student loans by providing accurate and timely information, relevant tools and manageable repayment options.

Objective Leader: Chief Operating Officer for Federal Student Aid

Overview

In fiscal year 2019, the Department continued to execute its comprehensive framework for student aid management to allow students to understand and access information about college options and associated costs, loan counseling and guidance, support for retention, loan repayment options, and borrower benefits.

Through increased collaboration and collective action, offices across the Department led by Federal Student Aid and the Office of Postsecondary Education will further advance information and materials that inform students and parents about federal student loan repayment options, both before and throughout the student aid lifecycle.

FY 2019 Annual Performance Report

The rate at which students and their families have gone into debt to finance college and other postsecondary education and training opportunities has continued to increase. The \$1.5 trillion in outstanding federal student loans forms the largest asset in the federal government's financial portfolio and exceeds all other types of consumer debt except home mortgages. Students graduating from college in 2016 with a bachelor's degree who took out loans to finance their education owed, on average, **\$29,910 in loans**. Additionally, graduating students reported that the difficulties of repaying these loans can be so great that they forgo major life decisions, such as homebuying and vehicle purchases.¹

While the Department urges students and families to consider a full range of options that are of varying cost levels, including community colleges and career and technical training, the Department also takes measures to enhance students' and parents' abilities to repay

¹ See <https://www.bankrate.com/loans/student-loans/student-loans-survey-february-2019/> and <https://www.federalreserve.gov/econresdata/feds/2016/files/2016010pap.pdf>.

their federal student loans. The Department does this by providing accurate and timely information, relevant tools, and manageable repayment options.

As part of the Next Generation Financial Services Environment (Next Gen FSA), Federal Student Aid (FSA) is establishing a dedicated portfolio management team and undertaking a set of analytical actions to implement “bank-grade” portfolio management practices.

In this past fiscal year, FSA was successful in reducing the percentage of student loan borrowers who were 30 days or less delinquent in repayment of their student loans (see metric 2.5-A). The final year-end performance of 16.6 percent was also lower than the fiscal year (FY) 2018 performance of 17.2 percent and marked a five-year low. The delinquency rates for loans in one type of federal loan program, the William D. Ford Federal Direct Loan Program, have declined gradually but steadily. In FY 2019, this may be attributable, in part, to borrowers of these loans migrating from traditional repayment plans to more affordable income-driven repayment (IDR) plans. FSA and its partners conducted extensive outreach to educate borrowers on available options under the federal student aid programs, including IDR plans.

A smaller but still significant percentage of borrowers were delinquent by 90 or more days in repayment of their student loans (see metric 2.5-B). The methodology used to determine the percentage of borrowers who fall into this category was changed this year, for purposes of reporting on performance under the Department’s Strategic Plan, to parallel the methodology FSA uses in its independent, statutorily required annual reporting. Consistent with the new methodology, the target for metric 2.5-B was changed. These methods showed that FSA met the FY 2019 target and also achieved a five-year low in the percentage of borrowers in this category of delinquency.

Since August, the Department also instituted a new process, Total and Permanent Disability Discharge, to automatically discharge federal student loans of veterans who are permanently disabled as a result of their military service, consistent with the August 2019 [Presidential Memorandum](#). This streamlined a process once so cumbersome that, by some estimates, fewer than half of the 50,000 eligible veterans were applying for loan discharge.

FY 2021 Annual Performance Plan

In fiscal year (FY) 2020 and FY 2021 the Department will:

- Issue an award for development of the Event Generator, which simulates a borrower-based microsimulation model of repayment of federal student loans. It aims to better address the complexity of the federal student loan programs as well as more completely capture distributional impacts of proposed program changes and their effects on borrower behavior. In FY 2020, the Department expects to

begin model development; the Department requested \$1.45 million to fund the first phase.

- Complete the Enhanced Portfolio Analysis in Quarter 2 of FY 2020, which is the first of a series of projects that will enhance analytical capabilities in Federal Student Aid's (FSA's) data and analytical environment.
- Continue to engage other agencies, such as the U.S. Department of Treasury, to update the income profile data that are used to estimate income-driven repayment plan costs.
- Continue the phased implementation of the Next Generation Financial Services Environment (Next Gen FSA) based, in part, on market research with more than 50 industry leaders. This research-based approach has enabled FSA to identify best-in-industry standards and technical benchmarks and will continue to inform the procurement process.
- Expand implementation of the Next Gen FSA Digital Customer Care platform, including the launch of new tools to improve financial literacy and loan repayment.
- Provide a new loan simulator tool on [StudentAid.gov](https://studentaid.gov) in compliance with the March 2019 Executive Order 13864. This tool will provide a step-by-step guide, integrated with [College Scorecard](https://collegescorecard.gov) data, and allow borrowers to project student loan payments using typical salaries, loan balances, and interest rates.
- Allow borrowers to personalize their repayment strategy based on a customer-chosen goal, such as the lowest monthly payment, quickest payoff, or lowest amount paid over time, with the ability to compare additional options.
- Allow borrowers to make a payment on [StudentAid.gov](https://studentaid.gov) and the myStudentAid mobile app to any of FSA's loan servicers. This will address a common complaint of customers who state they do not know who their loan servicer is or where to make a payment.
- Re-envision the master promissory note and loan counseling process. For borrowers with existing loans and grants, the tools will ensure they understand how much they have borrowed and give them a sense of what their monthly payment would be based on their current loan information.
- Offer borrowers greater transparency into their loan information and the status of their *Free Application for Federal Student Aid*® and any loan repayment plan applications, including timelines for completion.
- Incorporate delinquency and default prevention strategies in Next Gen FSA.
- Improve the Public Service Loan Forgiveness Program by providing clear communication about requirements for eligibility, develop tools to assist in the application process, and identify qualifying employers.
- Operationalize College Scorecard measures on debt and related federal student aid metrics in the National Student Loan Data System, automating some of its provisions.

Performance Measures

Table 2.5-A. Percentage of borrowers who are more than 30 days delinquent.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
23.3%	21.4%	19.0%	18.4%	17.2%	16.6%	18.4%	16.6%	17.1%

Data Source: Federal Student Aid’s data warehouse.
FY 2019 Period of Performance: October 2018 through September 2019.

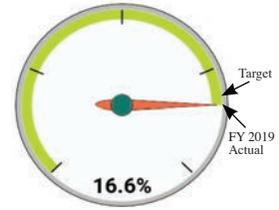
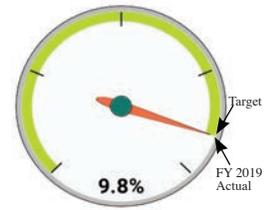


Table 2.5-B. Percentage of borrowers who are more than 90 days delinquent.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
14.0%	13.0%	11.2%	10.9%	10.1%	9.8%	10.1%	9.8%	10.1%

Note: Current and prior year data were updated to reflect an updated calculation methodology; additional information can be found in appendix B.
Data Source: Federal Student Aid’s data warehouse.
FY 2019 Period of Performance: October 2018 through September 2019.



Strategic Goal 3

Strengthen the quality, accessibility and use of education data through better management, increased privacy protections and transparency.

GOAL LEADER:

Assistant Secretary for Planning, Evaluation, and Policy Development

GOAL 3 OBJECTIVES

- 3.1 Improve the Department's data governance, data life cycle management and the capacity to support education data.
- 3.2 Improve privacy protections for, and transparency of, education data both at the Department and in the education community.
- 3.3 Increase access to, and use of, education data to make informed decisions both at the Department and in the education community.



Goal Spotlight:

This year, the Department took major strides in federal data policy management. The Secretary appointed a Chief Data Officer to coordinate agency data assets, support the Evaluation Officer in acquiring agency data, and serve as liaison with statistical officials from other agencies who seek to use new statutory authority to request data for evidence building. These were requirements for all federal agencies included in the *Foundations for Evidence-Based Policymaking Act of 2018*—which states that better coordination of data assets within and across government [“will enable agencies to shift...towards actions that will support decision makers: linking spending to program outputs, delivering on mission, better managing enterprise risks, and promoting civic engagement.”](#)



The Department has been a leader in its implementation of a coherent and collaborative approach to data governance and management, privacy and transparency, and data access and use. This new approach will help the Department strengthen its internal operations and program management, and it will provide new opportunities for transparency about and access to the Department’s data assets.

[Public transparency](#) about data access protects student privacy. Letting the public know about the Department’s data assets shines light on appropriate uses of confidential data for legitimate purposes. Open data also fuels public innovation. The *President’s Management Agenda* calls for a long-term, enterprise-wide approach to [leveraging government data](#) and making it “accessible and useful for the American public, businesses, and researchers.”

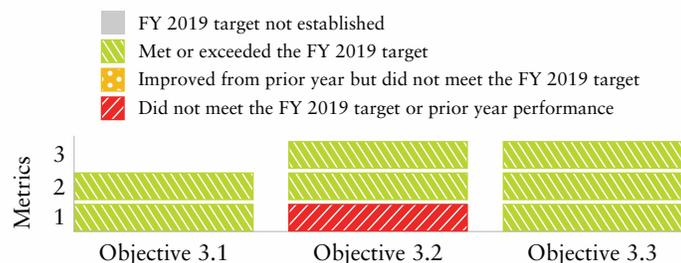
Federal agencies have not made substantial portions of their data available outside the federal bureaucracy. During fiscal year 2019, the Department began developing an Open Data Platform to address the needs of transparency and begin providing information access. This platform will be the Department’s public-facing data inventory and provide all stakeholders with direct access to up-to-date privacy-protected education data assets through an integrated application programming interface (API).

Although APIs drive modern information technology development by allowing outside developers to build a host of applications off a common data source, most Department data are not published with this key integrator. The API currently attached to the [College Scorecard](#) has had more than 6,000 developer-level subscribers since 2015. In any given month, nearly 500 application platforms, from small-scale student counseling tools to global search engines, leverage College Scorecard data in real time. The Open Data Platform will expand upon this success, delivering more education data to the public.

The following pages discuss the Department’s major accomplishments of the past fiscal year—October 1, 2018, through September 30, 2019—to achieve Goal 3 and its three underlying strategic objectives. These accomplishments illustrate the momentum that is building around more effective stewardship of education data and provide a launching point for future successes.

Metric Performance Overview

In FY 2019, the Department had eight metrics for this goal. Of these eight metrics, seven metric targets were met or exceeded, and one metric did not meet its target this year or last year.

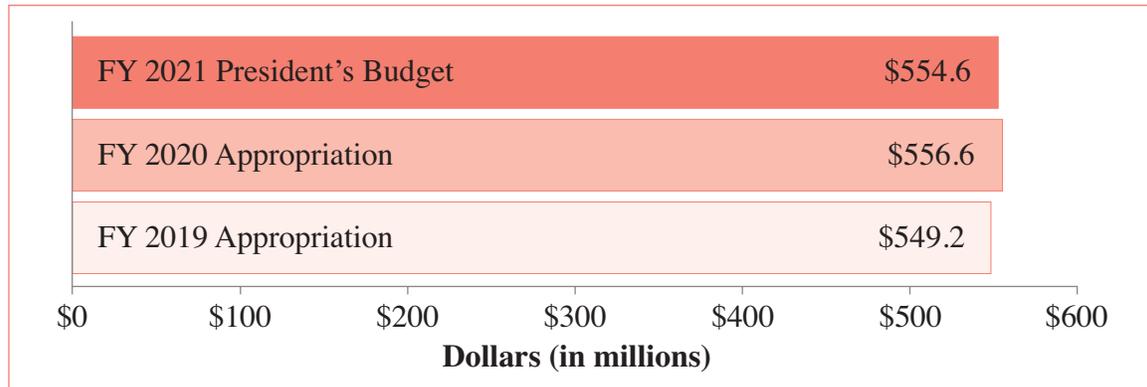




Goal 3 Discretionary Resources

The following figure and table show total Goal 3 discretionary resources and examples of select major discretionary programs and activities supporting the goal, respectively.

Goal 3 Discretionary Resources



Major Discretionary Programs and Activities Supporting Goal 3 in Thousands

POC	ACCT	Objective	Program	FY 2019 Appropriation	FY 2020 Appropriation	FY 2021 President's Budget
IES	IES	3.3	Research, Development, and Dissemination	\$192,695	\$195,877	\$195,877
IES	IES	3.1, 3.2, 3.3	Statistics	\$109,500	\$110,500	\$113,500
IES	IES	3.1, 3.2, 3.3	National Assessment	\$151,000	\$153,000	\$181,000
Other	N/A	N/A	All Other Programs	\$96,026	\$97,245	\$64,245

Note:

Discretionary resources listed here include Department programs that may contribute to multiple goals. A list of programs by goal is provided in appendix C.

Acronyms and Definitions:

POC = Principal Operating Component; ACCT = Account; IES = Institute of Education Sciences; and N/A = Not Applicable.



STRATEGIC OBJECTIVE: 3.1 3.2 3.3

Improve the Department's data governance, data life cycle management and the capacity to support education data.

Objective Leader: Associate Commissioner, Administrative Data Division, National Center for Education Statistics, Institution of Education Sciences

Overview

This strategic objective focuses primarily on opportunities to enhance the Department's data management framework and internal capacity regarding collected and acquired data. The main goal of improving data management is to clarify the common standards, operating policies, implementation roles, and procedures needed across the Department to improve the integrity and quality of the data used by the Department and released to the public.

While supported by all offices across the Department, two offices steer efforts for this strategic objective: the National Center for Education Statistics within the Institute of Education Sciences and the Office of Planning, Evaluation, and Policy Development.

FY 2019 Activities and Results

Foundations for Evidence-Based Policymaking Act of 2018. The Department continues to improve its data governance, data life cycle management, and capacity to support the timely release of better education data. During the past year, this work was guided and supported by the Department's Data Strategy Team (DST) through hosting monthly meetings, developing tools and resources, and delivering trainings on key data management principles.

Overseeing improvements in the way the Department manages its data will be the responsibility of the Department's new Data Governance Board (DGB), starting in fiscal year (FY) 2020. Significant work was underway in FY 2019 to establish a DGB consistent with the requirements of the *Foundations for Evidence-Based Policymaking Act of 2018* (Evidence Act). DST will continue to support the Department's principal offices in their implementation of improvements approved by DGB.

As part of its implementation of the Evidence Act, the Department also designated senior-level staff with appropriate technical expertise for the statutory positions of Chief Data Officer (CDO), Evaluation Officer, and Statistical Official (SO). Specifically:

- CDO chairs DGB and leads the Department's new Office of the Chief Data Officer (OCDO) within the Office of Planning, Evaluation and Policy Development. OCDO is responsible for managing and improving the Department's ability to leverage

its data for program operations and informs policy, including, but not limited to, lifecycle data management and development and enforcement of the Department's data governance policies.

- The Evaluation Officer is responsible for developing a learning agenda to answer priority questions for the Department and an annual evaluation plan and assessment of the coverage, quality, methods, effectiveness, and independence of the Department's statistics, evaluation, research, and analysis efforts.
- SO provides advice on statistical policy, techniques, and procedures to Department officials and coordinates statistical policy for the Department, including overseeing the development of standards for data quality and confidentiality; identifying data needs; building interoperability of data from its inception; improving collection, analysis, and dissemination of data; and seeking input from stakeholders.

Data Usage and Management. Metric 3.1-B focuses on training the Department provides to its staff on managing data. For this metric, the Department tracks the percentage of its offices that participate in data management training offered by the Department's DST.

Results this fiscal year exceeded the annual target, with 83 percent of offices participating in training that principally focused on data collection, planning, and design. Offices identified focal areas for training regarding DST's July 2018 (i.e., FY 2018) internal guidelines for data management and governance. Data management training offered to help meet office needs included data visualization techniques, disclosure protection strategies for public releases, guidance for states to improve disaggregation of student subgroups, updates and overviews of the Evidence Act and [Federal Data Strategy](#), and a best practices sharing session with a representative from the National Institutes of Health.

Additionally, DST issued the following resources this fiscal year:

- *Understanding the Department's Data Supports* describes the purpose, available support, and points of contact for data-focused initiatives within the Department.
- *Data Strategy Team Glossary* lists and defines common data governance and management jargon, aiming to reduce staff confusion in understanding critical data terminology.
- The *POC Data Collection Documentation Template* helps staff document essential information for the data collection lifecycle.
- *Data Lifecycle Considerations for Disclosure Avoidance* follows up on several DST discussions on existing and emerging strategies to protect data against the inadvertent disclosure of individuals' information. This guide identifies opportunities early in the data lifecycle to incorporate disclosure avoidance techniques.

The Department also made several key improvements to help agencies and institutions in the education field with data management. The National Center for Education Statistics (NCES) within the Institute of Education Sciences (IES) released a request for applications

for the FY 2019 round of the statewide longitudinal data systems (SLDS) grant program. This grant round will support states' efforts to build and use SLDS to support decisions about policy and practice. IES/NCES is working to award between 25 and 30 new grants in FY 2020.

Federal Data Strategy. The Department actively participated in the [Federal Data Strategy](#), providing four Department staff as team members, effectively contributing more than two full-time equivalent staff for a full year. Federal Data Strategy is a set of federal principles and practices aimed at leveraging the value of the entire federal government's data asset portfolio while protecting security, privacy, and confidentiality. In June, the Office of Management and Budget released [Federal Data Strategy—A Framework for Consistency](#) (M-19-18), and the Department's contribution to this memorandum ensured that education data were considered in developing principles and practices to help agencies “leverage data as a strategic asset to grow the economy, increase the effectiveness of the Federal Government, facilitate oversight, and promote transparency” as called for in Cross-Agency Priority Goal 2.¹

Additionally, NCES is serving in a leading role on two of the 16 action items in the Federal Data Strategy Action Plan. NCES is supporting the development of a re-identification risk assessment toolkit for federal agencies and developing a software package that will be made available to all federal agencies. NCES is also piloting a software tool that will aid in documenting planned data collection activities consistent with the *Paperwork Reduction Act*. The goal is to reduce duplicate collections, better identify the types of conditionality or privacy protections data require, and provide information on the levels of tiered access the data sets will have.

Data Collection and Reducing Burdens. One component of data maturity highlights how well an agency recognizes and actively manages the burden imposed by its data collection. In October, the Office of Special Education and Rehabilitative Services (OSERS) posted an information collection request in the [Federal Register](#) to revise and reduce the burden associated with complying with the *911 Vocational Rehabilitation Case Service Report* (RSA-911). The data reported in RSA-911 are mandated by Title I of the *Rehabilitation Act of 1973* as amended by Title IV of the *Workforce Innovation and Opportunity Act* and are used by state vocational rehabilitation (VR) agencies to assess program performance, including service delivery and outcomes of individuals served by the program.

In May, OSERS issued [revised guidance](#) on RSA-911 in its *Policy Directive RSA-PD-19-03*. In addition to clarifying reporting instructions, this guidance reduced the collection burden, saving a total of 316 hours, by removing duplicative education data elements; streamlining the process for reporting public support and medical insurance coverage at

¹Cross-Agency Priority Goals are set by the Administration in the *President's Management Agenda* and are used to accelerate progress on a limited number of presidential priority areas that require active collaboration among multiple agencies to ensure successful implementation.

application and exit; and removing unnecessary career, training, and other services data elements for reporting VR program expenditures.

In May, OSERS also issued the [Case Service Report \(RSA-911\) Correction Procedures](#). This technical assistance resource outlines the options available to state VR agencies to correct information reported on RSA-911 when errors in data collection or reporting are identified. In August, OSERS issued [a crosswalk of changes](#) made to RSA-911. This technical assistance outlines changes to some RSA-911 data elements and various code values specified in the appendices.

Throughout the fiscal year, OSERS also provided quarterly data dashboards to state VR agencies, a practice it began in FY 2018. These dashboards highlight RSA-911 data elements and other performance accountability metrics. OSERS used the dashboards in technical assistance discussions with state VR agencies to improve data collection and reporting and inform data-driven decision-making related to service delivery. In the field, the dashboards also serve a variety of purposes, including: (1) improving data collection, reporting, validity, and accuracy; (2) assisting grantees with strategic planning, program performance, and service delivery; and (3) providing grantees with more real-time analytics. RSA-911 provides data dashboards to all of its grantees—the 78 VR agencies nationwide.

FY 2021 Annual Performance Plan

In fiscal year (FY) 2020 and FY 2021, the Department will:

- Convene the Department’s Data Governance Board, which will be chaired by the Department’s Chief Data Officer and comprise senior-level staff in agency business units, data functions, and financial management.
- Deliver training curricula for data professionals across the Department to continue to enhance the development of a highly skilled workforce to facilitate the accurate and appropriate use of data.
- Leverage data as a strategic asset by improving the Department’s operating structure, including by further developing its new Office of the Chief Data Officer.
- Award grants for the Institute of Education Sciences’ [Statewide Longitudinal Data System \(SLDS\) FY 2019 grant round](#) in Quarter 2 of FY 2020. These grants support states’ efforts to build and use SLDS to support decisions about policy and practice for state purposes and stakeholders.
- Continue to improve and coordinate the online tools and data repositories used to prepare packages for formal information collection clearance and manage the Department’s collection portfolio. This work will be integrated with other maintenance and enhancement efforts to ensure that details about Office of Management and Budget-approved Department collections are included within the Department’s Data Inventory, Open Data Platform, and Public Data Listing.

Performance Measures

Table 3.1-A. Number of data management activities for which Department-wide procedures or templates have been created and reviewed through the Data Strategy Team (DST).



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	0	4	8	6	8	N/A

Notes: (1) This metric will not be tracked for fiscal year (FY) 2020 forward. (2) Data are not available prior to FY 2018.

Data Source: Minutes from monthly DST meetings.

FY 2019 Period of Performance: October 2018 through September 2019.



Table 3.1-B. Percentage of Department program offices participating in Data Strategy Team (DST)-offered data management training.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	41%	67%	83%	74%	89%	N/A

Notes: (1) This metric will not be tracked for fiscal year (FY) 2020 forward. (2) Data are not available prior to FY 2017.

Data Source: Minutes from monthly DST meetings.

FY 2019 Period of Performance: October 2018 through September 2019.

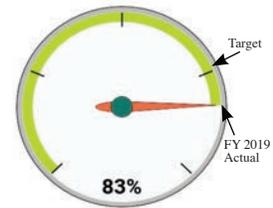


Table 3.1-C. Percentage of principal offices assessed as having higher data maturity year-over-year based on the Department's data maturity assessment tool (new).



2014	2015	2016	2017	2018	2019	2020	2021
Actual						Target	Target
—	—	—	—	—	—	—	25% gap reduction

Notes: (1) This metric will be added in fiscal year (FY) 2020. (2) Prior year data are not applicable; the establishment of the Data Governance Board was not a requirement until FY 2019.

Data Source: Department's Annual Data Maturity Assessment.

FY 2019 Period of Performance: October 2018 through September 2019.



STRATEGIC OBJECTIVE: 3.1 **3.2** 3.3

Improve privacy protections for, and transparency of, education data both at the Department and in the education community.

Objective Leader: Chief Information Officer

Overview

The Department is committed to protecting student privacy. While education data can be used to inform and drive transformative efforts, the vast amount and sensitivity of these data make it imperative that the Department and educational institutions that maintain student data take steps to adequately protect it. This strategic objective focuses on improving privacy protections through the administration of the *Family Educational Rights and Privacy Act*, developing and disseminating privacy and security training, and making technical assistance available to states, districts, and institutions of higher education.

While all Department offices have a role in supporting this strategic objective, primary stakeholders include the director of the Student Privacy Policy Office (i.e., Chief Privacy Officer); Chief Data Officer; Federal Student Aid; Institute of Education Sciences; Office of the General Counsel; and the Office of Planning, Evaluation, and Policy Development.

FY 2019 Activities and Results

Cybersecurity attacks are costly for elementary and secondary schools as well as institutions of higher education (IHEs). According to the [K–12 Cybersecurity Research Center](#), 119 districts in 38 states were victims of cybersecurity attacks in 2018, costing millions of taxpayer dollars to remedy. A year earlier, a survey found that just 15 percent of districts had implemented a cybersecurity plan despite warnings from both the Department and the U.S. Internal Revenue Service that scammers were targeting school districts to extort money by either threatening to release sensitive data from student records or obtaining employees' federal tax forms, payroll information, or other data to steal money and file false tax returns.²

Leading Conversations. In addition to the potential harm to schools and other educational institutions, vulnerabilities to cybersecurity attacks also potentially place Department data

²See <https://ifap.ed.gov/eannouncements/101617ALERTCyberAdvisoryNewTypeCyberExtortionThreat.html> and <https://www.irs.gov/newsroom/dangerous-w-2-phishing-scam-evolving-targeting-schools-restaurants-hospitals-tribal-groups-and-others>.

and the efficacy of its systems and programs at risk. To mitigate the risk, the Department is working on improving privacy protections for, and transparency of, education data both at the Department and in the education community.

In November, for example, the Department held the 2018 Federal Student Aid Training Conference for 6,500 financial aid professionals and discussed cybersecurity and threat issues in student financial aid. Topics of discussion included what constitutes a breach, compliance agreements, cybersecurity threats, cybersecurity best practices, incident reporting, and the response process of the Department's Federal Student Aid (FSA). In May, the Department also presented at the 2019 Treasury Institute for Higher Education's Payment Card Industry Data Security Standard Workshop in Tampa, FL, to discuss cybersecurity issues with representatives from approximately 160 IHEs.

Technical Assistance. FSA, in FY 2019, advised 708 IHEs on their own cybersecurity needs. The Department chose these IHEs because they had a potential breach at the 1 to 3 severity level. For reference, the fiscal year (FY) 2019 severity scale ranges from 0 to 3, with 3 being the highest. FSA, through its FSA Postsecondary Institutions Cyber team, requested each IHE's incident response plan and gave advice on industry best practices, mitigation strategies, guidance for improving processes, and documentation to improve security postures. FSA worked with the schools and tracked the remediation actions. All identified schools completed the remediation and patching actions. Too often, IHEs may not be fully aware of the scope of their responsibilities for self-reporting cybersecurity incidents and, therefore, fail to inform the Department and respond to inquiries in a timely fashion. Hundreds of technical assistance outreach efforts like the 708 of the past year are aimed at addressing such issues.

In addition, the Student Privacy Policy Office (SPPPO), through the Privacy Technical Assistance Center (PTAC), partnered with FSA in assisting IHEs by delivering, during FY 2019, 40 outreach activities focused on data privacy and security. PTAC also supported K–12 stakeholders by providing outreach activities that included topics such as data privacy, data security, and data breach response and prevention.

Outreach Activities and Audits. The Department also completed outreach efforts as part of its Agency Priority Goal (APG) commitment to help protect information technology (IT) systems and improve student privacy and data security at IHEs. In this APG, which was one of four for the two-year period that ended in FY 2019, the Department pledged that by September 30, 2019, it would increase its information security program outreach activities to IHEs by 40 percent. The Department exceeded this target, as it provided 103 outreach activities in the two-year period that targeted information security programs, including data privacy and IT security requirements of IHEs; the baseline at the start of the APG had been 12 such activities.

As part of the APG, the Department also said it would audit IHEs that are subject to the *Gramm-Leach-Bliley Act* (GLBA). GLBA requires financial institutions, including IHEs if they offer loans to their students, to explain their information-sharing practices to their customers and to safeguard sensitive data. The Department intended for IHEs to obtain independent audits and report the findings to the Department. However, guidance on GLBA was not released until June through the Office of Management and Budget's (OMB's) [2 C.F.R. Part 200 Appendix IX Compliance Supplement](#). The delay in issuing this guidance, and its explanation of the requirements for auditors performing audits of IHEs subject to GLBA, prevented the Department from fulfilling this part of its APG commitment.

Although the Department successfully increased information security program outreach activities to IHEs in excess of the 40 percent target, the Department did not meet its APG target to commence audits of IHEs subject to GLBA (see metric 3.2-A). Hence, the Department designated this strategic objective as a "Focused Area for Improvement." This designation is consistent with guidelines issued by OMB for the strategic review process of federal agencies.³ The Department's plans to address this issue during the next two years are discussed in the subsection labeled "FY 2021 Annual Performance Plan" within this strategic objective.

Family Educational Rights and Privacy Act. Transparency also means the Department must be responsive to issues regarding the *Family Educational Rights and Privacy Act* (FERPA) (20 U.S.C. § 1232g; 34 CFR Part 99). This law protects the privacy of student education records and gives parents certain rights with respect to their children's education records. These rights transfer to the student when he or she reaches the age of 18 or attends a school beyond the high school level. The Department led several FERPA-related initiatives this fiscal year.

For example, in February, SPPO, within the Department's Office of Planning, Evaluation, and Policy Development, issued a [comprehensive set of questions and answers](#) on the application of FERPA in the context of school safety initiatives. This guidance consists of 37 commonly asked questions about schools' and school districts' responsibilities under FERPA when disclosing student information to school security units, school resource officers, law enforcement, and others. Typically, FERPA would guard the privacy of student records; the guidance explains how FERPA gives schools and districts flexibility to disclose otherwise private student records, under certain limited circumstances, to maintain school safety.

SPPO also expanded its review of the websites of local educational agencies (school districts) to assess whether the websites included best practices for transparency and

³§ 260.15, Circular No. A-11 Part 6: *Federal Performance Framework and Evaluation Evidence-Building: Strategic Planning, Annual Performance Plans and Reports, Priority Goals, Performance Reviews, Customer Experience, Program and Project Management, and Evidence-Building Activities.*

complied with legal requirements related to third-party contracting. In addition to meeting the annual target for this metric (i.e., metric 3.2-C) by reviewing 35 percent of the district websites in a statistically representative sample, SPPO also sent letters to those districts to provide individual feedback on how the websites could be improved. The aim is for district websites to provide the information that parents and students would likely seek and have a right to receive under FERPA, thereby helping reduce the number of complaints parents and students file with the Department alleging a violation of FERPA.

Typically, the Department receives more FERPA complaints than it can process in a timely manner. To assist with processing these complaints, in December, SPPO implemented new processes for responding to FERPA complaints. The implementation of a flexible process to [investigate FERPA complaints](#), known as resolution assistance and intermediation, has allowed SPPO to better address both new incoming complaints and its oldest cases. SPPO also made structural changes within its office, reallocating staff and developing new performance standards for staff to more timely process FERPA complaints and respond to audit recommendations from the Department’s Office of Inspector General.

FY 2021 Annual Performance Plan

In fiscal year (FY) 2020 and FY 2021, the Department will:

- Evaluate the Office of Management and Budget’s [Supplement](#) on the *Gramm-Leach-Bliley Act* (GLBA) and develop processes to actively monitor cybersecurity compliance and the risk factors that would lead to performing a cybersecurity review.
- Undertake an Agency Priority Goal for FY 2020–2021 to improve student privacy and cybersecurity at institutions of higher education through outreach and compliance efforts. As part of this goal, the Department will participate in at least 12 engagements with nongovernmental organizations to inform the development of at least five best-practice programmatic improvements, such as guidance on the definition of a cybersecurity breach.
- Release a Notice of Proposed Rulemaking for the *Family Educational Rights and Privacy Act* (FERPA) and the Protection of Pupil Rights Amendment (20 U.S.C. § 1232g; 34 CFR Part 99), with updates and clarifications of policy and technical issues. The proposed regulations are also needed to implement statutory amendments to FERPA contained in the *Uninterrupted Scholars Act of 2013* (Pub. L. No. 112-278) and the *Healthy, Hunger-Free Kids Act of 2010* (Pub. L. No. 111-296) to reflect a change in the name of the office designated to administer FERPA and to make changes related to the enforcement responsibilities of the office concerning FERPA.
- Expand the Department’s review of websites of school districts to assess their inclusion of transparency best practices and compliance with legal requirements for third-party contracting. Specifically:

- The Student Privacy Policy Office (SPPO) within the Office of Planning, Evaluation, and Policy Development will analyze aggregated data from the school district website reviews it conducted in FY 2019 to identify trends and target future technical assistance activities that will begin in Quarter 2 of FY 2020.
- SPPO will also consider options for how to share the results with state educational agencies for their awareness and use (see metric 3.2-C).

Performance Measures

Table 3.2-A. Number of institutions of higher education (IHEs) that have an audit of *Gramm-Leach-Bliley Act* (GLBA)-related information security safeguards that result in no significant findings.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
N/A	N/A	N/A	N/A	N/A	N/A	36	77	TBD

Notes: (1) The 2019 GLBA compliance supplement was released in June 2019 on the Office of Management and Budget's website, too late to start and receive audits for fiscal year (FY) 2019.

(2) Data are not applicable prior to FY 2020, as no audits were reviewed.

Data Source: IHE-provided auditor reports.

FY 2019 Period of Performance: October 2018 through September 2019.

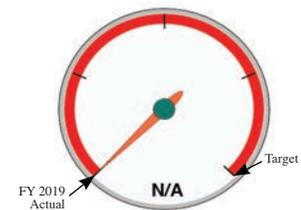


Table 3.2-B. Number of outreach activities targeting data privacy and information technology security requirements of institutions of higher education.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	12	63	40	17	20	20

Note: Data are not available prior to fiscal year (FY) 2017.

Data Source: Outreach activity records maintained by the Privacy Technical Assistance Center.

FY 2019 Period of Performance: October 2018 through September 2019.

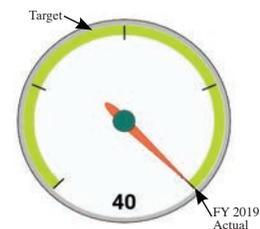


Table 3.2-C. Percentage of local educational agency (LEA) websites from a statistically representative sample reviewed for inclusion of transparency best practices and compliance with legal requirements relating to third-party contracting.

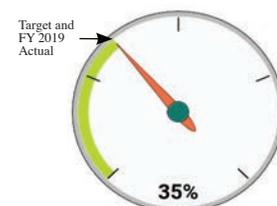


2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
N/A	N/A	N/A	N/A	N/A	35%	35%	60%	TBD

Note: Data are not applicable prior to fiscal year (FY) 2019, as study had not yet commenced.

Data Source: Selected LEA public websites.

FY 2019 Period of Performance: October 2018 through September 2019.





STRATEGIC OBJECTIVE: 3.1 3.2 **3.3**

Increase access to, and use of, education data to make informed decisions both at the Department and in the education community.

Objective Leader: Director for Policy and Program Studies Service for Planning, Evaluation, and Policy Development

Overview

For education data to be used to support informed decisions, the Department must continue to develop and implement methods to analyze, interpret, and disseminate education data and support education stakeholders in doing the same. This strategic objective focuses on increasing access to education data at all levels and improving the tools necessary to support the appropriate use of education data for decision-making by the Department and education stakeholders.

Several offices across the Department support this strategic objective, including the Institute of Education Sciences; the Office of Planning, Evaluation, and Policy Development (OPEPD); OPEPD's Policy and Program Studies Service; OPEPD's Office of Educational Technology; the Office for Civil Rights; and the Office of Special Education and Rehabilitative Services.

FY 2019 Activities and Results

Decision-makers and data users come with varying levels of familiarity with using and understanding data. Through multiple efforts, the Department kept a focus on understanding and responding to the needs of data novices, data consumers, data analysts, and the developer community.

College Scorecard. The Office of Planning, Evaluation, and Policy Development (OPEPD) made significant contributions in improving the availability and use of data with the Department's May release of a revised [College Scorecard](#), a website that provides basic data about postsecondary institutions by type of degree, location, size, public or private status, specialized mission (e.g., a women's college or a Historically Black College and University), and religious affiliation.

College Scorecard data are made available in a user-friendly format that accomplishes multiple needs: easy accessibility for consumers, usability of underlying data files for data

consumers and data analysts, and the ability to be leveraged by application programming interface (API) developers. OPEPD’s efforts to expand the types of institutions listed on the College Scorecard as well as the status of students (e.g., full-time or part-time) and the data that are included was demonstrated by new abilities to show data such as graduation outcomes of part-time and transfer students, and, for the first time, federal student loan debt by field of study at each institution.

ED Data Express. Parents wanting to know how high school graduation rates in their states compare to high school graduation rates in neighboring states (or multiple states across the country) could visit the Department’s revamped [ED Data Express](#) website. There, a new mapping feature allows users to view available data displayed on a map of the United States. A new trend line tool displays the data across multiple school years. A new conditional analysis tool allows users to view one data element based on conditions set by another data element.

The site’s two main features are grant program dashboards and customizable downloads. The download functionality allows users to export privacy-protected data based on the following set of filters: (1) grant program, (2) state, (3) school year, (4) reporting level (state or district), and (5) type of data. The site features data for school years 2010–2011 to 2016–2017 on the following formula grant programs administered in the Office of Elementary and Secondary Education:

- Title I, Part A of the *Elementary and Secondary Education Act* (ESEA) as amended by the *Every Student Succeeds Act*, which supports local educational agencies (school districts) and schools with high numbers or high percentages of children from low-income families to help ensure all children meet challenging state academic standards.
- Title I, Part C of ESEA, which supports programs of education for migratory children.
- Title I, Part D of ESEA, which, in part, supports children and youths in state-run institutions for juveniles and in adult correctional institutions so that these youths can make successful transitions to school or employment once they are released.
- Title III of ESEA, which supports supplemental services that improve the English language proficiency and academic achievement of English learners.
- The *McKinney-Vento Homeless Assistance Act* (42 U.S.C. 11431 et seq.), which supports the education of homeless children and youths.

Additional data and data notes will be added to the site over time. The website is one example of how the Department helps to increase access to, and use of, education data to make informed decisions both at the Department and in the education community.

Department's Role in the Data Community. When acting as a central repository, the Department can facilitate access to a wide range of data for the education community. The U.S. Government Accountability Office (GAO) reminded the Department of this role in its findings from its audit, GAO-17-400, *K-12 Education: Education Needs to Improve Oversight of Its 21st Century Program*. In this report, GAO recommended that the Secretary direct the Department's Office of Academic Improvement to use the information it collects from its monitoring visits and ongoing interactions with states regarding the 21st Century Community Learning Centers program to share effective practices with other states. The 21st Century program supports the creation of community learning centers that provide academic enrichment opportunities during non-school hours for children, particularly students who attend high-poverty and low-performing schools. By the time GAO closed out the audit in December 2019, it found the Department had begun effectively sharing effective practices across states. For example, the Department shares best practices at two meetings each year with program directors and through newsletters, webinars, and listening sessions at major after-school conferences.

In addition to collecting data, the Department generates data for use by the education community. For example, OPEPD's Policy and Program Studies Service released a series of new interactive data stories. One such story, [A Leak in the STEM Pipeline: Taking Algebra Early](#), focuses on exploring access to, and enrollment in, Algebra I in K–12 public schools. Another [data story](#) illustrates career and technical education (CTE) in American high schools and the outcomes for students who participate in CTE programs. The data show that CTE participation, especially focusing one's studies by taking two or more CTE classes within the same career cluster, is positively correlated with both future employment and future earnings. Finally, the Department also updated its [data story on chronic absenteeism](#) to include the most recent data made available from the Office for Civil Rights' 2015-16 Civil Rights Data Collection.

Additionally, the Office of Special Education and Rehabilitative Services (OSERS) developed and made user-friendly data products publicly available, such as *Individuals with Disabilities Education Act* (IDEA) data tables and state data displays that stakeholders within the Department and the education community can use. In fiscal year (FY) 2019, OSERS's IDEA Section 618 [Data Products webpage](#) had 68,859 page views, and its [Annual Report to Congress webpage](#) had 28,724 page views.

Transparency. At the same time the Department is working to make its data (and the data of educational institutions) more secure, it is working to make more data available to the public to the extent possible and protect privacy interests while doing so. The *Foundations for Evidence-Based Policymaking Act of 2018* (Evidence Act) is shaping how the Department manages these dual responsibilities.

One of the aims of the Evidence Act is to make government more transparent by making its data publicly accessible in machine-readable formats. This makes the data more usable by researchers and the public. In the past fiscal year, the Department made 93 datasets publicly available in machine-readable formats—more than double the annual target of 36 (see metric 3.3-B). Even more data may be made available in machine-readable formats in future years due to a FY 2019 redesign of the Department’s [ED Data Express website](#) and the Department’s forthcoming Open Data Platform.

The Department continued its efforts to build an enterprise Open Data Platform in FY 2019 after assessing options in FY 2018. The platform will be a central repository for the Department’s data, benefiting members of the public (who would no longer have to search on multiple websites to find information) as well as the Department, because having all significant Department data available in one place for downloading would enable the Department to better assess the public demand for different types of data. With this information, the Department could assess what types of data are most in demand and try to meet these demands. Similarly, if the results point to data not being accessed or used (and if there is no legal requirement to publicly report such data), the Department could focus its efforts elsewhere.⁴ The Department has continued to conduct rounds of both internal and external user testing to improve the platform in FY 2019 so that it can be populated in FY 2020.

In addition to the data sets made available in machine-readable formats as well as the forthcoming Open Data Platform, in FY 2019, the Department also required 98 percent of its discretionary grant competitions to include a requirement to openly license materials that were created with Department funds (see metric 3.3-C). These are materials that would otherwise be copyrightable. By requiring open licensing, the Department aims to improve transparency and foster research and innovation.

FY 2021 Annual Performance Plan

In fiscal year (FY) 2020 and FY 2021 the Department will:

- Develop an open data plan in accordance with guidance from the Office of Management and Budget and publish this plan with the Department’s *Information Resource Management Strategic Plan*.
- Enhance the Department’s forthcoming Open Data Platform to align with new statutory requirements for a comprehensive data inventory that accounts for all data assets created by, collected by, under the control or direction of, or maintained by the Department.

⁴This responsiveness to the demand for particular types of data, and the possibility of discontinuing the publication of some data, would not apply to data that the Department is statutorily required to continue publishing.

- Explore opportunities to link the Department’s K–12 and postsecondary education data to help inform policy decisions and improve program implementation.
- Develop and make user-friendly data products publicly available, such as *Individuals with Disabilities Education Act* data tables, annual reports to Congress, and state data displays that stakeholders within the Department and the education community can use to make informed decisions.
- Develop and make available on the Rehabilitation Services Administration’s (RSA’s) website user-friendly and accessible data products (e.g., vocational rehabilitation (VR) program data tables, data dashboards, and annual reports related to program performance) that VR agencies and stakeholders can use to make informed decisions.
- Provide, in Quarters 1 and 2 of FY 2020 through RSA, in partnership with one of its technical assistance partners (e.g., the Workforce Innovation Technical Assistance Center (WINTAC)), eight brief trainings to state VR agencies on implementation of the revised *911 Vocational Rehabilitation Case Service Report* (RSA-911).
- Revise the *Annual Vocational Rehabilitation Program/Cost Report* (RSA-2) in FY 2020 through the Office of Special Education and Rehabilitative Services (OSERS) to reduce reporting burden and incorporate federal financial reporting (SF-425) requirements.
- Begin, through state VR agencies, collecting and reporting data on the [revised RSA-911](#) for program year 2020 (beginning July 1 of FY 2020). In the meantime, OSERS, in partnership with WINTAC, is developing a training plan to provide technical assistance to state VR agencies to assist them with data collection and reporting consistent with the revised RSA-911 requirements. This [training](#) will begin in Quarter 1 of FY 2020.
- Unveil two new tools to inform student decision-making in postsecondary education. In June of FY 2019, the Institute of Education Sciences announced two [new awards](#) of up to \$200,000 for firms to develop and evaluate prototype web-based tools that inform student decision-making in postsecondary education. Specifically:
 - The first project, a toolkit designed to inform student training and educational decision-making over a variety of potential pathways, aims to improve estimates of the return on investment (ROI) for different postsecondary education pathways.
 - The second project is a user-contextualized ROI tool that prospective students will use to make meaning of the lifetime costs and opportunity tradeoffs associated with different degree programs offered by postsecondary institutions.
- Develop and implement a process to assess the Department’s organizational and human capacity to use data in support of evidence-based policymaking consistent with the *Foundations for Evidence-Based Policymaking Act of 2018*.

Performance Measures

Table 3.3-A. Number of sessions dedicated to improved data use provided to external grantees and stakeholders presented by Department employees or their contractors or occurring at Department-hosted events.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	—	106	106	65	N/A	N/A

Notes: (1) This metric will not be tracked for fiscal year (FY) 2020 forward. (2) Data are not available prior to FY 2018.

Data Source: Policy and Program Studies Services records collection.

FY 2019 Period of Performance: October 2018 through September 2019.



Table 3.3-B. Number of newly added publicly available datasets in machine-readable formats.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	—	126	93	36	N/A	N/A

Notes: (1) This metric will not be tracked for fiscal year (FY) 2020 forward. (2) Data are not available prior to FY 2018.

Data Source: The Department's public data listing.

FY 2019 Period of Performance: October 2018 through September 2019.

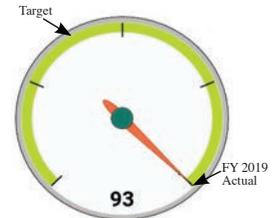


Table 3.3-C. Percentage of discretionary grant competitions that include the requirement to openly license to the public copyrightable grant deliverables created with Department grant funds.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	—	72%	98%	80%	N/A	N/A

Notes: (1) This metric will not be tracked for fiscal year (FY) 2020 forward. (2) Data are not available prior to FY 2018.

Data Source: Information collection packages.

FY 2019 Period of Performance: October 2018 through September 2019.



Table 3.3-D. Number of data assets listed in a comprehensive data inventory that are made available to the Federal Data Catalogue with official determinations regarding “open-by-default” requirements (new).

B

2014	2015	2016	2017	2018	2019	2020	2021
Actual						Target	Target
—	—	—	—	—	—	—	15% increase

Notes: (1) This metric will be added in fiscal year (FY) 2020. (2) Prior year data are not applicable, as the establishment of a comprehensive data inventory was not a statutory requirement until FY 2019.

Data Source: The Department’s comprehensive data inventory.

FY 2019 Period of Performance: October 2018 through September 2019.

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Strategic Goal 4

Reform the effectiveness, efficiency and accountability of the Department.

GOAL LEADER:

Assistant Secretary for Finance and Operations



GOAL 4 OBJECTIVES

- 4.1 Provide regulatory relief to educational institutions and reduce burden by identifying time-consuming regulations, processes and policies and working to improve or eliminate them, while continuing to protect taxpayers from waste and abuse.
- 4.2 Identify, assess, monitor and manage enterprise risks.
- 4.3 Strengthen the Department's cybersecurity by enhancing protections for its information technology infrastructure, systems and data.
- 4.4 Improve the engagement and preparation of the Department's workforce using professional development and accountability measures.



Goal Spotlight:

As the Department seeks to serve students, it must also ensure that its own information technology (IT) is up to the task. For too long, the Department operated with outdated equipment that made it harder for its employees to do their work and more time-consuming to accomplish basic tasks.

In the past year, the Office of the Chief Information Officer (OCIO) initiated a transformation of the Department's IT infrastructure. This transition enabled the Department to reduce operating costs and increase productivity through the adoption of more modern technology and a suite of new tools that make the Department more efficient and secure.

Over the course of three months, OCIO successfully transitioned its core IT services and capabilities from a single decade-old contract to a modular set of



new IT service contracts supported by multiple service providers. This transition allows for unprecedented agility, cost transparency, accountability, and resilience across the Department’s core IT services and capabilities.

This transition included the deployment of more than 4,900 new laptops that have significantly reduced boot-up times while improving accessibility and security. As a result, employee downtime due to slow laptop boot-up has been reduced by nearly 96 percent.

In addition to modernizing the Department’s laptops, OCIO deployed a new print capability comprised of high-efficiency, cloud-based, multi-functional printing devices that are secured by personal identification verification, enabling OCIO to reduce the fleet of printers by 55 percent and better monitor utilization to reduce the costs associated with toner, paper use, and maintenance.

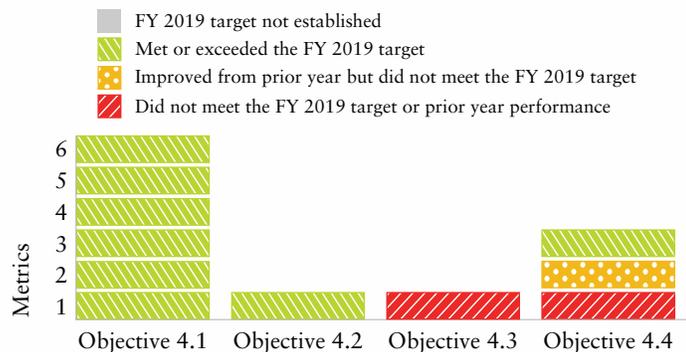
Finally, OCIO successfully migrated more than 450 terabytes of data from its former IT environment to a Federal Risk and Authorization Management Program-authorized smart cloud for a government environment. This shift reduced storage costs by 92 percent from \$1.43 per gigabyte to \$0.12 per gigabyte.

These efforts have transformed how the Department provides and accounts for IT service delivery and gives the Department the flexibility to address emerging IT needs in an agile and cost-conscious manner.

The following pages discuss the Department’s major accomplishments of the past fiscal year—October 1, 2018, through September 30, 2019—to achieve Goal 4 and its four underlying strategic objectives. While everything the Department accomplished within this timeframe is too vast to include, the following information provides a snapshot.

Metric Performance Overview

In FY 2019, the Department had 11 metrics for this goal. Of those 11 metrics, eight metric targets were met or exceeded, one metric showed improvement in performance from the prior year but did not meet the established target, and two metrics performed below both this year’s target and the prior year’s performance.

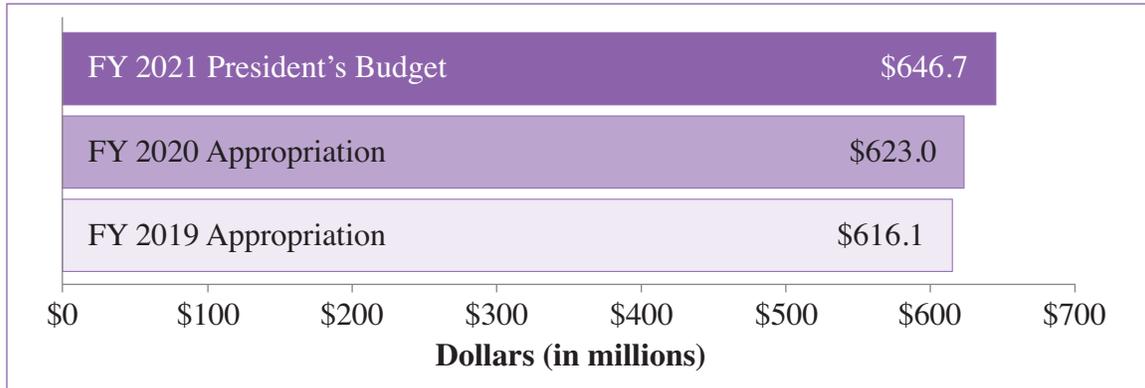




Goal 4 Discretionary Resources

The following figure and table show total Goal 4 discretionary resources and examples of select major discretionary programs and activities supporting the goal, respectively.

Goal 4 Discretionary Resources



Major Discretionary Programs and Activities Supporting Goal 4 in Thousands

POC	ACCT	Objective	Program	FY 2019 Appropriation	FY 2020 Appropriation	FY 2021 President's Budget
ALL	DM/PA	N/A	Program Administration: Salaries and Expenses	\$430,000	\$430,000	\$433,723
OCR	OCR	N/A	Office for Civil Rights	\$125,000	\$130,000	\$130,000
Other	N/A	N/A	All Other Programs	\$61,143	\$63,000	\$83,019

Note:

Discretionary resources listed here include Department programs that may contribute to multiple goals. A list of programs by goal is provided in appendix C.

Acronyms and Definitions:

POC = Principal Operating Component; ACCT = Account; ALL = All; DM/PA = Departmental Management/Program Administration; N/A = Not Applicable; and OCR = Office for Civil Rights.



STRATEGIC OBJECTIVE: 4.1 4.2 4.3 4.4

Provide regulatory relief to educational institutions and reduce burden by identifying time-consuming regulations, processes and policies and working to improve or eliminate them, while continuing to protect taxpayers from waste and abuse.

Objective Leaders: Senior Counselor to the Secretary and the Deputy General Counsel for Ethics, Legislative Counsel and Regulatory Services

Overview

Reducing regulatory burden on educational institutions and other stakeholders and improving internal decision-making processes will help ensure greater efficiencies in Department operations and more effective and efficient services to the public.

Given the importance of protecting taxpayers from waste and abuse, all Department offices support this strategic objective.

FY 2019 Annual Performance Report

Regulatory Burden Reduction. In fundamental ways, the Department's work over the past two years has changed the landscape of education for years to come. Central to this revolutionary work has been a large span of regulatory and deregulatory efforts that will expand education options for students, help occupationally focused education meet current workforce needs, protect students who take out loans to finance their post-high school education and training, hold institutions of higher education (IHEs) accountable, and provide financial protections to taxpayers.

The estimated annual cost savings in fiscal year (FY) 2019 alone was \$190.4 million due to the reduced need for states, IHEs, school districts, and individuals to collect information and comply with legal requirements (the reduction in time needed for these tasks is multiplied by applicable hourly wages to derive estimated cost savings).

Achieving these goals became an Agency Priority Goal (APG) for the Department for FY 2018 and FY 2019. For this APG, the Department conducted a comprehensive review of its regulations, guidance, and information collections to identify those that were overly burdensome, inconsistent with Administration priorities, unnecessary, outdated,

or ineffective. The Department then determined whether such regulations, guidance, or information collections needed to be modified or rescinded, setting a goal to submit 25 deregulatory actions to the Office of Management and Budget (OMB) for approval by the end of FY 2019. In the end, the Department far exceeded this goal, having sent 40 deregulatory actions to OMB for approval during the past two fiscal years.

The Department also met or exceeded the other targets it set for this goal. For example, the Department targeted recommending three deregulatory actions to OMB in FY 2019; it ended the year having recommended 14. It also targeted issuing eight deregulatory actions in FY 2019; it ended the year having issued 18.

For these reasons, the Department designated strategic objective 4.1 as having “noteworthy performance” this past fiscal year. OMB, [in published guidance to federal agencies](#), requires that the Department designate a strategic objective(s) as having had noteworthy performance. The criteria for this designation include that the intended results or improvements in ultimate outcomes represent a significant improvement in national welfare. As is explained in the following section, this is descriptive of the performance of this strategic objective in FY 2019.

Regulatory Guidance. In July, the Department published [final regulations](#) rescinding the gainful employment rule (effective July 1, 2020). This rule nominally required IHEs to provide their students with a degree or with gainful employment in a recognized occupation so that they can pay back their student loans. The Department determined that the prior regulations, in assessing whether students were eligible, relied on a debt-to-earnings rates formula that was fundamentally flawed and inconsistent with the requirements of currently available student loan repayment programs. The prior regulations also failed to properly account for factors other than institutional or program quality that directly influence student earnings and other outcomes, failed to provide transparency regarding program-level debt and earnings outcomes for all academic programs, and wrongfully targeted some academic programs and institutions while ignoring other programs that may result in lesser outcomes and higher student debt.

In September, the Department published final [borrower defense to repayment \(institutional accountability\)](#) regulations in the Federal Register. These regulations were the result of a two-year process to revise the regulations for Section 455(h) of the *Higher Education Act of 1965* as amended, which authorizes the Secretary to specify in regulation which acts or omissions of an IHE a borrower may assert as a defense to repayment of a William D. Ford Federal Direct Loan (i.e., Direct Loan).

The new regulations, effective for Direct Loans that are first disbursed on or after July 1, 2020, are intended to provide a single federal standard for evaluating student assertions of a defense to repaying their Direct Loans. They also encourage a student to directly seek remedies from his or her school when acts or omissions by a school fail to provide the student

with access to the educational or job placement opportunities promised. They also provide for actions the Secretary can take to collect from the schools the amount of financial loss due to successful borrower defense to repayment loan discharges. In this manner, the new regulations aim to ensure that schools, rather than taxpayers, bear the burden of billions of dollars in losses from approvals of borrower defense to repayment loan discharges.

The Department also prepared [final regulations](#), to be issued in early FY 2020 and effective on and after July 1, 2020, to change the rules for accrediting agencies. Although the Department does not accredit educational institutions and/or programs, it does provide oversight over the postsecondary accreditation system through its review of all federally recognized accrediting agencies. The Department holds accrediting agencies accountable by ensuring they effectively enforce their accreditation standards when reviewing educational activities in the United States.

The changes provide students with a better ability to transfer credits between IHEs and enable more IHEs, including rural ones, to provide low-cost or no-cost dual enrollment opportunities to students while still in high school. These new regulations are also expected to speed up approval of new programs and curricular changes to ensure that what students learn in school keeps pace with the knowledge and skills employers demand in the workplace. They will also help students determine whether programs are likely to prepare them to meet the licensure or certification requirements in certain occupations.

In the past year, the Department also reached consensus agreements on distance education and innovation, Teacher Education Assistance for College and Higher Education (TEACH) grants (which help students pay for college if they plan to become teachers in high-need fields in low-income areas), and the equitable treatment of faith-based entities and activities. Proposed regulations on these will be forthcoming in FY 2020.

The Department's other final regulations submitted to OMB and published this past fiscal year included those for the *Adult Education and Family Literacy Act* (Title II of *Workforce Innovation and Opportunity Act*) and *Program Regulations Superseded by Reauthorizations of the Perkins Act*. These rules were rescinded because they were outdated by statutory reauthorizations.

Nonregulatory Guidance. In June, the Department released final nonregulatory guidance to support school districts in complying with the requirement that federal funds [supplement not supplant state and local funds](#) consistent with Section 1118 of Title I, Part A of the *Elementary and Secondary Education Act of 1965* as amended by the *Every Student Succeeds Act*. To comply with the supplement not supplant requirement, a school district need only show that its methodology to allocate state and local resources to schools does not take into account a school's Title I status (i.e., the methodology is Title I neutral). For many school districts, the requirement can be met using the district's current methodology for allocating state and local resources. The June guidance walks school districts through these rules.

During FY 2019, the Department also modified or discontinued 10 information collection requests, which resulted in approximately \$3.6 million in cost savings related to the time and burden it takes state agencies, school districts, and IHEs, among others, to complete information collection requests. The Department also launched or continued many collaborative projects to further the goals of this strategic objective. For example, a cross-office workgroup on grants procedures, which originated from a recommendation of the Department's Regulatory Reform Task Force (RRTF), continued its work to update the Department's grants-related regulations.¹ The aim is for these new regulations to be in effect during FY 2020. A workgroup composed of the Department's principal operating components (major offices), which also originated from a RRTF recommendation, created a one-stop shop for guidance via a web portal with a brief explanation of, and links to, each office's [guidance](#).

The Department worked to improve and streamline its competitive grants process with a goal of awarding more grants earlier in the fiscal year while maximizing alignment with the Secretary's policy priorities. While some grants were awarded earlier than in recent years, the Department plans to demonstrate greater improvements in FY 2020.

FY 2021 Annual Performance Plan

In fiscal year (FY) 2020 and FY 2021, the Department will:

- Publish final regulations on accreditation and related issues in the Federal Register (expected in Quarter 1 of FY 2020).
- Continue to make regulatory relief an Agency Priority Goal and pledge, by September 30, 2021, to take no fewer than eight deregulatory actions, including reduction in paperwork burdens. These regulatory reform efforts will include:
 - Revisions to the Department's Title IX regulations under Title IX of the *Education Amendments of 1972* (expected in Quarter 1 of FY 2020). In November 2018, the Department issued a notice of proposed rulemaking and will issue final regulations to address sexual harassment in any education program or activity to ensure that federal financial recipients understand their legal obligations under Title IX.
 - Review and modify other *Higher Education Act of 1965* regulations in critical areas, including distance education programs and innovation.
 - Revise the Education Department General Administrative Regulations (EDGAR); a notice of proposed rulemaking is expected in Quarter 2 of FY 2020. The Department plans to review and amend or rescind specific EDGAR regulations as needed to be consistent with current law and reduce or eliminate unnecessary burdens and restrictions.

¹The Regulatory Reform Task Force, which includes a wide cross section of the Department's senior leaders, was established under Executive Order 13777 to review and reduce regulatory inefficiencies.

Performance Measures

Table 4.1-A. Number of evaluations to identify potential Executive Order 13771 deregulatory actions that included opportunity for public input and/or peer review.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
N/A	N/A	N/A	N/A	6	2	2	3	TBD

Notes: (1) Data were updated from prior reporting. (2) The target for fiscal year (FY) 2021 is dependent, in part, on the deregulatory actions performed in FY 2020; this target will be established at the end of FY 2020. (3) FY 2014 through FY 2017 data are not applicable.

Data Source: Department reports to the Office of Management and Budget.
FY 2019 Period of Performance: October 2018 through September 2019.



Table 4.1-B. Number of Executive Order 13771 deregulatory actions recommended by the Regulatory Reform Task Force to the agency head consistent with applicable law.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
N/A	N/A	N/A	N/A	44	14	3	3	TBD

Notes: (1) Data were updated from prior reporting. (2) The target for fiscal year (FY) 2021 is dependent, in part, on the deregulatory actions performed in FY 2020; this target will be established at the end of FY 2020. (3) FY 2014 through FY 2017 data are not applicable.

Data Source: Department records.

FY 2019 Period of Performance: October 2018 through September 2019.



Table 4.1-C. Number of Executive Order 13771 deregulatory actions issued that address recommendations by the Regulatory Reform Task Force.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
N/A	N/A	N/A	N/A	23	18	8	3	TBD

Notes: (1) Data were updated from prior reporting. (2) The target for fiscal year (FY) 2021 is dependent, in part, on the deregulatory actions performed in FY 2020; this target will be established at the end of FY 2020. (3) FY 2014 through FY 2017 data are not applicable.

Data Source: Federal Register and <https://www.ed.gov/>.

FY 2019 Period of Performance: October 2018 through September 2019.

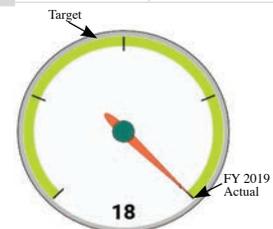


Table 4.1-D. Number of Executive Order (EO) 13771 regulatory actions and, separately, EO 13771 deregulatory actions issued.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
N/A	N/A	N/A	N/A	27	18	10	4	4

Notes: (1) Data were updated from prior reporting. (2) Fiscal year (FY) 2014 through FY 2017 data are not applicable.

Data Source: Federal Register and <https://www.ed.gov/>.

FY 2019 Period of Performance: October 2018 through September 2019.

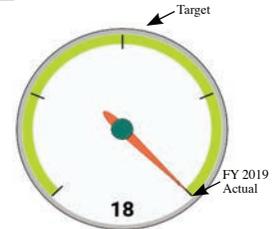


Table 4.1-E. Total incremental cost of all Executive Order (EO) 13771 regulatory actions and EO 13771 deregulatory actions (including costs or cost savings carried over from previous fiscal years).



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
N/A	N/A	N/A	N/A	-\$5.2 million (annual)	-\$190.4 million (annual)	-\$194 million (annual)	TBD	TBD
				-\$80.5 million (present value)	-\$3.56 billion (present value)	-\$3.1 billion (present value)		

Notes: (1) The Department is not far enough along in applicable regulatory processes to estimate costs for fiscal year (FY) 2020. (2) The target for FY 2021 is dependent, in part, on the deregulatory actions performed in FY 2020; this target will be established at the end of FY 2020. (3) FY 2014 through FY 2017 data are not applicable. (4) FY 2019 target was met, in part.

Data Source: Department reports to the Office of Management and Budget.

FY 2019 Period of Performance: October 2018 through September 2019.



Table 4.1-F. Number of deregulatory actions submitted to the Office of Management and Budget (OMB).



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
N/A	N/A	N/A	N/A	24	16	3	4	TBD

Notes: (1) Data were updated from prior reporting. (2) The target for fiscal year (FY) 2021 is dependent, in part, on the deregulatory actions performed in FY 2020; this target will be established at the end of FY 2020. (3) FY 2014 through FY 2017 data are not applicable.

Data Source: Reginfo.gov and emails between the Department and OMB.
FY 2019 Period of Performance: October 2018 through September 2019.





STRATEGIC OBJECTIVE: 4.1 4.2 4.3 4.4

Identify, assess, monitor and manage enterprise risks.

Objective Leader: Principal Deputy Assistant Secretary for Finance and Operations

Overview

The Department continues to develop its Enterprise Risk Management (ERM) program to strategically align risk management efforts with the agency's overall mission, objectives, and priorities. The Department's approach to ERM is to focus on the complete spectrum of the organization's significant risks and the combined impact of those risks as an interrelated portfolio rather than simply addressing risks within silos. This coordinated approach leverages data and analytical solutions to identify, measure, and assess challenges related to mission delivery and resource management. Through ERM, the Department seeks to embed a systematic and deliberate view of risk into its management practices, ultimately yielding more effective performance and operational outcomes.

Accordingly, recognizing the significant growth in the scope and complexity of Federal Student Aid's (FSA's) responsibilities since its establishment as a performance-based organization more than 20 years ago, the President's fiscal year 2021 budget proposes the evaluation of FSA as a separate organization with reformed governance.

FSA has an established risk management program; the Department's ERM program resides in the Office of Finance and Operations. Due to the inherent cross-cutting nature of ERM, all Department offices support this strategic objective.

FY 2019 Annual Performance Report

Senior Management Council—Primary Governance Body. In fiscal year (FY) 2019, the Department renewed its focus on greater oversight of matters related to Department operations and management, including internal control deficiencies, risk management, monitoring, and assessment of significant management challenges, audits, business processes and controls (including grants and contracts), and other areas of concern to the Department's senior leadership. The Department's Senior Management Council, chaired by the Deputy Secretary, served as the primary governance body for the Department in these areas.

Enterprise Risk Management. The Department took further steps to strengthen its Enterprise Risk Management (ERM) program by establishing a dedicated team within the

Office of Finance and Operations (OFO) to lead these efforts. The team was specifically designed to include individuals with cross-cutting expertise in risk management, internal controls, data analysis, process development, project management, program evaluation, and strategic management. In FY 2019, the team became active in the Federal ERM Community of Practice led by the U.S. Department of Treasury.

The team also gained additional insight on best practices and implementation by cultivating strong partnerships with the Department’s own Federal Student Aid (FSA) Enterprise Risk Management Office. FSA is widely recognized for establishing the federal government’s first ERM program in 2004, and, in FY 2019, it continued to expand its ERM capabilities across all aspects of the ERM system, including governance and culture, strategy and objective setting, performance and communication, and reporting. FSA also continued to build on its portfolio view of risk, analyzing and incorporating changes in the business and operating environments. Cybersecurity and fraud risk areas of focus have continued to develop with the creation of formalized frameworks that integrate within the overall ERM system. These frameworks, once finalized, will detail the specific processes in place for identifying, monitoring, mitigating, and reporting on cybersecurity and fraud risks throughout the student aid life cycle. Specific areas addressed in the frameworks include governance, approach, execution, communication, and evaluation.

Additionally, FSA developed its first formal risk appetite statement to assist the organization in determining appropriate risk responses and increasing consistency and transparency in decision-making throughout the organization. Leaders at all levels of the organization were involved in this effort to ensure identified risk tradeoffs were appropriately identified and reflected an alignment with FSA’s mission, goals, and objectives.

FSA continues to identify, assess, and monitor its risks and corresponding mitigation strategies to support meeting its strategic goals and objectives. Results are included in a monthly risk compendium that provides risk intelligence for risk-based decision-making across FSA.

Efficacy of the Department’s ERM program is measured through advancements in risk management culture, capability, and practice. The collective achievements of the OFO and FSA ERM teams—particularly in areas of program governance; alignment with internal controls; risk appetite statements; and appropriately defined roles, responsibilities, and resources—effectively advanced the program’s overall maturity level beyond the FY 2019 target (i.e., 2.5). By the final quarter of the fiscal year, the Department’s ERM program maturity level was 2.8 (i.e., in the “Emerging” stage) and demonstrated growth over last year’s “Nascent” determination. This was significant progress toward the 3.0 maturity level (i.e., “Integrated”).

Management Challenges. In FY 2019, the Department also made progress in addressing specific areas of risk. For example, the [*U.S. Department of Education FY 2019 Management Challenges*](#) report, issued in October 2018 by the Department’s Office of Inspector General

(OIG), identified the following four areas of risk that continue to pose the most significant challenges for the Department:

- Improper payments.
- Information technology (IT) security.
- Oversight and monitoring.
- Data quality and reporting.

These were the same four areas of significant challenges OIG identified in FY 2018. All areas saw improvements during FY 2019 but continue to remain management challenges. The following tables identify each of the four management challenges along with some of the Department’s notable accomplishments.

Management Challenge 1—Improper Payments: The Department provides billions of dollars to support students and must work with states and schools to ensure funds reach the intended recipients in the right amounts.	
Accountable Official:	Department’s Chief Financial Officer and FSA’s Chief Financial Officer
Notable Accomplishments:	<p>Most of the direct assistance the federal government provides to postsecondary students comes through programs for the William D. Ford Federal Direct Loan (Direct Loan) and the Federal Pell Grant (Pell). The Department identified these programs as susceptible to greater vulnerability to improper payments. In addition, the Office of Management and Budget (OMB) designated these programs as high-priority programs, and, as such, they are thus subject to greater levels of oversight.</p> <p>A primary cause of improper payments in the Pell program is failure to accurately verify financial data. The Department continues to take action to improve its payment integrity by addressing this management challenge on several fronts, including the following:</p> <ul style="list-style-type: none"> • The Department coordinated with the U.S. Department of the Treasury and OMB to pursue legislation for an exemption to the Internal Revenue Code (IRC) Section 6103 that would authorize the Internal Revenue Service to disclose tax return information directly to the Department for the purpose of administering programs authorized by Title IV of the <i>Higher Education Act of 1965</i>, through which the Department awarded more than \$122 billion in FY 2019. Several bills have been introduced in Congress to allow the disclosure of tax return information to authorized Department officials for purposes of determining eligibility for, and the amount of, federal student financial aid. The Department expects the exemption will allow for significant simplification of and improvement to the administration of Title IV programs, including reduction in improper payments. • The President’s FY 2020 budget request includes a payment integrity section that provides proposals for government-wide improvements to address improper payments. It also includes specific proposals for the Department, including the IRC Section 6103 exemption referenced previously, improved selection of applicants for income verification reviews, and the selection of schools with higher risk of improper payments for FSA program compliance reviews. The new method for selection of applicants for income verification

	<p>was implemented in October for users of the <i>Free Application for Federal Student Aid</i>® who were applying for aid for award year 2019–2020. It will allow FSA to better identify applicants for whom errors would result in a change in their federal aid award and potentially reduce improper payments.</p> <p>In FY 2019, the Department implemented a statistically valid methodology based on a random sample of the complete population of nearly 6,000 institutions of higher education (IHEs) and used data from the compliance audits performed by external auditors for those IHEs rather than the prior non-statistical methodology that used a smaller, non-random sample of a subset of schools selected for program reviews.</p> <p>Based on the new methodology, the FY 2019 Direct Loan improper payment rate is 0.52 percent (\$483.14 million) and 2.23 percent (\$646.14 million) for Pell. This compares to the FY18 total improper payment amount of \$6,055.25 million.</p>
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Management Challenge 2—IT Security: Department systems contain data that must remain accessible to the Department’s partners while protected from threats.

<p>Accountable Official:</p> <p>Notable Accomplishments:</p>	<p>Department’s Chief Information Officer</p> <p>OIG’s work related to IT identified control weaknesses and ineffective security management programs that the Department should address to adequately protect its systems and data. The Department continues to take action to improve its IT security by addressing this management challenge. Examples of actions are described.</p> <p>During FY 2019, the Department successfully completed an IT migration that transitioned core IT services and capabilities to new service providers. This transition has enabled the Department to avoid various costs with the deployment of more effective hardware, increased productivity through upgraded technology, and the deployment of new tools that, together, will make the Department more efficient and secure. Examples of the new tools and capabilities deployed through this transition are improved spam filtering and anti-phishing policies through the Department’s email service provider. In addition, the Department implemented geo-blocking at the Department’s Managed Trusted Internet Protocol Service, which enhances its ability to block malicious actors from known bad locations.</p> <p>In FY 2019, the Department revised the Information Security Program’s policy framework to include a new review and approval process for cybersecurity policies, standards, and instructions. This process now includes automated workflows, pre-defined review timelines, and delegated approval authorities that improve the Department’s ability to provide critical time-sensitive guidance and requirements to Department IT systems stakeholders.</p> <p>The Department also made significant progress in efforts to maintain an accurate system inventory, communicate the impact of identified cybersecurity risks, and actively manage its Plan of Action and Milestones (POA&Ms). As part of this ongoing work, the Department continued to publish Cybersecurity Framework (CSF) Risk Scorecards, which provide a data analysis tool for authorizing officials, information system owners (ISOs), and information system security officers (ISSOs) to prioritize and mitigate risks to the Department’s information systems. The CSF Risk Scorecard was enhanced in FY 2019 to allow for automated risk scoring, improved accessibility, more granular and user-friendly data filtering capabilities, and enhanced data modeling. To drive accountability,</p>
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OCIO increased cybersecurity communications and reporting across the Department. This effort ensured the consistent communication of CSF Risk Scorecard results, phishing exercises, and current cyber threats through targeted briefings for specific stakeholder groups from ISOs and ISSOs to the Department's executive leadership. The increased communication and continued use of the CSF Risk Scorecards enabled the Department to prioritize resources to resolve identified vulnerabilities. This prioritization led to the closure of all past-due POA&Ms for the Department's high value assets. Overall, the Department has reduced total POA&Ms by more than 83 percent and delayed POA&Ms by 95 percent.

In the metric domain of Identity and Access Management, the Department made substantial progress in the development of its enterprise Identity Credential and Access Management (ICAM) solution. ICAM will provide the Department with the ability to manage, centrally and securely, enterprise identity, user accounts, and user roles within and across Department systems and applications. ICAM will also provide the ability to automate the creation, modification, and removal of identities, accounts and roles throughout enterprise systems. In FY 2020, the Department will deploy the ICAM solution into the Department's production environment and will begin the process of onboarding systems and applications.

In the metric domain of Information Security Continuous Monitoring, the Department worked with the Department of Homeland Security to mature its Continuous Diagnostics and Mitigation (CDM) implementation by incorporating additional program elements of the Dynamic and Evolving Federal Enterprise Network Defense (DEFEND) series of task orders. The Department is currently in the discovery and analysis phase for the following CDM projects:

- **CDM DEFEND-E Asset Management Gap Fill:** The Department will achieve a more comprehensive view and accurate security assessment of endpoints on its network.
- **CDM DEFEND-E Bound-Encryption:** The Department will gain the ability to collect data from hardware, software, and cryptographic implementation configuration settings.

Finally, during FY 2019, the Department engaged with nongovernment organizations to expand and improve information sharing and communication to protect students from cyber threats. The Department believes there are opportunities for it to contribute operationally, tactically, and strategically to strengthen cybersecurity protections within educational communities that use Department systems and access Department data through collaborative engagements with IT and cybersecurity leadership in educational communities. For example, in FY 2019, the Department was able to leverage its relationship with educational communities to quickly collaborate on a cybersecurity alert and enlist assistance with promulgating the message.

In summation, the Department has managed a significant amount of transition risk and made significant progress during FY 2019 to strengthen its information security program. The new infrastructure, processes, and tools deployed in FY 2019 created a prime environment for further growth in maturing its programs in FY 2020.

Management Challenge 3—Oversight and Monitoring: The Department must provide effective oversight and monitoring of participants in the student financial assistance programs under the *Higher Education Act of 1965* to ensure that the programs are not subject to fraud, waste, abuse, and mismanagement; such monitoring and oversight are also essential for ensuring that grantees meet grant requirements and achieve program goals and objectives.

<p>Accountable Official:</p>	<p>Assistant Secretary for the Office of Planning, Evaluation, and Policy Development and the Deputy Chief Operating Officer for Strategic Measures and Outcomes for FSA</p>
<p>Notable Accomplishments:</p>	<p>FSA took action to improve its performance. Specifically, FSA:</p> <ul style="list-style-type: none"> • Launched Next Generation Financial Services Environment (Next Gen FSA) through which it will restructure its systems, processes, and contracts to introduce greater accountability based on more targeted standards, metrics, incentives, and disincentives to drive outstanding performance, particularly from its loan servicers. • Continued the implementation of risk-based oversight and monitoring of student financial assistance participants and grant recipients, including correction of audit findings. • Established a new office for operational improvement and oversight focusing on enhancing enterprise-wide quality assurance and internal and quality controls related to servicers and vendors. • Implemented an improved model for verification selection and evaluation of data elements from the federal student aid application to better identify applicants for whom errors would result in a change in their federal aid award, potentially reducing improper payments. <p>The Department also provided oversight and monitoring of grant recipients and supported state and local efforts. Specifically, the Department:</p> <ul style="list-style-type: none"> • Provided training covering basic to advanced strategies and resources for monitoring formula and discretionary grants, increasing expertise to provide effective oversight. • Implemented a performance review system designed to provide effective performance management and support to states in administering Title I and other grant programs. • Revised the Office of Elementary and Secondary Education’s (OESE’s) <i>Guide to Program and Grantee Risk Management</i> to more systematically identify and assess the level of risk associated with grant programs and entities and established a risk management team in OESE’s Management and Support Office to implement the revised guide. • Established an OESE consolidated monitoring standard operating procedure to more efficiently examine the implementation of federal programs administered by state education agencies. • Established the Office of Evidence-Based Practices and the Office of State and Grantee Relations within OESE to, among other objectives, improve customer service to grantees and states to help them improve student outcomes. Specifically, the offices developed protocols for tracking technical assistance questions that can determine aspects of risk.

Management Challenge 4—Data Quality and Reporting: The Department, states, and schools must have effective controls to ensure that reported data are accurate, reliable, and accessible to improve the use of that data at the Department and in the education community.

<p>Accountable Official:</p>	<p>Department’s Chief Data Officer (CDO)</p>
<p>Notable Accomplishments:</p>	<p>Under Goal 3 of its Strategic Plan, the Department has committed to strengthening the quality, accessibility, and use of education data. The President and Congress have provided the Department with additional authority and responsibility to manage education data as a strategic asset with the January 2019 enactment of the <i>Foundations for Evidence-Based Policymaking Act of 2018</i> (Evidence Act) and the July 2019 release of implementation guidance from the Office of Management and Budget (OMB), M-19-23. OMB updated its guidance on the <i>Information Quality Act</i> (M-19-15), which requires the Department to review the quality of information in each product it disseminates based on the information’s likely use. In this context, the Department is developing a coherent and coordinated approach to data governance, data management, and data quality to ensure that education data provide high value for internal decision-makers and external stakeholders. Accomplishments include the following:</p> <ul style="list-style-type: none"> • In response to Evidence Act requirements, the Department named a CDO, an Evaluation Officer, and a Statistical Official (SO), each of whom has responsibility for data quality within his or her sphere of authority. To facilitate coordination and in adherence to OMB guidance, the Department worked to establish an agency-wide Data Governance Board chaired by the CDO and composed of other senior agency officials from across the Department. The CDO also leads the Department’s new Office of the Chief Data Officer, which is responsible for managing and improving the Department’s ability to leverage its data routinely for program operations and to inform policy. • The Department continues to support complementary data governance initiatives, including a Data Strategy Team (DST) and the EDFacts Data Governance Board (EDGB). During FY 2019, DST offered 10 data management trainings to 15 Department offices and developed eight data governance and management tools and templates for Department offices. DST also assisted OESE in planning and managing its Data Governance Team, which was created to better understand the data collected by the office and create OESE-wide strategies and standards for use throughout the data lifecycle. Specifically: <ul style="list-style-type: none"> ◦ EDFacts is the Department’s consolidated data reporting system for administrative data required by formula and discretionary grant awards. Each year, technical, process, and human solutions are implemented in an effort to improve data quality. During FY 2019, all business rules used within the EDFacts system were consolidated into a Business Rules Single Inventory document available to states to support their efforts to build internal controls. ◦ EDGB continues to improve the coordination and collaboration among offices using submitted data on graduation rates. This has resulted in consistent feedback to states in a timelier fashion and has helped identify questionable data; in turn, this has resulted in the Department following up with state data submitters. All identified issues were resolved through resubmission or explained through data quality comments from the states.

**Notable
Accomplishments:**

- The Evidence Act also charges the SO with providing advice on statistical policy, techniques, and procedures to agency officials engaged in statistical activities. The SO serves as the agency champion for data quality by, for example, validating data; identifying data needs; building interoperability of data from its inception; improving collection, analysis, and dissemination; and seeking input from stakeholders. The SO oversees development of data quality standards to ensure that quality standards described in the *Information Quality Act and Paperwork Reduction Act* are met for statistical products. For example, implementing data quality standards have included the following:
 - The National Center for Education Statistics (NCES) supports the Common Education Data Standards (CEDS), a voluntary, field-driven system of data standards for prekindergarten through workforce data. By providing a common vocabulary to discuss the meaning of data elements, CEDS helps states speak more clearly and transparently to those who provide data to the state (e.g., school districts) and those who would request the data (e.g., researchers).
 - NCES meets with state- and system-level data providers to inform them of upcoming changes to the Integrated Postsecondary Education Data System (IPEDS) so they can help institutions in their state/system with accurate reporting. NCES is also working with the Association for Institutional Research (AIR) to improve and enhance online and face-to-face workshops to help postsecondary data providers understand how to report correctly to IPEDS. During the past fiscal year, the Department worked with AIR to develop a new Student Success Metrics workshop to improve reporting for the Outcome Measures and Graduation Rates survey components.
 - The State Longitudinal Data Systems grant program supports states' efforts to design, develop, and implement data systems that efficiently and accurately manage, analyze, disaggregate, and use individual student data. FY 2019 grants include an infrastructure priority area to help states seeking to modernize or improve their data systems.
- OESE continued to improve its data verification process in FY 2019 by expanding data quality checks, including at the school district level, and increasing standardization. In addition, OESE increased its investment in data quality by leveraging the Policy and Planning Support Service's Analysis, Resources, and Quality Assurance contract.

FY 2021 Annual Performance Plan

In fiscal year (FY) 2020 and FY 2021, the Department will:

- Continue to build a comprehensive Enterprise Risk Management (ERM) program by developing a more risk-aware culture at all levels of the organization.
- Expand ERM capacity to maximize performance and operational outcomes by leveraging data and analytical solutions to successfully identify and manage risks, strengthen internal controls through process improvement, and inform decision-making.
- Revise the Department's Risk Profile template and ERM maturity model.
- Develop a formal risk appetite statement for the Department to communicate a transparent view of risk to stakeholders.
- Integrate internal control activities (financial and operational controls) with ERM to incorporate risk information into decision-making processes, including resource allocation and performance improvement.
- Continue to keep the four management challenges identified by the Department's Office of Inspector General as areas of top priority. To address these issues, the Department will continue a coordinated range of actions, including the following:
 - Improper Payments:
 - Work with the U.S. Department of the Treasury and the Office of Management and Budget to implement the exemption to the Internal Revenue Code Section 6103, which generally prohibits the Internal Revenue Service from the release of tax information to other parties.
 - Apply a statistically valid and rigorous estimation methodology to calculate estimated improper payment rates. Continue to expand, develop, and implement corrective actions to drive reductions in improper payments.
 - Information Technology Security:
 - Consolidate, mature, and optimize tier 1 and tier 2 operations of the Security Operations Center.
 - Mature the Department's Identity Credentialing & Access Management program through the development of a centralized identity system.
 - Oversight and Monitoring:
 - Disseminate risk reports to staff, including for Office of Elementary and Secondary Education programs and grantees.
 - Continue to identify gaps in technical assistance and develop strategies to support discretionary grantees and state and local educational agencies.
 - Improve Department processes to provide timely and effective guidance and technical assistance to grantees.

- Identify employee skill gaps and develop strategies to close those gaps, including training, workforce engagement initiatives, and succession plans.
- Continue risk-based oversight and monitoring of student financial assistance participants and grant recipients, including correction of audit findings.
- Data Quality and Reporting:
 - Implement requirements and provisions of the *Foundations for Evidence-Based Policymaking Act of 2018* around increased access and open procedures for public releases of data that continue to ensure improved levels of data quality.
 - Regularly convene the Department’s Data Governance Board, gathering input from across the Department to develop and enforce sound data governance policy and process decisions through the Office of the Chief Data Officer.
 - Set and enforce policies for managing data as a strategic asset.
 - Select a data maturity assessment model, which will be used in FY 2020 to evaluate the current state of the Department’s data and data-related infrastructure.
 - Develop a learning agenda that will use education data to answer priority questions for the Department. For example, the Department will: (1) use high-quality data to understand “what works” in technical assistance so the Department can improve its return on investment for these resource-intensive activities and (2) use data to inform the Department’s performance information and measurement against strategic objectives.
 - Develop a new set of program effectiveness measures for the Office of Postsecondary Education’s discretionary grant programs by September 30, 2020, including collection of improved program outcome data to determine the extent to which program goals are achieved and document program effectiveness.

Performance Measures

Table 4.2-A. Improve maturity level of Enterprise Risk Management (ERM).

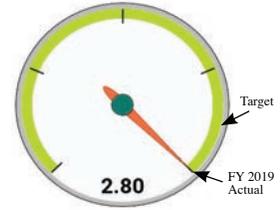


2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	—	1.50	2.80	2.50	3.00	3.25

Notes: (1) The current ERM maturity model is graded on a 5.00 scale. (2) Fiscal year (FY) 2014 through FY 2017 data are not available; the Department adopted the ERM maturity model in FY 2018.

Data Source: Office of the Chief Financial Officer calculations.

FY 2019 Period of Performance: October 2018 through September 2019.





STRATEGIC OBJECTIVE: 4.1 4.2 **4.3** 4.4

Strengthen the Department’s cybersecurity by enhancing protections for its information technology infrastructure, systems and data.

Objective Leader: Chief Information Officer

Overview

Improved cybersecurity is a key contributor to ensuring the Department’s systems and data are protected, which will provide a strong foundation for the Department’s information technology infrastructure. As such, the Department will provide proactive cybersecurity services, monitor and enhance threat intelligence capabilities, explore shared services and cloud capabilities, and improve its cybersecurity workforce.

All Department offices support this strategic objective given the focus on cybersecurity.

FY 2019 Annual Performance Report

Protecting the Department’s data—and the systems that house that data—is critical to all of the work of the Department. Without a sustained focus on cybersecurity, the Department would be unable to function effectively. The Department’s work in this area this fiscal year was extensive and wide-ranging.

Cybersecurity Risk Management. The Department closed 3,690 items from its Plan of Action and Milestones (POA&Ms). These are the current disposition of any discovered vulnerabilities and system findings and the intended corrective actions for those findings. There was such a large amount of POA&M closures that the Department moved from moderate to low in overall risk based on the Department’s Cybersecurity Framework (CSF) Risk Scorecard, which assesses the overall cybersecurity risks facing the Department.

Security Operations Center Maturation Plan. The Office of the Chief Information Officer (OCIO), in collaboration with Federal Student Aid (FSA), developed the Department’s Security Operations Center (SOC) maturation plan in accordance with the Office of Management and Budget’s M-19-02.

The 18-month plan identifies and describes a timeline of immediate executable actions that consolidate and improve Department-wide SOC activities across the Department and

FSA environments. These actions include governance, staffing requirements, training, workforce, situational awareness, and a coordinated acquisition strategy for implementation. This plan enhances risk visibility throughout the Department and eliminates duplications in actions.

Reports and Guidance. In April, the Department replaced its existing guidance on CSF to align with the National Institute of Standards and Technology's CSF. The Department's previous guidance led to corrective action recommendations from the Department's Office of Inspector General, as noted in an [October report](#). The new guidance reduces review and approval timelines and provides alignment with budget and risk reporting processes. It also allows system owners to identify and prioritize opportunities for improvement within the context of a continuous and repeatable process while also communicating with stakeholders about cybersecurity opportunities and risks.

The Department also instituted a new practice of disseminating Cybersecurity Assessment and Management (CSAM) discrepancy reports to its information systems security officers and information system owners. Getting these reports out to staff facilitated updates to CSAM records for systems displaying poor data quality and improved the accuracy of the Department's systems inventory and data. During fiscal year (FY) 2019, there was an overall reduction in CSAM data discrepancies from 413 to 174 records.

OCIO also updated, issued, or revised 28 cybersecurity governance documents, including instructional policies, standards, Department memos, and policy framework refresh presentations. In June, the Department's Chief Information Officer (CIO) assumed responsibility as the authorizing official for all high value assets as well as high and moderate impact systems. This change in delegation of authority provides greater oversight of the Department's most important information technology (IT) systems and allows for the CIO to determine acceptable levels of risk for each system.

Contracts. The Department updated its standards for cybersecurity contract language for use in its IT contracts. The Office of Acquisition Management issued an acquisition alert notifying contracting officers and contract specialists. Successful bidders must have these new elements in place at the time of receiving an IT contract. Final updates were incorporated into a Department acquisition regulation, with an anticipated release in Quarter 1 of FY 2020.

Employees. There has also been increased attention to cybersecurity issues for the Department's employees, with fewer employees having their accounts suspended for failure to complete required training in a timely manner. Additionally, an increasing number of employees in FY 2019 were following protocol to report suspected phishing attempts.

The Department also established a new virtual private network (VPN) capability that enforces personal identity verification-only multifactor authentication and provides advance threat protection for all Portfolio of Integrated Value-Oriented Technologies (PIVOT) VPN sessions.

Training Exercises. OCIO conducted Department-level, system-tailored tabletop exercises focused on system contingency planning in the event of a cyber incident and how the Department would respond to such an incident. During FY 2019, 96 percent of the Department's *Federal Information Security Modernization Act of 2014* reportable systems completed the contingency plan test, and 156 of the Department's 163 systems were tested using this enterprise approach. Feedback reports were provided to system stakeholders on weaknesses and opportunities for improvement to their contingency plans.

FY 2021 Annual Performance Plan

In fiscal year (FY) 2020 and FY 2021, the Department will:

- Award a blanket purchase agreement in Quarter 1 of FY 2020 and initial task orders in Quarter 2 of FY 2020 for the Department's Security Operations Center maturation plan in accordance with Office of Management and Budget's M-19-02.
- Mature the Department's portfolio of cybersecurity shared services, standardize processes and reporting, and employ automation where possible to reduce operating costs and streamline management of cybersecurity functions.
- Expand analytics and real-time threat information sharing to improve enterprise-wide cybersecurity situational awareness, incident detection, and tactical response.
- Continue to develop, by Quarter 2 of FY 2020, a comprehensive Departmental Vulnerability Management Program, complete with policies and guidance on practices for the proper evaluation of vulnerability management and the unification of vulnerability management technology and programs across the Department's new information technology infrastructure.
- Ensure all mission-critical applications and infrastructure have sufficient continuity of operations and disaster recovery capabilities.

Performance Measures

Table 4.3-A. Percentage of the Department’s Information Technology (IT) security functions that improved at least one maturity level.

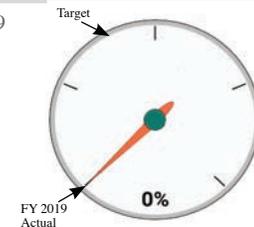


2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	Identify (level 3), Protect (level 2), Detect (level 2), Respond (level 2), Recover (level 2)	1 of 5 (20%)	0 of 5 (0%)	40%	60%	60%

Notes: (1) Targets were updated from prior reporting to account for delays incurred in fiscal year (FY) 2019 and anticipated Office of Inspector General (OIG) audit criteria changes. (2) The IT security model consists of five functional areas scored on a 5.0 scale. (3) FY 2014 through FY 2016 data are not available; the model was first implemented in FY 2017.

Data Source: Annual (fiscal year) OIG *Federal Information Security Modernization Act of 2014 Reporting Metrics Audit Report*.

FY 2019 Period of Performance: October 2018 through September 2019.





STRATEGIC OBJECTIVE: 4.1 4.2 4.3 4.4

Improve the engagement and preparation of the Department's workforce using professional development and accountability measures.

Objective Leader: Chief Human Capital Officer

Overview

The Department will continue to build the skills and knowledge of its workforce and will transition from identifying competency gaps to prioritizing learning and development opportunities and identifying best practices for closing competency gaps. Furthermore, the Department will continue to improve the organizational structure and internal decision-making processes and spur opportunities to involve employees in thinking differently about strategies to reengineer, streamline, or even eliminate work that does not serve the efficiency of the Department in achieving its strategic goals and overall mission.

Given its focus on the Department's workforce, all Department offices support this strategic objective.

FY 2019 Annual Performance Report

The Department is designing an organization for success in accordance with the President's *Comprehensive Plan for Reorganizing the Executive Branch*. In the past fiscal year, the Department reorganized, seeking to be more efficient, effective, and accountable by reducing redundancy in the Department's work, maximizing employee and organizational efficiency, and better leveraging staff's substantial knowledge and expertise.

The reorganization resulted in the consolidation of the Office of the Secretary and the Office of the Deputy Secretary; the integration of the Office of Innovation and Improvement into the Office of Elementary and Secondary Education; the merger of the Office of the Chief Financial Officer with the Office of Management to create a new Office of Finance and Operations (OFO); and the integration of certain functions of the Office of the Chief Information Officer, Office of the Deputy Secretary, and Office of Planning, Evaluation, and Policy Development (OPEPD) into OFO. The Department also created a new Office of the Chief Data Officer within OPEPD.

The other ways in which the Department changed how it operates were equally fundamental.

Enhanced On-site Collaborations. The Department sought to bring more employees on-site for collaboration, both within an individual office and across offices. Reducing options for telework also helped the Department with its aim of improving accountability.

Enhanced Employee Engagement. In addition to having its employees on-site more often, the Department sought to keep its employees engaged in what they do. When compared to fiscal year (FY) 2018, the Department increased the percentage of managers and supervisors who have employee engagement as a critical element in their performance plans by more than 20 percent (see metric 4.4-A); ultimately, however, the Department did not meet its FY 2019 target for this metric.

Additionally, the Department provided focused support to work units with Employee Engagement Index scores in the bottom 20 percent of the FY 2018 Federal Employee Viewpoint Survey (FEVS). It encouraged each of its major offices, known as principal operating components, to develop employee engagement action plans to drive employee engagement in their specific areas. By the end of the fiscal year, 12 out of 14 participating offices had such plans. Best practices from these plans, as measured by how the offices do on the annual FEVS, will be compiled to establish a “what works” bank of strategies for offices to use.

Additionally, the Department targeted for improvement the seven offices whose scores on the FY 2018 FEVS landed them in the lowest 20 percent in the Department; the targeting was a strategy to help boost the Department’s overall FEVS scores in FY 2019 (see metric 4.4-A). The actual employee engagement index score for the year, 62 percent, fell short of the annual target of 64 percent. However, 10 of 17 work units (58 percent) received a positive increase in their employee engagement scores in FY 2019 compared to FY 2018.

OFO also redesigned the Department’s employee engagement roadmap to align with the Office of Personnel Management’s key engagement drivers (i.e., performance feedback, collaborative management, merit system principles, training and development, and work/life balance). It then incorporated the drivers into the Department’s employee engagement action plan template. OFO also developed engagement driver trend analysis reports for each principal office. These reports, when coupled with the roadmap and action plan templates, were crucial to providing leadership teams across the Department with synchronized employee engagement action planning tools.

Improvement of Employee Competencies. The Department also forged ahead with its plans to become the first federal agency to assess employee competencies across all job series and take action to ensure employees get training if they are found to lack a key skill for the job series. This multiyear, enterprise-wide project covers 59 job series, entails five phases, and has a target completion date of FY 2025.

During this past fiscal year, which was phase 2 of the project, competency assessments were sent to 3,330 employees, with 52 percent of staff responding (220 supervisors and 1,506 nonsupervisors). The topmost notable core strengths for all grades and job series—where the Department, on average, exceeded proficiency expectations—included customer service, interpersonal skills, integrity and self-management, and ethics. The most notable skills gaps (where the Department, on average, did not meet proficiency expectations) included formula grants management; workforce planning; network and telecommunications technology; and legal, legislative, and administrative matters. This determination of the skills gap established a baseline that will be used in future years by OFO to partner with offices to prioritize learning and development opportunities and to share best practices for closing competency gaps.

Retraining staff also meant that, in FY 2019, the Department moved many of its cadre of senior leaders into new positions within the Department. These senior leaders are members of the Senior Executive Service (SES), which was established as part of the *Civil Service Reform Act of 1978* to “...ensure that the executive management of the Government of the United States is responsive to the needs, policies, and goals of the Nation and otherwise is of the highest quality.” SES staff are the major link between presidential appointees and the rest of the federal workforce, and they were intended to be a corps of senior executives, not technical experts, who regularly rotate positions.

Consistent with Executive Order 13714, *Strengthening the Senior Executive Service*, the Department developed a plan in FY 2018 to increase the number of SES employees who rotate job assignments. The Department continued to implement this plan in FY 2019 and, as of June 2019, 59 percent of the Department’s SES members have been provided with short- and long-term rotation opportunities to help them cross-train.

To help other, non-SES staff improve their professional skills, the Department offers employees a wide variety of training. Employees can select mentoring and training programs from numerous offerings on the Department’s internal website. For example, in April and May, the Department hosted trainings focused on the new Department-wide grant funding slate template, slate review and approval process, and ways for employees to improve the efficiency of the slate process.

FY 2021 Annual Performance Plan

In fiscal year (FY) 2020 and FY 2021, the Department will:

- Continue the strategic framework, started in Quarter 4 of FY 2019, to focus the Department’s FY 2020 employee engagement action planning efforts.
- Use a new performance plan template to automatically prepopulate an employee engagement performance element into the performance plans for all supervisors.

- Increase the number of major offices and work units with employee engagement action plans and ensure all participating offices provide quarterly updates on progress made toward achieving improvement goals.
- Identify and share scalable best practices after analyzing the results of employee engagement action plans established by major offices and work units.
- Increase linkages between employee performance plans and agency strategic goals and objectives.
- Prioritize learning and developmental opportunities and share best practices for closing competency gaps.
- Launch LEADING@ED, a series of leadership development opportunities designed to close leadership competency gaps, improve employee engagement, and enhance human resources skills.
- Launch, in Quarter 2 of FY 2020, phase 3 of the Department's employee competency project. The Department will prioritize a specific set of trainings to address universal competency gaps identified from competency assessment evaluations. Training offered will be evaluated to ensure identified competency gaps are targeted to be closed by the content of the training programs.
- Redesign the current mentoring program to support competency gap closure activities.
- Enhance human capital data analytics to inform data-driven decision-making across the Department.

Performance Measures

Table 4.4-A. Federal Employee Viewpoint Survey (FEVS) employee engagement index score.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
67%	68%	67%	67%	63%	62%	64%	65%	66%

Data Source: Office of Personnel Management FEVS.
 FY 2019 Period of Performance: October 2018 through September 2019.



Table 4.4-B. Percentage of positions with competencies identified.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	19%	100%	100%	100%	N/A	N/A

Notes: (1) Fiscal year (FY) 2014 through FY 2016 data are not available; the position competency assessment began in FY 2017. (2) This assessment is complete; this metric will not be tracked for FY 2020 forward.

Data Source: The Department’s Talent Management System.
 FY 2019 Period of Performance: October 2018 through September 2019.



Table 4.4-C. Percentage of supervisors and managers with a performance plan critical element related to employee engagement.



2014	2015	2016	2017	2018	2019		2020	2021
Actual					Actual	Target	Target	
—	—	—	5%	35%	56%	98%	100%	100%

Data Source: The Department’s Talent Management System and USA Performance.
 FY 2019 Period of Performance: October 2018 through September 2019.



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Appendices

Appendices A–E

Appendix A. Data Validation and Verification

Appendix A provides data validation and verification information for all performance metrics found across the Department’s four Strategic Goals.



Strategic Goal 1: Support state and local efforts to improve learning outcomes for all P–12 students in every community.

1.1-A. Number of open and operating charter schools supported by the Charter Schools Program (CSP).

Data Source:	National Center for Education Statistics (NCES) Common Core of Data (CCD) and grantee annual performance reports.
Data Validation and Verification:	CSP staff and contractors review reported data for anomalies and compare annual performance reports with NCES CCD to confirm reporting accuracies. Grantees are questioned about any identified inconsistencies and must confirm or update reporting. NCES CCD undergo a rigorous and well-documented review process. More information can be found at https://nces.ed.gov/ccd .

1.1-B. Number of students enrolled in charter schools supported by the Charter Schools Program (CSP).

Data Source:	National Center for Education Statistics (NCES) Common Core of Data (CCD) and grantee annual performance reports.
Data Validation and Verification:	CSP staff and contractors review reported data for anomalies and compare annual performance reports with NCES CCD to confirm reporting accuracies. Grantees are questioned about any identified inconsistencies and must confirm or update reporting. NCES CCD undergo a rigorous and well-documented review process. More information can be found at https://nces.ed.gov/ccd .

1.1-C. Number of new resources on evidence-based and promising practices related to school choice disseminated.

Data Source:	National Charter School Resource Center and Institute for Education Sciences (IES)-sponsored materials.
Data Validation and Verification:	Applicable resources and publications are posted on the websites of the Office of Innovation and Improvement and IES. Charter Schools Program staff review these two websites to ensure resources are available and meet the requisite criteria for this metric throughout the year.

1.1-D. Number of students enrolled in federally funded magnet schools.

Data Source:	Magnet School Assistance Program (MSAP) grantee annual performance reports.
Data Validation and Verification:	The MSAP contractor conducts data reviews of grantee performance data. The contractor is responsible for locating, assessing, and recording annual performance data. Review protocols include checking and documenting the presence and completeness of performance measure data for analysis. The contractor's research staff discuss anomalous data with grantees, who verify or correct submissions. Valid anomalies are documented. The Parental Options and Improvement Programs Director is responsible for certifying the data are accurate.

1.1-E. Number of open and operating public charter schools (new).

Data Source:	National Center for Education Statistics (NCES) Common Core of Data (CCD).
Data Validation and Verification:	NCES CCD undergo a rigorous and well-documented review process. More information can be found at https://nces.ed.gov/ccd .

1.1-F. Number of students enrolled in public charter schools (new).

Data Source:	National Center for Education Statistics (NCES) Common Core of Data (CCD).
Data Validation and Verification:	NCES CCD undergo a rigorous and well-documented review process. More information can be found at https://nces.ed.gov/ccd .

1.1-G. Number of students enrolled in public magnet schools (new).

Data Source:	National Center for Education Statistics (NCES) Common Core of Data (CCD).
Data Validation and Verification:	NCES CCD undergo a rigorous and well-documented review process. More information can be found at https://nces.ed.gov/ccd .

1.1-H. Number of scholarships provided through state-based vouchers, tax credit scholarships, and education savings account programs (new).

Data Source:	EdChoice, <i>The ABCs of School Choice</i> . The targets for fiscal year (FY) 2020 and FY 2021 are imputed by the Office of Elementary and Secondary Education based on EdChoice reported data for the last three years.
Data Validation and Verification:	EdChoice addresses data quality issue for its annual publications. Imputations and projections are based on EdChoice historic data. Qualifying scholarships include education savings accounts, vouchers, tax-credit scholarships, and individual tax credits and deductions as defined by EdChoice.

1.1-I. Number of parents receiving support and engagement on school choice options through technical assistance and other resources (new).

Data Source:	Internal Department outreach data and performance reports from Department-funded technical assistance centers.
Data Validation and Verification:	Data validation and verification are pending additional information from the program office.

1.2-A. Percentage of states that show improvement across a three-year trend in the percentage of students in grades 3 through 8 scoring at or above proficient on state assessments in reading in the following subgroups: economically disadvantaged, children with disabilities, English learners, migrant, homeless, and major racial and ethnic groups.

Data Source:	The Department’s annual Assessment Data File that includes state-reported data pulled from ED Facts files C175, C178, C185, and C188.
Data Validation and Verification:	The Office of Elementary and Secondary Education (OESE), Office of Special Education Programs (OSEP), and ED Facts conduct a thorough, coordinated data quality review of the assessment data submitted by states. OSEP reviews this set of assessment data files to ensure compliance with the <i>Individuals with Disabilities Education Act</i> Section 618, and OESE reviews this set of assessment data files for the <i>Consolidated State Performance Report</i> (CSPR). Reviews focus on three areas: timeliness, completeness, and accuracy. OESE, OSEP, and ED Facts conduct two data quality reviews of states’ assessment data submissions. The first data quality review results in data quality inquiries, comments, and questions for state respondents. States may respond through resubmission, written response, or data notes. The second data quality review is conducted to ensure published data meet established data quality criteria. OESE, OSEP, and ED Facts hold conference calls with states to gain a better understanding of identified anomalies and provide technical assistance to empower states to submit higher-quality assessment data. Data quality reviews are conducted following each due date/resubmission date. Outstanding questions regarding accuracy may result in data suppression. Note that this metric is impacted by changes to state assessment systems. If states change assessments, performance levels, or cut scores, among others, it will invalidate the year-to-year analysis to identify states that showed improvements in the percentage of students proficient. Since statewide assessment systems have been in flux for the last few years, it makes it challenging to establish baselines and set targets. States sign a certification when submitting their CSPR. If questions remain upon completion of the Department’s data quality review process regarding whether the data submitted by a state are accurate, the Department may decide not to publish or use the data.

1.2-B. Percentage of states that show improvement across a three-year trend in the percentage of students in grades 3 through 8 scoring at or above proficient on state assessments in mathematics in the following subgroups: economically disadvantaged, children with disabilities, English learners, migrant, homeless, and major racial and ethnic groups.

Data Source:	The Department’s annual Assessment Data File that includes state-reported data pulled from EDFacts files C175, C178, C185, and C188.
Data Validation and Verification:	The Office of Elementary and Secondary Education (OESE), Office of Special Education Programs (OSEP), and EDFacts conduct a thorough, coordinated data quality review of the assessment data submitted by states. OSEP reviews this set of assessment data files to ensure compliance with <i>Individuals with Disabilities Education Act</i> Section 618, and OESE reviews this set of assessment data files for the <i>Consolidated State Performance Report (CSPR)</i> . Reviews focus on three areas: timeliness, completeness, and accuracy. OESE, OSEP, and EDFacts conduct two data quality reviews of states’ assessment data submissions. The first data quality review results in data quality inquiries, comments, and questions for state respondents. States may respond through resubmission, written response, or data notes. The second data quality review is conducted to ensure published data meet established data quality criteria. OESE, OSEP, and EDFacts hold conference calls with states to gain a better understanding of identified anomalies and provide technical assistance to empower states to submit higher-quality assessment data. Data quality reviews are conducted following each due date/resubmission date. Outstanding questions regarding accuracy may result in data suppression. Note that this metric is impacted by changes to state assessment systems. If states change assessments, performance levels, or cut scores, among others, it will invalidate the year-to-year analysis to identify states that showed improvements in the percentage of students proficient. Since statewide assessment systems have been in flux for the last few years, it makes it challenging to establish baselines and set targets. States sign a certification when submitting their CSPR. If questions remain upon completion of the Department’s data quality review process regarding whether the data submitted by a state are accurate, the Department may decide not to publish or use the data.

1.2-C. Percentage of states with 80 percent or more of preschoolers with disabilities that showed greater than expected growth in social-emotional skills by the time they exit *Individuals with Disabilities Education Act (IDEA) Part B, Section 619* services.

Data Source:	IDEA Part B state annual performance reports.
Data Validation and Verification:	The Office of Special Education Programs’ (OSEP’s) state leads review each state’s annual performance report for data quality. The Monitoring and State Improvement Planning Division Data Implementation Team and OSEP’s Early Childhood Technical Assistance Center, which has expertise in early childhood outcome measurement systems, review the full set of data for anomalies and other data quality concerns. The center publishes a brief on its data analysis methodology at http://ectacenter.org/eco/ . The number of states collecting high-quality data has increased over time as states continue to build their capacity to collect valid and reliable data. These efforts are supported by the Technical Assistance Center, which helps states build and improve their outcome measurement systems, collect and analyze data, and use data to make program improvements. States certify that the data they turn in to OSEP are accurate. The OSEP Director signs the determination letter for each state.

1.2-D. Percentage of students in the country who have Internet bandwidth at school of at least 100 kbps per student.

Data Source:	EducationSuperHighway.
Data Validation and Verification:	Verification and validation of data are managed by EducationSuperHighway and documented at https://s3-us-west-1.amazonaws.com/esh-sots-pdfs/methodology_2017_state_of_the_states.pdf . The process for checking for anomalous data is managed by EducationSuperHighway. The Office of Education Technology is responsible for certifying the data are accurate.

1.2-E. Percentage of rural schools connected to a broadband infrastructure capable of scaling to 10 gigabits per second.

Data Source:	EducationSuperHighway.
Data Validation and Verification:	Verification and validation of data are managed by EducationSuperHighway and documented at https://s3-us-west-1.amazonaws.com/esh-sots-pdfs/methodology_2017_state_of_the_states.pdf . The process for checking for anomalous data is managed by EducationSuperHighway. The Office of Education Technology is responsible for certifying the data are accurate.

1.2-F. Percentage of states publishing report cards on the preceding school year in a timely manner (i.e., by January 15th of the year following the reporting year).

Data Source:	<i>Consolidated State Performance Report (CSPR).</i>
Data Validation and Verification:	The <i>Every Student Succeeds Act</i> report card data metrics are new to states, beginning with report cards published in the 2018–2019 school year based on data from the 2017–2018 school year. Some states may be working through the programming necessary to report them and therefore may be delayed for the first couple of years of implementation in the release of their data. Office of Elementary and Secondary Education (OESE) staff are reviewing state educational agency websites to determine if the report cards have been published by January 15 with data from the previous school year. Going forward, states will include in the CSPR the link where the report cards are located. There is a formal, extensive process for the verification and validation of any information submitted through ED Facts/CSPR that occurs annually, beginning immediately following the submission due date in a series of review windows between December and May. Data are reviewed by staff. Due to the scope and complexity of the process, most data included in the CSPR are not considered final and available for use until May. However, since the review of the report cards' links will only involve navigating to the web locations and confirming that the current report cards are posted, OESE staff are able to use preliminary data, which are available earlier in the year, to produce this metric. Data will be reviewed by OESE prior to being submitted. Anomalous data will be checked and verified by OESE or other supporting offices.

1.2-G. Percentage of monitored states publicly reporting information on each indicator in the state's accountability system, including the list of schools identified for comprehensive or targeted support and improvement.

Data Source:	The Office of Elementary and Secondary Education's (OESE's) Office of School Support and Accountability monitors state compliance with Title I requirements, including the requirement to publish state and local report cards.
Data Validation and Verification:	Data are collected during Title I monitoring by OESE. Monitoring reports are reviewed internally by OESE staff and submitted to states as part of the monitoring process. Program officers doing the monitoring are trained for consistent and standard application of monitoring protocols. Anomalous data will be checked and verified by OESE or other supporting offices. OESE is responsible for monitoring the Title I program and follows the protocols necessary to ensure the data are accurate.

1.3-A. Number of discretionary grant notices with science, technology, engineering, and mathematics as a priority.

Data Source:	Program offices holding discretionary grant competitions each year, including the Office of Elementary and Secondary Education; the Office of Innovation and Improvement; the Office of Special Education and Rehabilitative Services; the Office of Postsecondary Education; the Office of Career, Technical, and Adult Education; the Institute of Education Sciences; and the Office of English Language Acquisition.
Data Validation and Verification:	Reports can be checked against the Notice Inviting Applications for each competition. Each program office listed in the data source is responsible for certifying the data are accurate.

1.3-B. Number of public high school students by graduating cohort who have taken at least one Advanced Placement science, technology, engineering, and mathematics exam while in high school.

Data Source:	College Board.
Data Validation and Verification:	College Board addresses all data quality issues and is responsible for certifying that all data are accurate.

1.3-C. Number of public high school students by graduating cohort who have taken at least one Advanced Placement science, technology, engineering, and mathematics exam while in high school and scored a 3 or better.

Data Source:	College Board.
Data Validation and Verification:	College Board addresses all data quality issues and is responsible for certifying that all data are accurate.

1.3-D. Number of adult education participants who achieved a measurable skill gain.

Data Source:	National Reporting System for Adult Education.
Data Validation and Verification:	Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance.

1.3-E. Number of adult education participants who obtained a secondary school diploma or its equivalent and are employed or enrolled in an education or training program within one year following exit.

Data Source:	National Reporting System for Adult Education.
Data Validation and Verification:	Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance.

1.3-F. Number of secondary career and technical education (CTE) concentrators who attained a secondary school diploma, a General Education Development credential, or another state-recognized equivalent.

Data Source:	State Consolidated Annual Reports for the Strengthening Career and Technical Education for the 21st Century Act (Perkins V).
Data Validation and Verification:	Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance.

1.3-G. Number of adult education participants enrolled in an integrated education and training program.

Data Source:	National Reporting System for Adult Education.
Data Validation and Verification:	Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance.

1.3-H. Number of adult education participants who advanced one educational functioning level in mathematics.

Data Source:	National Reporting System for Adult Education.
Data Validation and Verification:	Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance.

1.3-I. Percentage of secondary career and technical education (CTE) concentrators placed in employment, further training, or the military.

Data Source:	State Consolidated Annual Reports for the Strengthening Career and Technical Education for the 21st Century Act (Perkins V).
Data Validation and Verification:	Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance.

1.3-J. Number of secondary career and technical education concentrators enrolling in science, technology, engineering, and mathematics.

Data Source:	State Consolidated Annual Reports for the Strengthening Career and Technical Education for the 21st Century Act (Perkins V).
Data Validation and Verification:	Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance.

1.4-A. Number of technical assistance engagements, events or related activities, or products focused on grantees' use of evidence in prekindergarten through grade 12 education.

Data Source:	Department offices that deliver technical assistance.
Data Validation and Verification:	Program offices review activities and apply established qualification criteria. The Policy and Program Studies Service reviews submissions and follows up with offices to address any anomalous data. Each program office identifies the point of contact responsible for certifying accuracy of the data.



Strategic Goal 2: Expand postsecondary educational opportunities, improve outcomes to foster economic opportunity and promote an informed, thoughtful and productive citizenry.

2.1-A. Percentage of Office of Postsecondary Education grantees with large available balances.

Data Source:	The Department's Grants Management System (G5) grantee documentation.
Data Validation and Verification:	Staff conducted a programmatic and financial review of G5 and grantee documentation to determine the fourth quarter large available balances for higher education programs.

2.1-B. Percentage of Office of Postsecondary Education grantees with large available balances that received technical assistance resulting in "Resolved with Good Explanation."

Data Source:	The Department's Grants Management System (G5) grantee documentation.
Data Validation and Verification:	Staff conduct a programmatic and financial review of G5 and grantee documentation to determine the fourth quarter large available balances for higher education programs.

2.1-C. Percentage of annual statutory requirements for Office of Postsecondary Education (OPE) programs that are fulfilled by OPE.

Data Source:	The Department's Grants Management System.
Data Validation and Verification:	This information is not applicable, as this metric will not be measured. See appendix B for more information.

2.1-D. Percentage of first-time *Free Application for Federal Student Aid*® filers among high school seniors.

Data Source:	Federal Student Aid's (FSA's) Central Processing System.
Data Validation and Verification:	FSA operational systems have procedures in place to address potential data quality issues. The process for querying system data is consistent and disciplined. A separate data analyst from a different office within FSA validates the accuracy of the query and the resulting data and validates any anomalous data. Queries and calculations are simultaneously conducted on data from previous years by FSA's Business Intelligence Team to ensure technical definitions remain consistent. The Customer Analytics Group is responsible for the primary calculation of the metric as well as the technical validation of the metric, which is done by reviewing for accuracy the query used to pull the data and all calculations made with the data. Finally, the Financial Reporting and Analysis Branch is responsible for ensuring that documentation is complete and archived. These calculations also restrict the application period to the first nine months of the application cycle (through the close of the fiscal year) rather than the entire 18 months. Since most applicants, including high school seniors, file their <i>Free Application for Federal Student Aid</i> ® 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.

2.1-E. Persistence among first-time filing aid recipients.	
Data Source:	Federal Student Aid's Common Origination and Distribution System.
Data Validation and Verification:	Data results are ascertained through standardized system queries. These queries are used to rerun and match calculations for earlier cycles as part of the verification and validity assessment.

2.1-F. Percentage of Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) participants who obtain a secondary school diploma or its equivalent and, within one year, are enrolled in postsecondary education (new).	
Data Source:	GEAR UP annual performance reports.
Data Validation and Verification:	Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance.

2.2-A. Number of technical assistance events or activities and products focused on the use of evidence in federal programs that promote educational opportunities, training, and support services for the workforce.	
Data Source:	Department offices that deliver technical assistance.
Data Validation and Verification:	Criteria for and examples of technical assistance events/activities and products are provided to program office representatives. The criteria are flexible to accommodate different technical assistance offerings provided across the Department. The Policy and Program Studies Service reviews program offices' submission to address any anomalous data. The Department conducted level-setting meetings with staff charged with reporting from each program office to support the collection of standard and meaningful data. Contacts in each program office are responsible for certifying accuracy of the data.

2.2-B. Percentage of adult education program participants who were in unsubsidized employment during the second quarter after exiting the program.	
Data Source:	National Reporting System annual state reports.
Data Validation and Verification:	Data are verified through federal review of state data submissions that includes desk monitoring, on-site reviews, and technical assistance.

2.2-C. Percentage of Vocational Rehabilitation program participants who were in unsubsidized employment during the second quarter after exiting the program.

Data Source:	Rehabilitation Services Administration’s (RSA’s) <i>911 Vocational Rehabilitation Case Service Report</i> (RSA-911).
Data Validation and Verification:	Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance. In accordance with Section 506(b) of the <i>Workforce Innovation and Opportunity Act</i> (WIOA), the performance accountability system requirements of Section 116 of WIOA took effect on July 1, 2016. However, the Office of Special Education and Rehabilitative Services (OSERS) and RSA recognized that state vocational rehabilitation (VR) agencies may have difficulty implementing the new data requirements quickly enough to submit reports containing the new data elements for program year (PY) 2016. Therefore, the Department exercised its transition authority under Section 503 of WIOA to ensure the orderly transition from the requirements under the <i>Rehabilitation Act of 1973</i> , as amended by the <i>Workforce Investment Act of 1998</i> , to the requirements of WIOA. With the issuance of RSA-PD-16-04 on June 14, 2017, OSERS/RSA revised RSA-911 to begin collecting WIOA data for the VR program effective in PY 2017, which began July 1, 2017. Data related to the percentage of VR program participants who were in unsubsidized employment during the second quarter after exit for PY 2018 reflect those participants who exited the VR program in PY 2017.

2.2-D. Percentage of Vocational Rehabilitation program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, toward such a credential or employment.

Data Source:	Rehabilitation Services Administration’s (RSA’s) <i>911 Vocational Rehabilitation Case Service Report</i> (RSA-911).
Data Validation and Verification:	Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance. In accordance with Section 506(b) of the <i>Workforce Innovation and Opportunity Act</i> (WIOA), the performance accountability system requirements of Section 116 of WIOA took effect on July 1, 2016. However, the Office of Special Education and Rehabilitative Services (OSERS) and RSA recognized that state vocational rehabilitation (VR) agencies may have difficulty implementing the new data requirements quickly enough to submit reports containing the new data elements for program year (PY) 2016. Therefore, the Department exercised its transition authority under Section 503 of WIOA to ensure the orderly transition from the requirements under the <i>Rehabilitation Act of 1973</i> , as amended by the <i>Workforce Investment Act of 1998</i> , to the requirements of WIOA. With the issuance of RSA-PD-16-04 on June 14, 2017, OSERS/RSA revised RSA-911 to begin collecting WIOA data for the VR program effective in PY 2017, which began July 1, 2017. Data related to the percentage of VR program participants who were in unsubsidized employment during the second quarter after exit for PY 2018 reflect those participants who exited the VR program in PY 2017.

2.3-A. Number of technical assistance activities sponsored by the Department intended to expand or enhance the integration of workforce preparation activities within academic instruction in adult education classrooms.

Data Source:	Contractor quarterly progress reports.
Data Validation and Verification:	Office of Career, Technical, and Adult Education (OCTAE) staff vet all event materials prior to actual events. For virtual events, the contractor provides relevant analytics as supporting documentation. For face-to-face events, the contractor collects sign-in sheets and event evaluation forms. OCTAE staff review contractor documentation for anomalous or unclear submissions and follow up with the appropriate contractor(s). The Deputy Director of the Division of Adult Education and Literacy within OCTAE is responsible for certifying the data are accurate.

2.3-B. Percentage of postsecondary career and technical education concentrators who received an industry-recognized credential, certificate, or degree.

Data Source:	<i>State Consolidated Annual Reports</i> for the <i>Strengthening Career and Technical Education for the 21st Century Act</i> (Perkins V).
Data Validation and Verification:	Data are verified through federal review of state data submissions that includes desk monitoring, on-site reviews, and technical assistance.

2.3-C. Number of postsecondary science, technology, engineering, and mathematics degrees and certificates conferred (new).

Data Source:	The National Center for Education Statistics' (NCES) Integrated Postsecondary Education Data System (IPEDS) Completions component.
Data Validation and Verification:	NCES IPEDS undergo a rigorous and well-documented review process. More information on that process can be found at https://nces.ed.gov/ipeds .

2.4-A. Average speed to answer incoming calls to Federal Student Aid's call centers.

Data Source:	Federal servicers' quarterly reports.
Data Validation and Verification:	The verification and validation of performance by the nondefault federal student loan servicers will be conducted by Federal Student Aid (FSA) and will include (but not be limited to): (1) review and validation of federal servicer reports, (2) ongoing/recurring quality assurance discussion with federal servicers, (3) site visits to federal servicer call center sites, and (4) documented on-phone ("mystery caller") evaluations of services. Because the agency directive is succinct and builds on current contractor operational capabilities, FSA does not anticipate anomalous data or issues with implementation. However, in cases where verification and validation detect anomalies that suggest less-than-complete information, FSA will address any deficiencies through direct contact with federal servicers, requests for information, audits, site visits, and/or other assessment measures of performance, as applicable. FSA's Business Operations Officer, who oversees all of FSA's nondefault federal student loan servicers, is responsible for certifying the data are accurate.

2.4-B. Average abandon rate for incoming calls to Federal Student Aid’s call centers.

Data Source:	Federal servicers’ quarterly reports.
Data Validation and Verification:	The verification and validation of performance by the nondefault federal student loan servicers will be conducted by Federal Student Aid (FSA) and will include (but not be limited to): (1) review and validation of federal servicer reports, (2) ongoing/recurring quality assurance discussion with federal servicers, (3) site visits to federal servicer call center sites, and (4) documented on-phone (“mystery caller”) evaluations of services. Because the agency directive is succinct and builds on current contractor operational capabilities, FSA does not anticipate anomalous data or issues with implementation. However, in cases where verification and validation detect anomalies that suggest less-than-complete information, FSA will address any deficiencies through direct contact with federal servicers, requests for information, audits, site visits, and/or other assessment measures of performance, as applicable. FSA’s Business Operations Officer, who oversees all of FSA’s nondefault federal student loan servicers, is responsible for certifying the data are accurate.

2.4-C. American Customer Satisfaction Index (ACSI) Surveys.

Data Source:	ACSI.
Data Validation and Verification:	This metric is a direct reflection of the data collected through the ACSI Aid Life Cycle Survey. FSA monitors to ensure the system is secure and the query results are consistent.

2.4-D. Number of downloads of the myStudentAid mobile app.

Data Source:	Federal Student Aid’s (FSA’s) online platform analytics.
Data Validation and Verification:	This metric is a direct reflection of the data platform analytics. FSA monitors to ensure the system is secure and the query results are consistent.

2.4-E. Number of customers checking loan balances via the myStudentAid mobile app.

Data Source:	Federal Student Aid’s (FSA’s) online platform analytics.
Data Validation and Verification:	This metric is a direct reflection of the data platform analytics. FSA monitors to ensure the system is secure and the query results are consistent.

2.4-F. Number of customers submitting a *Free Application for Federal Student Aid*® via a mobile platform—the myStudentAid mobile app or fafsa.gov.

Data Source:	Federal Student Aid’s (FSA’s) online platform analytics.
Data Validation and Verification:	This metric is a direct reflection of the data platform analytics. FSA monitors to ensure the system is secure and the query results are consistent.

2.4-G. Number of visits (sessions) demonstrating adoption of the updated StudentAid.gov site.

Data Source:	Federal Student Aid’s (FSA’s) online platform analytics.
Data Validation and Verification:	This metric is a direct reflection of the data platform analytics. FSA monitors to ensure the system is secure and the query results are consistent.

2.4-H. Number of users of “Aidan,” the StudentAid.gov virtual assistant (new).

Data Source:	Federal Student Aid’s (FSA’s) online platform analytics.
Data Validation and Verification:	This metric is a direct reflection of the data platform analytics. FSA will monitor to ensure the system is secure and the query results are consistent.

2.5-A. Percentage of borrowers who are more than 30 days delinquent.

Data Source:	Federal Student Aid’s (FSA’s) data warehouse.
Data Validation and Verification:	Data are collected on a quarterly basis from FSA’s data warehouse. Verification and validation of the rate(s) of delinquency are conducted by FSA’s Office of Performance Management. FSA does not anticipate anomalous data or issues with interpretation; however, in cases where verification and validation detect anomalies that suggest less-than-complete information, FSA addresses any deficiencies through collaboration with subject-matter experts within the Office of Performance Management. No limitations, other than macro-economic situations (i.e., economic downturn), have been identified. FSA’s Deputy Chief Operating Officer is responsible for certifying the data are accurate.

2.5-B. Percentage of borrowers who are more than 90 days delinquent.

Data Source:	Federal Student Aid’s (FSA’s) data warehouse.
Data Validation and Verification:	Data are collected on a quarterly basis from FSA’s data warehouse. Verification and validation of the rate(s) of delinquency are conducted by FSA’s Office of Performance Management. FSA does not anticipate anomalous data or issues with interpretation; however, in cases where verification and validation detect anomalies that suggest less-than-complete information, FSA addresses any deficiencies through collaboration with subject-matter experts within the Office of Performance Management. No limitations, other than macro-economic situations (i.e., economic downturn), have been identified. FSA’s Deputy Chief Operating Officer is responsible for certifying the data are accurate.



Strategic Goal 3: Strengthen the quality, accessibility and use of education data through better management, increased privacy protections and transparency.

3.1-A. Number of data management activities for which Department-wide procedures or templates have been created and reviewed through the Data Strategy Team (DST).

Data Source:	Minutes from monthly DST meetings.
Data Validation and Verification:	Minutes from monthly DST meetings are submitted by the DST support contractor to the DST co-chairs for review and acceptance. Meetings occur every two weeks, providing both the DST support contractor and the DST co-chairs with an opportunity to review and finalize meeting documentation in a timely fashion and before subsequent DST monthly meetings are held. Data identified by the DST co-chairs as anomalous are discussed at one of the biweekly meetings between the co-chairs and the DST support contractor. Anomalous data are researched using the original meeting notes from the meeting in question and followed up with calls from the co-chairs to any points of contact whose approval or whose attendance at the monthly meeting were in question. The DST co-chairs are responsible for certifying the data are accurate.

3.1-B. Percentage of Department program offices participating in Data Strategy Team (DST)-offered data management training.

Data Source:	Minutes from monthly DST meetings.
Data Validation and Verification:	Minutes from monthly DST meetings are submitted by the DST support contractor to the DST co-chairs for review and acceptance. Meetings occur every two weeks, and the percentage of participating program offices is calculated. The DST co-chairs are responsible for certifying the data are accurate.

3.1-C. Percentage of principal offices assessed as having higher data maturity year-over-year on the Department's selected data maturity assessment tool (new).

Data Source:	Department's Annual Data Maturity Assessment.
Data Validation and Verification:	The Department's Annual Data Maturity Assessment is administered by the Data Governance Board (DGB) support contractor. Meeting minutes from the DGB meetings, held every two months or as needed, are developed by the DGB support contractor. Information presented in support of this metric will be reviewed and accepted by the DGB program management office. Interactions between the DGB support contractor and the DGB program management office occur regularly between DGB meetings, providing both the DGB support contractor and the DGB program management office with an opportunity to review and finalize documentation of the DGB meeting in a timely fashion and before a subsequent DGB meeting is held. Any data identified by the DGB program management office as anomalous are discussed by the DGB support contractor and program management office. Anomalous data are researched using the original meeting notes from the monthly meeting in question and followed up with calls from the DGB program management office and to any office points of contact whose data are in question. The DGB program management office is responsible for certifying the data are accurate.

3.2-A. Number of institutions of higher education (IHEs) that have an audit of *Gramm-Leach-Bliley Act* (GLBA)-related information security safeguards that result in no significant findings.

Data Source:	IHE-provided auditor reports.
Data Validation and Verification:	The data are verified and validated by Federal Student Aid’s (FSA’s) Senior Advisor for Cybersecurity in collaboration with the Department’s Chief Privacy Officer on at least a quarterly basis and compared to report data, FSA records, and ongoing compliance and investigations regarding data breaches. FSA’s Deputy Chief Operating Officer certifies that all data are accurate.

3.2-B. Number of outreach activities targeting data privacy and information technology security requirements of institutions of higher education.

Data Source:	Outreach activity records maintained by the Privacy Technical Assistance Center.
Data Validation and Verification:	The data are verified and validated by Federal Student Aid’s (FSA’s) Senior Advisor for Cybersecurity in collaboration with the Department’s Chief Privacy Officer on at least a quarterly basis and are compared to report data, FSA records, and ongoing compliance and investigations regarding data breaches. There are no identified nuances or limitations to the data. FSA’s Deputy Chief Operating Officer certifies that all data are accurate.

3.2-C. Percentage of local educational agency (LEA) websites from a statistically representative sample reviewed for inclusion of transparency best practices and compliance with legal requirements relating to third-party contracting.

Data Source:	Selected LEA public websites.
Data Validation and Verification:	The data are verified and validated by the Director of Student Privacy Policy on at least a quarterly basis. Anomalous data are noted in the comments field, and staff and contractors are questioned to ensure that district website reviews are accurate and complete. No limitations are anticipated. The Director of Student Privacy Policy is responsible for certifying the data are accurate.

3.3-A. Number of sessions dedicated to improved data use provided to external grantees and stakeholders presented by Department employees or their contractors or occurring at Department-hosted events.

Data Source:	Policy and Program Studies Services (PPSS) records collection.
Data Validation and Verification:	The sessions are tracked on a dashboard on PPSS’s SharePoint site. Program offices submitting the data are responsible for verifying their accuracy. The dashboard includes a statement that program offices submitting data must agree to ensure the accuracy of their information prior to entering it into the dashboard. The Office of Planning, Evaluation, and Policy Development (OPEPD) and PPSS investigate any anomalous data. Anomalous data are researched using the original data submitted and follow-up calls to the program office(s) are made when necessary. One limitation of the collection could be program offices not capturing all qualifying sessions in the dashboard. The Department’s multiple data-focused teams, such as the Data Strategy Team, ED Facts Data Governance Board, and InformED, continuously remind program offices to enter their data. OPEPD and PPSS are responsible for certifying the data are accurate to the best of their knowledge.

3.3-B. Number of newly added publicly available datasets in machine-readable formats.

Data Source:	The Department's public data listing.
Data Validation and Verification:	The Office of the Associate Commissioner for the Administrative Data Division within the National Center for Education Statistics (NCES) verifies that the data listing extracts match the inventory at the time of extraction. NCES and the Office of Planning, Evaluation, and Policy Development (OPEPD) and the Office of the Chief Data Officer (OCDO) jointly discuss and review any data identified as anomalous. Anomalous data are researched using the original metadata submitted and the extraction. Follow-up calls to the contact person listed for the dataset in question are made if necessary. The universe of the data used in this reporting does not currently reflect the full universe of data that are or could be made publicly available by the Department. There may also be access points to machine-readable data not listed in the public data listing; these gaps will continue to close as the listing becomes more complete. Additionally, there may be a time in the future when the public data listing is no longer the central access point for the Department's machine-readable data. If this happens, the Department may need to revise the data source, but the metric will otherwise remain the same. OPEPD's OCDO is responsible for certifying the data are accurate to the best of its knowledge.

3.3-C. Percentage of discretionary grant competitions that include the requirement to openly license to the public copyrightable grant deliverables created with Department grant funds.

Data Source:	Information collection packages.
Data Validation and Verification:	The Office of the Chief Data Officer's Strategic Collections Clearance Team is responsible for ensuring information is accurate based on information received through information collection packages. If in reviewing the packages, the Office of Education Technology (OET) has questions about any information included in the packages, OET will first ask the Chief Data Officer's Strategic Collections Clearance Team. If the team cannot find the answer, it will facilitate communications with the appropriate program office to find the answer. The numerator and denominator are clearly defined, as is the process for calculating a percentage; therefore, there are no limitations or nuances that need to be documented at this time. OET is responsible for certifying the data are accurate to the best of its knowledge.

3.3-D. Number of data assets listed in a comprehensive data inventory that are made available to the Federal Data Catalogue with official determinations regarding "open-by-default" requirements (new).

Data Source:	The Department's comprehensive data inventory.
Data Validation and Verification:	The Chief Data Officer is responsible for establishing the Department's comprehensive data inventory. The Department's newly created Office of the Chief Data Officer (OCDO) will establish an Open Data Platform that will meet the needs of the statutorily required comprehensive data inventory and be capable of tracking new and existing data assets. OCDO will be responsible for calculating these numbers and establishing an independent validation process.



Strategic Goal 4: Reform the effectiveness, efficiency and accountability of the Department.

4.1-A. Number of evaluations to identify potential Executive Order 13771 deregulatory actions that included opportunity for public input and/or peer review.

Data Source:	Department reports to the Office of Management and Budget.
Data Validation and Verification:	The Division of Regulatory Services monitors the data and verifies numbers. The Office of the General Counsel’s Assistant General Counsel for Regulatory Services verifies the data are accurate.

4.1-B. Number of Executive Order 13771 deregulatory actions recommended by the Regulatory Reform Task Force to the agency head consistent with applicable law.

Data Source:	Department records.
Data Validation and Verification:	The Division of Regulatory Services monitors the data and verifies numbers. The Office of the General Counsel’s Assistant General Counsel for Regulatory Services verifies the data are accurate.

4.1-C. Number of Executive Order 13771 deregulatory actions issued that address recommendations by the Regulatory Reform Task Force.

Data Source:	Federal Register and https://www.ed.gov/ .
Data Validation and Verification:	The Division of Regulatory Services monitors the data and verifies numbers. The Office of the General Counsel’s Assistant General Counsel for Regulatory Services verifies the data are accurate.

4.1-D. Number of Executive Order (EO) 13771 regulatory actions and, separately, EO 13771 deregulatory actions issued.

Data Source:	Federal Register and https://www.ed.gov/ .
Data Validation and Verification:	The Division of Regulatory Services monitors the data and verifies numbers. The Office of the General Counsel’s Assistant General Counsel for Regulatory Services verifies the data are accurate.

4.1-E. Total incremental cost of all Executive Order (EO) 13771 regulatory actions and EO 13771 deregulatory actions (including costs or cost savings carried over from previous fiscal years).

Data Source:	Department reports to the Office of Management and Budget.
Data Validation and Verification:	The Division of Regulatory Services and Budget Services monitors and verifies the data are accurate.

4.1-F. Number of deregulatory actions submitted to the Office of Management and Budget (OMB).

Data Source:	Reginfo.gov and emails between the Department and OMB.
Data Validation and Verification:	The Division of Regulatory Services monitors the data and verifies numbers. The Office of the General Counsel’s Assistant General Counsel for Regulatory Services verifies the data are accurate.

4.2-A. Improve maturity level of Enterprise Risk Management (ERM).

Data Source:	Office of Finance and Operations calculations.
Data Validation and Verification:	Progress is assessed against a maturity model that outlines the key indicators and activities that comprise sustainable and effective Enterprise Risk Management (ERM). The ERM model is comprised of five functional areas and 37 technical assessment guidelines. The Office of the Chief Financial Officer (OCFO) leverages the Senior Management Council to decide on the final list of indicators that comprise this metric. OCFO is responsible for certifying the data are accurate for the Department, except FSA.

4.3-A. Percentage of the Department's Information Technology (IT) security functions that improved at least one maturity level.

Data Source:	Annual (fiscal year) Office of Inspector General (OIG) <i>Federal Information Security Modernization Act of 2014 Reporting Metrics Audit Report</i> .
Data Validation and Verification:	As part of the annual audit process, OIG disseminates draft reports for the Department to review and comment on its findings, recommendations, and assessments of maturity. The Office of the Chief Information Officer (OCIO) leads coordination efforts across Department stakeholders and participates in review meetings with OIG to verify and validate the information contained in the OIG's report that provide the basis for its determination of the maturity levels. Each year, the Office of Management and Budget publishes new guidance on the <i>Federal Information Security Modernization Act of 2014</i> . OCIO reviews the new guidance and identifies areas that may impact how the Department's IT security program will be evaluated. OCIO leads coordination and communication efforts to ensure stakeholders and Department leadership understand the new guidance and any steps that need to be taken. OCIO is responsible for certifying the data are accurate.

4.4-A. Federal Employee Viewpoint Survey (FEVS) employee engagement index score.

Data Source:	Office of Personnel Management (OPM) FEVS.
Data Validation and Verification:	Data verification and validation processes are integrated into the OPM FEVS results validation process. Any questionable or anomalous FEVS results identified are brought to the attention of OPM. The Department then works with the OPM point of contact to obtain clarity or resolve the results. There are no known data limitations. OPM is responsible for certifying the data are accurate.

4.4-B. Percentage of positions with competencies identified.

Data Source:	The Department's Talent Management System.
Data Validation and Verification:	Data are processed and reviewed by Learning and Development Division (LDD) staff for accuracy. LDD staff monitor the progress of the assessments. The Office of Management, Office of Human Resources and LDD are responsible for certifying the data are accurate.

4.4-C. Percentage of supervisors and managers with a performance plan critical element related to employee engagement.

Data Source:	The Department's Talent Management System and USA Performance.
Data Validation and Verification:	To ensure quality control, verification processors self-check and cross check each other. The validation and affirmation of final numbers is performed by the principal office leadership through system report reconciliation. The Director of Workforce Relations Division is responsible for certifying the data are accurate.

Appendix B. Performance Metric Changes

Appendix B includes performance metrics that were added, removed, or changed in the Department’s Strategic Plan since the publication of the *FY 2018 Annual Performance Report and FY 2020 Annual Performance Plan*.



Strategic Goal 1: Support state and local efforts to improve learning outcomes for all P–12 students in every community.

Goal 1 FY 2019 Performance Metrics Removed or Changed and New Metrics Added for FY 2020

Metric 1.1-E Status: New	
Type of Change:	New metric added for fiscal year (FY) 2020 forward.
Current Title:	Number of open and operating public charter schools.
Justification:	The Department’s efforts in expanding charter school options are not limited to the direct funding streams aligned with the Charter Schools Program. These efforts will become part of a new Agency Priority Goal for FY 2020–2021.

Metric 1.1-F Status: New	
Type of Change:	New metric added for fiscal year (FY) 2020 forward.
Current Title:	Number of students enrolled in public charter schools.
Justification:	The Department’s efforts in expanding charter school options are not limited to the direct funding streams aligned with the Charter Schools Program. These efforts will become part of a new Agency Priority Goal for FY 2020–2021.

Metric 1.1-G Status: New	
Type of Change:	New metric added for fiscal year (FY) 2020 forward.
Current Title:	Number of students enrolled in public magnet schools.
Justification:	The Department’s efforts in expanding magnet school options are not limited to the direct funding streams aligned with the Magnet Schools Assistance Program. These efforts will become part of a new Agency Priority Goal for FY 2020–2021.

Metric 1.1-H Status: New

Type of Change:	New metric added for fiscal year (FY) 2020 forward.
Current Title:	Number of scholarships provided through means such as state-based vouchers, tax credit scholarships, and education savings account programs.
Justification:	The Department's efforts in expanding school choice options are not limited to public charter and magnet school options. These efforts will become part of a new Agency Priority Goal for FY 2020–2021.

Metric 1.1-I Status: New

Type of Change:	New metric added for fiscal year (FY) 2020 forward.
Current Title:	Number of parents receiving support and engagement on school choice options through technical assistance and other resources.
Justification:	The Department provides guidance to individual families to help them understand their school choice options. This guidance is one of the key touchpoints that the Department has with families and will become part of a new Agency Priority Goal for FY 2020–2021.

Metric 1.2-A Status: Changed

Type of Change:	Methodology changed to include states even if one or more subgroups are not publicly reported to mitigate disclosure concerns.
Current Title:	Percentage of states that show improvement across a three-year trend in the percentage of students in grades 3 through 8 scoring at or above proficient on state assessments in reading in the following subgroups: economically disadvantaged, children with disabilities, English learners, migrant, homeless, and major racial and ethnic groups.
Justification:	Earlier reporting excluded states where one or more subgroups was not sufficiently large enough to report. Reporting was restricted based on the number of students in the populational subgroup to protect individual students from being identified and classified. This resulted in several states being dropped from the analysis. The methodology has since changed such that any subgroup lacking the necessary population size for public reporting can be excluded without excluding the entire state from the analysis. This methodology change was applied to current and prior reporting.

Metric 1.2-B Status: Changed	
Type of Change:	Methodology changed to include states even if one or more subgroups are not publicly reported to mitigate disclosure concerns.
Current Title:	Percentage of states that show improvement across a three-year trend in the percentage of students in grades 3 through 8 scoring at or above proficient on state assessments in mathematics in the following subgroups: economically disadvantaged, children with disabilities, English learners, migrant, homeless, and major racial and ethnic groups.
Justification:	Earlier reporting excluded states where one or more subgroups was not sufficiently large enough to report. Reporting was restricted based on the number of students in the populational subgroup to protect individual students from being identified and classified. This resulted in several states being dropped from the analysis. The methodology has since changed such that any subgroup lacking the necessary population size for public reporting can be excluded without excluding the entire state from the analysis. This methodology change was applied to current and prior reporting.

Metric 1.3-I Status: Changed	
Type of Change:	Metric revised for fiscal year (FY) 2019 forward. (1) Measurement changed from number to percentage. (2) Data that are assessed are now more precisely defined (i.e., career and technical education concentrators who, in the second quarter after exiting from secondary education, are in postsecondary education, advanced training, or military service; volunteer as part of the <i>National and Community Service Act</i> service program or the Peace Corps; or are employed). (3) Baseline for this metric will begin in FY 2022.
Original Title:	Number of secondary career and technical education (CTE) concentrators placed in employment, further training, or the military.
Current Title:	Percentage of secondary career and technical education (CTE) concentrators placed in employment, further training, or the military.
Justification:	This metric was changed to closely align with the reporting requirements under the <i>Strengthening Career and Technical Education for the 21st Century Act</i> (Perkins V) meant to measure the effectiveness of the CTE programs administered.



Strategic Goal 2: Expand postsecondary educational opportunities, improve outcomes to foster economic opportunity and promote an informed, thoughtful and productive citizenry.

Goal 2 FY 2019 Performance Metrics Removed or Changed and New Metrics Added for FY 2020

Metric 2.1-A Status: Removed

Type of Change:	Removed for fiscal year (FY) 2020 forward.
Original Title:	Percentage of Office of Postsecondary Education (OPE) grantees with large available balances.
Justification:	The <i>Handbook for the Discretionary Grant Process</i> provides consistent policies, standards, and procedures for the Department’s discretionary grant programs. The handbook requires all program specialists to report quarterly on large available balances and assist grantees in resolving them. While this monitoring is an important grant management practice, the Department believes that other metrics more appropriately measure the extent to which its programs achieve their goals and, therefore, are better indicators of access to and completion of postsecondary education. The near-perfect performance realized for this indicator since FY 2018 also suggests that improvement in this area is limited.

Metric 2.1-B Status: Removed

Type of Change:	Removed for fiscal year (FY) 2020 forward.
Original Title:	Percentage of Office of Postsecondary (OPE) grantees with large available balances that received technical assistance resulting in “Resolved with Good Explanation.”
Justification:	The <i>Handbook for the Discretionary Grant Process</i> provides consistent policies, standards, and procedures for the Department’s discretionary grant programs. The handbook requires all program specialists to report quarterly on large available balances and assist grantees in resolving them. While this monitoring is an important grant management practice, the Department believes that other metrics more appropriately measure the extent to which its programs achieve their goals and, therefore, are better indicators of access to and completion of postsecondary education. The near-perfect performance realized for this indicator since FY 2018 also suggests that improvement in this area is limited.

Metric 2.1-C Status: Removed

Type of Change:	Removed for fiscal year (FY) 2020 forward.
Original Title:	Percentage of annual statutory requirements for Office of Postsecondary Education (OPE) programs that are fulfilled by OPE.
Justification:	In FY 2018, the Department developed a draft checklist of statutory requirements for its institution of higher education (IHE) programs. The draft checklist estimated that, across all 37 IHE programs, there are approximately 1,704 specific statutory requirements in effect for nearly 5,000 OPE active grants. The Department believes that conducting a review of statutory compliance, for purposes of assessing this metric's performance, would require considerable time and effort by staff with a high degree of programmatic expertise and pull them away from actual monitoring efforts. It would be cost prohibitive. In addition, there are currently other means by which OPE ensures that statutory requirements are met, including regular programmatic monitoring and technical assistance.

Metric 2.1-F Status: New

Type of Change:	New metric added for fiscal year 2020 forward.
Current Title:	Percentage of Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) participants who obtain a secondary school diploma or its equivalent and, within one year, are enrolled in postsecondary education.
Justification:	The Department's Strategic Goal 2 is to "expand postsecondary educational opportunities, improve outcomes to foster economic opportunity and promote an informed, thoughtful and productive citizenry." The GEAR UP program directly addresses this goal because it aims to increase the number of low-income students who are prepared to enter and succeed in postsecondary education. GEAR UP provides six-year grants to states and partnerships to provide services at high-poverty middle and high schools. GEAR UP grantees serve an entire cohort of students beginning no later than the seventh grade and follow the cohort through high school. GEAR UP funds are also used to provide college scholarships to low-income students. This metric will be designed to measure the degree to which GEAR UP achieves its goal.

Metric 2.3-C Status: New

Type of Change:	New metric added for fiscal year 2020 forward.
Current Title:	Number of postsecondary science, technology, engineering, and mathematics (STEM) degrees and certificates conferred.
Justification:	Increasing the number of degrees and certificates in STEM directly impacts skill gaps identified in the American economy. The Department is committed to ensuring that one of the aims of postsecondary education is in alignment with labor force needs.

Metric 2.4-H Status: New

Type of Change:	New metric added for fiscal year 2020 forward.
Current Title:	Number of users of “Aidan,” the StudentAid.gov virtual assistant.
Justification:	Federal Student Aid (FSA) is adding a virtual assistant, named “Aidan,” to the StudentAid.gov site. This tool will allow users to receive answers to their most common questions. Tracking the adoption of this tool allows FSA to understand the impact of this investment in artificial intelligence.

Metric 2.5-B Status: Changed

Type of Change:	Methodology changed to include all delinquent accounts.
Current Title:	Percentage of borrowers who are more than 90 days delinquent.
Justification:	The new calculation includes more categories of loans in the numerator than the previous calculation and fewer categories of loans in the denominator than the previous calculation. This results in a higher baseline. The previous methodology excluded borrowers who were more than 270 days delinquent. The new methodology calculates Direct Loan recipients who have loans that are delinquent for more than 90 days divided by Direct Loan recipients with loans in current repayment or delinquency. Both the numerator and the denominator now include all loan delinquencies that are greater than 90 days (including greater than 270 days) if the loan is still at a federal loan servicer. The fiscal year 2019 target was adjusted to reflect a 0.2 percentage point decrease from the previous year, like the target identified using the previous methodology. This methodology change was applied to current and prior reporting.



Strategic Goal 3: Strengthen the quality, accessibility and use of education data through better management, increased privacy protections and transparency.

Goal 3 FY 2019 Performance Metrics Removed or Changed and New Metrics Added for FY 2020

Metric 3.1-A Status: Removed

Type of Change:	Removed for fiscal year 2020 forward.
Current Title:	Number of data management activities for which Department-wide procedures or templates have been created and reviewed through the Data Strategy Team (DST).
Justification:	To better align with agency priorities, the Department will replace this metric with metric(s) more closely focused with actual implementation of sound data governance policies.

Metric 3.1-B Status: Removed

Type of Change:	Removed for fiscal year 2020 forward.
Current Title:	Number of Department program offices participating in Data Strategy Team (DST)-offered data management training.
Justification:	The Department's DST will continue to provide resources and strategies for data stewards and analysts, while the Data Governance Board (DGB) will ensure diversity of principal office participation and coordinate the maturation of the Department's data enterprise. DGB includes senior-level membership from every principal office.

Metric 3.1-C Status: New

Type of Change:	Added for fiscal year 2020 forward.
Current Title:	Percentage of principal offices assessed as having higher data maturity year-over-year based on the Department's data maturity assessment tool.
Justification:	The Department's Data Governance Board was established as required by OMB M-19-23 and in accordance with the <i>Foundations for Evidence-Based Policymaking Act of 2018</i> . This metric was added to track the Department's implementation of sound data governance policies, improve data lifecycle management, and increase capacity to support education data.

Metric 3.3-A Status: Removed

Type of Change:	Removed for fiscal year 2020 forward.
Current Title:	Number of sessions dedicated to improved data use provided to external grantees and stakeholders presented by Department employees or their contractors or occurring at Department-hosted events.
Justification:	The Department will continue to host events and provide technical guidance around the use of data but plans additional approaches to supporting improved data use by its external stakeholders.

Metric 3.3-B Status: Removed	
Type of Change:	Removed for fiscal year 2020 forward.
Current Title:	Number of newly added publicly available datasets in machine-readable formats.
Justification:	The Department seeks to improve data access to partners and stakeholders, both internally and externally, through a centralized data inventory and Open Data Platform. Efforts in the coming years will not track dissemination of data products but the growth in access provided through these critical platform developments.

Metric 3.3-C Status: Removed	
Type of Change:	Removed for fiscal year (FY) 2020 forward.
Current Title:	Percentage of discretionary grant competitions that include the requirement to openly license to the public copyrightable grant deliverables created with Department grant funds.
Justification:	Openly licensed data requirements have now been built into the Department’s grant templates. Reaching the 98 percent threshold in FY 2019 has shown the effects of these improvements, and analysis shows that the only exceptions were specific in ways where such a requirement was neither applicable nor achievable. In addition, the new <i>Foundations for Evidence-Based Policymaking Act of 2018</i> mandates this activity.

Metric 3.3-D Status: New	
Type of Change:	Added for fiscal year 2020.
Current Title:	Number of data assets listed in a comprehensive data inventory that are made available to the Federal Data Catalogue with official determinations regarding “open-by-default” requirements.
Justification:	The <i>Foundations for Evidence-Based Policymaking Act of 2018</i> was enacted in 2019, requiring each agency to establish a comprehensive data inventory. This metric was added to track the Department’s progress inventorying data assets as required by law.



Strategic Goal 4: Reform the effectiveness, efficiency and accountability of the Department.

Goal 4 FY 2019 Performance Metrics Removed or Changed and New Metrics Added for FY 2020

Metric 4.4-B Status: Removed	
Type of Change:	Removed for FY 2019 forward.
Original Title:	Percentage of positions with competencies identified.
Justification:	This initiative was completed in FY 2018. The Department followed up this effort by evaluating staff skill sets against these competencies in FY 2019. Although this serves as the foundation for the long-term efforts aimed at closing skill gaps, future performance is not aligned with this specific measure.

Appendix C. Programs by Goal



Strategic Goal 1: Support state and local efforts to improve learning outcomes for all P-12 students in every community.

Goal 1 Other Discretionary Programs and Activities

POC	ACCT	Objective #	Program
IES	IES	1.4, 2.2	Regional Educational Laboratories
IES	IES	1.2, 2.2	Special Education Studies and Evaluations
OESE	ED	1.2, 1.3, 1.4	Title I Grants to Local Educational Agencies
OESE	ED	1.2, 1.4	Comprehensive Literacy Development Grants
OESE	ED	1.2	State Agency Programs: Migrant
OESE	ED	1.2	State Agency Programs: Neglected and Delinquent
OESE	ED	1.2, 2.1	Special Programs for Migrant Students
OESE	IA	1.2	Impact Aid, Payments for Federally Connected Children: Basic Support Payments
OESE	IA	1.2	Impact Aid, Payments for Federally Connected Children: Payments for Children with Disabilities
OESE	IA	1.2	Impact Aid, Facilities Maintenance
OESE	IA	1.2	Impact Aid, Construction
OESE	IA	1.2	Impact Aid, Payments for Federal Property
OESE	IE	1.2	Indian Education: Grants to Local Educational Agencies
OESE	IE	1.2	Indian Education: Special Programs for Indian Children
OESE	IE	1.2	Indian Education: National Activities
OESE	IESE	1.1, 1.2, 1.3, 1.4	Elementary and Secondary Education for the Disadvantaged Block Grant (proposed legislation)
OESE	I&I	1.3, 1.4	Education Innovation and Research
OESE	I&I	1.2, 1.4	Teacher and School Leader Incentive Grants
OESE	I&I	1.1, 1.2	Charter Schools Grants
OESE	I&I	1.1, 1.2	Magnet Schools Assistance
OESE	I&I	1.2, 1.4	Innovative Approaches to Literacy
OESE	I&I	1.2	Full-Service Community Schools
OESE	I&I	1.2	American History and Civics Education
OESE	I&I	1.2, 2.3	Teacher Quality Partnership
OESE	I&I	1.2, 1.4	Supporting Effective Educator Development
OESE	I&I	1.2	Ready to Learn Programming
OESE	I&I	1.2	Arts in Education
OESE	I&I	1.2	Javits Gifted and Talented Education
OESE	I&I	1.2, 1.4	Statewide Family Engagement Centers

POC	ACCT	Objective #	Program
OESE	SIP	1.2, 1.4	State Assessments
OESE	SIP	1.2, 1.4	Supporting Effective Instruction State Grants
OESE	SIP	1.2, 1.4	21st Century Community Learning Centers
OESE	SIP	1.2	Education for Homeless Children and Youth Education
OESE	SIP	1.2	Native Hawaiian Education
OESE	SIP	1.2	Alaska Native Education
OESE	SIP	1.2	Training and Advisory Services
OESE	SIP	1.2	Rural Education
OESE	SIP	1.2	Supplemental Education Grants
OESE	SIP	1.2	Comprehensive Centers
OESE	SIP	1.2	Student Support and Academic Enrichment Grants
OESE	SSCE	1.2	School Safety National Activities
OESE	SSCE	1.2	Promise Neighborhoods
OESE/OELA	ELA	1.2	English Language Acquisition
OSERS	SE	1.1, 1.2, 1.4	Special Education Grants to States
OSERS	SE	1.1, 1.2	Preschool Grants
OSERS	SE	1.1	Grants for Infants and Families
OSERS	SE	1.1, 1.2, 1.4	Technical Assistance and Dissemination
OSERS	SE	1	Parent Information Centers
OSERS	SE	1.3	Education Technology, Media, and Materials
OSERS	SE	1.2	Special Olympics Education Programs
OCTAE	CTAE	1.3, 2.1	Adult Basic and Literacy Education State Grants
OCTAE	CTAE	1.3, 2.1	Adult Education National Leadership Activities

Acronyms and Definitions:

POC = Principal Operating Component; ACCT = Account; IES = Institute of Education Sciences; OESE = Office of Elementary and Secondary Education; ED = U.S. Department of Education; IA = Impact Aid; IESE = Improving Elementary and Secondary Education; I&I = Innovation and Improvement; SIP = Strengthening Institutions Program; SSCE = Safe Schools and Citizenship Education; OELA = Office of English Language Acquisition; ELA = English Language Acquisition; OSERS = Office of Special Education and Rehabilitative Services; SE = Special Education; OCTAE = Office of Career, Technical, and Adult Education; and CTAE = Career, Technical and Adult Education.

Mandatory Programs Supporting Goal 1

No additional programs.



Strategic Goal 2: Expand postsecondary educational opportunities, improve outcomes to foster economic opportunity and promote an informed, thoughtful and productive citizenry.

Goal 2 Other Discretionary Programs and Activities

POC	ACCT	Objective #	Program
FSA	DM/SAA	N/A	Student Aid Administration: Salaries and Expenses
FSA	DM/SAA	N/A	Student Aid Administration: Servicing Activities
FSA	SFA	2.1, 2.3	Federal Pell Grants: Discretionary
FSA	SFA	2.1, 2.3	Federal Supplemental Educational Opportunity Grants
FSA	SFA	2.1, 2.3	Federal Work-Study
IES	IES	1.4, 2.2	Regional Educational Laboratories
IES	IES	1.2, 2.2	Special Education Studies and Evaluations
OCTAE	CTAE	2.1, 2.3	Career and Technical Education State Grants
OCTAE	CTAE	2.1, 2.4	Career and Technical National Programs
OCTAE	CTAE	1.3, 2.1	Adult Basic and Literacy Education State Grants
OCTAE	CTAE	1.3, 2.1	Adult Education National Leadership Activities
OCATE	HE	2.1	Tribally Controlled Postsecondary Career and Technical Institutions
OESE	ED	1.2, 2.1	Special Programs for Migrant Students
OESE	I&I	1.2, 2.3	Teacher Quality Partnership
OPE	HE	2.1	Strengthening HBCUs
OPE	HE	2.1, 2.2, 2.3	Federal TRIO Programs
OPE	HE	2.1, 2.2	Aid for Institutional Development: Strengthening Institutions
OPE	HE	2.1	Aid for Institutional Development: Strengthening Tribally Controlled Colleges and Universities
OPE	HE	2.1	Strengthening Alaska Native and Native Hawaiian-Serving Institutions
OPE	HE	2.1	Strengthening Historically Black Graduate Institutions
OPE	HE	2.1	Strengthening HBCUs Master's Program
OPE	HE	2.1	Strengthening Predominately Black Institutions
OPE	HE	2.1	Strengthening Asian American- and Native American Pacific Islander-Serving institutions
OPE	HE	2.1	Strengthening Native American-Serving Nontribal Institutions
OPE	HE	2.2, 2.3	Minority Science and Engineering Improvement
OPE	HE	2.1	Aid for Hispanic-Serving Institutions: Developing Hispanic-Serving Institutions
OPE	HE	2.1	Aid for Hispanic-Serving Institutions: Promoting Post-baccalaureate Opportunities for Hispanic Americans
OPE	HE	2.1, 2.2	Consolidated MSI Grant (proposed legislation): Consolidated MSI Grant

POC	ACCT	Objective #	Program
OPE	HE	2.1	International Education and Foreign Language Studies: Domestic Programs
OPE	HE	2.1	International Education and Foreign Language Studies: Overseas Programs
OPE	HE	2.1	Model Transition Programs for Students with Intellectual Disabilities into Higher Education
OPE	HE	2.1, 2.2, 2.4	Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP)
OPE	HE	2.3	Graduate Assistance in Areas of National Need
OPE	HE	2.1	Childcare Access Means Parents in School
OPE	HE	2.1, 2.3	Fund for the Improvement of Postsecondary Education (FIPSE)
OPE	HE	2.1	Howard University: General Support
OPE	HE	2.1	Howard University Hospital
OPE	HE	N/A	College Housing and Academic Facilities Loans Program Account: Federal Administration
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		Historically Black College and University Capital Financing Program Account: Modification of Existing Loan Subsidies
OSERS	APBH	2.1, 2.3	American Printing House for the Blind
OSERS	GU	2.1, 2.3	Gallaudet University
OSERS	NTID	2.1, 2.2	National Technical Institute for the Deaf
OSERS	REHAB	2.1	Client Assistance State Grants
OSERS	REHAB	2.1, 2.2	VR Training
OSERS	REHAB	2.1, 2.2	Demonstration and Training Programs
OSERS	REHAB	2.1	Protection and Advocacy of Individual Rights
OSERS	REHAB	2.1, 2.3	Supported Employment State Grants
OSERS	REHAB	2.2	Independent Living Services for Older, Blind Individuals
OSERS	REHAB	2.2	Helen Keller National Center for Deaf-Blind Youths and Adults
OSERS	SE	2	State Personnel Development
OSERS	SE	2	Personnel Preparation

Acronyms and Definitions:

POC = Principal Operating Component; ACCT = Account; FSA = Office of Federal Student Aid; DM = Departmental Management; SAA = Student Aid Administration; N/A = Not Applicable; SFA = Student Financial Assistance; IES = Institute of Education Sciences; OCTAE = Office of Career, Technical, and Adult Education; CTAE = Career, Technical, and Adult Education; HE = Higher Education; OESE = Office of Elementary and Secondary Education; ED = U.S. Department of Education; I&I = Innovation and Improvement; OPE = Office of Postsecondary Education; HBCU = Historically Black College and University; MSI = Minority-Serving Institution; OSERS = Office of Special Education and Rehabilitative Services; APBH = American Printing House for the Blind; GU = Gallaudet University; NTID = National Technical Institute for the Deaf; REHAB = Rehabilitation Services and Disability Research; VR = Vocational Rehabilitation; and SE = Special Education.

Mandatory Programs Supporting Goal 2

POC	ACCT	Objective #	Program
FSA	FDSL	2.1, 2.3	Federal Direct Student Loans Program Account: New Loan Subsidies
FSA	FDSL	2.1, 2.3	Federal Direct Student Loans Program Account: New Net Loan Subsidy (non-add)
FSA	FDSL	2.1, 2.3	Federal Direct Student Loans Program Account: Upward Reestimate of Existing Loans
FSA	FDSL	2.1, 2.3	Federal Direct Student Loans Program Account: Downward Reestimate of Existing Loans (non-add)
FSA	FDSL	2.1, 2.3	Federal Direct Student Loans Program Account: Net Reestimate of Existing Loans (non-add)
FSA	FDSL	2.1, 2.3	Federal Direct Student Loans Program Account: Upward Modification of Existing Loans
FSA	FFEL	2.1	Federal Family Education Loans Program Account: Upward Reestimate of Existing Loans
FSA	FFEL	2.1	Federal Family Education Loans Program Account: Downward Reestimate of Existing Loans (non-add)
FSA	FFEL	2.1	Federal Family Education Loans Program Account: Net Reestimate of Existing Loans (non-add)
FSA	FFEL	2.1	Federal Family Education Loans Program Account: Upward Modification of Existing Loans
FSA	FFEL	2.1	Federal Family Education Loans Program Account: Downward Modification of Existing Loans (non-add)
FSA	FFEL	2.1	Federal Family Education Loans Program Account: Net Modification of Existing Loans (non-add)
FSA	FFEL	2.1	Federal Family Education Loans Liquidating Account: Pre-1992 Student Loans
FSA	HEAL	2.1	Health Education Assistance Loans Liquidating Account
FSA	TEACH	2.1, 2.3	TEACH Grants: New Loan Subsidy
FSA	TEACH	2.1, 2.3	TEACH Grants: Upward Reestimate of Existing Loans
FSA	TEACH	2.1, 2.3	TEACH Grants: Downward Reestimate of Existing Loans (non-add)
FSA	TEACH	2.1, 2.3	TEACH Grants: Net Reestimate of Existing Loans (non-add)
FSA	SFA	2.1, 2.3	Federal Pell Grants: Mandatory
FSA	SFA	2.1, 2.3	Federal Pell Grants: Mandatory Funding for Discretionary Program Costs
FSA	SFA	2.1, 2.3	Iraq and Afghanistan Service Grants
OPE	HE	2.1	Aid for Institutional Development: Mandatory Strengthening Tribally Controlled Colleges and Universities
OPE	HE	2.1	Mandatory Strengthening Alaska Native and Native Hawaiian-Serving Institutions
OPE	HE	2.1	Mandatory Strengthening HBCUs
OPE	HE	2.1	Mandatory Strengthening Predominantly Black Institutions

POC	ACCT	Objective #	Program
OPE	HE	2.1	Mandatory Strengthening Asian American- and Native American Pacific Islander-Serving Institutions
OPE	HE	2.1	Mandatory Strengthening Native American-Serving Nontribal Institutions
OPE	HE	2.1, 2.2	Aid for Hispanic-Serving Institutions: Mandatory Developing HSI STEM and Articulation Programs
OPE	HE	2.1, 2.2	Consolidated MSI Grant (proposed legislation): Mandatory Consolidated MSI Grant
OPE	HE	N/A	College Housing and Academic Facilities Loans Program Account: Reestimate of Existing Loan Subsidies
OPE	HE	N/A	College Housing and Academic Facilities Loans Liquidating Account
OPE	HE	N/A	Historically Black College and University Capital Financing Program Account: Reestimate of Existing Loan Subsidies
OPE	HE	N/A	Higher Education Facilities Loans Liquidating Account
OPE	HE	N/A	College Housing Loans Liquidating Account
OSERS	REHAB	2.1, 2.2, 2.3	Vocational Rehabilitation, State Grants
OSERS	REHAB	2.1	Vocational Rehabilitation, Grants to Indians
SFA		2.1	Perkins Loan Repayments
SFA		N/A	FDSL Downward Reestimate of Loan Subsidies
SFA		N/A	FFEL Downward Reestimate of Loan Subsidies
SFA		N/A	FDSL Downward Modification/Negative Loan Subsidies
SFA		N/A	HBCU Capital Financing Downward Reestimate of Loan Subsidies
SFA		N/A	FFEL Downward Modification/Negative Loan Subsidies
SFA		N/A	HEAL Downward Reestimate of Loan Subsidies
SFA		N/A	TEACH Downward Reestimate of Loan Subsidies
SFA		N/A	Student Financial Assistance Debt Collection

Acronyms and Definitions:

POC = Principal Operating Component; ACCT = Account; FSA = Federal Student Aid; FDSL = Federal Direct Student Loan; FFEL = Federal Family Education Loan; HEAL = Health Education Assistance Loan; TEACH = Teacher Education Assistance for College and Higher Education; SFA = Student Financial Assistance; OPE = Office of Postsecondary Education; HE = Higher Education; HBCU = Historically Black College and University; HSI STEM = Hispanic Serving Institution Science, Technology, Engineering, and Mathematics Articulation Program; MSI = Minority-Serving Institution; N/A = Not Applicable; OSERS = Office of Special Education and Rehabilitative Services; and REHAB = Rehabilitation Services and Disability Research.



Strategic Goal 3: Strengthen the quality, accessibility, and use of education data through better management, increased privacy protections and transparency.

Goal 3 Other Discretionary Programs and Activities

POC	ACCT	Objective #	Program
IES	IES	3.3	Research, Development, and Dissemination
IES	IES	3.1, 3.2, 3.3	Statistics
IES	IES	3.1, 3.2, 3.3	National Assessment
IES	IES	3.1, 3.2, 3.3	National Assessment Governing Board
IES	IES	3.3	Research in Special Education
IES	IES	3.1, 3.2, 3.3	Statewide Longitudinal Data Systems

Acronyms and Definitions:

POC = Principal Operating Component; ACCT = Account; and IES = Institute of Education Sciences.

Mandatory Programs Supporting Goal 3

No additional programs.



Strategic Goal 4: Reform the effectiveness, efficiency and accountability of the Department.

Goal 4 Other Discretionary Programs and Activities

POC	ACCT	Objective #	Program
ALL	DM/PA	N/A	Program Administration: Salaries and Expenses
ALL	DM/PA	N/A	Program Administration: Building Modernization
OCR	OCR	N/A	Office for Civil Rights
OIG	OIG	N/A	Office of Inspector General

Acronyms and Definitions:

POC = Principal Operating Component; ACCT = Account; ALL = All; DM/PA = Departmental Management/Program Administration; N/A = Not Applicable; OCR = Office for Civil Rights; and OIG = Office of Inspector General.

Mandatory Programs Supporting Goal 4

No additional programs.

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Appendix D. Summary of Performance Evaluations Completed During FY 2019 and Expected During FY 2020 and FY 2021

Appendix D provides a summary of performance evaluations completed during fiscal year (FY) 2019 and those expected during FY 2020 and FY 2021.

Evaluations Completed in FY 2019

National Center for Education Evaluation and Regional Assistance

Early Learning

Race to the Top–Early Learning Challenge: Descriptive Study of Tiered Quality Rating and Improvement Systems in Nine Round 1 States

Study Purpose

The Race to the Top–Early Learning Challenge Program (RTT-ELC) aimed to improve early learning and development programs so children enter kindergarten ready to succeed. The program awarded \$1 billion in four-year grants to 20 states in three rounds between 2011 and 2013. The program promoted reform in five key areas: (1) state systems, (2) high-quality accountable programs, (3) early learning and development outcomes for children, (4) workforce, and (5) measurement. The second area focused on the design and implementation of the Tiered Quality Rating Improvement System (TQRIS) that provides parents and other stakeholders with information on the quality of early-learning programs. To better understand TQRIS that RTT-ELC grantees developed, this descriptive study examined the structure and characteristics of grantee states' TQRIS, analyzed state administrative data to examine patterns in the participation and distribution of programs in TQRIS, and synthesized findings from grantee states with completed TQRIS validation studies. This study focused on the nine Round 1 states, which received more than \$500 million in 2011.

Key Questions Addressed

- How was TQRIS structured and implemented in the nine Round 1 RTT-ELC states?
- How were TQRIS ratings defined, collected, and generated in the nine Round 1 RTT-ELC states?
- What were the patterns in TQRIS participation, the distribution of programs and children across the rating levels, and the movement of programs and children across the rating levels since 2011?
- How do TQRIS characteristics (including structure, policies, and practices) relate to program movement up the rating levels and achievement of the highest rating level?
- What have completed RTT-ELC state validation studies found about the relationship between TQRIS tiers and program quality as well as the relationship between children's development and TQRIS ratings?

Design

This descriptive study collected various data from the nine Round 1 RTT-ELC grantee states. In fall 2014, 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 and how these are combined to generate overall ratings. In fall 2014 through winter 2015, the study also conducted interviews with state administrators to confirm and clarify the information obtained from documents and gather information that could not be obtained from the document reviews.

To address the third and fourth research questions, the study collected administrative data from the Round 1 RTT-ELC grantee states. To address the last question, the study conducted a systematic review of nine completed RTT-ELC grantee state validation studies available in 2017.

Actual Completion Date

A report addressing the first two questions was released in November 2017. Three additional publications addressing the remaining questions were released in April 2019.

Key Findings

- There were substantial differences in the ways that states structured, implemented, promoted participation in, rated, and monitored early-learning programs in their rating systems.
- While most states increased the percentage of programs rated at top TQRIS levels, which is a goal of RTT-ELC, 68 percent of programs remained at the same rating level during the study period. None of the states in the study could provide data needed to assess whether the number of high-needs children enrolled in top-rated TQRIS programs increased—another RTT-ELC goal.

- States that implemented TQRIS longer and whose rating structures allowed more flexibility for early-learning programs to demonstrate quality had a higher percentage of programs at the top rating levels.
- State reports found that programs with higher TQRIS ratings also had higher scores on independent measures of quality. However, children attending programs with higher TQRIS ratings generally did not have better developmental outcomes than those attending programs with lower TQRIS ratings.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/other_rtt.asp

School Choice

Evaluation of the DC Opportunity Scholarship Program: Impacts Three Years After Students Applied

Study Purpose

The April 2011 *Scholarships and Opportunities for Results Act* provided a five-year continuation of a school choice program for low-income residents in Washington, D.C. The Opportunity Scholarship Program (OSP) provides annual scholarships of about \$8,000 (for kindergarten through grade 8) or \$12,000 (for grades 9 through 12) to enable low-income students to attend Washington, D.C., private schools in lieu of the public schools already available to them. The law also mandated a second independent, rigorous evaluation of the effectiveness of the program following one completed in 2011.

Key Questions Addressed

- What was the impact of 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 did the program have on student and parent perceptions of school safety and satisfaction and on parents' involvement in the education of their children?

Design

The evaluation compared outcomes of approximately 1,800 student applicants randomly assigned by lottery to either receive 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 were collected for three follow-up years for each of the cohorts and for students in both the scholarship and non-scholarship groups. The contractor administered academic assessments and conducted student, parent, and principal surveys each spring (spring 2013–2017).

Actual Completion Date

The final impact report was released in spring 2019.

Key Findings

- OSP had no effect on student achievement after three years. In the first two years after applying to OSP, students offered and students using scholarships performed worse in mathematics than those not offered scholarships. Between years two and three, growth in mathematics scores slowed for students not offered scholarships and increased for those offered and using scholarships. As a result, the groups performed similarly by year three. After three years, students offered and students using scholarships also had lower rates of chronic absenteeism (22 and 20 percent, respectively) than did students not offered scholarships (29 percent).
- OSP improved student (but not parent) satisfaction with schools as well as perceptions of school safety. Students offered and students using scholarships were more likely to give their school a grade of A or B and to report that their school was “very safe” three years after they applied to the program. However, parents of students offered or students using scholarships reported similar school satisfaction and perceptions of school safety as parents of students not offered scholarships.
- OSP did not have an impact on parent involvement in education at school or at home.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/choice_soar.asp

Do Charter Middle Schools Improve Students’ College Outcomes?

Study Purpose

The charter school sector plays an important role in efforts to reform the education system and better serve the nation’s public school students. To help understand this role, more than a decade ago, the National Evaluation of Charter Middle Schools examined how admission to about 30 charter middle schools affected students’ achievement. On average, there were no significant effects. However, some charter middle schools in the study were successful in improving achievement, including those in urban areas and serving economically disadvantaged students—features of many charter schools today. This follow-up study examined whether the charter middle schools included in the national evaluation affected students’ college enrollment and completion and the relationship between each school’s earlier achievement results and these important longer-term outcomes.

Key Questions Addressed

- Does admission to a charter middle school affect students’ college enrollment and completion?
- Is charter middle schools’ success in improving students’ middle school achievement related to their success in improving students’ college enrollment and completion?

Design

College data were obtained for almost all 2,900 students who applied to be admitted by lottery in 2004 or 2005 to one of the 36 middle schools that participated in the original

study. The follow-up study compared the college enrollment and completion of lottery winners and those who did not win the lottery to determine the impact of being admitted to a charter middle school. College outcomes came from the National Student Clearinghouse, and data on student and school characteristics and student middle school mathematics and reading test scores came from the original evaluation.

Actual Completion Date

An evaluation brief was released in April 2019.

Key Findings

- Being admitted to a charter middle school in the study did not affect students' chances of enrolling in or completing college.
- Individual charter middle schools' success in improving students' middle school achievement was not related to their success in improving students' college enrollment and completion.

Link to Additional Information

<https://ies.ed.gov/ncee/pubs/20194005/index.asp>

Parent Information and School Choice Evaluation

Study Purpose

School choice is among the most visible kindergarten through grade 12 education policy trends to emerge over the last few decades. For this policy to be effective, it seems critical that parents are able to understand and use 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.

Key Questions Addressed

- Which formats make school choice information displays easiest to understand and use? For example, is it better to show school performance data with numbers, graphs, or icons?
- How does the amount of information displayed affect understanding and use?
- How should school choice information displays be organized?

Design

A low-cost, quick turn-around experiment was carried out online with about 3,500 low-income parents of school-aged children. Parents were randomly assigned to view 1 of 72 versions of a school choice information display and then answered survey questions about their understanding of the information, ability to use the information, and which schools they would select based on the information they were provided. Responses to

these survey questions were compared across the strategies tested to determine which ones were the most promising.

Estimated Completion Date

A short user-friendly guide based on the evaluation's findings was released in October 2018.

Key Findings

- Parents were most satisfied with school data showing graphs in addition to numbers, but displays using numbers only were most understandable. Research outside of education indicates that graphs and icons, such as color-coded letter grades, can help people organize and interpret information. The study found that parents preferred school information displays that included graphs but better understood the information without these additional visual representations.
- A higher amount of information was more satisfying to parents with one exception: parents were more satisfied with displays showing multiple indicators to describe schools' distance from home, academics, safety, and resources than they were with displays showing just one indicator for each. Likewise, displays that added ratings from parent surveys were more satisfying. However, more information was not always better. For example, displays that added district averages (i.e., meant to provide context for each school's profile) were actually less preferred.
- Parents chose higher-performing schools when schools were ordered by academic quality but were most satisfied with displays that ordered schools by distance from home. The study compared displays that ordered schools from closest to farthest from home to those that ordered schools from highest to lowest academic quality. Parents both best understood and preferred schools ordered by distance from home. But when displays were ordered by academic quality, parents chose schools with higher academic quality.

Link to Additional Information

http://ies.ed.gov/ncee/projects/evaluation/choice_parent.asp

Educator Effectiveness

Study of Teacher Preparation Experiences and Early Teaching Effectiveness

Study Purpose

Title II, Part A, the Supporting Effective Instruction Formula Grants program, is the primary federal funding under the *Elementary and Secondary Education Act* (ESEA) to improve teacher quality. Research has shown that, on average, novice teachers are less effective in improving student achievement than their more experienced peers. This is particularly an issue given that new teachers tend to be concentrated in high-poverty schools with lower-performing students.

To better understand teacher preparation and inform ways to improve it, this study surveyed new elementary school teachers about their preparation experiences. It also examined whether the experiences that novice teachers have in their certification programs are associated with teachers' effectiveness in the classroom.

Key Question Addressed

- To what extent did teachers report participating in various preparation experiences?
- Among novice teachers, what are the relationships between the teachers' experiences in their preparation programs and the achievement of students in their classroom?

Design

Approximately 3,300 novice elementary school teachers participated in this descriptive study. They were surveyed once, in spring 2015. The survey asked teachers about their experiences learning specific teaching strategies across two categories of classroom instruction: “creating a productive learning environment” and “promoting analytic thinking skills.” For each strategy, teachers reported how often within their preparation they engaged in four different ways of learning them: (1) coursework, (2) observation of other teachers, (3) practice within a classroom setting, and (4) instructor feedback on their classroom practice. The study describes the frequency of these experiences and which experiences may matter for teachers' effectiveness in improving student test scores.

Actual Completion Date

The report was released in September 2019.

Key Findings

- Of the four ways of learning—coursework, observation, practice, and feedback—teachers' preparation most frequently included coursework and least frequently included receiving feedback.
- Practice in “creating a productive learning environment” was the only way of learning related to teaching effectiveness in English/language arts and mathematics. More frequent observation of others and feedback from program staff or their cooperating teacher was also related to improved teaching effectiveness but only in English/language arts. The frequency of coursework on “creating a productive learning environment” was not related to how effective teachers were in either subject once they got to the classroom, despite coursework being the most common learning opportunity teachers experienced.
- Having more preparation experience with “promoting analytic thinking skills”—through any of the four learning opportunities—was unrelated to teacher effectiveness. It would be premature to conclude that experiences focused on these teaching strategies are not important components of effective preparation; however, it does suggest that more investigation into the nature of these strategies is needed to guide improvements in preparation.

Link to Additional Information

http://ies.ed.gov/ncee/projects/evaluation/tq_teacherprep_early.asp

Impact Evaluation of Professional Development for Teachers on Data-Driven Instruction

Study Purpose

Most districts help teachers use data to improve student learning, often supporting this effort with Title II, Part A funds under ESEA. But many teachers feel unprepared to use student data to inform their instruction (referred to as data-driven instruction (DDI)), and there is little evidence of whether it improves student achievement. This study assessed an intensive approach to supporting teachers' use of student data to tailor their instruction. The support included funding for a data coach of the schools' choosing as well as intensive professional development for coaches and school leaders on helping teachers use student data to inform their instruction.

Key Questions Addressed

- What are the effects of the study's DDI support on teachers' reported use of data and classroom practices?
- What are the effects of providing this support on student achievement?

Design

The study includes 102 elementary schools in 12 districts and randomly assigned half of the participating schools to receive the additional DDI support. Data collection included a teacher survey, a principal survey, and student administrative records in all participating schools, including those that received the extra support and those that did not. Comparing the classroom instruction and student achievement in schools that received the additional support versus those that did not provides evidence on the effectiveness of this specific approach to providing support for DDI.

Actual Completion Date

The report was released in September 2019.

Key Findings

- The study's DDI coaching and professional development did not increase teachers' data use or change their instructional practices. Prior research has suggested specific ways teachers can use data to improve student learning (e.g., to monitor student progress or to plan individualized instruction). The support offered in this study was intended to boost collaboration among teachers to analyze student data and tailor their instruction in response. However, teachers in schools who received additional DDI support reported using data and data-driven instructional approaches in largely the same ways as teachers in schools not receiving extra support.

- The study’s support for DDI did not improve students’ achievement. On average, students had similar achievement in mathematics and English/language arts whether they were in schools that received extra DDI coaching and professional development or not. Students in each group scored near the 40th percentile on their state assessments in each subject.

Link to Additional Information

http://ies.ed.gov/ncee/projects/evaluation/tq_datadriven.asp

Technical Assistance to Evaluators or States

Evaluation of the Comprehensive Technical Assistance Centers’ FY 2012 Grantees

Study Purpose

The Comprehensive Technical Assistance Centers program is a federally funded program currently authorized under the Educational Technical Assistance Act of 2002. In FY 2012, the Department awarded five-year grants, which were subsequently extended to seven-year grants, to 22 Comprehensive Technical Assistance Centers to help state educational agencies (SEAs) build their capacity to implement state-level initiatives and to support district- and school-level (i.e., local educational agencies (school districts) LEAs)) initiatives that improve educational outcomes for all students, close achievement gaps, and improve the quality of instruction. The total yearly funding for the program averaged about \$50 million. This study will inform the Department, the program, and the larger field about the design, implementation, and outcomes of the centers’ work.

Key Question(s) Addressed

- How did centers define capacity building in their theories of action? How did the centers assess the needs of their constituents and develop work plans to address those needs?
- What strategies did centers employ to achieve their outcomes? To what extent and how did centers collaborate with each other?
- Did centers achieve their expected capacity-building outcomes, and how do they assess whether they achieved them? What strategies are perceived to be most effective and why? What challenges or barriers do centers face in achieving outcomes, and how do they respond?

Design

This evaluation is a multiyear descriptive study examining the Comprehensive Technical Assistance Centers program. The evaluation will describe how individual centers intend to build SEA capacity (their theories of action) and document what types of activities they actually conducted to build capacity. The evaluation focused on center projects in two priority areas: great teachers and leaders and early learning. Data were collected

during FY 2015, FY 2016, and FY 2017 program years and included: (1) the centers' management plans and technical assistance activity data, (2) interviews with staff from each center and interviews with technical assistance recipients, (4) a survey of center staff, and (5) a survey of technical assistance recipients. This approach yielded a diverse set of data that were analyzed using qualitative research methods and simple quantitative tabulations in order to address the study's key questions.

Actual Completion Date

The final report was released in October 2019.

Key Findings

- Overall, centers and their technical assistance recipients reported that the centers' technical assistance improved the capacity of SEAs to meet their goals.
- Centers shared similar approaches to the design and implementation of their technical assistance. Practices perceived to be instrumental to building capacity included: engaging a broad array of stakeholders to provide input on policy, providing products and tools for SEA staff to use as they took greater ownership of policy design and implementation, imparting organizational practices and structures resilient to SEA turnover and policy shifts, and flexibly adapting technical assistance in response to changing priorities and needs.
- Centers and their technical assistance recipients pointed to a few areas for program improvement, including clarification of the centers' role and expected outcomes related to their work with LEAs as well as further guidance for SEAs about how best to use the centers.

Link to Additional Information

http://ies.ed.gov/ncee/projects/evaluation/other_techcenters12.asp

Policy and Program Studies Service

Study of Digital Learning Resources for Instructing English Learners

Study Purpose

Over the past decades, kindergarten through grade 12 teachers have gained increasing access to digital technologies to support instruction while, at the same time, the number and percentage of English learners (ELs) in their classrooms has been increasing. This study is intended to inform educators, technology developers, and policymakers about how digital learning resources (DLRs) can be used to support EL students, both in terms of English language acquisition and achievement in academic content areas. The goals of the study are to explore the range of DLRs that are available for use with ELs, examine how districts and schools select and use these apps, and develop ideas on ways to improve the design and use of DLRs to support learning for ELs.

Key Question(s) Addressed

- How do districts and teachers identify DLRs for instructing EL students?
- What types of DLRs do teachers use, and how do they use DLRs in instructing EL students?
- What are supports for and barriers to DLR use in instructing EL students?
- How can educators and technology developers improve the usefulness of DLRs in instruction of EL students?

Design

The study is based on a nationally representative survey of 999 school districts that enroll EL students and a survey of teachers of EL students within those districts (including both mainstream teachers and EL specialists). Case studies were conducted in six of the districts, including interviews with district administrators, principals, and teachers of EL students. The study also includes market research on existing DLRs for kindergarten through grade 12 instruction and consultation with an expert panel of technology developers, practitioners, and education researchers about ways to improve the design and use of DLRs for instructing EL students.

Actual Completion Date

Two field-focused toolkits for educators and technology developers were released in October 2018. The final report was released in May 2019.

Key Findings

- Most teachers surveyed reported that they identified specific DLRs for instructing EL students based on the recommendations of fellow teachers and district or school administrators.
- Teachers were more likely to report weekly or daily use of general education DLRs than of DLRs designed primarily for EL students (85 percent vs. 65 percent).
- About two-thirds of teachers surveyed reported using digital references and resources, language tutorials or practice tools, and academic tutorials or practice tools weekly or daily in instructing their EL students.
- The majority of teachers reported that EL students often used DLRs when working independently (61 percent) or as part of a whole class activity (60 percent); few teachers reported assigning EL students to use DLRs outside of class.
- High-EL districts were more likely than low-EL districts to report providing professional development workshops, coaching, and in-class assistance related to DLR use in instructing EL students.
- Across all districts, EL specialists reported fewer hours of professional development in DLR use than did mainstream teachers.
- Frequently reported barriers to using DLRs with EL students were students' lack of DLR access at home, and teachers' needs for EL and technology expertise and for time to learn and use DLRs.

- Educators suggested that DLRs could improve by engaging students in academic content while building language and literacy skills; embedding visual, auditory, and other support features; providing multiple languages; and providing grade-level content and age-appropriate design for older beginner-level EL students.

Link to Additional Information

<https://www2.ed.gov/about/offices/list/oeped/ppss/reports.html#ells>

Evaluation of the Title I, Part D Neglected or Delinquent Program

Study Purpose

This study examined 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 included 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.

Key Question(s) Addressed

- How do states and local agencies administer Part D programs?
- What types of services and strategies do Part D funds support and are otherwise provided to youth in justice and child welfare settings?
- How do justice and child welfare agencies and facilities assist students in transitioning back to districts and schools, including those outside their jurisdictions?
- How do grantees assess the educational outcomes of students participating in Part D-funded educational programs?

Design

The study included surveys of state and local coordinators of Title I, Part D-funded programs as well as site visits to state agencies (SAs), school districts, correctional institutions, and child welfare facilities. The study was also informed by a review of extant data and a review of literature related to programs for neglected and delinquent youth.

Key Findings

- SEA coordinators most frequently reported focusing on creating and reviewing Part D funding applications, supporting federal data collection, and conducting program compliance monitoring; they less frequently focused on providing training and technical assistance to subgrantees or direct involvement in academic instruction in facilities.
- Few SA coordinators (11 of 37 responding) reported that one or more of their juvenile justice or child welfare facilities implemented an institution-wide project under Subpart 1.

- Both SAs and local facilities used Part D funds primarily for personnel costs, most commonly for core instructional and supplemental teachers and counselors. However, roughly half of coordinators reported that facilities faced shortages of qualified instructional and support staff, and many reported challenges in employing teachers within their credentialed content area.
- In addition to core and supplemental academic programming, nearly all Part D-funded state facilities and roughly half of local facilities offered career and technical education (CTE).
- Less than 25 percent of all students entered a state or local facility with an existing transition plan; more than half had a transition plan developed while in placement.
- More than half of SA and local facility program coordinators said their facilities provided some form of services to youth after exiting the facility, such as general education support and counseling. Typically, these services lasted less than two months.
- Roughly half of state and local facilities could not track any students after exit. Those that could track students most often tracked high school equivalency credentials earned and high school graduation rates.

Actual Completion Date

The report was released in March 2019.

Link to Additional Information

<https://www2.ed.gov/about/offices/list/opepd/ppss/reports.html#neglected>

Study of the Implementation of Migrant Education Program

Study Purpose

This study examined how states, districts, schools, and other service providers implement requirements authorized under the ESEA Title I, Part C: Migrant Education Program (MEP). The \$374 million program serves approximately 300,000 highly mobile students and out-of-school youth accompanied by migratory farmworkers and fishers. SEAs serve as the primary grantees and sub-allocate funds to local school districts and operating agencies and regional service providers who serve students both during the academic year and summer months.

Key Question(s) Addressed

- How do MEP grantees identify, recruit, and prioritize migratory children for services?
- How does the Migrant Student Information Exchange (MSIX) system facilitate the transfer of educational and health information to support enrollment, placement, and accrual of credits for migratory children?
- What services do MEP grantees provide to migratory children?

- How do MEP grantees collaborate with other programs and organizations to deliver services to migratory children and their families?

Design

The study included surveys of all 46 state grantees and a nationally representative sample of 1,006 district programs serving migratory children. In addition, the study is conducting case studies of 10 states, 20 local grantees (2 per state), and 40 schools (2 per local grantee).

Key Findings

- Most state Migrant Education Program (MEP) grantees relied on their local/regional MEP subgrantees and outside contractors to manage the identification and recruitment (ID&R) process, including hiring, deploying, and supervising MEP recruiters. At the same time, states played a significant role in recruiter training, monitoring and quality control.
- Most state MEP directors and local/regional MEP coordinators reported that MSIX had improved timely notification when migratory children moved across states and facilitated interstate migratory student records and transfers.
- State MEP directors considered a variety of factors in determining specific services to provide or fund for migratory children, including the needs of migratory children, the availability of funds, student outcomes, policy priorities, and the services provided by other programs.
- State MEP grantees and local/regional MEP subgrantees that provided direct services to migratory children most commonly provided supplemental instructional services that included reading/language arts instruction and mathematics instruction. Among the state MEP grantees and local/regional subgrantees that directly provided support services to migratory children, most provided school supplies, language support (e.g., translation or interpretation services), and individual advocacy services.
- Most state MEP grantees and local/regional MEP subgrantees that provided direct instructional and support services to migratory children collaborated with other agencies and organizations to provide these services.

Actual Completion Date

The report was released in August 2019.

Link to Additional Information

<https://www2.ed.gov/about/offices/list/opepd/ppss/reports.html>

Study of the Implementation of Title VI Indian Education Formula Grants Program

Study Purpose

This study examined the implementation of the Indian Education Formula Grants program authorized under Title VI of ESEA. More specifically, the study examines school district

and tribal-level implementation of the grants, including the activities supported with formula funds, the processes used to identify and count eligible children, and how grantees establish program priorities and implement grant-funded services.

Key Question(s) Addressed

- What services do Indian Education Formula Grants support?
- How do grantees work with stakeholders to identify program-eligible children and plan services to meet the needs of those children?
- How do grantees measure progress toward meeting their Title VI project objectives?

Design

This study is based on a survey of 1,304 local grant coordinators and case studies of 9 grantees, as well as a review of relevant literature and analysis of extant data.

Key Findings

- The most common Title VI-funded services were academic support, cultural enrichment, and parent involvement.
- Most grantees supported culturally responsive education by incorporating American Indian and Alaska Native history and culture into the curriculum and employing American Indian and Alaska Native teachers and support staff.
- Most grantees relied on three strategies to identify eligible students: (1) including questions about students' American Indian and Alaska Native status in the school registration process, (2) including Title VI student eligibility certification forms in enrollment packets, and (3) generating reports for students who identified as American Indian and Alaska Native on enrollment forms.
- Most grantees collected information about students' needs from the Title VI Parent Advisory Committee and other stakeholder groups, commonly through public hearings, convenings with stakeholder groups, and surveys.
- Grantees reported using multiple data sources for project planning, including administrative data and information from parents, teachers, administrators, and public hearings.
- Most grantees used state standardized assessment scores, attendance data, and graduation or dropout data to measure progress toward their Title VI project objectives.

Actual Completion Date

The report was released in October 2019.

Link to Additional Information

<https://www2.ed.gov/about/offices/list/oepd/ppss/reports.html#amind-aknat-students>

Study of Weighted Student Funding Systems

Study Purpose

This study examined districts that have implemented weighted student funding (WSF) systems, which allocate per-pupil funding amounts to individual schools and use weights for certain types of students to provide additional resources to meet the needs of those students. In addition, WSF systems typically devolve a greater share of decision-making regarding resource use to principals and other school-level stakeholders. As the first national study of WSF systems, this study provides comprehensive and detailed information on the prevalence and characteristics of WSF systems, how they compare to traditional districts in terms of the autonomy and flexibility provided to principals and their schools, and equity outcomes related to the distribution of resources among schools with different levels of need.

Key Question(s) Addressed

- How are resources allocated to schools in districts with WSF systems, and how do they compare with districts with more traditional resource allocation practices?
- In what ways do schools have autonomy and control over resource allocation decisions, and how does this vary between WSF and non-WSF districts?
- Do WSF districts have higher levels of per-pupil spending in their higher-needs schools, and has funding equity increased since the adoption of the WSF system?

Design

This study included both qualitative and quantitative analysis of data from case studies of nine WSF districts and nationally representative surveys of districts and schools. The case studies included interviews with district and school staff as well as collection and analysis of data, such as school budget and expenditure data and documentation on specific weighting schemes and other aspects of allocation formulas. The district survey was completed by 253 districts, including 13 WSF districts and 240 non-WSF districts. The principal survey was completed by 318 principals, including 104 WSF principals and 214 non-WSF principals. Primary data collection was in the 2017–18 school year. Response rates were 63 percent for districts and 47 percent for principals. Because study findings are based on case studies and on surveys with relatively low response rates, they do not necessarily generalize to the nation as a whole. Additionally, observed differences between WSF and non-WSF districts were not necessarily caused by the use of WSF.

Key Findings

- WSF districts were more likely than non-WSF districts to classify principal autonomy and transparency as high-priority goals for their system of allocating resources to schools.

- The most common student subgroups weighted in WSF formulas were students from low-income families, ELs, and students with disabilities.
- Although all WSF case study districts reported that their schools use average teacher salaries in developing their budgets, three districts also used actual teacher salaries, either for some of their schools or by incorporating them into their weighting scheme.
- On average, WSF district administrators reported that more than half (53 percent) of their total operational spending was under school discretion compared with 8 percent in non-WSF districts.
- Despite flexibility to make decisions about resources, principals in all nine WSF case study districts reported that their effective autonomy was constrained by district requirements to fill certain “non-negotiable” staff positions, collective bargaining agreements, and resource limitations.
- In six of the nine WSF case study districts, higher-poverty schools had higher per-pupil spending levels than lower-poverty schools, but after controlling for other school characteristics, only two had a positive relationship between poverty and spending, while three had a negative relationship.
- Among the five WSF case study districts with sufficient trend data, three showed increases in relative funding levels for high-poverty schools after WSF implementation.

Actual Completion Date

The report was released in October 2019.

Link to Additional Information

<https://www2.ed.gov/about/offices/list/opepd/ppss/reports.html#school-finance>

Study of Higher Education Articulation Agreements Covering the Early Care and Education Workforce

Study Purpose

The purpose of this study is to identify elements that selected states have in place to enable articulation, or the transfer of course credits, for early care and education (ECE) workers who are progressing from an associate degree to a bachelor’s degree (BA) and to describe successes and challenges in implementing those elements.

Key Question(s) Addressed

- What policies do states have to support articulation for ECE students?
- What governance structures do states have to oversee ECE articulation policy?
- How do institutions of higher education (IHEs) implement articulation policies?
- What support do states and IHEs provide for the transfer and articulation process?

Design

This study examines ECE articulation policies and their implementation in six states (California, Florida, Indiana, Massachusetts, New Mexico, and Pennsylvania) that have statewide articulation policies addressing degrees or coursework in early childhood education. The study includes one-on-one telephone interviews with 80 individuals, including faculty and college administrators from two- and four-year IHEs, state higher education administrators, and representatives from higher education governing bodies and ECE licensure bodies. The study also includes focus groups of student and support staff and a review of extant documents.

Key Findings

- All six states used transfer associate degrees and general education block transfers, which allow students to transfer courses as a set rather than on a course-by-course basis, to facilitate course and credit transfer for ECE students; half of the states also used guaranteed admission or common course numbering.
- Four states established at least one statewide committee to oversee articulation, while the remaining two states oversaw articulation through a state higher education agency or system office.
- Most IHEs (17 of 20) supplemented state-level articulation policies with intrastate and interstate regional articulation agreements formed between IHEs.
- Most two-year IHEs (9 of 10) offered separate ECE degree pathways for students who planned to transfer and earn a BA versus students who planned to end their education with the associate degree.
- In nearly all the IHEs (19 of 20), ECE faculty played several key roles in implementing articulation policies, such as evaluating course transferability (15 IHEs) and designing courses that reflect agreed upon competencies (12 IHEs).
- IHEs supported transfer students by providing online information about transfer (12 IHEs), outreach programs (7 IHEs), transfer centers (6 IHEs), and transfer student orientations (5 IHEs).
- Faculty and staff reported advising students on topics including career paths (16 IHEs) and financial aid (15 IHEs), referring students to degree planning tools (14 IHEs), and referring students to transfer advisors (3 IHEs).

Actual Completion Date

The report was released in September 2019.

Link to Additional Information

<https://www2.ed.gov/about/offices/list/oepd/ppss/reports-postsecondary-education.html#outcomes>

Summary of Performance Evaluations Expected During FY 2020 and FY 2021

National Center for Education Evaluation and Regional Assistance

School Improvement

Impact Evaluation of Parent Messaging Strategies on Student Attendance

Study Purpose

Student attendance is a strong predictor of student success, even in early school years. In some communities, a quarter of all students in kindergarten through grade 3 are chronically absent, and this is most prevalent among low-income students. Under the *Every Student Succeeds Act* (ESSA), which reauthorized ESEA, many states plan to hold schools accountable for reducing chronic absenteeism. One potential low-cost intervention that schools are increasingly trying involves text messaging parents to provide relevant tips and motivation to improve their child’s attendance. This evaluation is designed to provide evidence on the effectiveness of such an intervention for students attending low-performing elementary schools. A novel aspect of the intervention is that it is adaptive. Initially, parents will be treated with “light-touch” messaging in the fall, and those that do not appear to be responsive will subsequently receive more intensive messaging in the spring.

Key Questions Addressed

- What is the impact on student attendance of using text messaging to provide parents with basic information related to attendance? Does it matter if messages are positively or negatively framed?
- For parents who do not respond to the lowest-cost messaging strategies, which higher-cost or intensified strategy works better to improve attendance—one that includes direct outreach from school staff or one that uses automated methods to improve motivation and behavioral skills?
- Do the four combinations of fall and spring messaging strategies (i.e., the four adaptive interventions) have effects on end-of-year attendance and achievement when compared to each other and to business-as-usual attendance strategies?
- How is the messaging intervention implemented, and what are its costs?

Design

The evaluation will use a variant of a typical random assignment design, called a sequential multiple-assignment randomized trial. This design will measure the effectiveness of different initial messaging strategies and examine if there are any benefits to following up with more intensive strategies for parents who do not respond initially. Data will be collected to examine both the implementation of the intervention and the impact of the intervention on student-level outcomes, such as attendance and achievement. Specifically,

information gathered from the text messaging vendor’s platform, a brief log that school staff will complete to document their parent outreach activities, interviews with district staff, and a survey of parents will be used to assess how well the intervention is implemented and to examine its costs. Information gathered from extant district records, including student absences and test scores, will be used to examine the impact of different messaging strategies.

Estimated Completion Date

A report describing findings is expected in spring 2020.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/other_messaging.asp

Implementation Study of State Supports Under Title I for Reducing School Dropouts

Study Purpose

Title I, Part A of ESEA (as amended by ESSA) requires states to support LEAs in providing effective transitions of students at all levels of schooling, especially middle school grades and high school, to decrease the risk of students dropping out. ESSA requires an evaluation of these efforts. This report will describe the implementation of dropout prevention strategies at the state and district levels and report recent dropout rate trends.

Key Question(s) Addressed

- How do states and districts identify students at risk of dropping out?
- What strategies do districts use to help students transition from elementary to middle school and from middle to high school? What services or options do districts offer to students at risk of dropping out? How do states support these efforts?
- What are recent trends in dropout rates at the national and state levels?

Design

Data were collected from all 50 states and the District of Columbia as well as from a nationally representative sample of school districts through surveys administered under the Implementation of Title I and Title II, Part A Program Initiatives study during SY 2017–18. Data from the surveys will inform the first two research questions. Extant data on dropout rates will inform the third research question.

Estimated or Actual Completion Date

A report describing findings is expected in 2020.

Implementation of Title I and Title II, Part A Program Initiatives

Study Purpose

Title I and Title II, Part A are key ESEA programs intended to help provide all students with equal access to education by offering financial assistance to schools and districts that have a high percentage of students from low-income families (Title I) and improving teacher

and principal quality (Title II, Part A). ESEA was most recently reauthorized as ESSA in December 2015. Under Title I, ESSA offers states and districts considerable autonomy while requiring them to adopt challenging academic standards, aligned assessments, and accountability systems that set state-specific accountability goals and identify and support low-performing schools. Under Title II, Part A, ESSA also provides funding for a broad array of permissible activities to improve the effectiveness of educators and achieve equitable distribution of effective educators.

This study is designed to provide relevant data on the implementation of programs and policies related to Title I and Title II, Part A at several points in time. A prior report based on data collected during SY 2013–14 provided information on implementation under the *No Child Left Behind Act* and ESEA flexibility. This report will provide information on the transition to and early implementation of ESSA during SY 2017–18. A subsequent report will look at implementation during SY 2019–20.

Key Questions Addressed

- What content standards and high school graduation requirements are states adopting, and what materials and resources are provided to support implementation?
- What types of assessments do states and districts use, and what materials and resources are provided to support the implementation of assessments and use of assessment data?
- What are the key features of states' accountability systems? How do states and districts identify and support their lowest-performing schools?
- How do states and districts evaluate educator effectiveness and assess equitable distribution of educators?
- What support is provided to improve educator effectiveness and equitable distribution?

Design

Surveys are administered to agencies in all 50 states and the District of Columbia as well as to a nationally representative sample of districts and a nationally representative sample of charter districts. These data will be tabulated to address the study's key questions.

Estimated Completion Date

A first report on implementation findings from SY 2013–14 survey data was released in January 2017. The second report on findings from SY 2017–18 is expected in 2020.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/other_titleI.asp

Literacy (Including English Learners)

Academic Language Impact Evaluation

Study Purpose

Districts and policymakers need information about effective academic language instruction that can be successful for both ELs and disadvantaged native English speakers. According to the National Assessment of Educational Progress, grade 4 ELs continue to score significantly lower on reading and mathematics achievement compared to their non-EL counterparts despite a decline in the size of the gap between 1998 and 2005. Moreover, students who enter kindergarten with limited academic language skills typically lag behind their peers in reading. Because academic language skills are critical supports for reading and understanding for all students, this evaluation examines whether a promising academic language program is effective when implemented at a large scale. The program includes 12 2-week teaching units that introduce 5 to 6 high-frequency academic vocabulary words used across disciplines. Each unit provides students with repeated, authentic opportunities to actively engage in using academic language in the classroom.

Key Questions Addressed

- What is the impact of the academic language program on student achievement?
- What is the impact on classroom instruction?
- Is there variation in the implementation or impact of the program? What implementation and sample characteristics are associated with variation in impacts?

Design

The study team recruited 70 schools and randomly assigned them to either receive the program's training and materials or continue their instruction as usual. Program schools were offered summer training and ongoing support to implement the academic language program with their fourth and fifth grade teachers and students during SY 2017–18. Data collection includes direct assessments of students, classroom observations to document the contrast between treatment and control group teachers and classrooms, and administrative records to document student English proficiency and progress.

Estimated Completion Date

A report examining the impacts of the intervention at the end of the implementation year is expected in 2020.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/ell_ali.asp

Comprehensive Literacy Program Evaluation

Study Purpose

Many U.S. students still do not acquire even basic literacy skills. Students living in poverty, those with disabilities, and ELs are especially at risk. The National Assessment of

Educational Progress shows a substantial gap for grade 4 students in reading achievement between those from high-income families (average score at about the 65th percentile) and those from low-income families (average score at about the 35th percentile).

To narrow the gap in literacy between disadvantaged students and other students, in 2011, the federal government launched the Striving Readers Comprehensive Literacy (SRCL) program. SRCL is a discretionary grant program authorized as part of Title III of Division H of the *Consolidated Appropriations Act of 2016* (P.L. 114-113) under the Title I demonstration authority (Part E, Section 1502 of ESEA).

The most recent reauthorization of ESEA created the Comprehensive Literacy State Development (CLSD) program (Title I, Part B, Subpart 2, Section 2222 of ESEA as amended by ESSA). The CLSD program is the successor program to SRCL and will competitively award grants to SEAs that will then provide subgrants to LEAs and early-learning providers. Both the SRCL and CLSD programs intend subgrantees to implement evidence-based comprehensive literacy instruction. The ultimate goal of both programs is to advance literacy skills for students from birth through grade 12, with an emphasis on disadvantaged students. Both programs include a congressionally mandated national evaluation.

Key Questions Addressed

- How do state grantees and district subgrantees implement their SRCL/CLSD program grants?
- What literacy interventions and practices are used by schools and early-learning programs in the SRCL and CLSD programs?
- What are the literacy outcomes for students in SRCL schools and early-learning programs?
- What is the impact of the CLSD program on classroom reading instruction?
- What is the impact of the CLSD program on student reading outcomes?

Design

The SRCL implementation evaluation will include grant application reviews, annual grantee interviews, surveys of all subgrantees in spring 2019, surveys of principals and teachers in a representative sample of 500 funded schools in spring 2019 and spring 2020, and the collection of state and local extant reading/language arts assessment data. The evaluation will also perform evidence reviews of practices commonly funded by SRCL and conduct observations and interviews to measure classroom instruction more in-depth in a sample of 100 classrooms in 50 schools.

The CLSD evaluation will include two components. The first is an implementation study of all grantees and subgrantees, which will include a spring 2021 survey and collection of existing state data on student reading achievement. The second is an impact study that will involve an estimated 130 elementary schools that have been randomly assigned to implement CLSD right away versus an implementation date delayed by two years.

Estimated Completion Date

A report examining SRCL implementation in SY 2018–19 is expected in 2020. A report examining SRCL implementation and student outcomes in 2019–2020 is expected in 2021.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/literacy_comprehensive.asp

Pathways to Career or College

Effectiveness of Promising Strategies in Federal College Access Programs: Study of Enhanced Advising to Improve College Fit in Upward Bound

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. Studies suggest that about half of these students “undermatch”—meaning they do not enroll in college or not in the most selective institution they could—and that attending a less selective college may lower students’ chances of completing a degree and reduce their earnings. This evaluation tested a set of promising, low-cost advising strategies, called *Find the Fit*, that is designed to help students enrolled in the federal Upward Bound program to choose more selective colleges. *Find the Fit* includes customized information about college going and costs, text messaging of key application and financial aid deadlines, and related advisor training.

Key Question(s) Addressed

- Can an enhanced college advising approach improve what Upward Bound grantees are already doing—that is, 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?

Design

About 200 Upward Bound grantees that volunteered were randomly assigned in early 2015. Half participated in *Find the Fit* during SY 2015–16 as rising seniors during their study periods and half did not. Students in both sets of grantees were surveyed in fall 2014 (early junior year) to assess expectations for college and in spring 2016 (end of senior year) to collect information about their college planning including their applications. Data on completion of the *Free Application for Federal Student Aid* (FAFSA®) and college enrollment and persistence were also collected.

Estimated Completion Date

A report describing impacts on college enrollment and selectivity (“fit”) is expected in spring 2020.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/pathways_upward.asp

Effectiveness of Promising Strategies in Federal College Access Programs: Study of College Transition Text Messaging in Gaining Early Awareness and Readiness for Undergraduate Programs

Study Purpose

Although academic preparation and financial circumstances continue to be barriers to post-secondary success among low-income students, the complexity of the process of applying to, enrolling in, and staying in college is also a factor. According to recent research, customized reminder messages and access to real-time support could help overcome procedural hurdles associated with registration, course selection, financial aid award and renewal, advisor meetings, and tuition payments—all of which can derail students’ college matriculation and persistence into sophomore year. This demonstration will test these promising strategies, building on the new opportunity for Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) grantees to support a first year of college transition introduced in 2008 amendments to the *Higher Education Act of 1965*. GEAR UP is one of the Department’s college access programs, funding states or local partnerships of districts and postsecondary institutions to serve students in high-need schools beginning in seventh grade.

Key Question(s) Addressed

- Does the text-based reminder strategy improve GEAR UP students’ rates of college enrollment and persistence?
- For which types of students is the strategy more or less beneficial?

Design

About 80 GEAR UP high schools were recruited, with 5,000 seniors in SY 2015–16 or SY 2016–17. The students were randomly assigned to receive the college transition services grantees originally proposed in their applications or those services plus the customized reminders and support through text messages. Reminders and support were provided from the end of students’ high school senior year through the spring of their expected first year of college. The study team surveyed students before the reminder messaging began to collect information on students’ experiences with college advising and their intended college (so that the messages can be tailored to individual schools’ deadlines and requirements). College enrollment and persistence as well as FAFSA® renewal are being measured using administrative records.

Estimated Completion Date

A report describing impacts on college enrollment and persistence through a second year will be published in early 2020.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/pathways_gearup.asp

Evaluation of the Pell Grant Experiments Under the Experimental Sites Initiative

Study Purpose

Federal Pell grants are considered the foundation of higher education financial aid for low-income students. However, under current rules, otherwise income-eligible students who already have a BA or who want to enroll in short-term (i.e., less than 15 weeks and 600 hours) programs are restricted from obtaining these grants. Given unemployment rates above 8.5 percent in 2011 and reports of unfilled openings for skilled jobs in some occupations, postsecondary institutions called for expanding Pell grants to help fill the skill training gap for low-income workers. In response, Federal Student Aid, under the Experimental Sites Initiative authorized by Section 487A(b) of the *Higher Education Act of 1965*, is conducting demonstrations to test the impacts of eliminating the BA restriction (experiment 1) and significantly lowering the minimum clock hours/duration restriction (experiment 2) for students interested in vocational training in high-demand fields. The Institute of Education Sciences (IES) designed and is overseeing a rigorous evaluation of these experiments.

Key Question(s) Addressed

- Does expanding Pell grant eligibility to include income-eligible students with a BA and/or cover shorter-term programs improve access to job training?
- Does expanding Pell grant eligibility to these groups affect financial aid receipt and/or student debt?
- Do these two Pell grant experiments improve persistence and completion rates?

Design

Close to 50 IHEs that chose to participate identified about 2,900 students eligible for the experiments between the 2012–2013 and 2016–2017 financial aid award years. Students were randomly assigned to receive or not receive a Pell grant in their financial aid package. Student administrative data about program enrollment and completion were collected from participating IHEs in spring 2018. Data collection also included student administrative records on financial aid receipt from Federal Student Aid.

Estimated Completion Date

The report for the study is expected to be published in early 2020.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/pathways_pell.asp

Assessing Evidence of Effectiveness in Adult Education

Study Purpose

Title II of the *Workforce Innovation and Opportunity Act* (WIOA) mandates that the Department carry out an independent evaluation of adult education programs and services. Under the National Assessment of Adult Education, IES will examine the effectiveness of adult education and literacy activities, starting with a feasibility and design study. This feasibility and design study will summarize what is known about effective adult education activities and services, identify policy-relevant activities or services that are feasible and appropriate to evaluate rigorously, and present design options for evaluating those activities or services.

Key Questions Addressed

- What is known about the effectiveness of adult education programs, activities, and services?
- What adult education programs, activities, and/or services are feasible to examine with an impact study?
- What are design options for impact studies, including the most feasible and policy-relevant counterfactual, the most feasible unit of random assignment, the required sample sizes, and the most credible outcome measures?

Design

A systematic evidence review will be conducted to summarize existing studies of adult education. The contractor will draw on the evidence review and interviews with state and local directors of adult education to identify a set of promising adult education activities or services that could feasibly be evaluated. Study design options will also be developed. The Department may elect to conduct up to two impact studies beginning as early as 2020.

Estimated Completion Date

The systematic evidence review is expected by summer 2020.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/pathways_evidence.asp

National Study of the Implementation of Adult Education Under the Workforce Innovation and Opportunity Act

Study Purpose

Higher-level skills are increasingly required to succeed in the American workforce, yet many adults in the United States lack them. More than 25 million adults have not earned a high school diploma or General Educational Development (GED). Even among those with at least a secondary credential, a lack of proficiency with the English

language can be a significant barrier to a family-sustaining income as well as full integration as citizens. Congress has sought to help individuals address these challenges (and the nation’s workforce development needs) by providing funds for adult education through WIOA. Title II of WIOA mandates that the Department carry out an independent evaluation of adult education programs and services. A part of the National Assessment of Adult Education, this study is designed to provide implementation information on such programs, with a focus on how the changes contained in WIOA appear to be shaping the services provided by adult education programs and the populations such programs serve.

Key Questions Addressed

- How—and to what extent—are the changes to adult education policies and practices promoted by WIOA being implemented?
- Beyond the changes to adult education promoted by WIOA, in what other ways has implementation evolved since prior to the enactment of the law?
- What challenges do SAs and local providers currently face in administering and delivering adult education services?

Design

The study is descriptive and primarily involves collection and tabulation of data from surveys. It includes a survey of adult education state directors and a survey of adult education providers. Some key findings from the provider survey will be compared with findings from an earlier national survey of providers conducted in 2003. This will allow for an assessment of the extent to which adult education programs have evolved since prior to the enactment of WIOA. The study will also include analyses of extant data such as those programs collect for federal performance and accountability reporting. These data will be used to provide further contextual information about adult education programs and populations.

Estimated Completion Date

The first report is scheduled for completion in summer 2021.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/pathways_wioa.asp#

National Evaluation of Career and Technical Education Under the Perkins Act

Study Purpose

The 2018 reauthorization of the *Carl D. Perkins Vocational and Technical Education Act* of 2006 through the *Strengthening Career and Technical Education for the 21st Century Act* (Perkins V) mandates that the Department supports independent evaluation activities to assess CTE programs under the new law. IES is required to report to Congress on results from the evaluation through reports every two years, including an interim report in 2021, final report in 2023, and biennial updates.

Key Questions Addressed

- To what extent and how does current CTE implementation reflects the priorities and goals of Perkins V? What challenges do SAs and local grantees face in administering and delivering CTE services, particularly the newly introduced provisions in Perkins V?
- In what important ways has CTE implementation evolved since Perkins IV?
- How are CTE participation and outcomes changing?
- How effective are particular strategies and practices allowable under Perkins V in improving student outcomes?

Design

A variety of studies will be designed and carried out, including collection of information on Perkins implementation at the state and local levels, analysis of national data, reviews of existing evidence on the effectiveness of CTE strategies, and new evaluations examining the impact of policy-relevant CTE initiatives or practices.

Estimated Completion Date

The first (interim) report to Congress is due July 2021.

Link to Additional Information

FORTHCOMING

School Choice

Evaluating the DC Opportunity Scholarship Program After the 2017 Reauthorization

Study Purpose

The DC OSP provides low-income students in Washington, D.C. with scholarships to attend the district's participating private schools. It is the nation's only federally funded private school voucher program. This third congressionally mandated evaluation of OSP addresses different issues than the two previous evaluations. Those evaluations (completed in 2011 and 2019) were random assignment studies focused on determining the effectiveness of the program. The evaluations' findings raised questions about whether the program could be improved. The current study examines program implementation and participating families' and schools' experiences to address this issue.

Key Questions Addressed

- What challenges do families face when it comes to applying for OSP scholarships, enrolling in private schools, and staying enrolled over time? What challenges do schools participating in the program encounter?
- What are the key activities necessary to implementing OSP, how does the program operator carry them out, and what might be improved to help families and schools overcome identified challenges?

- How do families view the academic and overall quality of OSP participating schools, and how do OSP students perform and progress on mathematics and reading assessments?

Design

This descriptive evaluation will use interviews and surveys to collect data from the OSP program operator, families (students and parents) that apply for scholarships in SY 2019–20, and private schools that do and do not participate in the program. The evaluation will also collect OSP students’ nationally normed standardized achievement assessments from participating private schools that administer them.

Estimated Completion Date

The first implementation report is expected in fall 2021.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/choice_dcchoice2017.asp

Impact Study of Federally Funded Magnet Schools

Study Purpose

Magnet schools are an important component of public school choice and a strategy used by districts, with the aim of improving student achievement and school diversity. Approximately 2.5 million students currently attend magnet schools in the United States. Since 1985, the Magnet Schools Assistance Program (MSAP) has provided federal discretionary grants to school districts to help establish or expand magnet programs. MSAP was most recently reauthorized in December 2015 as part of Title IV, Part D of ESEA and received nearly \$190 million in appropriations between FY 2016 and FY 2017. However, there is limited evidence of effectiveness. This evaluation will rely on random assignment lotteries that some schools use to admit students in order to rigorously assess magnet schools’ impact on student outcomes.

Key Questions Addressed

- What is the impact of the magnet programs on relevant student outcomes (achievement and/or other relevant measures of student success such as persistence in school or graduation)?
- What is the impact of the magnet program on the characteristics of the schools that the students attend, including whether they are higher performing or more diverse?
- To what extent is there a relationship between school characteristics, including diversity and student outcomes?

Design

Districts and schools receiving FY 2016 and FY 2017 MSAP funding are being screened first to determine if there is a sufficient number of schools that are both willing to participate

in the study and use lotteries to admit their students. If so, the evaluation will compare the outcomes of approximately 4,000 students randomly assigned by lottery to either attend or not attend the magnet schools in fall 2018 or fall 2019. School district records will be collected for three follow-up years for each of the two cohorts. These will include data on student characteristics, school enrollment, test scores, and other relevant data, such as attendance, persistence, and graduation. Each year, principals at the magnet schools as well as the schools attended by students not offered admission to the magnet schools will be asked to provide information about the schools' organization and instruction through a survey. These data will be analyzed to address the evaluation's three research questions.

Estimated Completion Date

An introductory brief describing the recruitment and admissions practices of the FY 2016 and FY 2017 MSAP grantees is expected in 2020.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/choice_impactmagnet.asp

Students with Disabilities

Impact Evaluation of Training in Multi-Tiered Systems of Support for Behavior

Study Purpose

The *Individuals with Disabilities Education Act* (IDEA), most recently reauthorized in 2004, is a law passed in 1975 to promote a free appropriate public education for children with disabilities. Districts are able to use a portion of their IDEA funds to provide services to students who are not identified as needing special education or related services but who need additional academic and behavioral support to succeed in a general education environment. Training school staff in supporting the behavior of all students—a potential use of these funds—is becoming increasingly attractive to districts and schools as a vehicle for school improvement. Implementation of multi-tiered systems of support for behavior (MTSS-B) is an approach to improving school and classroom climate as well as student outcomes. MTSS-B is a systematic framework for teaching and reinforcing behavior for all students as well as for providing additional support to those who need it. More than a third of U.S. districts report implementing MTSS-B at the elementary school level. Recent small-scale studies have shown the promise of MTSS-B. The purpose of this study is to evaluate the effectiveness of MTSS-B in a larger-scale setting.

Key Questions Addressed

- What MTSS-B training and support activities were provided? What MTSS-B activities occurred in the schools receiving MTSS-B training? How do these MTSS-B activities differ from those in schools that do not receive the training?
- What is the impact on school staff practices, school climate, and student outcomes

- of providing training in the MTSS-B framework plus universal (tier I) positive behavior supports and a targeted (tier II) intervention?
- What are the impacts for relevant subgroups (e.g., at-risk students)?

Design

This study is a randomized controlled trial of the impact of training in MTSS-B on school climate, school staff practice, and student outcomes. The training is provided by the Center for Social Behavior Support, a collaboration between the Illinois–Midwest Positive Behavior Interventions and Supports (PBIS) Network at the School Association for Special Education in DuPage, IL, and the PBIS Regional Training and Technical Assistance Center at Sheppard Pratt in Baltimore, MD. Approximately 90 elementary schools were randomly assigned to either training in MTSS-B including universal support (tier I) plus targeted interventions for at-risk students (tier II) or a business-as-usual control group. Treatment schools received training in MTSS-B prior to and across two school years (SY 2015–16 (tier I) and SY 2016–17 (tiers I and II)) and implemented MTSS-B across these two school years. Data collection includes a staff survey, teacher ratings of student behavior, classroom observations, site visits, and student records data. These data were collected from SY 2015–16 through SY 2018–19 and will be analyzed to answer the study’s impact (first and second) and implementation (third) research questions.

Estimated Completion Date

The report is expected in 2020.

Link to Additional Information

http://ies.ed.gov/ncee/projects/evaluation/disabilities_MTSSB.asp

State and Local Implementation of the Individuals with Disabilities Education Act

Study Purpose

The 2004 reauthorization of IDEA is the most recent reauthorization of a law passed in 1975 to promote a free appropriate public education for children with disabilities. Funded at \$12.9 billion in FY 2017, IDEA supports early intervention services for infants and toddlers identified as having a disability or at risk of substantial developmental delay. IDEA also supports special education and related services for children and youth ages 3 through 21 identified as having a disability, as well as coordinated early intervening services for children and youth who are not identified as needing special education or related services but who need additional academic and behavioral support to succeed in a general education environment. The most recent national IDEA implementation study in 2009 provided a picture of state and school district implementation of IDEA. Although IDEA has not been reauthorized since then, developments in key areas may have influenced the context and implementation of special education and early intervention services. This study will provide a national picture of IDEA implementation 10 years after the most recent national IDEA implementation study. While this study will update information from the 2009 study

on state and district implementation, the study will also describe policies and supports provided at the school level.

Key Questions Addressed

- How do states and districts identify infants, toddlers, children, and youth for early intervention and special education services? How do they measure disproportionate identification and what policies and practices have been implemented with the goal of addressing disproportionate identification?
- What policies and programs do states and districts have in place to support infants, toddlers, children, and youth identified for early intervention or special education services? How have these policies and programs changed over time?
- To what extent do states and districts rely on evidence on the effectiveness of policies, programs, and supports for infants, toddlers, children, and youth with disabilities?
- How do states and districts allocate resources, including funding and personnel, to support infants, toddlers, children, and youth with disabilities?
- What types of support do schools provide to children and youth with disabilities to support their academic and behavioral learning, both within and outside of general education classrooms?

Design

The study will collect survey data from state administrators from all 50 states, the District of Columbia, and territories receiving IDEA funding, as well as a nationally representative sample of school districts and schools during SY 2019–20 and potentially SY 2022–23. The data from these surveys will be analyzed descriptively to answer the study’s research questions.

Estimated Completion Date

An introductory brief describing the students with disabilities served by chart schools and their educational experiences using extant data is expected in 2020. A descriptive report on the national survey findings is expected in early 2021.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/disabilities_localidea.asp

Educator Effectiveness

Impact Evaluation of Support for Principals

Study Purpose

Helping principals improve their leadership practices is one way to improve teacher quality and uses federal funds under Title II, Part A, the Supporting Effective Instruction formula grants. This study seeks to understand the effectiveness of an intensive principal

professional development program focused primarily on helping principals conduct structured observations of teachers' classroom instruction and provide targeted feedback. The results will provide evidence about the program's effectiveness.

Key Questions Addressed

- What are the professional development experiences of principals?
- What are the initial impacts of the program on school climate and educator behaviors?
- What are the impacts of the program on teacher retention, principal retention, and student achievement?

Design

Within 10 districts, a total of 100 elementary schools were randomly assigned to receive the professional development program or not. The University of Washington's Center for Educational Leadership was competitively selected and provided the professional development during SY 2015–16 and SY 2016–17 to those principals assigned to receive it. To improve their teachers' effectiveness, the professional development emphasized instructional leadership activities to include conducting classroom observations with feedback to improve teacher effectiveness. Both principals assigned and not assigned to the program continued to receive support normally offered by the district. Data collection included information about the professional development delivered and experienced by the participating principals, teacher and principal surveys, periodic logs of principal daily activities, and student administrative records.

Estimated Completion Date

The report is expected in fall 2019.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/tq_principals.asp

Study of Title II, Part A Use of Funds

Study Purpose

Title II, Part A, the Supporting Effective Instruction Formula Grants program, is the primary federal funding under ESEA to improve the quality and effectiveness of teachers, principals, and other school leaders. A broad range of activities is permissible at both the state and district levels under this program. The funding also supports low-income and minority students with greater access to effective educators. This study is designed to provide information about how states and districts use these funds.

Key Questions Addressed

- What activities do SEAs support with their Title II, Part A funds?
- What activities do LEAs support with their Title II, Part A funds?

Design

This is a descriptive study based on an annual survey of all 50 states, the District of Columbia, and Puerto Rico. The study also includes an annual survey of a nationally representative sample of charter districts and a state representative sample of LEAs. Survey information includes transfers to or from Title II, Part A and other programs allowed under ESEA section 5103; activities funded by Title II, Part A; types of professional development activities and the areas of focus supported by Title II, Part A; and strategies for identifying and addressing inequity in the distribution of teacher quality or effectiveness.

Estimated Completion Date

The first report is expected in winter 2020.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/tq_titletwo_a.asp

Impact Study of Feedback for Teachers Based on Classroom Videos

Study Purpose

The primary federal funding for improving the quality and effectiveness of teachers, principals, and school leaders comes from the Supporting Effective Instruction formula grants within ESEA. The most commonly funded strategy is professional development. This study uses videos of a teacher's classroom practice for coaches to provide ongoing individualized feedback to improve instruction.

Key Questions Addressed

- What is the impact on teaching practices and student achievement of providing teachers with multiple rounds (eight) of written feedback and one-on-one coaching based on videos of their classroom practices?
- What is the impact on teaching practices and student achievement of providing teachers with multiple rounds (5) of written feedback and one-on-one coaching based on videos of their classroom practices?

Design

Within 14 districts, a total of 107 elementary schools were randomly assigned to receive 8 cycles of the study-provided coaching program, 5 cycles, or no study provided coaching. Prior to random assignment, participating schools chose whether their 4th or 5th grade teachers would participate in the study. Teachstone was competitively selected to provide a coaching program called My Teaching Partner, which uses the Classroom Assessment Scoring System® (CLASS®) framework to guide the coaching. CLASS® focuses on practices related to (1) classroom organization, (2) instructional support (e.g., activities that engage students and support higher-level thinking), and (3) emotional support (e.g., responsiveness to students' needs). Data collection included information about the professional development delivered and experienced by the teachers, intermediate

outcomes (i.e., teacher classroom practice), and student achievement from student administrative records.

Estimated Completion Date

The study report is expected in summer 2021.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/tq_videos.asp

An Impact Evaluation to Inform the Teacher and School Leader Incentive Program

Study Purpose

Effective school leadership and teaching are at the heart of school improvement. Human capital management (i.e., the way in which a district makes and implements professional development and other personnel decisions) can play an important role in supporting effective educators. The purpose of the Teacher and School Leader (TSL) Incentive program is to develop and implement performance-based compensation systems or human capital management systems to improve student achievement. Grantees plan to implement multiple strategies, with a role for teacher leaders being the one strategy that is the most common among the 2017 awards. This mandated evaluation will provide implementation information from all 2017 grantees, with attention to teacher leader selection, roles, and support. In addition, the study will estimate the impact on student achievement and teacher satisfaction and retention of using teacher leaders to improve student achievement.

Key Questions Addressed

- What were the characteristics of 2017 TSL grantees, and what key strategies did they support with their TSL funds?
- For key strategies, which activities did they consider were their primary way to achieve those goals, and how did districts implement these activities?
- What is the effect on student achievement, educator satisfaction, recruitment, and retention of a teacher leader role strategy? Is the teacher leader strategy cost effective?

Design

This study will include two evaluation components: (1) a descriptive study of TSL grantees' programs, where data collection includes interviewing all districts included in FY 2017 TSL grants to obtain information on TSL grantees' programs and experiences, and (2) an implementation, impact, and cost-effectiveness study of designating one or more teacher leaders as coaches in schools. A random assignment study of this common TSL strategy will be conducted in non-TSL schools. This evaluation component will include approximately 100 schools in 10 districts. Data collection will include teacher and principal surveys to collect program implementation, educator satisfaction information, and teacher recruitment activities and outcomes; teacher leader activity forms to provide information about

teacher leader roles and activities; teacher and principal school assignment records to look at mobility and retention; and student administrative records to look at student outcomes.

Estimated Completion Date

The implementation report is expected in summer 2021.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/tq_leader.asp

Policy and Program Studies Service

Profiles of Selected Practices of Charter Schools, Charter Management Organizations, and Charter School Authorizers

Study Purpose

The Expanding Opportunity through Quality Charter Schools program (i.e., Charter Schools program (CSP)) authorized under ESEA is intended to support innovation in public education, including the dissemination of best practices regarding charter schools. This study will result in 10 profiles describing innovative practices that are being implemented by charter schools, charter management organizations (CMOs), and charter school authorizers (CSAs), with a priority on CSP grantees and subgrantees and authorizers serving those grantees and subgrantees. The profiles will be disseminated to practitioners serving both charter and traditional public schools.

Key Question(s) Addressed

- What are the key features of each innovative practice for charter schools, CMOs, and CSAs?
- How do charter schools, CMOs, and CSAs decide what practices to implement? To what extent do they consider criteria for identifying evidence-based practices based on each of ESSA's four evidence levels?
- What, if any, challenges do charter schools, CMOs, and CSAs encounter in implementing innovative practices, and what strategies do they use to overcome these challenges?
- What evidence exists to suggest that the practices are successfully implemented? To what extent do state assessment results, leading indicators, or other quantitative data show improving outcomes? Are there any qualitative signs of progress?
- What factors do charter schools, CMOs, and CSAs believe are most important to the successful implementation of the practices? How do they support the replication of innovative practices?

Design

The study will include a review of relevant research, an expert panel, an analysis of school achievement data of charter schools that are candidates for site visits, and 30 site visits to charter schools, CMOs, and CSAs to collect information about their practices.

Estimated Completion Date

The profiles are scheduled for completion in spring 2020.

Title IV State Survey

Study Purpose

This study provides an initial overview of how states and school districts are using their Student Support and Academic Enrichment grants (Title IV-A), a new state-administered grant program created through the 2016 ESSA. This program has the goal of improving student academic achievement by increasing the capacity of states, school districts, schools, and local communities to: (1) provide all students with access to a well-rounded education (Section 4107), (2) improve school conditions for student learning (Section 4108), and (3) improve the use of technology to improve the academic achievement and digital literacy of all students (Section 4109). This study will produce a program brief based on a survey of states that provides early information about the extent to which states and school districts are using Title IV-A funds for the wide range of permissible activities.

Key Question(s) Addressed

- How are states using Title IV-A funds reserved at the state level to support school districts in meeting the program’s three main purposes—well-rounded education, safe and healthy students, and improving the use of technology?
- How are school districts using their Title IV-A grants?
- To what extent are districts using the funds for each of the three main purposes? What types of services and activities are they supporting under each of these areas?

Design

The report is based on a survey of all 50 states, the District of Columbia, and Puerto Rico conducted in late spring 2019 to obtain information about the types of activities that states and school districts are supporting with FY 2018 Student Support & Academic Enrichment funds during the 2018–19 school year.

Estimated Completion Date

The study brief is scheduled for completion by early 2020.

Study of Career and Technical Education Teacher Pathways Initiative

Study Purpose

This study is examining the implementation of the Career and Technical Education (CTE) Teacher Pathways Initiative (TPI) grant program. The Department’s Office of Career, Technical, and Adult Education awarded grants to five entities across the country to implement strategies to prepare, recruit, and retain secondary CTE teachers. The purpose is to inform the Department’s continuous improvement efforts and to support efforts of grantees. The purpose of the study is not to evaluate the grant or grantees but to identify successes and challenges related to the implementation of strategies.

Key Question(s) Addressed

- What do grantees see as the major factors contributing to shortages of secondary CTE teachers in their state or community?
- How have the grantees used TPI funding to alleviate CTE teacher shortages?
- What challenges have grantees experienced in implementing their TPI activities, and what strategies are they using to overcome those challenges?
- Are there early indicators of success in alleviating CTE teacher shortages?

Design

During the first year of 2018–19, interviews were conducted with grant coordinators. In October, the interviews focused on initial grant implementation plans. In the spring of 2019, site visits were conducted with grantee partner organizations to learn more about detailed, on-the-ground experiences with CTE TPI implementation. During these site visits, interviews were held to learn more about root causes of CTE teacher shortages, how the grantees have implemented strategies to alleviate CTE teacher shortages, what challenges grantees have faced in implementing TPI activities, and what indicators of success grantees have experienced. A second round of interviews will take place starting in May 2020.

Estimated Completion Date

The report is scheduled for completion in summer 2021.

Study of Unsafe School Choice Option

Study Purpose

This study is examining state implementation of federal requirements to provide an Unsafe School Choice Option (USCO) that permits students attending a persistently dangerous public elementary or secondary school, or students who become victims of a violent criminal offense while in or on the grounds of a public school that they attend, be allowed to attend a safe public school within the school district, including a public charter school.

Key Question(s) Addressed

- What are states' processes for developing and reviewing USCO-related policies about student and school safety?
- How do states ensure that the data used to make determinations of persistently dangerous schools are accurate?
- For states with appeal processes for determinations of persistently dangerous schools, how have those appeals worked in practice?
- What guidance do states provide to districts on how to comply with the USCO provisions, including offering transfer to a victim of a violent criminal offense?
- How do states monitor district compliance with USCO provisions, including offering transfer to victims of a violent criminal offense while in or on the grounds of a public school they attend?

- What challenges have states encountered in implementing the USCO provisions, and how can they be addressed?

Design

This study includes interviews with state representatives in all 50 states, the District of Columbia, Puerto Rico, and the outlying areas that are most familiar with the implementation of the USCO provision. The study also includes analysis of extant documents.

Estimated Completion Date

The report is scheduled for completion in summer 2020.

Study of Preventing Aiding and Abetting of Sexual Abuse in Schools

Study Purpose

This study is examining how SEAs are implementing laws and policies to prohibit aiding and abetting sexual misconduct in schools in response to requirements under Section 8546 of ESSA. The study will also describe the challenges states have encountered implementing the ESSA requirements and how they have addressed these challenges. The study is not intended to determine the extent to which each state is complying with Section 8546, but rather, to inform the Department's technical assistance efforts by improving understanding of how states are implementing these provisions.

Key Question(s) Addressed

- To what extent do states have statutes, legislation, or regulations that prohibit aiding and abetting continued employment of school employees, contractors, or agents who have engaged or allegedly engaged in sexual misconduct with a student or minor?
- How did states develop statutes, legislation, regulations, and/or policies to address Section 8546?
- How are SEAs implementing statutes, regulations, and/or policies that prohibit aiding and abetting continued employment of school employees, contractors, or agents who have engaged in sexual misconduct with a student or minor?
- What challenges have SEAs faced in implementing the requirements of Section 8546?

Design

The study involves telephone interviews with knowledgeable staff in all 50 states, the District of Columbia, Puerto Rico, and the island territories (American Samoa, Guam, Northern Mariana Islands, and the U.S. Virgin Islands) about their jurisdiction's laws and policies to prohibit aiding and abetting of sexual misconduct in schools. In preparation for these interviews, the study team conducted a systematic review of publicly available documents related to Section 8546, including state statutes, pending legislation, and regulations. The study team will produce a final report that will aggregate findings from interviews and

document reviews across states. The report may also include state-by-state tables based on an analysis of documents. States will have the opportunity to review and verify these tables before the report's release.

Estimated Completion Date

The report is scheduled for completion in spring 2021.

Study of Student Support & Academic Enrichment Grants (Title IV, Part A)

Study Purpose

This study will describe the early implementation of Title IV-A grants, a state-administered grant program that is intended to improve student academic achievement by increasing the capacity of states, school districts, schools, and local communities to: (1) provide all students with access to a well-rounded education, (2) improve school conditions for student learning, and (3) improve the use of technology. The study will result in a final report and five practitioner briefs.

Key Question(s) Addressed

- How do districts decide how Title IV-A funds should be used, and how do states help inform those decisions?
- What services and activities are states and districts implementing with Title IV-A funds?
- What are examples of districts and schools using Title IV-A funds to implement evidence-based programs?

Design

The study will include interviews with state Title IV-A coordinators in all 50 states, the District of Columbia, and Puerto Rico. It will also include a nationally representative survey of 800 school districts receiving Title IV-A funds and site visits to 15 subgrantees. The site visits will include interviews with district Title IV-A coordinators, principals, and teachers; observations; and review of needs assessments, plans, and other documents. The surveys will be conducted in summer 2020 and the site visits will occur in early 2021.

Estimated Completion Date

The report is scheduled for completion in fall 2021. The briefs are scheduled for completion in early 2022.

Study of Key Aspects of Early Implementation of School Improvement Plans

Study Purpose

This study is examining state and local implementation of the school improvement provisions under Title I of ESEA. The study will focus on schools identified for comprehensive support and improvement (CSI), which includes the lowest-performing 5 percent of Title I schools, high schools failing to graduate one third or more of their students, and additional

targeted support Title I schools who did not meet the state’s exit criteria. One objective of this study is to determine the extent to which states leverage the flexibility provided by ESSA for SEAs and local educational agencies (LEAs) to design new approaches to school improvement. The study will produce a set of five briefs that each focus on different aspects of implementation.

Key Question(s) Addressed

- What are the characteristics of identified CSI schools nationally and within each state?
- How do states allocate section 1003 funds to LEAs?
- How are CSI plans developed, implemented, and supported?
- How are states and LEAs monitoring implementation?

Design

The study will include (1) an analysis of extant data on CSI schools from ED Facts, the Civil Rights Data Collection (CRDC), and other sources; (2) a review of state documents related to processes and procedures for implementing state-level school improvement requirements; (3) a review of a nationally representative sample of CSI plans; and (4) case studies of CSI implementation in a nested sample of 6 states, 18 school districts, and 36 CSI schools that include telephone interviews with state administrators and 2- to 3-day site visits to each school district and its schools.

Estimated Completion Date

The briefs are scheduled for completion in spring 2022.

Cross-Cutting Resource Allocation Study

Study Purpose

This study is examining the targeting and uses of federal funds for five major education programs: Part A of Titles I, II, III, and IV of ESEA, including school improvement grants provided under Section 1003 of Title I, Part A, as well as Title I, Part B of IDEA. The study will culminate in a cross-cutting final report, as well as five program-specific evaluation briefs that summarize key findings for each of the five programs in the study.

Key Question(s) Addressed

- What share of total funding is provided through federal programs, both overall and for specific types of students and services or resources?
- To what extent are federal program funds reaching the districts and schools with the greatest needs?
- How do districts and schools use federal education funds, and what specific services and resources are provided through these funds?
- How do federal programs support and/or restrict district and school flexibility over use of the funds, and how do districts and schools use existing flexibilities?

Design

The study will collect detailed fiscal data from a nationally representative sample of school districts, including budgets, plans, expenditure data, and personnel and payroll data. In addition, the study will collect data on allocations to districts and schools to examine how the distribution of funds varies in relation to program goals and student needs, survey district and school officials to explore such issues as the types of services and resources that are provided through the federal funds, coordination across programs, and use of flexibility, conduct interviews in nine case study districts to obtain more in-depth data, and analyze fiscal data.

Estimated Completion Date

The final report is scheduled for completion in December 2021. Five program-specific briefs are planned to be released in spring 2022.

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Appendix E. Glossary of Acronyms and Abbreviations

Acronym	Definition
ACCT	Account
ACSI	American Customer Satisfaction Index
AIR	Association for Institutional Research
ALL	All
APBH	American Printing House for the Blind
APG	Agency Priority Goal
API	Application Programming Interface
APR	Annual Performance Report
ATB	Ability to Benefit
BA	Bachelor's Degree
BPO	Business Process Operations
CAP	Cross-Agency Priority
CCD	Common Core of Data
CDM	Continuous Diagnostics and Mitigation
CDO	Chief Data Officer
CEDS	Common Education Data Standards
CIO	Chief Information Officer
CLASS®	Classroom Assessment Scoring System®
CLSD	Comprehensive Literacy State Development
CMO	Charter Management Organization
CoP	Community of Practice
CRDC	Civil Rights Data Collection
CSA	Charter School Authorizer
CSAM	Cybersecurity Assessment and Management
CSF	Cybersecurity Framework
CSI	Comprehensive Support and Improvement
CSP	Charter Schools Program
CSPR	<i>Consolidated State Performance Report</i>
CTAE	Career, Technical, and Adult Education
CTE	Career and Technical Education
DCC	Digital and Customer Care

Acronym	Definition
DDI	Data-Driven Instruction
DEFEND	Dynamic and Evolving Federal Enterprise Network Defense
DGB	Data Governance Board
DHS	U.S. Department of Homeland Security
DLR	Digital Learning Resource
DM	Departmental Management
DOJ	U.S. Department of Justice
DST	Data Strategy Team
ECE	Early Care and Education
ED	U.S. Department of Education
EDGAR	Education Department General Administrative Regulations
EDGB	EDFacts Data Governance Board
EFS	Education Freedom Scholarships
EIR	Education Innovation and Research
EL	English Learner
ELA	English Language Acquisition
EO	Executive Order
EOP	Emergency Operations Plan
EPS	Enhanced Processing Solution
ERM	Enterprise Risk Management
ESEA	<i>Elementary and Secondary Education Act of 1965</i>
ESED	Elementary and Secondary Education for the Disadvantaged
ESI	Experimental Sites Initiative
ESSA	<i>Every Student Succeeds Act</i>
FAFSA®	<i>Free Application for Federal Student Aid®</i>
FCSS	Federal Commission on School Safety
FDSL	Federal Direct Student Loan
FERPA	<i>Family Educational Rights and Privacy Act</i>
FEVS	Federal Employee Viewpoint Survey
FFEL	Federal Family Education Loan
FIPSE	Fund for the Improvement of Post-secondary Education
FSA	Federal Student Aid
FWSP	Federal Work-Study Program
FY	Fiscal Year
G5	Grants Management System
GAO	Government Accountability Office

Acronym	Definition
GEAR UP	Gaining Early Awareness and Readiness for Undergraduate Programs
GLBA	<i>Gramm-Leach-Bliley Act</i>
GPRRA	<i>Government Performance and Results Act of 1993</i>
GPRAMA	<i>Government Performance and Results Act Modernization Act of 2010</i>
GU	Gallaudet University
HBCU	Historically Black College and University
HE	Higher Education
HEA	<i>Higher Education Act of 1965</i> , as amended
HEAL	Health Education Assistance Loan
HHS	U.S. Department of Health and Human Services
HSI STEM	Hispanic Serving Institution Science, Technology, Engineering, and Mathematics Articulation Program
I&I	Innovation and Improvement
IA	Impact Aid
ICAM	Identity Credential and Access Management
IDEA	<i>Individuals with Disabilities Education Act</i>
IES	Institute of Education Sciences
IESE	Improving Elementary and Secondary Education
IET	Integrated Education and Training
IHE	Institution of Higher Education
IPEDS	Integrated Postsecondary Education Data System
IRC	Internal Revenue Code
ISO	Information System Owner
ISSO	Information System Security Officer
IT	Information Technology
kbps	Kilobits per Second
LDD	Learning and Development Division
LEA	Local Educational Agency
MEP	Migrant Education Program
MSAP	Magnet Schools Assistance Program
MSI	Minority-Serving Institution
MSIX	Migrant Student Information Exchange
MTSS-B	Multi-tiered Systems of Support for Behavior
N/A	Not Applicable
NCEE	National Center for Education Evaluation

Acronym	Definition
NCES	The National Center for Education Statistics
Next Gen FSA	<i>Next Generation Financial Services Environment</i>
NTID	National Technical Institute for the Deaf
OCDO	Office of the Chief Data Officer
OCFO	Office of the Chief Financial Officer (this office is part of the Office of Finance and Operations effective January 6, 2019)
OCIO	Office of the Chief Information 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
OFO	Office of Finance and Operations
OIE	Office of Indian Education
OIG	Office of Inspector General
OMB	Office of Management and Budget
OPE	Office of Postsecondary Education
OPEPD	Office of Planning, Evaluation, and Policy Development
OPM	Office of Personnel Management
OPS	Optimal Processing Solution
OSEP	Office of Special Education Programs
OSERS	Office of Special Education and Rehabilitative Services
OSP	Opportunity Scholarship Program
PA	Program Administration
PBIS	Positive Behavior Interventions and Supports
PIVOT	Portfolio of Integrated Value-Oriented Technologies
PMA	<i>President's Management Agenda</i>
POA&M	Plan of Action and Milestone
POC	Principal Operating Component
PPO	Partner Participation and Oversight
PPSS	Policy and Planning Studies Services
PROMISE	Promoting Readiness of Minors in Supplemental Security Income
PTAC	Privacy Technical Assistance Center
PY	<i>Program Year</i>
REHAB	Rehabilitation Services and Disability Research
REL	Regional Educational Laboratory
ROI	Return on Investment

Acronym	Definition
RRTF	Regulatory Reform Task Force
RSA	Rehabilitation Services Administration
RTT-ELC	Race to the Top–Early Learning Challenge Program
SA	State Agency
SAA	Student Aid Administration
SE	Special Education
SEA	State Educational Agency
SEM	Strategic Enrollment Management
SES	Senior Executive Service
SFA	Student Financial Assistance
SIP	Strengthening Institutions Program
SLDS	Statewide Longitudinal Data Systems
SO	Statistical Officer
SOC	Security Operations Center
SPPO	Study Privacy Policy Office
SRCL	Striving Readers Comprehensive Literacy
SSCE	Safe Schools and Citizenship Education
STEM	Science, Technology, Engineering, and Mathematics
SY	School Year
TBD	To Be Determined
TEACH	Teacher Education Assistance for College and Higher Education
TPI	Teacher Pathways Initiative
TQRIS	Tiered Quality Rating Improvement System
TSL	Teacher and School Leader
USCO	Unsafe School Choice Option
VPN	Virtual Private Network
VR	Vocational Rehabilitation
WIOA	<i>Workforce Innovation and Opportunity Act</i>
WINTAC	Workforce Innovation Technical Assistance Center
WSF	Weighted Student Funding

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U.S. Department of Education

Betsy DeVos

Secretary

February 10, 2020

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