



FY 2016 Annual Performance Report and FY 2018 Annual Performance Plan

U.S. Department of Education

Betsy DeVos

Secretary

May 23, 2017

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The following companies were contracted to assist in the preparation of the U.S. Department of Education
FY 2016 Annual Performance Report and FY 2018 Annual Performance Plan:

For general layout and web design: ICF Macro

Foreword

As required by the *Government Performance and Results Act (GPRA) Modernization Act of 2010*, each federal agency must report annually on its progress in meeting the goals and objectives established by its Strategic Plan. The United States Department of Education's (the Department's) *Fiscal Year (FY) 2016 Annual Performance Report and FY 2018 Annual Performance Plan* presents to Congress, the President, and the American people detailed information about progress in meeting the Department's strategic goals and objectives and performance metrics. This report accompanies the administration's budget request to Congress. The complete budget request for the Department will be available at <http://www.ed.gov/about/overview/focus/performance.html>.

This year, the Department is consolidating its *FY 2016 Annual Performance Report* and the *FY 2018 Annual Performance Plan* into one report on its [U.S. Department of Education Strategic Plan for Fiscal Years 2014–2018](#). The data included in this report for the *FY 2014–18 Strategic Plan* metrics are the most current data available to the Department. The Department's FY 2016 annual reporting includes these two documents:

FY 2016 Annual Performance Report and FY 2018 Annual Performance Plan

[available May 2017]

This report is produced in conjunction with the FY 2018 President's Budget Request and provides more detailed performance information and analysis of performance results.

FY 2016 Agency Financial Report (AFR) [published November 14, 2016]

The AFR is organized into three major sections:

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

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

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**FY 2016 Annual Performance
Report and FY 2018 Annual
Performance Plan**

Our Mission

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

Mission and Organizational Structure

Who We Are. In 1867, the federal government recognized that furthering education was a national priority and created a federal education agency to collect and report statistical data. The Department was established as a cabinet-level agency in 1980. Today, the Department supports programs in every area and level of education.

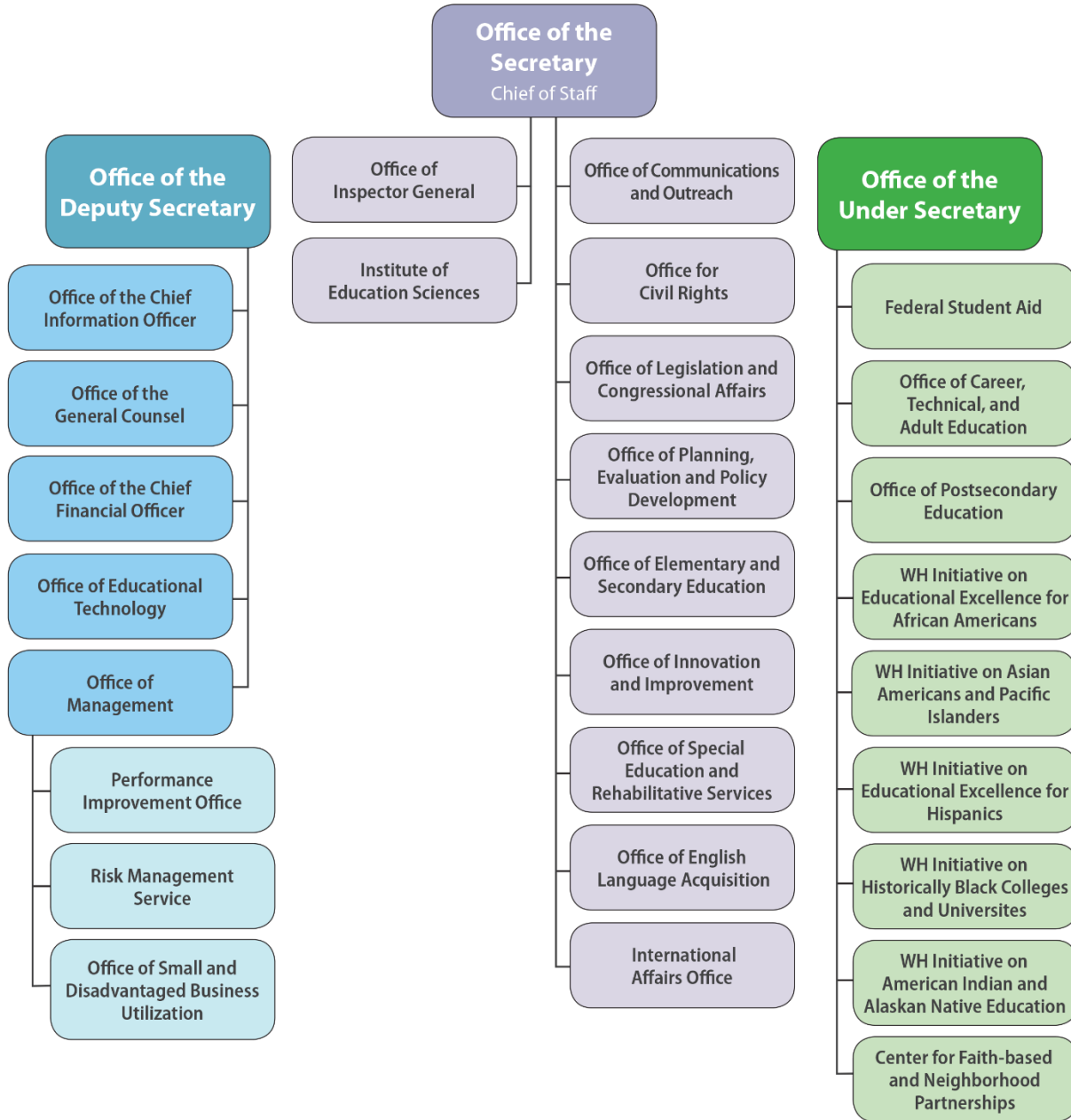
Our Public Benefit. While recognizing the primary role of states and school districts in providing a high-quality education, the Department is committed to helping ensure that students throughout the nation develop skills to succeed in school, college, and the workforce. The Department supports efforts to help students succeed regardless of background or circumstance by encouraging challenging content, setting high expectations for all students, and monitoring academic progress.

The Department's largest fiscal responsibility is a portfolio of student loans (see the [Financial Highlights](#) and [Notes](#) sections of the *Agency Financial Report* [AFR]). The second-largest fiscal responsibility is grants to states, mostly for elementary and secondary education, awarded based on both statutory formulas (see the chart on page 6 of the AFR) and competitions. The third largest fiscal responsibility is student aid to help pay for college through Pell Grants, Work Study, and other campus-based programs (see the [Notes section](#) of the AFR).

The Department also supports research, collects education statistics, enforces civil rights statutes, and carries out competitive grant programs to promote innovation (see [The Department's Approach to Performance Management section](#)).

Our Organization in Fiscal Year 2016

This chart reflects the coordinating structure of the U.S. Department of Education in FY 2016.



About This Report

The United States Department of Education's (the Department's) *FY 2016 Annual Performance Report* (APR) and *FY 2018 Annual Performance Plan* (APP) provide information relative to the *FY 2014–18 Strategic Plan*.

About the *Agency Financial Report*

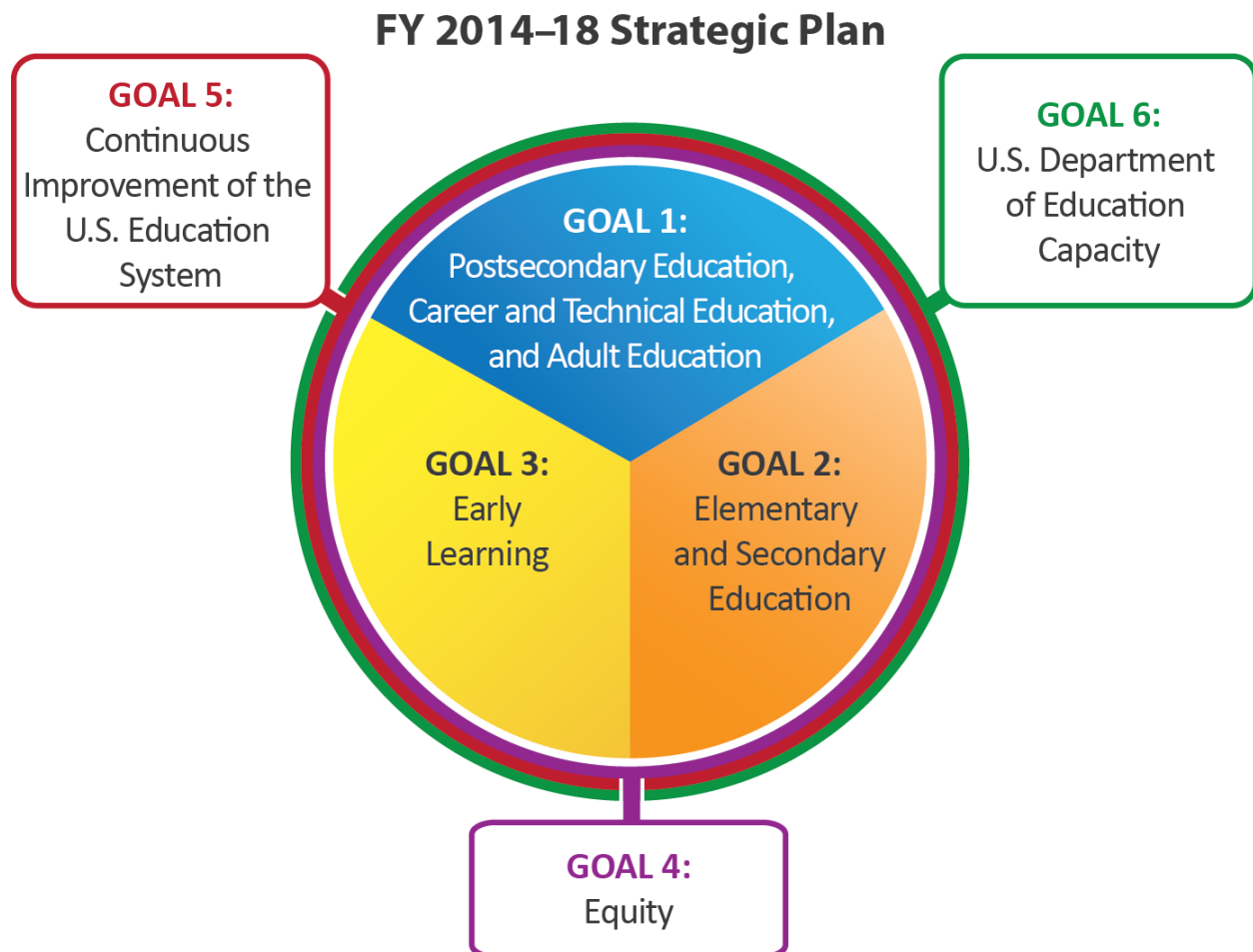
The AFR is available [on the Department's website](#). The Management's Discussion and Analysis section highlights information on the Department's performance, financial statements, systems and controls, compliance with laws and regulations, and actions taken or planned to address select challenges. The Department's intent is to provide users with access to helpful information about the Department and its financial and performance activities. To help continue to improve the content of the AFR, readers are encouraged to provide their feedback at AFRComments@ed.gov.

Performance Results Details

Performance Management Framework

In accordance with the [Government Performance and Results Act \(GPRA\) Modernization Act of 2010](#), the *Strategic Plan* is the basis for the Department's performance management framework. The Department uses quarterly performance reviews, targeted strategic initiatives, and outreach to leaders and stakeholders to assess progress and garner engagement toward achieving strategic goals and outcomes.

The performance data presented in this report are based on the goals in the Department's [FY 2014–18 Strategic Plan](#) (outlined below). The Department welcomes input from Congress, state and local partners, and other education stakeholders on its *Strategic Plan* and Agency Priority Goals (APGs). Questions or comments about the Department's performance management framework and reporting should be e-mailed to PIO@ed.gov.



The *FY 2014–18 Strategic Plan* is comprised of six strategic goals, which serve as the foundation for establishing long-term priorities. Within each goal are strategic objectives that the Department undertakes to realize the goal. For each objective, the Department has established measures to gauge its progress. Additionally, in collaboration with the Office of Management and Budget (OMB), the Department established FY 2016–17 [APGs](#) and reported quarterly updates on these APGs on [performance.gov](#).

The Department monitors progress toward its strategic goals and its APGs using data-driven review and analysis. This focus promotes active management engagement across the Department.

FY 2014–18 Strategic Plan¹

AGENCY MISSION		
<p>Mission: To promote student achievement and preparation for global competitiveness by fostering educational excellence and ensuring equal access</p>		
FY 2014–18 STRATEGIC PLAN		
Strategic Goals	Strategic Objectives	FY 2016–17 Agency Priority Goals
<p>Goal 1: Postsecondary Education, Career and Technical Education, and Adult Education. Increase college access, affordability, quality, and completion by improving postsecondary education and lifelong learning opportunities for youths and adults.</p>	<p>Objective 1.1: Access and Affordability. Close the opportunity gap by improving the affordability of and access to college and/or workforce training, especially for underrepresented and/or underprepared populations (e.g., low-income and first-generation students, English learners, individuals with disabilities, adults without high school diplomas, etc.).</p> <p>Objective 1.2: Quality. Foster institutional value to ensure that postsecondary education credentials represent effective preparation for students to succeed in the workforce and participate in civic life.</p> <p>Objective 1.3: Completion. Increase degree and certificate completion and job placement in high-need and high-skill areas, particularly among underrepresented and/or underprepared populations.</p> <p>Objective 1.4: Science, Technology, Engineering, and Mathematics Pathways. Increase STEM pathway opportunities that enable access to and completion of postsecondary programs.</p>	<ul style="list-style-type: none"> • Increase college degree attainment in America • Federal Student Aid Transparency
<p>Goal 2: Elementary and Secondary Education. Improve the elementary and secondary education system's ability to consistently deliver excellent instruction aligned with rigorous academic standards while providing effective support services to close achievement and opportunity gaps, and ensure all students graduate high school college- and career-ready.</p>	<p>Objective 2.1: Standards and Assessments. Support implementation of internationally benchmarked college- and career-ready standards, with aligned, valid, and reliable assessments.</p> <p>Objective 2.2: Effective Teachers and Strong Leaders. Improve the preparation, recruitment, retention, development, support, evaluation, recognition, and equitable distribution of effective teachers and leaders.</p> <p>Objective 2.3: School Climate and Community. Increase the success, safety, and health of students, particularly in high-need schools, and deepen family and community engagement.</p> <p>Objective 2.4: Turn Around Schools and Close Achievement Gaps. Accelerate achievement by supporting states and districts in turning around low-performing schools and closing achievement gaps, and developing models of next-generation high schools.</p> <p>Objective 2.5: STEM Teaching and Learning. Increase the number and quality of STEM teachers and increase opportunities for students to access rich STEM learning experiences.</p>	<ul style="list-style-type: none"> • Support implementation of college- and career-ready standards and assessments

¹ This graphic reflects the *Strategic Plan* adopted by the Department in 2014.

FY 2014–18 STRATEGIC PLAN		
Strategic Goals	Strategic Objectives	FY 2016–17 Agency Priority Goals
<p>Goal 3: Early Learning. Improve the health, social-emotional, and cognitive outcomes for all children from birth through 3rd grade, so that all children, particularly those with high needs, are on track for graduating from high school college- and career-ready.</p>	<p>Objective 3.1: Access to High-Quality Programs and Services. Increase access to high-quality early learning programs and comprehensive services, especially for children with high needs.</p> <p>Objective 3.2: Effective Workforce. Improve the quality and effectiveness of the early learning workforce so that early childhood educators have the knowledge, skills, and abilities necessary to improve young children’s health, social-emotional, and cognitive outcomes.</p> <p>Objective 3.3: Measuring Progress, Outcomes, and Readiness. Improve the capacity of states and early learning programs to develop and implement comprehensive early learning assessment systems.</p>	<ul style="list-style-type: none"> • Increase enrollment in high-quality state preschool programs
<p>Goal 4: Equity. Increase educational opportunities for underserved students and reduce discrimination so that all students are well-positioned to succeed.</p>	<p>Objective 4.1: Equitable Educational Opportunities. Increase all students’ access to educational opportunities with a focus on closing achievement gaps and remove barriers that students face based on their race, ethnicity, or national origin; sex; sexual orientation; gender identity or expression; disability; English language ability; religion; socioeconomic status; or geographical location.</p> <p>Objective 4.2: Civil Rights Compliance. Ensure educational institutions’ awareness of and compliance with federal civil rights obligations and enhance the public’s knowledge of their civil rights.</p>	<ul style="list-style-type: none"> • Ensure equitable educational opportunities
<p>Goal 5: Continuous Improvement of the U.S. Education System. Enhance the education system’s ability to continuously improve through better and more widespread use of data, research and evaluation, evidence, transparency, innovation, and technology.</p>	<p>Objective 5.1: Data Systems and Transparency. Facilitate the development of interoperable longitudinal data systems for early learning through employment to enable data-driven, transparent decision-making by increasing access to timely, reliable, and high-value data.</p> <p>Objective 5.2: Privacy. Provide all education stakeholders, from early childhood to adult learning, with technical assistance and guidance to help them protect student privacy while effectively managing and using student information.</p> <p>Objective 5.3: Research, Evaluation, and Use of Evidence. Invest in research and evaluation that builds evidence for education improvement; communicate findings effectively; and drive the use of evidence in decision-making by internal and external stakeholders.</p> <p>Objective 5.4: Technology and Innovation. Accelerate the development and broad adoption of new, effective programs, processes, and strategies, including education technology.</p>	<ul style="list-style-type: none"> • Enable evidence-based decision making
<p>Goal 6: U.S. Department of Education Capacity. Improve the organizational capacities of the Department to implement the Strategic Plan.</p>	<p>Objective 6.1: Effective Workforce. Continue to build a high-performing, skilled, diverse, and engaged workforce within the Department.</p> <p>Objective 6.2: Risk Management. Improve the Department’s program efficacy through comprehensive risk management, and grant and contract monitoring.</p> <p>Objective 6.3: Implementation and Support. Build Department capacity and systems to support states’ and other grantees’ implementation of reforms that result in improved outcomes, and keep the public informed of promising practices and new reform initiatives.</p> <p>Objective 6.4: Productivity and Performance Management. Improve workforce productivity through information technology enhancements, telework expansion efforts, more effective process performance management systems, and state-of-the-art leadership and knowledge management practices.</p>	

Cross-Agency Priority (CAP) Goals

[Cross-Agency Priority \(CAP\) Goals](#) are used to accelerate progress on a limited number of priority areas where implementation requires active collaboration between multiple agencies.

The 15 CAP Goals include the following 7 mission-oriented and 8 management-focused goals.

Mission CAP Goals	Management CAP Goals
<ul style="list-style-type: none"> • Cybersecurity • Service Members and Veterans Mental Health • Climate Change (Federal Actions) • Insider Threat and Security Clearance Reform • Job-Creating Investment • Infrastructure Permitting Modernization • STEM Education 	<ul style="list-style-type: none"> • Customer Service • Smarter IT Delivery • Category Management • Shared Services • Benchmark and Improve Mission-Support Operations • Open Data • Lab-To-Market • People and Culture

The Department contributes to the following four CAP Goals:

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

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

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

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

The Department's Approach to Data Collection and Analysis

In FY 2016, the Department continued to support programs to help the education system by facilitating the development of the infrastructure necessary to collect and disseminate high-value education information for the improvement of student outcomes.

EDFacts. The [EDFacts](#) system enables the consolidation of separate school-, district-, and state-level data collections and reduces the reporting burden for states by eliminating redundant data requests.

Statewide Longitudinal Data Systems. The [Statewide Longitudinal Data Systems \(SLDS\) grant program](#), as authorized by the *Educational Technical Assistance Act of 2002*, is designed to aid state educational agencies (SEAs) in developing and implementing longitudinal data systems. Most SLDS funds are awarded as state grants, but a portion of the funds are used for activities to improve data quality, coordination, and use. Activities include the Education Data Technical Assistance program and the [Privacy Technical Assistance Center](#).

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

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

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

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

Support for the Department's Evaluations

To determine the effectiveness of programs, policies, and strategies for improving education outcomes, funding is directed toward evaluations that will yield valid, reliable, and useful information for the field. For a list of evaluations completed in FY 2016 and of those planned through FY 2018, see appendix D.

Performance Plan Summary

Looking Ahead and Addressing Challenges

With new leadership, the Department of Education begins a fresh start for educational opportunity and innovation in America. For too long, educators have had to spend significant time filling out paperwork and seeking permission to enact commonsense reforms. In the future, this agency will be a mirror—reflecting and illuminating the tremendous work that educators do every day with the support of parents, advocates, current and former students, and community members.

Our goal is to support greater state and local flexibility in elementary and secondary education, already underway with implementation of the *Every Student Succeeds Act*, while helping every student receive a high-quality education. Rather than merely enforcing compliance, the Department will empower educators. The Department also will embolden parents and students to make their own choices, whether traditional public, public charter, private, or other innovative options. Our guiding principle for assisting this work is simple: Let teachers teach, let students learn, and let parents decide the path their child's education will take.

Greater flexibility must take root in higher education as well. That means innovative new models for delivering an affordable, accessible, high-quality postsecondary education that holds all institutions accountable for their use of taxpayer funds. The Department will also seek to improve and, if necessary, repeal regulations that needlessly burden institutions of higher education and drive up costs and debt for students. This will allow colleges and universities to spend less time on paperwork and bureaucracy and more time on instruction and research.

The Department has a key role to play in enforcing the law and ensuring every student—and especially the most vulnerable—has access to a high-quality education and receives the protections guaranteed them under the law. This important work will be strengthened by leaders in state capitals, district offices, and college administration buildings having the opportunity to do things differently to meet the needs of their students. Greater flexibility will mean more opportunities for students, but only if those new possibilities are explored and new ideas are encouraged.

Therefore, over the next year, the Department will:

- Identify internal processes and regulations that are out-of-date, are not reflective of best practices, are legally insufficient, or are too cumbersome for teachers, principals, and parents. In every case, why a regulation is necessary and reasonable will need to be demonstrated.
- Proactively reach out to educators, parents, institutions, and state and local leaders to identify opportunities for additional flexibility and support.
- Work with members of Congress from both parties to identify additional opportunities to reduce the red tape that encumbers or distracts educational institutions from their central mission of educating their students.
- Ensure that billions of dollars in federal student aid will be spent effectively, producing positive outcomes for students and a solid return on investment for the taxpayer and society.

While decisions made by local government will be valued, there is no educational decision more local or more important than that made by a child's parent or guardian. The Department will support parental choice—not as an endorsement of private, charter, magnet, virtual, or traditional public schools, but as an acknowledgment of parental wisdom and authority to make decisions important to their child's future. High-quality data and transparency at the state, local, and school levels will further empower parents to make the best decisions for their children.

Many have favored school turnaround efforts over parental choice. Under the School Improvement Grants (SIG)—\$7 billion was spent in recent years alone and a comprehensive evaluation of the program found “no significant impacts” on any student outcome.

If we can identify a school turnaround model that shows promise, we want to learn about it. If we find a solution that demonstrates consistent results, we want to support it. However, we cannot wait and hope for a miracle, while blocking efforts that can help millions of children immediately. That is why we must invest in what we know works for students even as we continue to innovate and build knowledge.

We must also refocus our efforts—and our federal, state, and local partnerships—on helping Americans get ahead and stay ahead by finding a fulfilling and well-paying career. Career and technical education must be aligned with state standards and directed towards areas of greatest need where there is the greatest potential for a good job. Although the needs of employers must be considered to a much greater degree than they are currently, an education must first and foremost provide a student with knowledge and skills that will yield benefits for a lifetime, not simply a single job.

Similarly, while job training cannot be the sole focus of a bachelor's degree, there are far too many students who leave campus saddled with debt and lacking employable skills. In partnership with organizations representing students, taxpayers, educators, and colleges, we will support new paths to a meaningful credential and a fulfilling career. Through innovation and commonsense approaches to providing aid to those who need it most, we can make a quality postsecondary education more accessible and more affordable to all.

When developing any new policy, the Department will remember the interests of students first. It will remember the service member leaving active duty and looking to build employable skills, the student with special needs looking to build a life of dignity and purpose but lacking the supports she deserves, and the child from poverty looking to build a better life but unsure where to turn for a helping hand. As the Department of Education begins a new chapter, it will be with a focus on empowering these and so many other Americans to realize their full potential.

Data Verification and Validation

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

Agencies may develop a single data verification and validation appendix used to communicate the agency's approaches, and/or may also choose to provide information about data quality wherever the performance information is communicated (e.g., websites).²

² OMB Circular A-11, *Preparation, Submission, and Execution of the Budget*, Part 6, Section 260.9, 2014.

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

Reporting on Progress

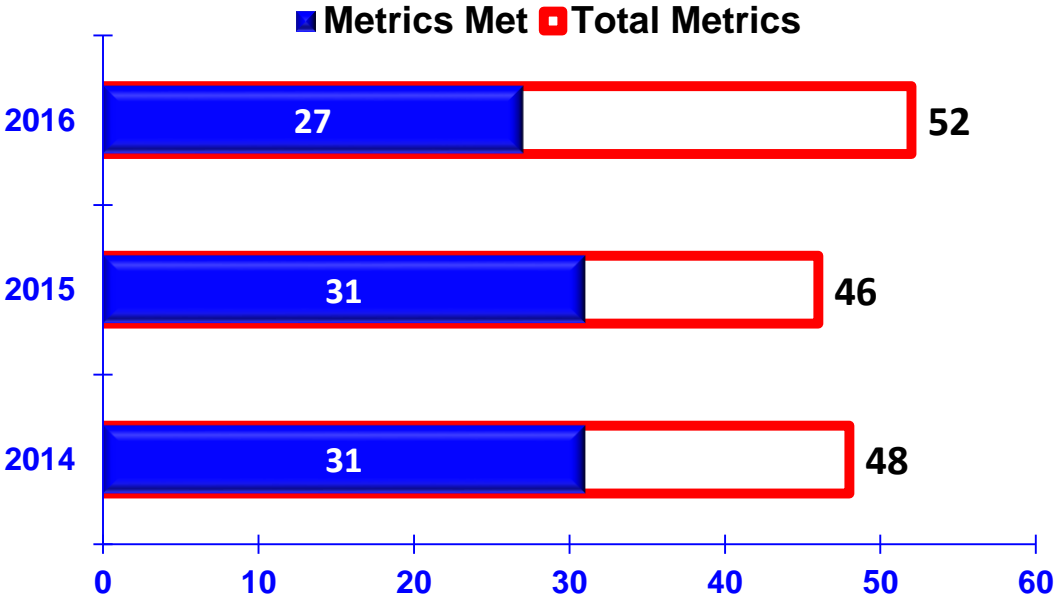
The Department continues to use quarterly performance reviews, targeted strategic initiatives, and outreach to leaders and stakeholders to assess progress and garner engagement toward achieving strategic goals and outcomes. Continuous improvement rests on ongoing cycles of assessing performance, examining data, and applying lessons learned to improve practices. Creating a culture of continuous improvement is at the heart of the Department's efforts to partner with and support educators, administrators, and policymakers, with the intent of obtaining better outcomes for all students.

The Department's *Strategic Plan* portfolio of metrics (indicators) shifts year-over-year.³ For example, metrics are retired as more meaningful metrics are identified that can drive the Department's strategic goals and objectives forward. In FY 2016, the Department added (including metrics re-baselined) a total of 18 performance metrics to its public annual performance reporting. The Department met 50 percent of the targets for those new metrics.

Overall, in FY 2016, the Department met 27 of its 52 performance metric targets, exceeded the targeted results for 23 of those metrics, and just missed the targets for 7 metrics. The Department continues to be committed to identifying performance metrics that are meaningful and drive the Department's work forward and to establishing targets that are both ambitious and attainable. With the removal and addition of performance metrics each fiscal year, the Department has seen a decrease in performance metric targets met overall from FY 2014 through FY 2016.

³ See appendix B (Changed Performance Goals) of the *FY 2015 Annual Performance Report and FY 2017 Annual Performance Plan*, available online at <https://www2.ed.gov/about/reports/annual/2017plan/2015-2017-apr-app-plan-appdx-b.pdf>.

External (Public-facing) Metrics



Fiscal Year	Total External Metrics	External Metrics Met	% Met	Year/Year Change
2014	48	31	64.6%	
2015	46	31	67.4%	4.3%
2016	52	27	51.9%	-23.0%

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

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

Goal Leader: Under Secretary

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

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

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

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

Public Benefit

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

In FY 2016, the Department delivered nearly \$126 billion in grants, work-study, and loan assistance to more than 13 million postsecondary students at over 6,600 schools.⁴ In addition, the Department administered \$2 billion annually in grants to strengthen postsecondary institutions and promote college readiness, and nearly \$1.7 billion in grant funds for career and technical education (CTE) programs⁵ and adult education programs aimed at helping youth and adults attain the academic and technical skills and knowledge necessary to transition to postsecondary education, training, and employment.

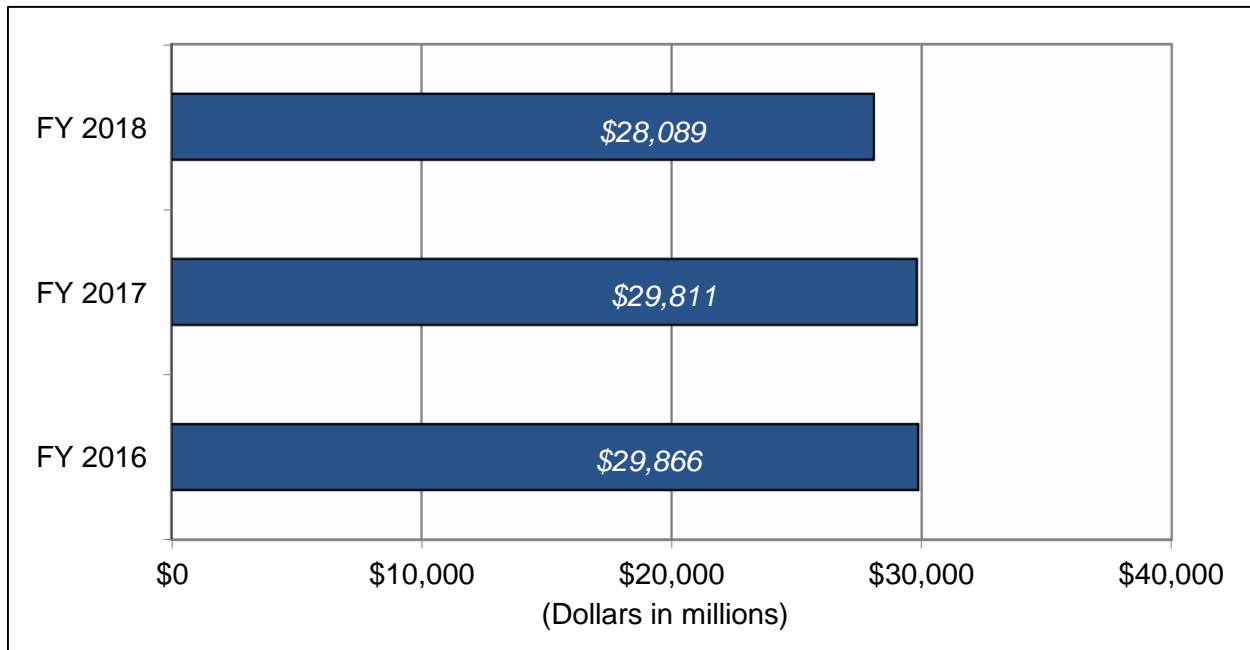
The Department developed resources, including the [College Affordability and Transparency Center](#), the [Financial Aid Shopping Sheet](#), and other loan counseling and financial literacy resources, to provide students and families with enhanced tools for informed decision-making. Additionally, the [Federal Student Aid Feedback System](#) provides a way for students, parents, borrowers, and others to file complaints about their experiences with federal aid programs and

⁴ Federal Student Aid Annual Report FY 2016.

⁵ Of the roughly \$1.1 billion in Perkins formula funds that are distributed by states to local recipients, approximately 40 percent are allocated for postsecondary CTE programs.

institutions. The Department will use the feedback to improve the experience for current and future borrowers.

Goal 1 Discretionary Resources



Major Discretionary Programs and Activities⁶ Supporting Goal 1 Performance Metrics [Dollars in Millions]

POC	Account	Obj.	Program	FY 2016 Appropriation	FY 2017 Annualized CR ⁷	FY 2018 President's Budget
FSA	DM/SAA		Student Aid Administration: Salaries and expenses	697	694	681
FSA	DM/SAA		Student Aid Administration: Servicing Activities	855	855	1,017
FSA	SFA	1.1	Federal Pell grants: Discretionary	22,475	22,433	22,433
OCTAE	CTAE	1.1, 1.2, 1.3	Adult basic and literacy education state grants	582	581	486
OCTAE	CTAE	NA	Career and technical education state grants	1,116	1,115	949
OPE	HE	1.1, 1.3	Federal TRIO programs	900	898	808
Subtotal				26,625	26,576	26,374
Other Discretionary Programs/Activities				3,241	3,234	1,715
TOTAL, GOAL 1				29,866	29,811	28,089

POC = Principal Operating Component.

CR = Continuing Resolution.




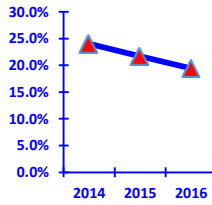
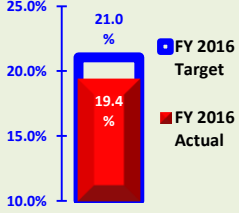



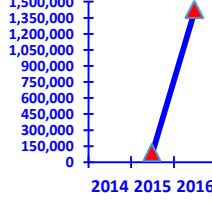
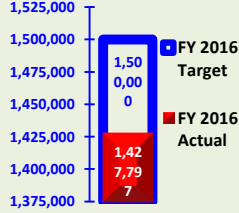
NA = Not applicable.

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

⁶ All the programs listed are discretionary programs, as distinct from mandatory programs. These include both competitive and noncompetitive/formula programs.

⁷ A full-year 2017 appropriation was not enacted at the time the FY 2018 Budget was prepared; therefore, the Budget is built off of the *Further Continuing Appropriations Act, 2017* (P.L. 114-254). The amounts included for 2017 reflect the annualized level provided by the continuing resolution.

Goal 1: Details


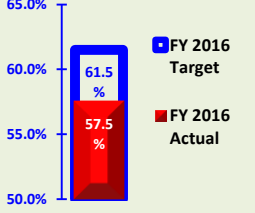
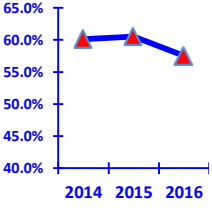
U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁸	Exceeded ⁹	2017	2018	
1.1.A. Federal student loan delinquency rate 	FY: End of FY 2014–15 21.7%	FY: 2013–14 24.0%	FY: 2014–15 21.7%	FY: 2015–16 19.4%	FY: 2015–16 21.0%	MET			18.8%	>= 3 % points below previous year's actual	
											
1.1.B. Web traffic to the College Scorecard¹⁰ 	09/12/2014–9/11/2015 ¹¹ 91,011 (Excluding new Scorecard launch on Sept. 12, 2015)	NA	FY: 2015 91,011	FY: 2016 1,427,797	FY: 2016 1,500,000	NOT MET			1,800,000	TBD	
											

⁸ Missed target by <=1, or if percentage, <=1.3 percentage points.

⁹ Surpassed target; not just met the target. If a diminishing target, the actual was below the reduction target set.

¹⁰ Performance metric is transitioning to Strategic Goal 5 in FY 2017.

¹¹ In the 2015 APR, the baseline was noted as being a fiscal year. However, the baseline was measured using 09/12/2014–09/11/2015 data. The period did not align with the fiscal year in order to exclude anomalous data from the release of the new College Scorecard on September 12, 2015.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁸	Exceeded ⁹	2017	2018	
1.1.C. Percentage of first-time FAFSA filers among high school seniors¹² INCREASE 	SY: 2012–13 59.2%	SY: 2013–14 60.1%	SY: 2014–15 60.5%	SY: 2015–16 57.5%	SY: 2015–16 59.5%–61.5%	NOT MET			NA	NA	
New Metric: Number of first-time FAFSA filers among high school seniors	Application Cycle Applicants 5-Year Average 2012/13–2016/17 2,016,304	AY: 2014–15 (FY: 2014) 2,021,691	AY: 2015–16 (FY: 2015) 2,009,155	AY: 2016–17 (FY: 2016) 2,015,138	NA	NA	NA		2,016,304	2,021,345	NA


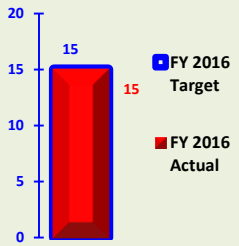
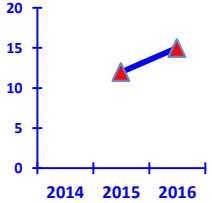

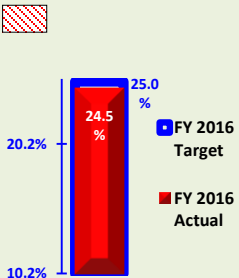
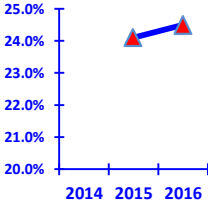
¹² Revising metric language (in the 2014 and 2015 APR read as: “Percentage of high school seniors filing a FAFSA”) to align with how the metric is captured in the Federal Student Aid (FSA) Strategic Plan. All of the underlying assumptions and calculation methodologies were confirmed by FSA to be the same. Retiring metric at conclusion of FY 2016. Please see appendix B for additional information pertaining to the metric’s retirement. The FY 2017 target was 56.5%–58.5%, and FY 2018 was +/- one percentage point over prior year’s actual.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁸	Exceeded ⁹	2017	2018	
Indicator Measurement Direction 1.1.D. Index of national aggregate annual earnings of VR consumers (based on the number of competitive integrated employment outcomes, hours worked, and hourly wages of VR consumers)	FY: 2010 \$57,971,317	FY: 2014 \$61,800,214	FY: 2015 \$64,688,320 ¹³	FY: 2016 \$66,791,933	FY: 2016 \$65,608,896	MET			\$66,921,074	\$68,259,495	
INCREASE 											

¹³ Metric was TBD in the 2015 APR due to data not being available until FY 2016. The metric was **MET**.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁸	Exceeded ⁹	2017	2018	
Indicator Measurement Direction 1.1.E. Index of national aggregate annual earnings of Transition-Age Youth (based on the number of competitive integrated employment outcomes, hours worked, and hourly wages of VR Transition-Age Youth)	FY: 2010 \$15,971,665	FY: 2014 \$18,540,576	FY: 2015 \$19,579,074 ¹⁴	FY: 2016 \$19,980,956	FY: 2016 \$19,476,818	MET			\$19,866,354	\$20,263,681	
INCREASE 											


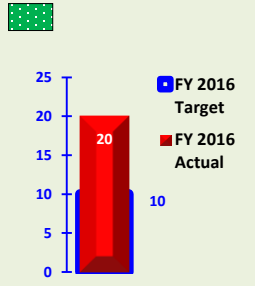
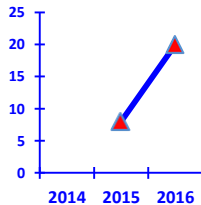

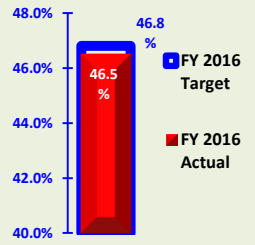
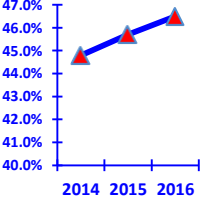
¹⁴ Metric was TBD in the 2015 APR due to data not being available until FY 2016. The metric was MET.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁸	Exceeded ⁹	2017	2018	
1.1.F. Number of data points or other information reports released on the FSA Data Center¹⁵ INCREASE 	FY: 2009–14 Aggregate 12	NA	FY: 2014–15 12	FY: 2015–16 15	FY: 2015–16 15	MET			15 ¹⁶	TBD	
1.2.A. Pell enrollment at IHEs with high graduation rates¹⁷ INCREASE 	AY: 2013–14 24.1%	NA	AY: 2013–14 24.1%	AY 2014–15 24.5%	AY 2014–15 25.0%	NOT MET			AY 2015–16 26.0%	AY: 2016–17 27.0%	


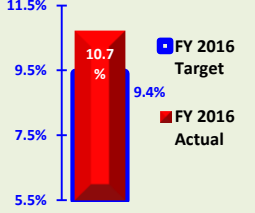
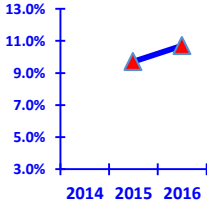
¹⁵ Metric is aligned with an Agency Priority Goal.

¹⁶ Initial FY 2017 target of 30 provided in the 2015 APR was inclusive of FY 2016's total of 15, thus making the total a cumulative 30. However, the actual FY 2017 target is 15 new releases.

¹⁷ "High graduation rate" is defined as 65 percent or higher, which is roughly the 75th percentile.


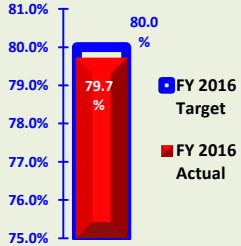
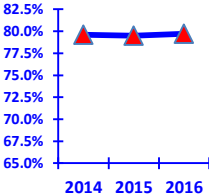

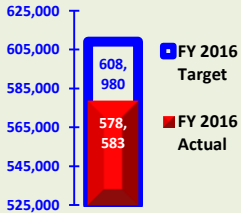
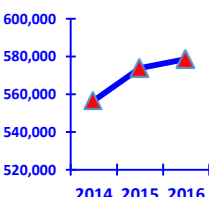
U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁸	Exceeded ⁹	2017	2018	
1.2.B. Number of states that develop or strengthen career pathways policies, guidance, or legislation INCREASE 	FY: 2015 8	NA	FY: 2015 8	FY: 2016 20	FY: 2016 10	MET			37	50	
1.3.A. Degree attainment among 25–34-year-old age cohort¹⁸ INCREASE 	Current Population Survey (CPS) Year: 2012 44.0%	CPS Year: 2013 44.8%	CPS Year: 2014 45.7%	CPS Year: 2015 46.5%	CPS Year: 2015 46.8%	NOT MET			48.4%	50.5%	

¹⁸ Metric is aligned with an Agency Priority Goal.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁸	Exceeded ⁹	2017	2018	
1.3.B. Enrollment in IHEs below the minimum earnings threshold^{19,20} DECREASE 	AY: 2012–13 9.7%	NA	AY: 2012–13 9.7%	AY: 2013–14 10.7%	AY: 2013–14 9.4%	NOT MET			NA	NA	

¹⁹ In the 2015 APR, the initial metric was identified as “Enrollment in IHEs where students’ median earnings 10 years after entering college are below a minimum earnings threshold.” The metric’s verbiage was condensed to “Enrollment in IHEs below the minimum earnings threshold.” Retiring metric at conclusion of FY 2016. Please see appendix B for additional information pertaining to the metric’s retirement. The FY 2017 target was 9.0 percent.

²⁰ “Minimum earnings threshold” is defined as the median earnings above the level of an institution at the 25th percentile for students 10 years after entering college, which equals \$19,000 for less-than-two-year institutions, \$26,000 for two-year institutions, and \$35,000 for four-year institutions.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁸	Exceeded ⁹	2017	2018	
1.3.C. Persistence among first-time filing aid recipients²¹ INCREASE 	FY: 2015 79.5% ²²	FY: 2014 79.6%	FY: 2015 79.5%	FY: 2016 79.7%	FY: 2016 78.5%- 80.5%	MET			78.7%– 80.7%	+/- one % point over prior year's actual	
1.4.A. Number of STEM postsecondary credentials awarded INCREASE 	AY: 2010–11 531,018	AY: 2011–12 556,696	AY: 2012–13 573,911	AY: 2013– 14 578,583	AY: 2013– 14 608,980	NOT MET			637,672 ²³	TBD	

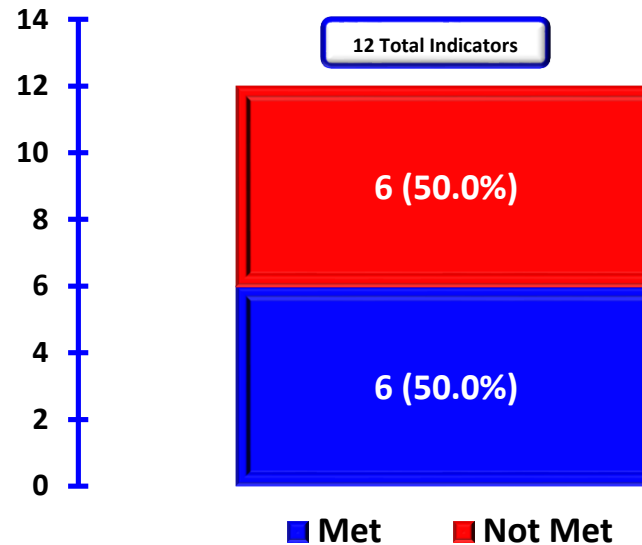
²¹ Revising metric language (in 2015 APR read as: “FAFSA Renewal Rate”) to align with how the metric is captured in the Federal Student Aid (FSA) Strategic Plan. All of the underlying assumptions and calculation methodologies were confirmed by FSA to be the same.

²² Modifying the baseline data to account for the actual being 79.5% (79.47%); however, the decimals were dropped by FSA when the metric was initially reported.

https://studentaid.ed.gov/sa/sites/default/files/FY_2015_FSA_Annual_Report_official.pdf

²³ FY 2016 target reduced from 691,000 to 637,672 due to a calculation error in how the targets were initially calculated.

Goal 1 FY 2016 Indicator Performance Summary



NA = Not applicable.

TBD = To be determined.

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

Data Sources and Frequency of Collection:

- 1.1.A. Federal Student Aid (FSA) Data Center; annually
- 1.1.B. Google Analytics data from College Scorecard; annually
- 1.1.C. The denominator is the number of graduating seniors according to the most recent projection by the National Center for Education Statistics (NCES) (Table 219.10 within the Digest of Education Statistics). The numerator is from FSA’s Central Processing System and is based on the number of applications during the first nine months of the application cycle that are—as of September 30 of the first year of the application cycle—complete (not rejected); first-time filers; incoming freshmen, with or without previous college attendance; age 18 or less as of June 30 of the first year of the application cycle; reporting high school diploma attainment; and attended a high school in the 50 states and Washington, DC; annually
- 1.1.D. Rehabilitation Services Administration-911 (RSA-911); annually
- 1.1.E. RSA-911; annually
- 1.1.F. FSA Data Center; annually
- 1.2.A. Data from College Scorecard; annually
- 1.2.B. Development data from the National Skills Coalition, possibly supplemental with data from the Association of State Legislators and Center on Law and Social Policy (CLASP); annually
- 1.3.A. NCES Digest of Education Statistics, Table 104.30 (https://nces.ed.gov/programs/digest/d15/tables/dt15_104.30.asp), Number of persons age 18 and over, by highest level of educational attainment, sex, race/ethnicity, and age: 2015. Tabulated from Current Population Survey data, U.S. Census; annually
- 1.3.B. Data from College Scorecard; annually

- 1.3.C. FSA's Common Origination and Disbursement (COD) system; annually
- 1.4.A. IPEDS; annually

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

Analysis and Next Steps by Objective

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

FY 2016 Implementation Strategy

Although the Department has limited ability to directly impact college costs or control price, the Department made progress toward strategic objective 1.1.

The Department's implementation strategy in FY 2016 continued to focus on providing consumer tools and better information about postsecondary institutions to help students make more informed decisions; modifying and simplifying the Free Application for Federal Student Aid (FAFSA); expanding access to income-driven repayment plans; and improving customer service related to student aid.

FY 2016 Barriers to Success

Although many states are beginning to increase appropriations per full-time equivalent student, state-level funding for higher education overall remained low compared to levels before the recent recession. The Department had little influence over state funding decisions and was limited in its ability to impact affordability. Nonetheless, the Department will continue to explore ways to help ensure that borrowers are able to manage student loan debt.

Key Milestones and Future Actions

In 2016, the Department implemented two major changes to the FAFSA. The first change was to make the FAFSA available to students and families three months earlier than usual. In the past, the FAFSA was available January 1 for the upcoming financial aid award year (July 1 through June 30). Beginning with the 2017–18 financial aid application cycle, the FAFSA became available October 1 of the year prior to the upcoming award year (2017–18 FAFSA filing began October 1, 2016). By having the FAFSA available earlier, the financial aid process generally will coincide with the college admissions application and decision cycle, allowing schools and states to provide financial aid information sooner to students and families. The second change involved the year for which tax information is collected on the FAFSA. Prior to FY 2016, when completing a FAFSA, applicants provided income information from the prior tax year (i.e., 2015 income information for the 2016–17 FAFSA). Beginning with the 2017–18 FAFSA, income information from one tax year earlier—the so-called “prior-prior year”—will be collected. As a result of this change, students will be able to complete their FAFSA using information from an already-completed tax return.

The Department continues to enhance the online [FAFSA® Completion Tool](#), which helps financial aid professionals, school administrators, and guidance counselors track and increase FAFSA completion. The tool also provides FAFSA completion rates for school districts, allowing communities to tailor communications, support, and counseling to students while helping schools monitor their progress.

Federal Student Aid (FSA) published [reports](#) about applications for the Public Service Loan Forgiveness (PSLF) Program, enrollment in income-driven repayment plans, and data on cohort

default rates. As of September 2016, nearly 5.8 million Direct Loan borrowers were enrolled in income-driven repayment plans—such as income-based repayment, Pay As You Earn (PAYE), and Revised Pay As You Earn (REPAYE)—a 38 percent increase from September 2015 and a 110 percent increase from June 2014. [Cohort default rates](#) continued to decline from 14 percent in 2010 to 11 percent in 2013.

Beginning in January 2016, the Department required all Direct Loan servicers to provide enhanced disclosures to borrowers and strengthened consumer protections. The recompetition of loan servicer contracts commenced in March 2016, with the goal of ensuring that servicers help borrowers responsibly make affordable monthly payments on their student loans. The final selection of a service is scheduled to be made and a contract should be awarded in FY 2017.

Students, parents, and others can now provide feedback about their Title IV federal student aid experience via a streamlined, centralized portal, the [Federal Student Aid Feedback System](#). Launched July 1, 2016, the system enhances customers' ability to provide feedback and receive a timely and meaningful resolution. Customers can submit feedback about applying for and receiving federal loans, grants, and work study, as well as feedback about their experiences with federal loan servicers, collection agencies, and the Department itself. Complaints submitted through the feedback system are tracked from intake to resolution and will inform the continual improvement of the Department's customers' experience, regardless of where they are in the student aid process. Through the system, the Department has the ability to monitor the resolution process, intervene as needed, and compile data about complaints in order to improve the applicant and borrower experience. In FY 2017, the Department will publish the first annual report about feedback system data.

The Department announced institutional participants in four experiments under the [Experimental Sites Initiative](#) conducted under FSA's experimental sites authority. The Department announced participating institutions in the Dual Enrollment experiment in May, participating institutions for Second Chance Pell in June, participating institutions in Educational Quality through Innovative Partnerships in August, and participating institutions in the Loan Counseling experiment in December 2016.

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

FY 2016 Implementation Strategy

The Department's implementation strategy to address postsecondary quality included: using regulatory authority to strengthen program integrity; taking steps to strengthen accreditation oversight; fostering innovation by providing flexibility where appropriate, and testing ideas through experimental sites projects; encouraging the postsecondary community to focus on student learning that is validated through the assessment of actual learning outcomes; addressing teacher preparation initiatives to improve teacher quality; and promoting information about successful evidence-based programs and strategies.

FY 2016 Barriers to Success

The Department had limited authority and funding to promote innovative, evidence-based strategies and practices for college access and completion.

Key Milestones and Future Actions

To improve accreditation transparency and promote outcome-driven accountability, the Department publishes a chart with each accrediting agency's stated student achievement measures and key student and institutional metrics arranged by accreditor. The Department also requires accreditors to submit decision letters when they place institutions on probation, and the Department publicly posts releasable portions of such letters. The redesigned [accreditation webpage](#) better informs the public regarding the Secretary's recognition process and provides a one-stop information repository for accreditation-related information. Accreditation staff at the Department now have regular access to critical outcomes data, state and federal litigation reports, and other information about each accreditor's schools prior to conducting accrediting agency reviews. This information is also provided to the [National Advisory Committee on Institutional Quality and Integrity](#).

This year, the Department issued two letters to accreditors. The first, released in March 2016, is a "Terminology Letter," which clarifies terminology and requirements for reporting to the Department. The second was an April 2016 "Flexibility Letter," which clarifies and encourages accreditors to use flexibility to focus monitoring and resources on student achievement and problematic institutions or programs.

The Department published several significant regulations. In October 2015, the Department published [final regulations on debit cards](#) to protect students from unscrupulous actions by financial institutions concerning student access to financial aid funds. Additionally, in August 2016, the Department, in collaboration with the Department of Labor (DOL), published final regulations to implement the [Workforce Innovation and Opportunity Act](#) (WIOA). WIOA reforms the public workforce development system through enhanced coordination and collaboration across education and training programs, including employment and training programs administered by DOL, and adult education programs and vocational rehabilitation programs for individuals with disabilities administered by the Department. The final regulations assist states in implementation efforts, including fostering more cohesive planning within economic regions, enhancing performance accountability for education and employment outcomes, strengthening employer engagement, and improving access to education and workforce services for individuals with significant barriers to employment, among other efforts. The final regulations included program-specific rules related to adult education programs and vocational rehabilitation programs, as well as joint [WIOA regulations](#) related to unified and combined state plans, performance accountability, and the one-stop system.

The Department published final regulations on Borrower Defense to Repayment in October 2016 (effective July 1, 2017, with several provisions slated for early implementation) and State Authorization of Distance Education programs in December 2016, with implementation taking effect in July 2018. The Department published the Gainful Employment debt-to-earnings rates in January 2017 and will implement the rest of the requirements of the regulation by July 2017.

In October 2015, the Department announced an initiative through FSA's experimental sites authority to address alternative methods for quality assurance—dubbed Educational Quality through Innovative Partnerships, or [EQUIP](#). The Department evaluated applications and in August 2016, invited eight institutions to continue to Phase 3 of the selection process. In Phase 3, these institutions will begin to set up their proposed programs and apply to the Department for final approval, which is expected during FY 2017.

The Department conducted a number of grant competitions that incorporated evidence-based activities, including TRIO Talent Search, TRIO Educational Opportunity Centers, and several

programs for minority-serving institutions. In October 2015, the Department (the Office of Career, Technical, and Adult Education ([OCTAE]) awarded nine pilots under the Performance Partnership Pilots for Disconnected Youth (P3) program. The notice inviting applications (NIA) for [round two](#) (FY 2015) was published in April 2016, and for [round three](#) (FY 2016) in August 2016. The agencies selected one pilot finalist for round two and six pilot finalists for round three. P3 tests the hypothesis that additional flexibility for states, localities, and tribes can help overcome some of the significant hurdles in providing intensive, comprehensive, and sustained service pathways and improving outcomes for disconnected youth.

Objective 1.3: Completion. Increase degree and certificate completion and job placement in high-need and high-skill areas, particularly among underrepresented and economically disadvantaged populations.

FY 2016 Implementation Strategy

While the federal government has no direct impact on the educational attainment rate, the Department established annual targets since increasing the percentage of adults who have completed a college degree is a key Department objective. For the first time, the rate this year fell just short of the target by 0.3 percentage points. Future targets, set at progressively larger increases, may be difficult to achieve.

With few tools to impact completion on a large scale, the Department's implementation strategy focused on the ability to convene partners, disseminate noteworthy practices through reports, conduct research, and conduct prize challenges that support pathways in CTE.

FY 2016 Barriers to Success

The Department's ability to significantly impact completion rates nationwide depends on Congressional support for programs. Another factor affecting the Department's ability to impact completion rates was the time lag between actions and changes initiated in the current year and results that will take several years to manifest as the current cohort moves through its multiyear educational program.

Key Milestones and Future Actions

In support of CTE, the Department announced winners of the [CTE Makeover Challenge](#) and the grand prize winner of the [Reach Higher Career App Challenge](#). The Department also developed and published on November 2, 2016, an [EdSim Challenge](#) notice with the intent to announce winners in summer 2017. The challenge calls upon the gaming, developer, and educational technology communities to design simulated environments that prepare America's students for a more competitive world through high-quality CTE. In September 2016, the Department awarded a \$2 million [Pay for Success](#) (PFS) grant for providing technical assistance on the first two phases of a PFS project: a feasibility analysis in four local CTE sites, and transaction structuring for those local sites where a PFS project is deemed feasible.

The Department participates in the Interagency Working Group on Supports for Postsecondary Success, which meets regularly to plan joint activities in support of access and completion for low-income students.

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

FY 2016 Implementation Strategy

The number of STEM postsecondary credentials awarded is shaped by actions taken by postsecondary institutions, by state and local agencies through funding decisions, and by market forces and job creation trends. Many external factors impact this objective, but the Department's STEM Team, within the Office of Innovation and Improvement (OII), employs the following strategies to support this objective:

- strengthening the Department's existing STEM programs;
- enhancing interagency collaboration focused on STEM by fostering stronger linkages across agencies that have STEM education programming and collaborating with other agencies;
- using convenings, events, speeches, and other mechanisms to highlight models, interventions, and data, and share leading practices and policies for formal and informal STEM learning at the federal, state, and local levels;
- partnering with nongovernment strategic partners to support STEM; and
- identifying and helping to cultivate, disseminate, and encourage adoption of innovative, promising, and evidence-based practices to influence and shape the future of STEM education.

FY 2016 Barriers to Success

The STEM Team identifies programs within the Department and across the federal government that are well suited for enhancing and increasing STEM participation through strategic use of STEM priorities. For programs that have already implemented STEM strategies, the STEM Team lends its expertise for program review and evaluation. The investments at the Department that address STEM degree and credential completion in particular were limited to select programs that target minority-serving institutions. The Department will continue to promote STEM pathway opportunities within the Committee on STEM Education (CoSTEM) structure that includes community colleges, as well as engage with specific STEM-focused initiatives led by corporate and philanthropic entities that help elevate the quality of STEM programs and advance STEM participation, such as STEM [Learning Ecosystems](#).

Trends for females and minority students point to continued challenges in broadening participation in STEM. For example, in January, the National Science Foundation (NSF) National Center for Science and Engineering Statistics (NCSES) released the 2017 *Women, Minorities, and Persons with Disabilities in Science and Engineering* report, the federal government's most comprehensive look at the participation of these three demographic groups in science and engineering education and employment. The report found that while women have reached parity with men in educational attainment, they have not done so in employment in science and engineering. Furthermore, underrepresented minorities (black, Hispanic, and American Indian or Alaska Native) account for disproportionately smaller percentages in both science and engineering education and employment.

Key Milestones and Future Actions

CoSTEM has established a task force which is working to enhance the undergraduate experience of STEM majors through a formally chartered interagency working group led by NSF. The group is focused on four major objectives:

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

Representatives from the Department have been instrumental in bringing new focus to the role of community colleges and articulation programs in supporting undergraduate STEM education.

Other areas of the Department are bolstering support for STEM, as well. STEM education is an integral component of CTE. OCTAE is leading initiatives seeking to increase knowledge of and access to postsecondary STEM opportunities. For example, the EdSim challenge is seeking next generation Virtual Reality and Augmented Reality to improve teaching in areas including STEM. As additional examples, the CTE makeover challenge will incorporate “making” and “maker spaces” into CTE programs by upgrading or modernizing facilities that meet the needs of manufacturing in the 21st century. The Reach Higher App challenge will spur innovation in career exploration by empowering students with individualized career and education information. And the White House Initiative on Historically Black Colleges and Universities (WHI-HBCU) convened events and panels in FY 2016 to share best practices across HBCUs for supporting and retaining students in STEM fields.

Goal 2. Elementary and Secondary Education:

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

Goal Leader: Assistant Secretary, Office of Elementary and Secondary Education (OESE)

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

Objective 2.2: Effective Teachers and Strong Leaders. Improve the preparation, recruitment, retention, development, support, evaluation, recognition, and equitable distribution of effective teachers and leaders.

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

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

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

Public Benefit

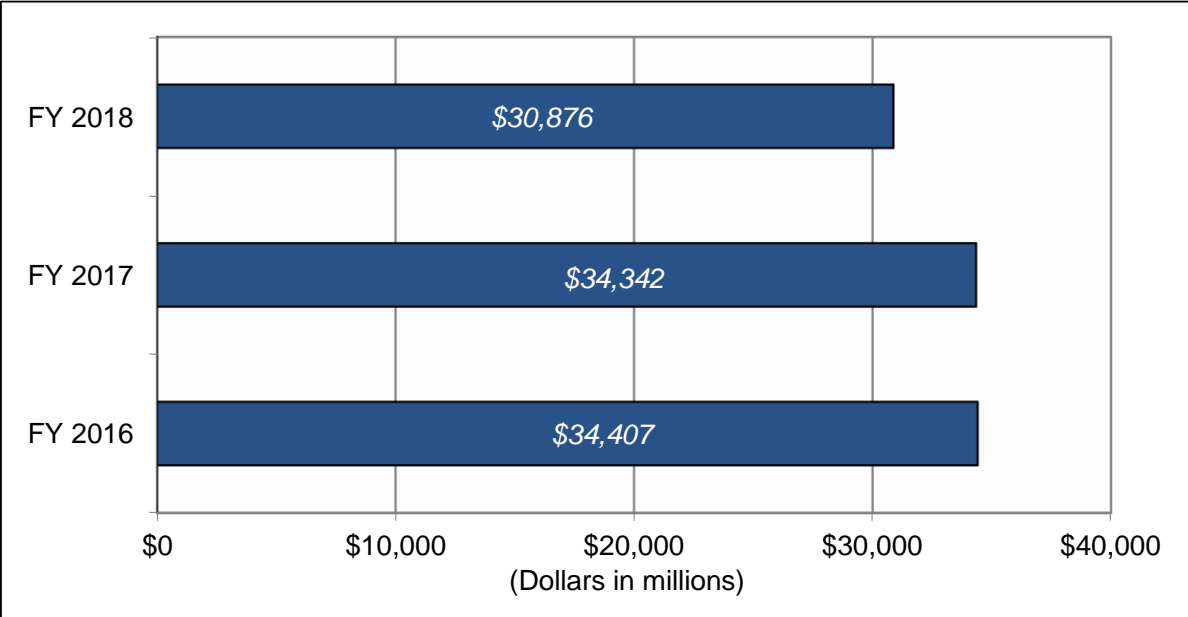
The goal for America’s elementary and secondary educational system is clear: all students should have meaningful opportunities to graduate from high school ready for college and a career. The important work in communities across the country over the past several years contributed to the highest ever national high school graduation rate, reaching 83.2 percent.

However, while many schools are increasing the quality of instruction and improving academic achievement, our education system fails to consistently provide all students with equal access to a high-quality education, as evidenced by persistent achievement gaps between student subgroups. Data from the 2015 National Assessment of Educational Progress (NAEP) show that low-income students scored 24 to 28 points below their more advantaged peers in reading and math, respectively. The achievement gaps between black and white students were between 24 and 32 points and achievement gaps between Hispanic and white students were between 18 and 24 points.

The Department’s elementary and secondary education programs focus on the building blocks needed for states, districts, and schools to more consistently deliver excellent classroom instruction for all students. The *Elementary and Secondary Education Act* (ESEA), as reauthorized by the ESSA, requires that all students in America be taught to high academic standards that will prepare them to succeed in college and careers and that vital information is provided to educators, families, students, and communities through annual statewide

assessments that measure students' progress toward those high standards. The ESEA also promotes local innovation and the use of evidence-based interventions, particularly as part of locally determined efforts to turn around low-performing schools.

Goal 2 Discretionary Resources



Major Discretionary Programs and Activities²⁴ Supporting Goal 2 Performance Metrics [Dollars in Millions]

POC	Account	Obj.	Program	FY 2016 Appropriation	FY 2017 Annualized CR ²⁵	FY 2018 President's Budget
OESE	ED	2.4	School improvement grants	450	449	--
OESE	ED	2.1, 2.2, 2.3, 2.4	Title I Grants to local education agencies	14,889	14,881	15,881
OESE	I&I	2.2	Teacher and school leader incentive grants	230	230	200
OESE	SIP	2.5	Mathematics and science partnerships	153	152	--
OESE	SIP	2.1	State assessments	378	377	377
OESE	SIP	2.2	Supporting effective instruction state grants	2,256	2,252	--
OESE	SIP	NA	21st century community learning centers	1,167	1,164	--
OII	I&I	2.2, 2.3, 2.4	Charter schools grants	333	333	500
OII	I&I	2.2, 2.3, 2.6	Magnet schools assistance	97	96	96
OII	SSCE	2.1, 2.2, 2.3	Promise Neighborhoods	73	73	60
OSERS	SE	2.1, 2.2, 2.3	Special Education grants to states	11,895	11,890	11,890
Subtotal				31,959	31,898	29,005
Other Discretionary Programs/Activities				2,448	2,444	1,871
TOTAL, GOAL 2				34,407	34,342	30,876

POC = Principal Operating Component.

CR = Continuing Resolution.


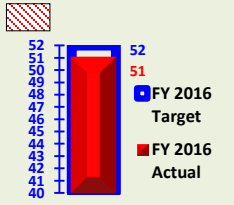
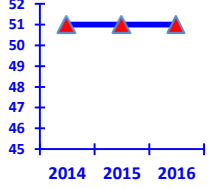
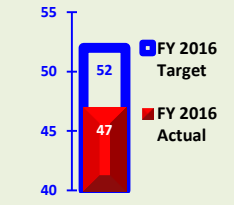
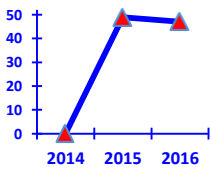

NA = Not applicable.

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

²⁴ All the programs listed are discretionary programs, as distinct from mandatory programs. These include both competitive and noncompetitive/formula programs.

²⁵ A full-year 2017 appropriation was not enacted at the time the FY 2018 Budget was prepared; therefore, the Budget is built off of the *Further Continuing Appropriations Act, 2017* (P.L. 114–254). The amounts included for 2017 reflect the annualized level provided by the continuing resolution.

Goal 2: Details

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ²⁶	Exceeded ²⁷	2017	2018	
Indicator Measurement Direction <p style="text-align: center;">INCREASE</p> 											
2.1.A. Number of states/territories that have adopted college- and career-ready standards²⁸	SY: 2012–13 49, plus DC	SY: 2013–14 51 (49 plus D.C. and Puerto Rico) ²⁹	SY: 2014–15 51 (49 plus D.C. and Puerto Rico)	SY: 2015–16 51 (49 plus D.C. and Puerto Rico)	SY: 2015–16 52	NOT MET			52	50	
2.1.B. Number of states/territories that are implementing next-generation reading and mathematics assessments, aligned with college- and career-ready standards³⁰	SY: 2012–13 0	0	SY: 2014–15 49 (48 plus DC)	SY: 2015–16 47	SY: 2015–16 52	NOT MET			52	50	
<p style="text-align: center;">INCREASE</p> 											

²⁶ Missed target by <=1, or if percentage, <=1.3 percentage points.

²⁷ Surpassed target; not just met the target. If a diminishing target, the actual was below the reduction target set.

²⁸ The Department is no longer conducting ESEA Flexibility monitoring, but states continued to implement their ESEA Flexibility requests through August 1, 2016, before beginning the transition to the *Every Student Succeeds Act* (ESSA).


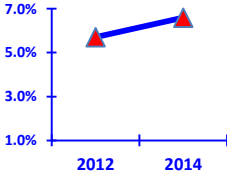

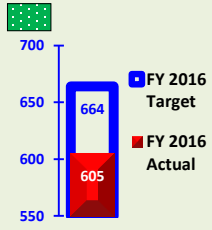
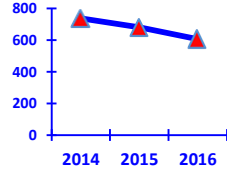

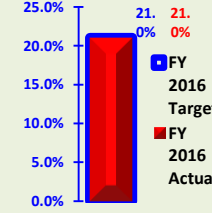
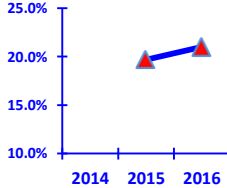
²⁹ Revising from “49, plus DC and Puerto Rico” reported in the 2015 APR to “51 (49 plus DC and Puerto Rico)” to be consistent with 2015’s language.

³⁰ The Department is no longer conducting ESEA Flexibility monitoring, but states continued to implement their ESEA Flexibility requests through August 1, 2016, before beginning the transition to the *Every Student Succeeds Act* (ESSA).

U.S. Department of Education Indicators of Success Indicator Measurement Direction	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ²⁶	Exceeded ²⁷	2017	2018	
<p>2.2.A. Number of states that have fully implemented teacher and principal evaluation and support systems that consider multiple measures of effectiveness, with student growth as a significant factor³¹</p> <p style="text-align: center;">INCREASE ↑</p>	SY: 2012–13 6	SY: 2013–14 7	SY: 2014–15 8	SY: 2015–16 8	SY: 2015–16 22	NOT MET			NA	NA	
<p>2.3.A. Disparity in the rates of out-of-school suspensions for students with disabilities and youth of color (youth of color metric)</p> <p style="text-align: center;">DECREASE ↓</p>	SY: 2011–12 10.7 % point disparity	SY 2013–14 10.6 % point disparity ³²	Not Collected	TBD SY 2014–15 data collected in 2016 and available in 2017	SY: 2014–15 6.7 % point disparity	TBD	TBD		NA Biennial Metric	4.7 % point disparity	


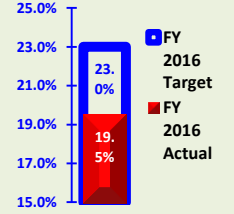
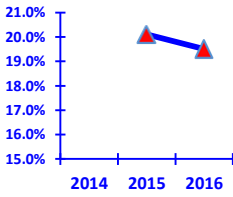

³¹ Retiring metric at conclusion of FY 2016. Please see appendix B for additional information pertaining to the metric’s retirement. The FY 2017 and 2018 targets were 39 and 42, respectively.

³² The 2011–12 CRDC results could not be replicated. However, the Department is able to report the 2013–14 CRDC disparities for one or more out-of-school suspensions for K-12 students (excluding 504-only students). The 2014 target was **NOT MET**.




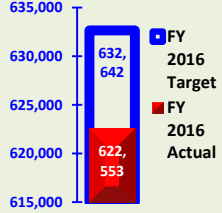
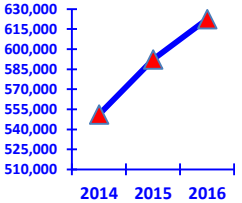
U.S. Department of Education Indicators of Success Indicator Measurement Direction	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ²⁶	Exceeded ²⁷	2017	2018	
2.3.B. Disparity in the rates of out-of-school suspensions for students with disabilities and youth of color (SWDs, IDEA only metric) DECREASE 	SY: 2011–12 5.7 % point disparity	SY 2013–14 6.6 % point disparity ³³	Not Collected	TBD SY 2014–15 data collected in 2016 and available in 2017	SY: 2014–15 2.7 % point disparity	TBD	TBD		NA Biennial Metric	1.2 % point disparity	
2.4.A. Number of persistently low graduation rate high schools³⁴ DECREASE 	SY: 2011–12 775	SY: 2012–13 737	SY: 2013–14 680	SY: 2014–15 605	SY: 2014–15 664	MET			630	598	
2.4.B. Percentage of SIG schools in Cohort 5 that are above the 25th percentile in mathematics, as measured by their state assessments INCREASE 	SY: 2013–14 19.7%	NA	SY: 2013–14 19.7%	SY: 2014–15 21%	SY: 2014–15 21.0%	MET			23.3%	25.6%	

³³ The 2011–12 CRDC results could not be replicated. However, the Department is able to report the 2013–14 CRDC disparities for one or more out-of-school suspensions for K-12 students (excluding 504-only students). The 2014 target was **NOT MET**.

³⁴ Metric is aligned with an Agency Priority Goal.

U.S. Department of Education Indicators of Success Indicator Measurement Direction	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ²⁶	Exceeded ²⁷	2017	2018	
2.4.C. Percentage of SIG schools in Cohort 5 that are above the 25th percentile in reading/language arts, as measured by their state assessments INCREASE 	SY: 2013–14 20.1%	NA	SY: 2013–14 20.1%	SY: 2014–15 19.5%	SY: 2014–15 23.0%	NOT MET			25.9%	27.8%	
2.5.A. Percentage of high school and middle school teachers who teach STEM as their main assignment who hold a corresponding undergraduate degree³⁵ INCREASE 	SY: 2011–12 62.2%	Not Collected	Not Collected	TBD Q1 of FY 2018	65.3%	NA	NA		NA	NA	NA

³⁵ This is a quadrennial metric and based on data collection should not have had an FY 2017 target; thus the target of 65.3% identified in the 2015 APR has been removed. Retiring metric at conclusion of FY 2016. Please see appendix B for additional information pertaining to the metric's retirement.

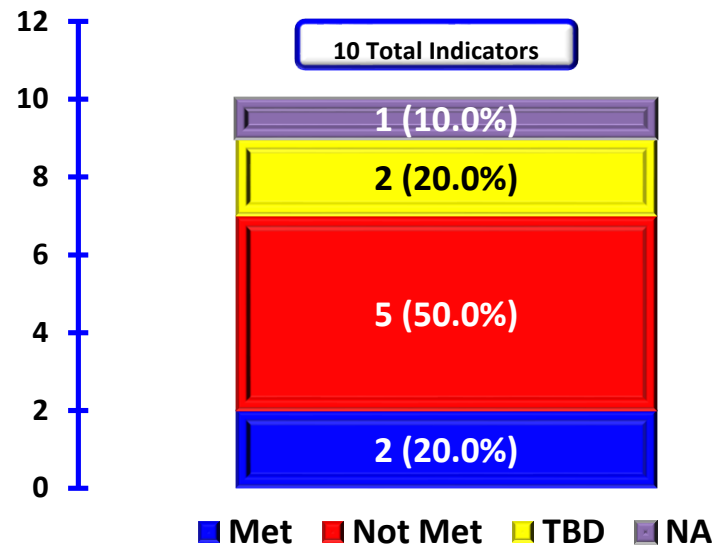
U.S. Department of Education Indicators of Success Indicator Measurement Direction	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	 Missed ²⁶	 Exceeded ²⁷	2017	2018	
2.5.B. Number of public high school graduates who have taken at least one STEM AP exam ³⁶ INCREASE 	SY: 2011–12 497,922	SY: 2013–14 555,119 ³⁷	SY: 2014–15 592,410 ³⁸	SY: 2015–16 622,553	SY: 2015–16 632,642	NOT MET			691,541	759,381	

³⁶ Although the metric's data has a lag in when it is reported, the cohort year, school year, and fiscal year align. The metric has been updated to reflect this alignment.

³⁷ In the 2014 APR, the performance target of 536,810 was reported as "Not Met." However, it was "Met."

³⁸ In the 2015 APR, the performance target of 581,419 was reported as "Not Met." However, it was "Met."

Goal 2 FY 2016 Indicator Performance Summary



NA = Not applicable.

TBD = To be determined.

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

Data Sources and Frequency of Collection:

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

2.1.B. ESEA Monitoring; annually

2.2.A. ESEA Flexibility Applications and Monitoring; annually

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

2.3.B. CRDC; biennially

2.4.A. National Center for Education Statistics (NCES) *EDFacts*; annually

2.4.B. Analytic dataset produced by the contractor for the SIG National Summary, because this provides an accurate list of SIG schools and flags for different exclusions that are included in the analysis. (The analytic dataset is a combination of *EDFacts* student achievement files in Math and Reading, the NCES Common Core of Data, SIG lists provided to *EDFacts* by OSS, and Exclusions that are generated by the contractor that apply to these results.); annually

2.4.C. Analytic dataset produced by the contractor for the SIG National Summary, because this provides an accurate list of SIG schools and flags for different exclusions that are included in the analysis. (The analytic dataset is a combination of *EDFacts* student achievement files in Math and Reading, the NCES Common Core of Data, SIG lists provided to *EDFacts* by OSS, and Exclusions that are generated by the contractor that apply to these results.); annually

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

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

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

Analysis and Next Steps by Objective

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

FY 2016 Implementation Strategy

Given that the ESSA made few changes to most of the assessment provisions under Title I, the Department moved ahead with its Title I Assessment Peer Review process in 2016, using the peer review guidance released in September 2015. Through this process, external peers are making recommendations to the Department regarding whether the state has sufficiently documented the quality of its assessment system and whether its assessments are consistent with the requirements under Title I and the peer review guidance and nationally accepted professional testing standards. Through the end of FY 2016, the Department reviewed components of 38 states' assessment systems and began providing feedback to states in fall 2016.

The Department continued to make use of existing technical assistance resources, including the [College and Career Readiness and Success Center](#), [Center on Standards and Assessments Implementation](#), and [Reform Support Network](#), to support state implementation.

The ongoing work of the Office of Special Education and Rehabilitative Services (OSERS) through its Results Driven Accountability (RDA) is also a key activity supporting progress on this goal. RDA is shifting the Department's accountability efforts from a primary emphasis on compliance to a framework that focuses on improved results for students with disabilities, while continuing to assist states in ensuring compliance with the *Individuals with Disabilities Education Act's* (IDEA) requirements. RDA emphasizes child outcomes such as performance on assessments, graduation rates, and early childhood outcomes.

FY 2016 Barriers to Success

There are several external risks to achieving this strategic objective. During 2016, several state legislatures considered bills related to standards and assessments, including bills that would remove state standards or assessments that have been identified as college- and career-ready. While most of these bills did not move forward, states may reconsider this legislation in the future, particularly as states develop and implement plans as required under Title I of the ESSA.

There also is a risk that implementation of college- and career-ready standards will not be successful at the local level and inadequate supports will be provided to teachers and students.

Key Milestones and Future Actions

The Department began the Title I assessment peer review process in 2016, and external peers reviewed documentation regarding approximately 38 state assessment systems. The Department began providing these states with feedback and a decision regarding the outcome of peer review in fall 2016 and will continue to provide feedback on a rolling basis throughout the winter of 2017. Historically, the majority of states are required to submit additional evidence after the initial peer review in order to demonstrate that their system meets all of the requirements of professional and technical testing standards, consistent with Title I of the ESEA.

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

FY 2016 Implementation Strategy

The primary strategy the Department adopted for this objective is to support states and districts in the development and implementation of high-quality teacher and principal evaluation and support systems, as well as broader human capital management systems that use the results of evaluation systems to inform placement, retention, promotion, differential performance-based compensation, and other considerations.

In FY 2016, the Department supported states in implementing educator evaluation and support systems and finalized approval of all states' State Plans to Ensure Equitable Access to Excellent Educators (Educator Equity Plans). In addition to providing support through the Equitable Access Support Network (EASN), the Department hosted its inaugural Educator Equity Lab and worked to plan additional labs. The Department also issued guidance advising states that Educator Equity Plans remain in effect for both the 2015–16 and 2016–17 school years.

FY 2016 Barriers to Success

Prior to termination of the waivers of Title I, Part A granted through the ESEA Flexibility initiative, 42 states, the District of Columbia, and Puerto Rico committed to implementing educator evaluation and support systems and reporting their progress on implementing those systems to the Department. The ESSA, which was signed into law in the first quarter of FY 2016, terminated, effective August 1, 2016, the ESEA Flexibility waivers that had been granted to states. Given the change in law, states are no longer required to report to the Department the details of their evaluation systems and therefore the Department does not have a viable data source to collect data regarding states' work to continue to implement these systems.

Key Milestones and Future Actions

During the fourth quarter of 2015 and the first quarter of 2016, the Department approved Educator Equity Plans for all 50 states, the District of Columbia, and Puerto Rico. The Department continues to work with states through the EASN to provide support as they work to implement their Educator Equity Plans.

In March 2016, the Department cohosted the inaugural Educator Equity Lab with the Mississippi Department of Education. This full-day forum provided an opportunity for a wide variety of stakeholders to come together to carry forward the work embedded within Mississippi's Educator Equity Plan.

Nevertheless, the Department remained concerned about its progress against this metric throughout FY 2016, given the clear termination of the ESEA Flexibility waivers, as required by the ESSA on August 1, 2016.

In FY 2017, the Department intends to host additional Educator Equity Labs and to continue to provide support for states through Office of State Support (OSS) program officers and the EASN, as well as to support states in implementing the requirements under ESEA, as reauthorized by the ESSA, Section 1111(g)(1)(B) and 34 CFR 299.18(c).

The Department anticipates reviewing and revising its strategies for meeting the Effective Teachers and Strong Leaders objective to reflect the changes made by Congress in the ESSA.

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

FY 2016 Implementation Strategy

The Department, broadly, and the Office of Elementary and Secondary Education (OESE), specifically, play a role in improving academic achievement, equity in education, and other important youth outcomes by working to understand and improve conditions for learning in public schools. Students' academic achievement and their eventual success in school and in life are sensitive to the broader context in which they live and learn, and in which their schools operate.

OESE's implementation strategy included supporting activities related to the improvement of student success and school safety, discipline, health, and climate with a focus on districts and schools receiving School Improvement Grants (SIG).

Examples of activities that supported progress towards this strategic objective include:

- OESE's Office of Safe and Healthy Students (OSHS), in coordination with the Office of the Deputy Secretary, sponsored two regional "Rethink Discipline" convenings.
- On July 27, 2016, the Department, in partnership with the Department of Health and Human Services (HHS) and the Centers for Medicare & Medicaid Services (CMS), sponsored the Healthy Students, Promising Futures (HSPF) Learning Collaborative, bringing together teams from 10 states to work on expanding school health services for Medicaid-enrolled and eligible students by leveraging CMS' change to the free care policy. The Learning Collaborative builds on [the HSPF guidance and toolkit](#) jointly released by the Department and HHS in January 2016.

FY 2016 Barriers to Success

Limited resources are a risk to achieving this strategic objective, such as identifying funds to support new efforts to provide additional technical assistance to improve state and local systems of support for chronically absent students.

Key Milestones and Future Actions

Future actions to support conditions for student learning in order to improve student attendance and achievement in the nation's schools include:

- Supporting states and local communities in identifying and meeting the needs and aspirations of chronically absent students. To extend this work, the Department is currently supporting the National Student Attendance, Engagement, and Success Center, which provides states and local communities access to expert assistance in establishing early warning prevention and intervention systems that aim to link chronically absent students with supportive services to improve student attendance and youth success in school and in life.
- Supporting states and local communities in improving access to school-based health services, particularly for low-income and vulnerable youth.

- Supporting states and local communities in improving school safety and climate through school discipline reform and investments in assessing, measuring, and responding to school climate issues at state, local, and school levels. This includes funding grant programs directed to SEAs and local educational agencies (LEAs), as well as a technical assistance center that provides training, disseminates resources, and responds to inquiries.

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

FY 2016 Implementation Strategy

The Department's efforts to turn around schools were largely focused on the distribution of SIG funding and technical assistance to states. The Department awards grants to states, which then award competitive subgrants to school districts.

In schools that have received funds under the SIG program, up to 80 percent of students are from low-income families—28 percentage points higher than the average school.³⁹

The State Support Network is a technical assistance center that supports state and district efforts to achieve significant improvements in student outcomes, scale up effective systemic approaches and practices within and across states and districts, and identify and share effective practices to facilitate learning from states, districts, and others to support school improvement. The Department also continued to partner with the Corporation for National and Community Service to support the School Turnaround AmeriCorps program grantees, and partnered with the President's Council on Arts and Humanities to support the Turnaround Arts Initiative.

FY 2016 Barriers to Success

Turning around the lowest-performing schools is challenging work and takes several years to show progress and success. In addition, as states implemented new college- and career-ready standards and assessments aligned with those standards, it was challenging to measure progress over time using the mathematics and reading/language arts assessments.

In addition, under the ESSA, states will still have financial resources to devote to school improvement efforts. As such, the Department will ensure a continuity of support to the field as states transition to the implementation of the law.

Key Milestones and Future Actions

All FY 2015 and FY 2016 SIG formula funds were awarded to states that applied for funds. The Department also utilized multiple existing technical assistance efforts to support states in implementing SIG. These efforts will continue in the future to support states as they transition to implementing the ESSA.

³⁹ <http://www2.ed.gov/programs/sif/signationalsum09292015.pdf>

Objective 2.5: STEM Teaching and Learning. *Increase the number and quality of science, technology, engineering, and mathematics (STEM) teachers and increase opportunities for students to access rich STEM learning experiences.*

FY 2016 Implementation Strategy

In lieu of budget appropriations for proposed STEM initiatives, the Department worked to strengthen existing programs that have a focus on STEM, enhance interagency collaborations, propose new areas of focus and work with external organizations to build public-private partnerships to increase the number and quality of STEM teachers and increase opportunities for students to access rich STEM learning experiences.

STEM was included as a competitive or invitational priority in many discretionary grant competitions in FY 2016, including the Magnet School Assistance Program (MSAP), Investing in Innovation Program (i3), Hispanic Serving Institution STEM Articulation Program (HSI-STEM), and Ready to Learn (RTL). In addition, states, districts, schools, and their partners may utilize formula dollars to support STEM education. Examples of ways that SEAs, LEAs, and their partners could use formula funds (under Title I, II, III, and IV of the ESEA; IDEA; and the *Carl D. Perkins Career and Technical Education Act of 2006*) to support STEM were provided in Q2 of 2016: <https://www2.ed.gov/programs/promiseneighborhoods/stemdearcolleagueaccess.pdf>.

In addition to supporting existing Department programs and proposing new areas of focus in STEM, the Department has worked closely with the National Science and Technology Council CoSTEM that coordinates federal programs and activities in support of STEM education pursuant to the requirements of Sec. 101 of the *America COMPETES Reauthorization Act of 2010*.⁴⁰ The Department cochairs the P-12 and Computer Science for All Interagency Working Groups and actively participates in the Engagement Interagency Working Group.

The Department also expanded interagency partnerships through the 21st Century Community Learning Centers (21st CCLC) program, a \$1.1 billion formula grant program. The funds are used to provide high-quality, hands-on out-of-school learning experiences that connect learning that takes place during the school day with real-world applications in STEM areas. Since 2013, the partnerships have grown in scale and scope from two agencies—the Department and the National Aeronautics and Space Administration (NASA)—reaching 20 sites across three states to five agencies—the Department, NASA, the National Park Service, the Institute of Museum and Library Services, and the National Oceanic and Atmospheric Administration—reaching more than 200 sites across 25 states in 2016.

In addition, the Department has worked closely with a number of partners, such as 100Kin10, a network of over 280 partners that came together in response to the President's 2011 call to action, in the State of the Union address, to recruit 100,000 STEM educators in the next 10 years; in May 2016, 100Kin10 announced that they have the commitments in hand to recruit 100,000 additional STEM teachers by 2021. Another successful partnership is with the STEM Funders' Network around their [STEM Learning Ecosystems](#) initiative, which has cultivated 37 community-based partnerships nationwide focused on providing high-quality STEM education opportunities, both in and out of school, for students from underserved and high-need communities. These partners have undertaken remarkable work to increase the number and quality of STEM educators and expand opportunities for students in STEM.

⁴⁰ <https://www.nsf.gov/statistics/about/BILLS-111hr5116enr.pdf>

FY 2016 Barriers to Success

The ESSA eliminated Mathematics and Science Partnerships (MSP), the Department's program to improve elementary and secondary school mathematics and science teacher education and professional development. With the elimination of MSP, the ESSA does not authorize any Department program dedicated solely to improving K-12 STEM education. If funded, the Title IV block grant may be used partially for STEM activities; but it is spread across multiple aspects of well-rounded education, and since the funds are distributed by formula, funding for LEAs for STEM education would likely be minimal. Limited resources present a risk to achieving this strategic objective, as STEM programming requires funds to support recruitment, training, support, and retention of STEM educators.

Key Milestones and Future Actions

In March 2016, STEM leaders across the country, representing state and local entities, foundations, nonprofits, media organizations, technology companies, research institutions, and museums, made commitments to support innovative STEM work. Collectively, these commitments have the potential to bring new, active STEM content for the nation's youngest children to millions of households across the nation. In addition to the public and private sector groups that stepped up, federal agencies are deepening the resources and support they provide for early active STEM learning.

The Department also will review and revise its strategy for supporting STEM Teaching and Learning to reflect changes made by the Congress in the ESSA.

Goal 3. Early Learning:

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

Goal Leader: Assistant Secretary, Office of Elementary and Secondary Education (OESE)

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

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

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

Public Benefit

Each year, about 4 million children enter kindergarten in the United States. Unfortunately, not every parent has access to high-quality early learning opportunities for their children. There are large disparities in enrollment based on geography, race, and socioeconomic levels. As a result, too many children enter kindergarten a year or more behind their classmates in academic skills and social-emotional development.⁴¹

A robust body of research shows that children who participate in high-quality preschool programs have better health, social-emotional, and cognitive outcomes than those who do not participate. The gains are particularly powerful for children from low-income families and those at risk for academic failure who, on average, start kindergarten 12 to 14 months behind their peers in preliteracy and language skills.⁴² Studies also reveal that participating in quality early learning can boost children’s educational attainment and earnings later in life.⁴³

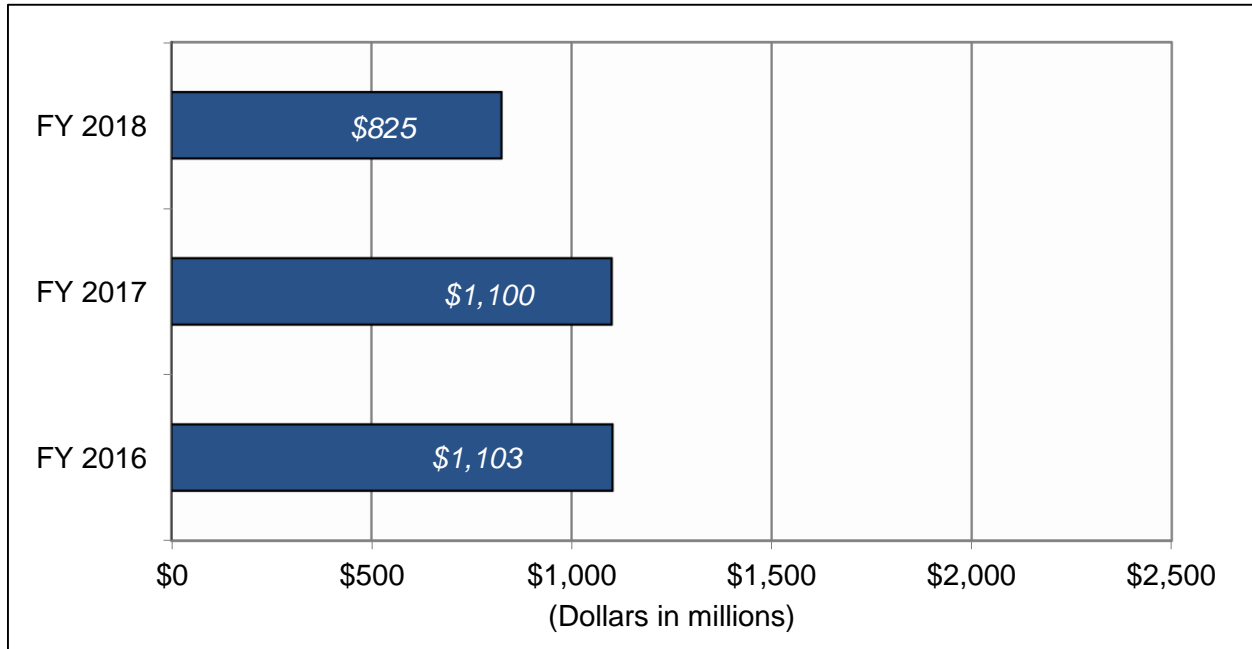
In FY 2016, the Department’s investments in early learning included IDEA Part C and Preschool Development Grants (PDG).

⁴¹ Yoshikawa, Hirokazu, Christine Weiland, Jeanne Brooks-Gunn, Margaret R. Burchinal, Linda M. Espinosa, William T. Gormley, Jens Ludwig, Katherine A. Magnuson, Deborah Phillips, and Martha J. Zaslow. *Investing in Our Future: The Evidence Base on Preschool Education*. Vol. 9. Society for Research in Child Development and Foundation for Child Development, 2013.

⁴² Committee on Integrating the Science of Early Childhood Development. *From Neurons to Neighborhoods: The Science of Early Childhood Development*. (2000). Jack P. Shonkoff and Deborah A. Phillips, eds. Board on Children, Youth, and Families, Commission on Behavioral and Social Sciences and Education. Washington, DC: National Academy Press.

⁴³ See, e.g., Yoshikawa, et.al., *Investing in Our Future: The Evidence Base on Preschool Education*, 2013.

Goal 3 Discretionary Resources



Major Discretionary Programs and Activities⁴⁴ Supporting Goal 3 Performance Metrics [Dollars in Millions]

POC	Account	Obj.	Program	FY 2016 Appropriation	FY 2017 Annualized CR ⁴⁵	FY 2018 President's Budget
OESE	I&I	3.1	Preschool development grants	250	250	--
OSERS	SE	3.1, 3.2, 3.3	Grants for infants and families	459	458	458
OSERS	SE	3.1, 3.2, 3.3	Preschool grants	368	368	368
Subtotal				1,077	1,075	825
Other Discretionary Programs/Activities				26	26	0
TOTAL, GOAL 3				1,103	1,100	825

POC = Principal Operating Component.




CR = Continuing Resolution.

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

⁴⁴ All the programs listed are discretionary programs, as distinct from mandatory programs. These include both competitive and noncompetitive/formula programs.

⁴⁵ A full-year 2017 appropriation was not enacted at the time the FY 2018 Budget was prepared; therefore, the Budget is built off of the *Further Continuing Appropriations Act, 2017* (P.L. 114-254). The amounts included for 2017 reflect the annualized level provided by the continuing resolution.


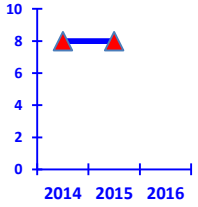

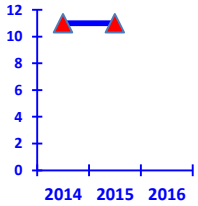
Goal 3: Details

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	 Missed ⁴⁶	 Exceeded ⁴⁷	2017	2018	
3.1.A. Percentage of 4-year olds enrolled in state preschool programs⁴⁸ 	SY: 2015–16 (FY: 2016) 85.5%	NA	NA	SY: 2015–16 (FY: 2016) 85.5%	NA	NA	NA		92.7%	100%	NA

⁴⁶ Missed target by <=1, or if percentage, <=1.3 percentage points.

⁴⁷ Surpassed target; not just met the target. If a diminishing target, the actual was below the reduction target set.

⁴⁸ Metric is aligned with an Agency Priority Goal (APG). This metric is being revised from what was reported in the 2015 Annual Performance Report (APR) to focus on the 18 Preschool Development Grants (PDG)-funded states (Alabama, Arizona, Arkansas, Connecticut, Hawaii, Illinois, Louisiana, Maine, Maryland, Massachusetts, Montana, Nevada, New Jersey, New York, Rhode Island, Tennessee, Vermont, Virginia) and more accurately reflect the grants' impact. The data source has also been changed from National Institute for Early Education Research (NIEER) Yearbook to the states' annual performance reports: Preschool Development Grants Annual Performance Reports, Data Workbook, Table A(1) (a) and (b).



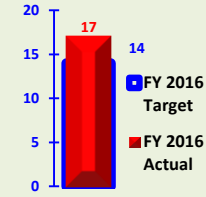
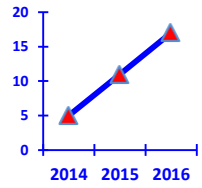
U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁴⁶	Exceeded ⁴⁷	2017	2018	
3.1.B. Number of states with high-quality preschool program standards⁴⁹ INCREASE 	SY: 2013–14 (FY: 2014) 8	SY: 2013–14 (FY: 2014) 8	SY: 2014–15 (FY: 2015) 8	SY: 2015–16 (FY: 2016) Q3 of Following FY	SY: 2015–16 (FY: 2016) 10	TBD	TBD		12	TBD	
3.2.A. Number of states that require a teacher with a bachelor's degree in a state preschool program⁵⁰ INCREASE 	SY: 2013–14 (FY: 2014) 11 ⁵¹	SY: 2013–14 (FY: 2014) 11	SY: 2014–15 (FY: 2015) 11 ⁵²	SY: 2015–16 (FY: 2016) TBD Q3 of Following FY	SY: 2015–16 (FY: 2016) 15	TBD	TBD		18	TBD	

⁴⁹ Metric is aligned with an APG. This metric is being revised from what was reported in the 2015 APR to focus on the 18 PDG-funded states (Alabama, Arizona, Arkansas, Connecticut, Hawaii, Illinois, Louisiana, Maine, Maryland, Massachusetts, Montana, Nevada, New Jersey, New York, Rhode Island, Tennessee, Vermont, Virginia) and more accurately gauge the grants' impact. The data source is being updated to reflect the column from which the data are pulled: NIEER Yearbook Table 1: State Ranking and Quality Checklist Sums, Column "Quality Checklist Sums."

⁵⁰ This metric is being revised to focus on the 18 PDG-funded states (Alabama, Arizona, Arkansas, Connecticut, Hawaii, Illinois, Louisiana, Maine, Maryland, Massachusetts, Montana, Nevada, New Jersey, New York, Rhode Island, Tennessee, Vermont, Virginia) and more accurately gauge the grants' impact. All of the data have been revised from what was reported in the 2015 Annual Performance Report. The data source is being updated to reflect the column from which the data are pulled: National Institute for Early Education Research (NIEER) Yearbook, Workforce Supplement, Table 3: Preschool Teacher Qualifications and Salary, Column "BA Required."

⁵¹ For the baseline year/data, the NIEER SY 2013–14 Yearbook did not have a Workforce section, which is where the data for this metric should be pulled. Thus the "Teacher has a BA" column was used and the 11 states that met the criteria were: Alabama, Connecticut, Illinois, Louisiana, Maine, Maryland, Nevada, New Jersey, New York, Rhode Island, and Tennessee.

⁵² In SY 2014–15 (FY 2015) the column changed to "BA Required," so if a state reported on more than one program, and all programs did not require a BA, then the state was not included in the count for the state requiring a teacher with a bachelor's degree in a state preschool program. Where a state reported on more than one program, all programs in that state must require a BA in the state preschool program to be included in the data count. PDG-funded states meeting criteria include: Alabama, Hawaii, Illinois, Louisiana, Maine, Maryland, Nevada, New Jersey, New York, Rhode Island, and Tennessee.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁴⁶	Exceeded ⁴⁷	2017	2018	
3.3.A. Number of states collecting and reporting disaggregated data on the status of children at kindergarten entry using a common measure INCREASE 	SY: 2010 (FY: 2010) 2	SY: 2013–14 (FY: 2014) 5 ⁵³	SY: 2014–15 (FY: 2015) 11 ⁵⁴	SY: 2015–16 (FY: 2016) 17	SY: 2015–16 (FY: 2016) 14	MET	 		16 ⁵⁵	TBD ⁵⁶	

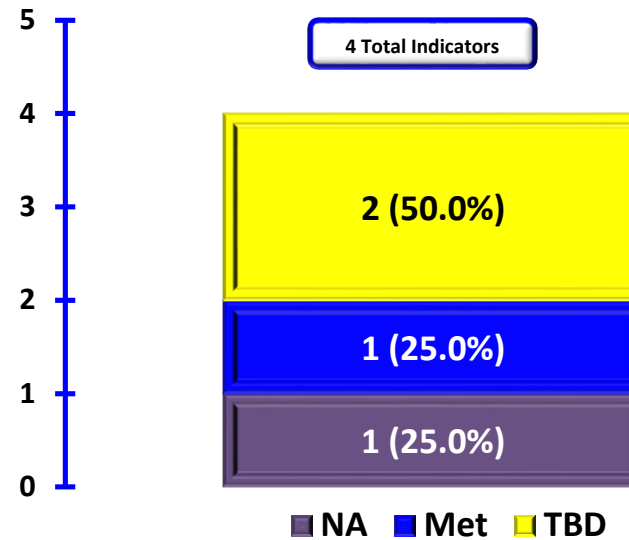
⁵³ Five ELC states implemented their KEA (OR, KY, VT, MD, and OH) in the 2014–15 school year. One state (DE) had planned to implement its KEA in 2014–15 year, but later adjusted its timeline to implement during the 2015–16 school year. As such, the FY 2014 actual is revised from six to five states.

⁵⁴ Eleven ELC states (CA, CO, DE, KY, MD, MA, MI, NC, OH, OR, and VT) are implementing their KEAs in the 2015–16 school year. The remaining eight states that chose to implement KEAs (GA, IL, MN, NJ, NM, PA, RI, WA) will begin after the 2015–16 school year. Wisconsin did not select to implement a KEA, but is implementing a statewide literacy assessment and is exploring the development and use of a KEA.

⁵⁵ There will be difficulty collecting ELC data in out-years because some grantees will no longer be reporting APR data.

⁵⁶ In FY 2017, the data source will change from RTT-ELC to ED*Facts*. However, the data will not be available until FY 2018 Q3 with a collection commencement timeframe of December 2017. Nine (9) of 19 RTT-ELC states that wrote to this optional area will have completed their grants and the Department will only have 10 states reporting in FY 2017. KEA data collection has been added to ED*Facts*.

Goal 3 FY 2016 Indicator Performance Summary



NA = Not applicable.

TBD = To be determined.

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

Data Sources and Frequency of Collection:

- 3.1.A. Preschool Development Grants Annual Performance Reports, Data Workbook, Table A(1)(a) and (b); annually
- 3.1.B. National Institute for Early Education Research (NIEER) Yearbook Table 1: State Ranking and Quality Checklist Sums, Column “Quality Checklist Sums”; annually
- 3.2.A. NIEER Yearbook, Workforce Supplement, Table 3: Preschool Teacher Qualifications and Salary, Column “BA Required”; annually
- 3.3.A. Race to the Top (RTT)-Early Learning Challenge (ELC) Technical Assistance Center; annually

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

Analysis and Next Steps by Objective

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

FY 2016 Implementation Strategy

In 2010, the Department and HHS formed an Early Learning Interagency Policy Board (IPB) to advise the Secretaries on how to better align programs and systems, and improve coordination and administration of federally funded early learning programs serving children from birth to age 8 (e.g., Head Start, Child Care, Home Visiting, and early learning programs funded under Title I, Part A of the ESEA and IDEA). Meeting quarterly, the IPB has provided a venue for developing policy recommendations and improving program coordination and quality across federally funded early learning and development programs. Through the work of the IPB, several policy statements were released that focus on improving the quality of early childhood programs.

Improving access to high-quality early learning programs has been a priority for the Department. In FY 2016, the key programs on which the Department focused are the PDG and IDEA programs serving children from birth through age 5. Other efforts to improve the quality of early childhood programs focused on activities such as reducing suspensions and expulsions, addressing chronic absenteeism, promoting family engagement and inclusive settings, and supporting STEM for early learners.

Preschool Development Grant Technical Assistance (PDG TA)—the technical assistance provider for the PDG grantees—held a number of webinars in FY 2016, providing information on communicating with families to prevent chronic absenteeism, supporting young children demonstrating difficult behaviors, and avoiding suspension and expulsion in early childhood programs.

In order to improve the quality of early learning programs from birth through third grade, the Department and HHS collaborated with the National Center for Education Research (NCER) at the Institute of Education Sciences (IES) and leveraged \$20.5 million of NCER resources with \$5.5 million of PDG national activities funds to support the \$26 million [Early Learning Research Network](#).

Several webinars and documents were produced in FY 2016 to provide the tools and resources to support families and their engagement with children’s learning and development including resources on supporting children and families living in poverty in rural areas and family engagement.

FY 2016 Barriers to Success

As PDG program administration transitions to HHS under the ESSA, the Department and HHS will work together to continue to support existing grantees and ensure that they are able to successfully meet their commitments during the project period.

Despite a recent increase in federal funding, IDEA Part C systems within many states were stretched thin because of high demand for early intervention services. Some states have narrowed their definition of developmental delay as part of their eligibility requirements for serving children with disabilities and their families. Staff and Department-funded centers support

states in using their resources most efficiently. This was the first time in many years that there was an increase in Part B, Section 619 funding, yet because there has been an increase in the number of children served in the program over the years, the funding increase did not substantially increase the historic per child funding for the program.

Key Milestones and Future Actions

OSERS and its technical assistance centers have been supporting states on implementing and evaluating their State Systematic Improvement Plans (SSIPs) to improve results for children with disabilities. As OESE, OSERS, and HHS developed policy statements, the Department conducted input sessions with multiple stakeholder groups to ensure their perspectives were included and to get their input on additional resources that would be of benefit.

In October 2016, the Department and HHS held their annual meeting for the 29 Race to the Top – Early Learning Challenge (RTT-ELC) and PDG grantees—11 RTT-ELC and 18 PDG—to share best practices and lessons learned. In February 2017, the Institute of Medicine/National Research Council (NRC) released a new report, “Fostering School Success for English Learners: Toward New Directions in Policy, Practice, and Research,” and in July 2016, “Supporting the Parents of Young Children” was released. Both were funded by the Department, HHS, and philanthropic partners.

The Department also may consider revising this objective and/or strategies for achieving the objective to reflect changes to early learning programs made by the Congress in the ESSA.

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

FY 2016 Implementation Strategy

A number of activities were held to support states in building and strengthening the early learning workforce, including a joint webinar with HHS and a Peer Learning Exchange entitled, “Cultivating Excellence: Developing and Strengthening Your Early Childhood Workforce.”

The new PDG program under the ESSA will provide continued support for the early learning workforce. The Department participated in meetings and planning regarding implementation of the new PDG under the ESSA, including working with HHS, OMB, and the Domestic Policy Council on creating an agreement between the Department and HHS to implement the program. The [nonregulatory guidance developed by the Department](#) will help ensure that administrators, teachers, and paraeducators are supported as they work to improve outcomes for young children in early learning programs.

In addition, OSERS funds the Early Childhood Personnel Center (the Center) to work with states to improve their personnel systems to increase the quality and effectiveness of the early learning workforce to serve children with disabilities. The Center recently finished providing intensive technical assistance to a cohort of four states, targeted technical assistance to six states, and chose six more states for intensive technical assistance. The Center also held leadership institutes for IDEA Part C and Part B, Section 619 coordinators. OSERS also continues to fund personnel preparation grants. The Center was supplemented to develop online modules on evidence-based practices for use by faculty and professional development providers preparing personnel that will serve young children with disabilities and their families.

On October 27, 2015, the Department and HHS released a [report](#) that summarizes the progress of professional development systems in the RTT-ELC states. In November 2015, the Early Learning Challenge Technical Assistance Program (ELC TA) released a report, [Articulation Strategies in RTT-ELC States](#), to highlight best practices in supporting future practitioners in transferring from two-year colleges to four-year universities. In December 2015, ELC TA released a report, [RTT-ELC Grantees That Incorporate Business Trainings for Child Care Providers in Their Scope of Work](#). In January 2016, ELC TA published a report, [Scholarships for Early Childhood Educators in RTT-ELC States](#). In June 2016, the Department and HHS released [Credentialing in the Early Care and Education Field Report](#).

FY 2016 Barriers to Success

While the ESSA includes language explicitly stating that Title II dollars can be used for early childhood educators, it remains unclear whether or how that will affect the workforce. Challenges abound in developing an effective early learning workforce. States that can sustain programs for longer periods have less difficulty recruiting and retaining strong early childhood educators.

In FY 2016, the Department and its technical assistance providers worked to address some of these challenges through webinars, peer learning, and highlighting promising practices, such as mentoring and coaching.

Limited resources are a risk to achieving this strategic objective. The IDEA Part C and Part B, Section 619 programs report personnel shortages, specifically related to service providers who have specialized knowledge and skills in serving young children with disabilities and their families (e.g., speech-language pathologists, physical therapists). Additionally, there is an increased demand for resources under Part D that can address personnel shortages and improve the quality of the workforce serving young children with disabilities and their families.

Key Milestones and Future Actions

During May 2016, the Office of Early Learning (OEL) worked with HHS to develop a plan for the National Academies of Science to review and synthesize available research and analysis on the resources needed to meet the true costs of high-quality early care and education. The committee will produce a report that synthesizes the information gathered and, based on their analysis and interpretation, draw conclusions about and make recommendations for concrete, implementable funding strategies in the public and private sectors at the national, state, and local levels. In addition, an early childhood workforce case study is progressing well.

During September 2016, the Department's Policy and Program Studies Service (PPSS) office worked with HHS to develop a plan for a study on articulation from two-year to four-year colleges. The American Institutes for Research (AIR) is contracted to complete the study and is supported by PDG national activities funds. The report is expected to be released late next year.

The Department may also consider revising this objective and/or strategies for achieving the objective to reflect changes to early learning programs made by the Congress in the ESSA as well as related budget proposals by the new administration.

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

FY 2016 Implementation Strategy

The Department will continue to reach out to the Education Commission of the States (ECS), the Council of Chief State School Officers (CCSSO), the National Institute for Early Education Research (NIEER), and other organizations that share its interest in advancing quality kindergarten entry assessments (KEAs), share resources, and develop strategies that might increase its collective impact.

OESE staff are working with Enhanced Assessment Grants (EAG) staff in supporting the three EAG grantees developing KEAs, paying particular attention to the RTT-ELC and PDG overlapping states. The Department has reviewed the applications submitted for the PDG competition that discuss the states' assessment practices, and will use the PDG TA contractor's electronic grant monitoring tool, GRADS 360, and other means to monitor and report on KEA/assessment progress. OESE is working with the national comprehensive center, CEELo, to provide targeted technical assistance on KEA development or enhancement.

The Department, HHS, and ELC TA support both the RTT-ELC states and many voluntary nongrant states and PDG states through an online early learning community. In October 2015, the ELC TA center updated its brief, "Kindergarten Entry Assessments in ELC Grantee States."

On August 27, 2015, the Department posted for comment the ED*Facts* Data Set "[Kindergarten Entry Assessment Data Collection through EMAPS](#)" as part of the Annual Mandatory Collection of Elementary and Secondary Education Data. The Department is reviewing and responding to comments received and expects to post the final data collection in FY 2017. The data collection will fill a void left when RTT-ELC KEA data collection diminishes as states finish their grant periods.

To support implementation of the high-quality preschool program components, the Department and HHS reviewed the PDG and RTT-ELC APR data collected through February 2016. The PDG TA center published a brief, "[State Technical Assistance Report: Comprehensive Assessment Systems in Preschool Development and Expansion Grant States](#)." In September 2016, the ELC TA center updated its report, [Kindergarten Entry Assessments in RTT-ELC States](#). Project officers continue to work with grantees to support implementation of high-quality, coordinated early learning systems and continued monthly calls with grantees to provide technical assistance.

FY 2016 Barriers to Success

Some states have challenges implementing their KEAs due to funding constraints and local district decisions. For example, in Maryland, one of three EAG grantees, a new law restricts the Maryland Kindergarten Readiness Assessment to sampling, rather than assessing all children when they enter kindergarten. A district may still voluntarily choose to assess all its kindergarteners.

Key Milestones and Future Actions

On October 27, 2015, the Department and HHS released a [report](#) that shows the Department surpassed the 2015 performance target of nine states collecting and reporting disaggregated

data on the status of children at kindergarten entry using a common measure. Eleven ELC states (CA, CO, DE, KY, MD, MA, MI, NC, OH, OR, and VT) are implementing their KEAs in the 2015–16 school year. The remaining eight states that chose to implement KEAs (GA, IL, MN, NJ, NM, PA, RI, and WA) will begin after the 2015–16 school year.

The 2015 APRs for 19 states—WI did not choose to spend funds on a KEA—show that all states have made progress in moving towards implementing their KEAs. The [18 PDG states](#) are required to report on the school readiness of the children participating in their high-quality preschool programs, with encouragement to use a KEA. States describe the assessment they will use in the 2016 APR to report the school readiness of the first PDG cohort of children. The Department expects to have data in spring 2017 for the second year of the grant. The 18 states reported serving 28,000 4-year-olds in high-quality preschool programs. In the 2016 APR for PDG, the Department will collect data on school readiness.

The individual state RTT-ELC [APRs and Progress Reports](#) were posted on September 1, 2016. Seventeen of the 19 states that used RTT-ELC funds for KEAs are either phasing in implementation (7 states) or fully implementing (10 states) their KEA in the 2016–17 school year. Rhode Island and Georgia are piloting their KEA.

The Department also may consider revising this objective and/or strategies for achieving the objective to reflect changes to early learning programs made by the Congress in the ESSA as well as the policy priorities of the new administration.

Goal 4. Equity:

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

Goal Leader: Assistant Secretary for Office for Civil Rights (OCR)

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

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

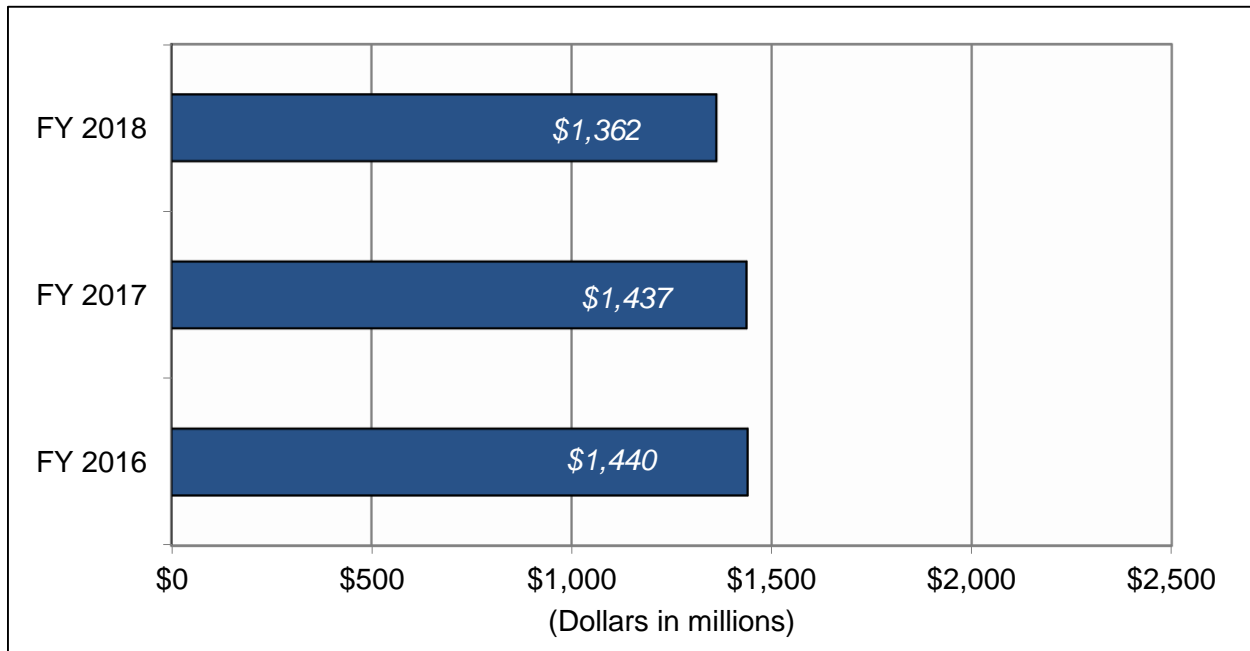
Public Benefit

Equal access to equitable opportunities in education permeates every facet of the Department's work and is the cornerstone of the mission to promote student achievement and preparation for global competitiveness. Through grant programs, loans, technical assistance, and civil rights enforcement, the Department improves educational opportunities and outcomes for all students—regardless of income, home language, ZIP code, age, sex, sexual orientation, gender identity, race, or disability.

The Department works to serve students from their very first instructional experiences through early learning investments and to serve P-12 students through the implementation of the ESSA, which was signed into law in December 2015 and goes into effect with the 2017–18 school year. The ESSA continues the ESEA's longstanding focus on providing resources and supports for students from low-income families, students with disabilities, English learners, and students who are migrant, homeless, or in foster care. The ESSA also focuses on providing support and interventions for the lowest-achieving schools as well as providing equal access to excellent educators for low-income and minority students.

In addition to enhancing educational opportunities, the Department also works to eliminate discriminatory barriers that might prevent students from achieving their fullest potential. One way that the Department continues to monitor progress toward closing equity gaps in the nation's schools is through the biennial CRDC. In FY 2016, the Department released its 2013–14 CRDC report, demonstrating that despite significant work from districts across the country, persistent disparities remain, highlighting the need for a continued focus on educational equity. Another way is through continued efforts in OCR to address issues of equity in educational opportunity through both its policy and robust enforcement work.

Goal 4 Discretionary Resources



Major Discretionary Programs and Activities⁵⁷ Supporting Goal 4 Performance Metrics [Dollars in Millions]

POC	Account	Obj.	Program	FY 2016 Appropriation	FY 2017 Annualized CR ⁵⁸	FY 2018 President's Budget
OCR	OCR		Office for Civil Rights	107	107	107
OESE	ED	4.1	State agency programs: Migrant	375	374	374
OESE	IE	NA	Indian Education: Grants to local educational agencies	100	100	100
OESE	IE	NA	Indian Education: Special programs for Indian children	38	38	38
OESE	SIP	NA	Alaska Native education	32	32	--
OESE	SIP	NA	Native Hawaiian education	33	33	--
OESE	SIP	4.1, 4.2	Training and advisory services	7	7	7
OESE/OELA	ELA	4.1, 4.2	English Language Acquisition	737	736	736
OSERS	SE	NA	Special Olympics education programs	10	10	--
TOTAL, GOAL 4				1,440	1,437	1,362

POC = Principal Operating Component.

CR = Continuing Resolution.




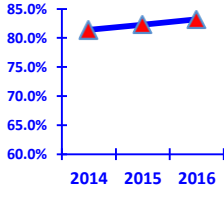



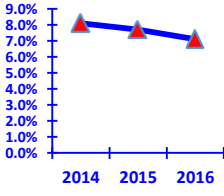
NA = Not applicable.

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

⁵⁷ All the programs listed are discretionary programs, as distinct from mandatory programs. These include both competitive and noncompetitive/formula programs.

⁵⁸ A full-year 2017 appropriation was not enacted at the time the FY 2018 Budget was prepared; therefore, the Budget is built off of the *Further Continuing Appropriations Act, 2017* (P.L. 114-254). The amounts included for 2017 reflect the annualized level provided by the continuing resolution.

Goal 4: Details

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁵⁹	Exceeded ⁶⁰	2017	2018	
4.1.A. National high school graduation rate⁶¹ <p style="text-align: center;">INCREASE</p> 	SY: 2011–12 80.0%	SY: 2012–13 81.4%	SY: 2013–14 82.3%	SY: 2014–15 83.2%	FY: 2016 84.5% ⁶²	NOT MET			85.0%	85.3%	
4.1.B. Gap in the graduation rate between students from low-income families and all students⁶³ <p style="text-align: center;">DECREASE</p> 	SY: 2013–14 7.7%	SY: 2012–13 8.1%	SY: 2013–14 7.7%	SY: 2014–15 7.1%	FY: 2016 7.6% ⁶⁴	MET			7.4%	6.8%	

⁵⁹ Missed target by <=1, or if percentage, <=1.3 percentage points.


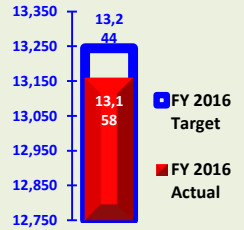
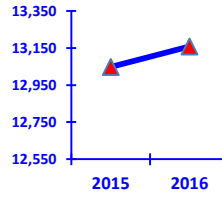

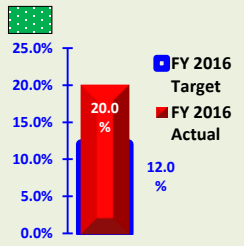
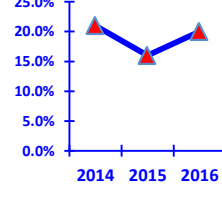
⁶⁰ Surpassed target; not just met the target. If a diminishing target, the actual was below the reduction target set.

⁶¹ Metric is aligned with an Agency Priority Goal (APG).

⁶² SY 2014–15 actuals are being used to compare against the FY 2016 target; SY 2015–16 (aligns with FY 2016) data not available until 2017.

⁶³ Metric is aligned with an APG.

⁶⁴ SY 2014–15 actuals are being used to compare against the FY 2016 target; SY 2015–16 (aligns with FY 2016) data not available until 2017.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁵⁹	Exceeded ⁶⁰	2017	2018	
4.1.C. Number of schools that do not have a gap or that decreased the gap between students from low-income⁶⁵ families and the state average of all students^{66, 67} <p style="text-align: center;">INCREASE</p> 	SY: 2013–14 13,048	NA	SY: 2013–14 13,048	SY: 2014–15 13,158	FY: 2016 13,244 ⁶⁸	NOT MET			13,442	13,487	
4.2.A. Percentage of proactive civil rights investigations launched annually that address areas of concentration in civil rights enforcement⁶⁹ <p style="text-align: center;">INCREASE</p> 	FY: 2013 7.0%	FY: 2014 21.0%	FY: 2015 16.0%	FY: 2016 20.0%	FY: 2016 12.0%	MET			15.0%	15.0%	






⁶⁵ For purposes of this metric, eligibility for Free or Reduced Price Lunches (FRPL) under the National School Lunch Program (NSLP) is the primary source of data for identifying economically disadvantaged (low-income) students for reporting on student outcomes, including graduation rates. The Department is currently considering options for redefining “economically disadvantaged” students for student outcomes reporting and other uses. Should the Department make such a change, data on economically disadvantaged students may not be entirely comparable with data for previous years.

⁶⁶ Metric is aligned with an Agency Priority Goal (APG).

⁶⁷ This measure is calculated as the number of schools in which the ACGR for low-income students was equal to or greater than the statewide ACGR for all students PLUS the number of schools with a gap that reduced the size of this gap by 5 percent or more. Initially the data points in the 2015 APR were for a percentage calculation versus the number.

⁶⁸ SY 2014–15 actuals are being used to compare against the FY 2016 target; SY 2015–16 (aligns with FY 2016) data not available until 2017.

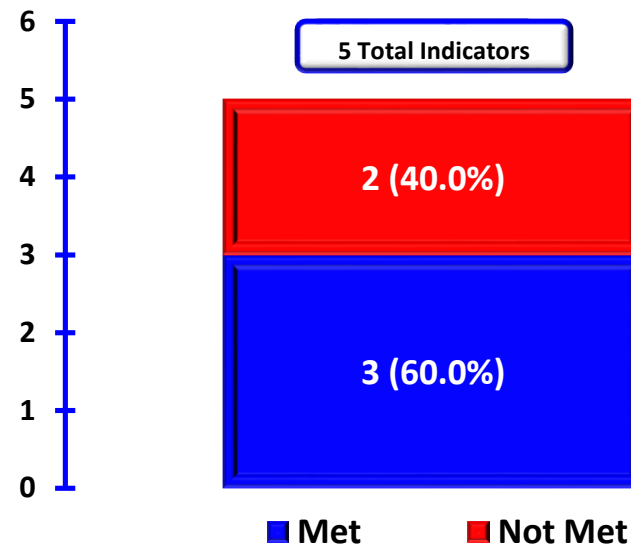
⁶⁹ Retiring metric at conclusion of FY 2016. Please see appendix B for additional information pertaining to the metric’s retirement. If a new metric is being proposed, the new metric will be directly below the indicator measurement direction of the metric being retired.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	 Missed ⁵⁹	 Exceeded ⁶⁰	2017	2018	
New Metric: Average number of cases substantively⁷⁰ resolved, per investigative staff member	FY: 2016 5.17	NA	NA	FY: 2016 5.17	NA	NA	NA		5.27	5.32	NA
4.2.B. Percentage of proactive civil rights investigations resolved annually that address areas of concentration in civil rights enforcement⁷¹	FY: 2013 8.0%	FY: 2014 15.0%	FY: 2015 20.0%	FY: 2016 33.0%	FY: 2016 12.0%	MET	<p>Legend:  FY 2016 Target  FY 2016 Actual</p>		16.0%	18.0%	<p>2014 2015 2016</p>
INCREASE 											
New Metric: Number of technical assistance presentations and press releases on Office for Civil Rights' work	FY: 2016 317	NA	NA	FY: 2016 317	NA	NA	NA		333	341	NA

⁷⁰ “Substantively” resolved includes cases with the following outcomes: finding of insufficient evidence, closure through early complaint resolution (ECR) process, cases that resulted in change without an agreement, and cases that resulted in change with a resolution agreement. The ultimate disposition of a case (that is, the case outcome) is tracked in OCR’s database and includes the above categories. For example, an outcome that is considered not substantive would be a dismissal.

⁷¹ Retiring metric at conclusion of FY 2016. Please see appendix B for additional information pertaining to the metric’s retirement. If a new metric is being proposed, the new metric will be directly below the indicator measurement direction of the metric being retired.

Goal 4 FY 2016 Indicator Performance Summary



NA = Not applicable.

TBD = To be determined.

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

Data Sources and Frequency of Collection:

- 4.1.A. National Center for Education Statistics (NCES) *EDFacts*; annually
- 4.1.B. NCES *EDFacts*; annually
- 4.1.C. NCES *EDFacts*; annually
- 4.2.A. Office for Civil Rights' (OCR) Case Management System (CMS) and Document Management (DM) systems; quarterly
- 4.2.B. OCR CMS and DM systems; quarterly

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

Analysis and Next Steps by Objective

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

FY 2016 Implementation Strategy

The Department is committed to pursuing equity at all stages of education, from birth through adulthood, by supporting institutions of: early learning; elementary and secondary education; career and technical, and postsecondary education; adult education; workforce development; and independent living programs. The Department's goal is to ensure that all—not just a subset—of the nation's children have access to high-quality preschool, graduate high school, and obtain the skills necessary to succeed in college, in the pursuit of a meaningful career, and in their lives. Accordingly, the equity goal incorporates programs and initiatives across the Department.

In December 2015, Congress passed the ESSA, which reauthorized and amended the ESEA. The ESSA continued the ESEA's longstanding commitment to equal opportunity for all students with its focus on ensuring that students from low-income families and students of color have equitable access to excellent educators and its requirement that meaningful actions are taken to improve the lowest-performing schools. Throughout FY 2016, the Department worked diligently to analyze the changes to the ESEA made by the ESSA and provide guidance and technical assistance to states, districts, and the public on the new law, as well as on the transition to the new law. The Department coordinated this support across offices, including OESE, OSERS, the Office of English Language Acquisition (OELA), OII, and the Office of Planning, Evaluation and Policy Development (OPEPD).

In addition to supporting states as they prepare to implement the ESSA, the Department also worked to improve equitable access by removing discretionary barriers to education. In FY 2016, OCR continued its work to enhance equitable opportunity for students through the development of civil rights guidance materials and by enforcing federal civil rights laws to remove discriminatory barriers to education.

OCR and the Office of the General Counsel (OGC) continued to support the equity goal of increasing educational opportunities for underserved students and reducing discrimination by representing the Department in litigation. In FY 2016, OGC worked with attorneys from OCR and the Department of Justice (DOJ) to file 13 statements of interest and *amicus curiae* briefs in federal courts to clarify the government's interpretation of civil rights laws.

FY 2016 Barriers to Success

A key challenge is the continued implementation of the changes to the ESEA made by the ESSA in addition to managing the transition from the *No Child Left Behind Act* (NCLB). Limited resources are a risk to achieving this strategic objective, and pose challenges to implementation.

As SIG ends, limited capacity at the state, district, and school levels could impact the sustainability of reforms in schools and support for the implementation of school-based

interventions. Ensuring quality and completeness of data at the state and local levels to enable better measurement of success also remains a challenge.

Key Milestones and Future Actions

Staff will continue to support states on their Educator Equity Plans. In FY 2017, the Department intends to host additional Educator Equity Labs and to continue to provide support for states through OESE program officers and the EASN.

On October 11, 2016, the Department announced awards to expand opportunity in CTE and dual language programs under the PFS Initiative. Additionally, the Department awarded a technical assistance grant to the Boston-based [Social Finance Inc.](#), in partnership with [Jobs for the Future](#), in order to improve outcomes for underserved, high-need youth, through the development of PFS projects to implement new or scale up existing high-quality CTE opportunities. The Department also awarded a contract to the Washington, DC-based AIR to identify effective strategies to improve outcomes for children learning English. The study focuses on early learning-dual language programs for English learners from pre-K to grade 3.

The Department also may consider revising its strategies for achieving the objective to reflect changes to programs made by the Congress in the ESSA as well as the policy priorities of the new administration.

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

FY 2016 Implementation Strategy

OCR’s implementation strategy for this strategic objective involves the issuance of policy guidance, robust data collection, vigorous enforcement through investigations and monitoring, proactive technical assistance and engagement with stakeholders through interagency working groups, and the dissemination of information and response to public inquiries to enhance the public’s knowledge of their civil rights. In the policy arena, in FY 2016, OCR issued five policy guidance documents.

In FY 2016, OCR unveiled its 2013–14 CRDC, published a [First Look](#) document detailing preliminary findings, and, for the first time ever, released the full, privacy-protected data set for the 2013–14 CRDC, which is available for [direct download from the Department’s webpage](#). OCR continues to work with other offices in the Department to prepare and publish data sheets based on the CRDC 2013–14 data findings, including the [rollout of chronic absenteeism data](#) and website, which were published in June.

In FY 2015, OCR overhauled [its website](#) to increase usability and to provide more information to the public, and in FY 2016, OCR continued to update its website with case resolution agreements and letters, policy guidance documents, technical assistance materials, and information about OCR’s enforcement processes.

OCR continued to provide excellent customer service to enhance the public’s knowledge of their civil rights by responding to public inquiries for information. Through the Customer Service Team, OCR responded to 5,025 incoming correspondence inquiries and answered 8,019 OCR “Hotline” call inquiries in FY 2016. The Department also distributed 701 copies of selected OCR publications in response to inquiries from advocacy groups, educational institutions, state and

local educational agencies, parents, students, members of the general public, and enforcement offices.

FY 2016 Barriers to Success

In FY 2016, OCR received a record-high number of complaints (16,720) and resolved 8,631 complaints despite challenges facing its operations, including a massive long-term staffing shortage and compressing and moving office space. Complaint volume and limited resources impacted OCR's ability to conduct and resolve proactive investigations and to conduct proactive technical assistance. OCR continues to leverage all resources, both staffing and technological, to ensure that its enforcement and outreach efforts are timely, efficient, and effective, and used the minimal budgetary relief provided in FY 2016 to recruit, hire, and on-board new staff to support the more than 60 percent increase in complaint volume.

Key Milestones and Future Actions

In FY 2017, OCR will continue its focus on improving the quality and efficiency of investigations through training, technology, innovation, and strategic partnerships; expanding transparency; increasing proactive efforts to highlight the full range of OCR's work through the release of data and materials to the public; and expanding technical assistance available to the public. In December 2016, OCR released its [FY 2016 Annual Report](#), detailing efforts to protect students' civil rights.

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

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

Goal Leader: Assistant Secretary, Office of Planning, Evaluation and Policy Development (OPEPD)

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

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

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

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

Public Benefit

Education stakeholders, ranging from students and parents, to teachers and principals, to institutional leaders and the Secretary, need access to timely, appropriate, relevant, and actionable information. Sources of helpful education information can range from datasets to rigorous evaluations and research studies to consumer-oriented tools. They must be accessible in multiple ways, relying on the use of technology and other dissemination strategies, while applying appropriate controls to protect student privacy. The Department must continue to invest in its information resources so that internal and external stakeholders can use the best available information to inform evidence-based decisions by states, districts, institutions of higher education, and students and parents.

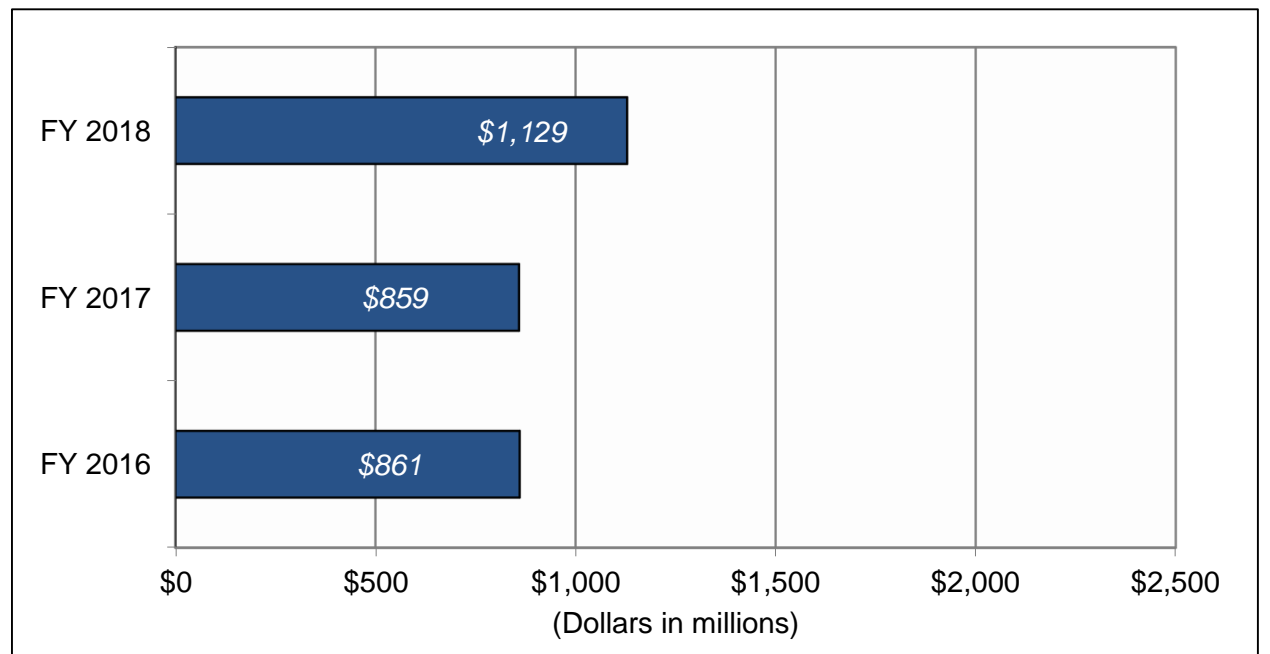
The Department continues to support states developing systems that will collect, manage, and appropriately report the valid, reliable data that are essential to achieving improvements across education, but there is much more work to do. In addition to supporting the development of the systems and structures that will provide education agencies across the nation with the data necessary to generate accurate information on student performance and other critical elements, the Department must continue to lead the national discussion of how these systems are best and most appropriately used to support students, improve instruction, address inequities in access and success, develop future teachers, and inform practice.

Additionally, the Department must help ensure that states, districts, and institutions of higher education are using and sharing data in ways that meet the highest standards of data ethics and protect student privacy, including compliance with applicable privacy laws. The collection, storage, maintenance, and use of data must be responsible and must appropriately protect student privacy. Stewards and users of data must remember that these data describe real people and ensure that systems protect the rights of those people. Student privacy is now a

focal point across the country; over the past three years, a majority of states have enacted student privacy legislation, while also expanding data use.

Better use of information, for policymakers, educators, institutional leaders, and students and parents, depends on information being accessible through reliable technology in formats that are helpful to various users. Data on students' educational and related financial outcomes will enable accountability for institutions and help to support students in their educational and career pathways. Additionally, the Department strives to provide public access to its own data by sharing it in various formats appropriate for data novices, reporters, researchers, and developers. In addition, the What Works Clearinghouse (WWC) provides user-friendly syntheses of research evidence on various approaches and strategies in ways that are designed to be helpful to decision-makers. Taken together, these activities support the effort to help ensure that scarce dollars have their intended impact and empower states, districts, and institutions of higher education to become more dynamic learning organizations, especially in areas with little existing rigorous evidence.

Goal 5 Discretionary Resources



Major Discretionary Programs and Activities⁷² Supporting Goal 5 Performance Metrics [Dollars in Millions]

POC	Account	Obj.	Program	FY 2016 Appropriation	FY 2017 Annualized CR ⁷³	FY 2018 President's Budget
IES	IES	5.3	National assessment	149	149	149
IES	IES	5.3	Regional educational laboratories	54	54	54

⁷² All the programs listed are discretionary programs, as distinct from mandatory programs. These include both competitive and noncompetitive/formula programs.

⁷³ A full-year 2017 appropriation was not enacted at the time the FY 2018 Budget was prepared; therefore, the Budget is built off of the *Further Continuing Appropriations Act, 2017* (P.L. 114–254). The amounts included for 2017 reflect the annualized level provided by the continuing resolution.

POC	Account	Obj.	Program	FY 2016 Appropriation	FY 2017 Annualized CR ⁷³	FY 2018 President's Budget
IES	IES	5.3	Research in special education	54	54	54
IES	IES	5.3	Research, development, and dissemination	195	195	195
IES	IES	5.1, 5.2	Statewide longitudinal data systems	35	34	34
IES	IES	5.3	Statistics	112	112	112
OII	I&I	5.3	Education innovation and research ⁷⁴	120	120	370
Subtotal				719	718	968
Other Discretionary Programs/Activities				142	141	161
TOTAL, GOAL 5				861	859	1,129


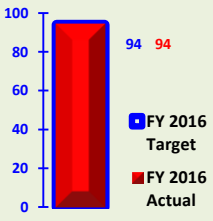
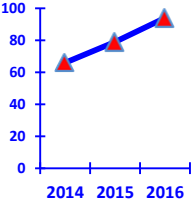

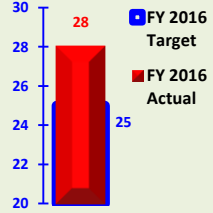
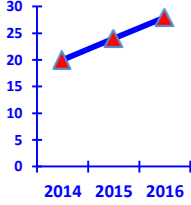
POC = Principal Operating Component.

CR = Continuing Resolution.

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


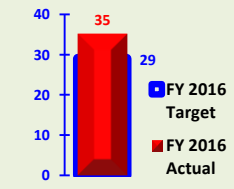
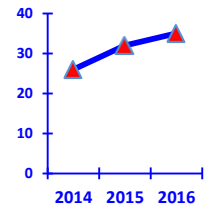
⁷⁴ This program was titled "Investing in Innovation" in 2016.

Goal 5: Details

Continuous Improvement of the U.S. Education System Indicators of Success Indicator Measurement Direction	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁷⁵	Exceeded ⁷⁶	2017	2018	
5.1.A. Number of public data sets included in ED Data Inventory and thus linked to Data.gov or ED.gov websites INCREASE 	FY: 2013 55	FY: 2014 66	FY: 2015 79	FY: 2016 94	FY: 2016 94	MET			104	110	
5.1.B. Number of states linking K-12 and postsecondary data with workforce data INCREASE 	FY: 2013 12	FY: 2014 20	FY: 2015 24	FY: 2016 28	FY: 2016 25	MET			25	28	


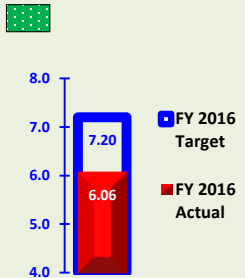
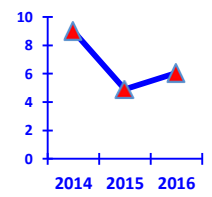

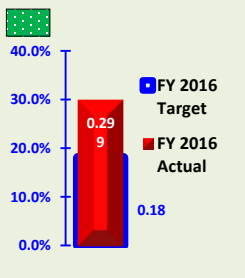
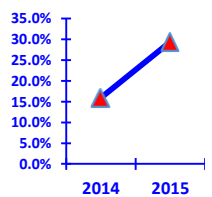
⁷⁵ Missed target by <=1, or if percentage, <=1.3 percentage points.

⁷⁶ Surpassed target; not just met the target. If a diminishing target, the actual was below the reduction target set.

Continuous Improvement of the U.S. Education System Indicators of Success Indicator Measurement Direction	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁷⁵	Exceeded ⁷⁶	2017	2018	
5.1.C. Number of states linking K–12 with early childhood data ⁷⁷ INCREASE 	FY: 2013 19	FY: 2014 26	FY: 2015 32	FY: 2016 35	FY: 2016 29	MET			NA	NA	
New Metric: Number of states actively using data systems to support and inform improvements	FY: 2012 7	18	28	32	NA	NA	NA		26 ⁷⁸	35	NA


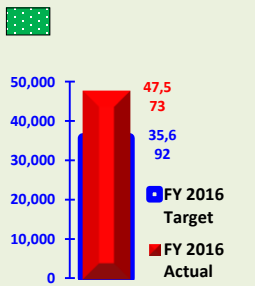
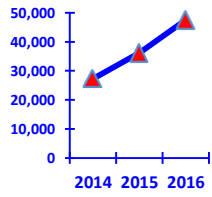

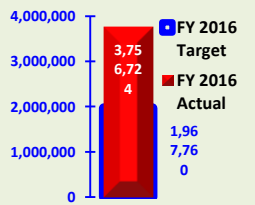
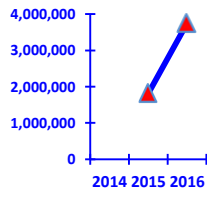
⁷⁷ Retiring metric at conclusion of FY 2016. Please see appendix B for additional information pertaining to the metric’s retirement. The FY 2017 and 2018 targets were 32 and 33, respectively. If a new metric is being proposed, the new metric will be directly below the indicator measurement direction of the metric being retired.


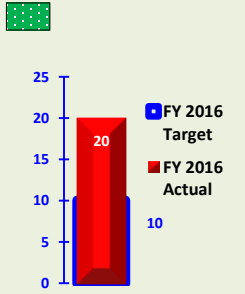
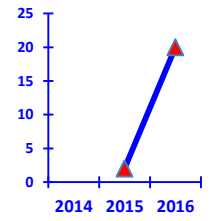
⁷⁸ Currently finalizing approval from OMB to implement survey of all states on data system capabilities and uses. The appropriate time to revisit FY 2017 and 2018 targets will be in quarter 4 of FY 2017 once the Department has the initial data from that survey.

Continuous Improvement of the U.S. Education System Indicators of Success Indicator Measurement Direction	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁷⁵	Exceeded ⁷⁶	2017	2018	
<p>5.2.A. Average time to close "cases" (PTAC + FPCO)</p> <p style="text-align: center;">DECREASE</p> 	FY: 2013 10 days	FY: 2014 9 days	FY: 2015 4.9 days	FY: 2016 6.06 days	FY: 2016 7.2 days	MET			6.709 ⁷⁹	10.0	
<p>5.3.A. Percentage of select new (noncontinuation) competitive grant dollars that reward evidence⁸⁰</p> <p style="text-align: center;">INCREASE</p> 	FY: 2012 6.5%	FY: 2014 15.9%	FY: 2015 29.4%	FY: 2016 29.9%	FY: 2016 18.0%	MET			20.0%	30.0%	

⁷⁹ Target was updated to reflect the goal of a 10% reduction from the prior year in the 2015 APR (FY 2017 target was an average of 6.48 days). However, the target has since been revised to be less aggressive due to internal staffing shifts, but still represents a ½ day improvement from the FY 2016 target.


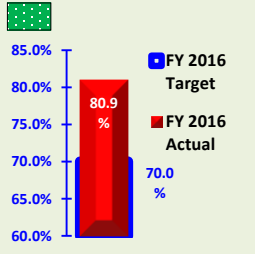
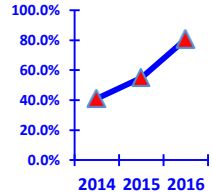
⁸⁰ Metric is aligned to an Agency Priority Goal. This metric's FY 2016 actual excludes Striving Readers. Even without that data, the metric's target has been met.

Continuous Improvement of the U.S. Education System Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁷⁵	Exceeded ⁷⁶	2017	2018	
5.3.B. Number of peer-reviewed, full-text resources in the Education Resources Information Center (ERIC) INCREASE 	FY: 2013 23,512	FY: 2014 27,292	FY: 2015 36,197	FY: 2016 47,573	FY: 2016 35,692	MET			40,892	46,892	
5.3.C. Number of visits to the What Works Clearinghouse (WWC) website INCREASE 	FY: 2015 1,822,000	NA	FY: 2015 1,822,000	FY: 2016 3,756,724	FY: 2016 1,967,760	MET			2,164,536	2,380,989	

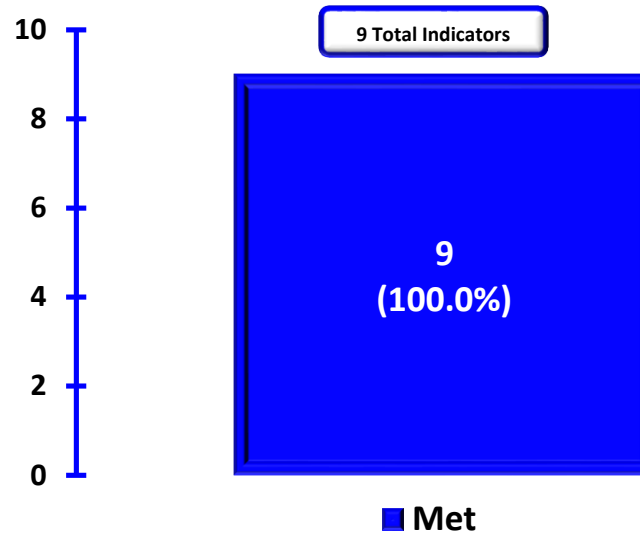
Continuous Improvement of the U.S. Education System Indicators of Success Indicator Measurement Direction	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁷⁵	Exceeded ⁷⁶	2017	2018	
<p>5.3.D. Number of completed project evaluations from grantees from select discretionary grant programs in a given fiscal year that meet What Works Clearinghouse (WWC) Evidence Standards⁸¹</p> <p style="text-align: center;">INCREASE </p>	FY: 2015 2	NA	FY: 2015 2	FY: 2016 20	FY: 2016 10	MET			10 ⁸²	30	

⁸¹ Metric is aligned to an Agency Priority Goal (APG).

⁸² The FY 2017 target has been revised to reflect a target of 10 versus 20. The APG statement notes that by 9/30/2017 there will 20 completed project evaluations. FY 2016's target was 10 and FY 2017's target is also 10, equating to a target of 20 for the two-year APG.

Continuous Improvement of the U.S. Education System Indicators of Success Indicator Measurement Direction	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁷⁵	Exceeded ⁷⁶	2017	2018	
5.4.A. Percentage of schools in the country that have actual Internet bandwidth speeds of at least 100 Mbps INCREASE 	FY: 2013 20.0%	41.0%	55.0%	80.9%	70.0%	MET			80.0%	90.0%	

Goal 5 FY 2016 Indicator Performance Summary



NA = Not applicable.

TBD = To be determined.

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

Data Sources and Frequency of Collection:

- 5.1.A. Data Strategy Team Data Inventory and the public ED Data Inventory at <http://datainventory.ed.gov>; quarterly
- 5.1.B. State Longitudinal Data Systems (SLDS) grant monitoring (monthly updates from states, annual performance reports, final performance reports, and site visits); quarterly
- 5.1.C. SLDS grant monitoring (monthly updates from states, annual performance reports, final performance reports, and site visits); quarterly
- 5.2.A. Case Tracking System (CTS) Monthly Metric Reports; quarterly
- 5.3.A. Forecast Report issued by the Office of the Chief Financial Officer (OCFO) and final Funding Reports from relevant programs; annually
- 5.3.B. Education Resources Information Center (ERIC); quarterly
- 5.3.C. What Works Clearinghouse (WWC) website analytics provided monthly by the WWC website contractor; quarterly
- 5.3.D. Discretionary grant slate memoranda, discretionary grant financial forecasts and reports from OCFO, and the What Works Clearinghouse; quarterly
- 5.4.A. Education Superhighway (for baseline), Consortium for School Networking (CoSN)/AASA (American Association of School Administrators today known as AASA, The School Superintendents Association) E-rate Infrastructure Survey; annually

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

Analysis and Next Steps by Objective

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

FY 2016 Implementation Strategy

The primary implementation strategies regarding data systems and transparency for FY 2016 were centered on three goals:

- ensure a successful first year for the 16 SLDS grantees from the FY 2015 round,
- connect internal transparency efforts to the new InformED initiative, and
- improve the tools and support services available to the public for adoption of the CEDS.

With the new SLDS grantees, the Department looked at grant areas that created problems in previous grants and aligned support as appropriate when setting up grant monitoring plans for this round of grantees. In addition to establishing clear grant implementation plans and monitoring schedules with each FY 2015 grantee, the SLDS team delivered 15 topical webinars and released 9 new publications on traditionally challenging topics, including data system sustainability, effectively linking education and workforce records, and successfully supporting a research agenda. These developed resources are available for all states, not just grantee states, through the [SLDS program website](#).

Within the Department, the InformED initiative was launched during FY 2016. InformED seeks to develop a world-class open data infrastructure at the Department, focusing on improved data releases and internal data dissemination procedures. One of the important FY 2016 accomplishments was to improve the [Department's data landing page](#), including enabling visitors to search data resources by topic and keywords. By the end of the year, the InformED activities continued to expand to encompass a study of aligning key words in the Data Inventory with the organizational structure used on the new landing page, thereby aligning existing Goal 5 metrics with InformED activities.

FY 2016 began with the installation of a new support team for the CEDS. The team analyzed public feedback and website usage to inform their decision to place a high priority on reorganizing the tools and resources on the CEDS webpage. This strategy resulted in the deployment of a [Mapping Toolkit](#) on the website before the end of the fiscal year.

FY 2016 Barriers to Success

There are three key barriers that could affect progress on this strategic objective:

1) The Department may not have the human capital and financial resources needed to support the information technology (IT) infrastructure and procedural changes required to continue to advance its open data and transparency efforts.

2) The lower number of active SLDS grantees (as FY 2012 grants close out) could lead to program data not accurately representing the state of the nation as a whole.

3) Focus on other online resources could result in less traffic to education.data.gov, which could make it more difficult to track usage statistics and improve the sites accordingly and may require redefining success in terms of web traffic.

Key Milestones and Future Actions

The Department reached a number of key milestones, including:

- launching CEDS Mapping Toolkit;
- establishing grant implementation plans for all 16 FY 2015 SLDS grantees;
- deploying resources and technical assistance to FY 2015 SLDS grantees, and making additional opportunities available to all states; and
- adding information on 16 public datasets to the ED Data Inventory, and through the Department's `data.json` file to the repository at data.gov.

In FY 2017, the Department engaged a [network of state Chief Information Officers \(CIOs\) organized by Chief State School Officers \(CSSOs\)](#) at their fall meeting about explicit actions they would be willing to take in support of CEDS. There was consensus among the members in attendance at the fall meeting that strong messaging to establish CEDS as the standard listing of elements, definitions, and relationships upon which they rely was needed. In addition to that messaging, the network of CIOs of CSSOs is drafting a set of “action steps” that member states can choose to implement.

The SLDS program team spent much of FY 2016 preparing a new data collection proposal to enable gathering information on data system and transparency capability from all states, not just grantee states.

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

FY 2016 Implementation Strategy

The past several years have seen significant activity on student privacy issues. News stories abound about data collection in schools from emerging technologies, and the majority of states have passed student privacy legislation. Various federal student privacy statutes were introduced as well, though none of them were enacted. Resources devoted to student privacy increased in FY 2016, with five new full-time equivalents being added to these operations, and with the introduction of privacy “Fellows” in the Office of the Chief Privacy Officer. These new resources have enabled the Department to continue to meet the growing cry for technical assistance on privacy matters. The addition of these new resources, and a desire to focus on policy development and enforcement, prompted the Department to reorganize its student privacy functions, effective January 8, 2017. Two divisions have been created under the Chief Privacy Officer. The Family Policy Compliance Office (FPCO) will continue with its traditional function of investigating and responding to complaints from parents and eligible students, as well as providing technical assistance to school officials related to those complaints. A new division, the Student Privacy Policy and Assistance Division (SPPAD), will lead efforts to develop Departmental policy and coordinate technical assistance.

The Department continues to refine the efficiency of its technical assistance delivery through use of metric management, relying on a case tracking system that manages workload and

content for both contractor and Department staff. These gains were further expanded during implementation of the restructured Privacy and Technical Assistance Center (PTAC) contract during the first quarter of the fiscal year, which increased contractor resource utilization by housing the helpdesk function within headquarters.

Throughout the fiscal year, the Department made progress reducing turnaround time for cases and providing targeted technical assistance. Reducing the backlog of complaints and inquiries required devising and implementing a new approach in assigning and tracking cases. In addition, the Department completed a comprehensive review of the data in the tracking system, and worked to address a data entry delay uncovered during third-quarter reporting regarding average age of open “correspondence and complaints” and quality control for closing cases.

FY 2016 Barriers to Success

The Department faces two primary barriers to success:

- While the Department made progress on policy development in FY 2016, significant work is still required to answer emerging and longstanding policy questions on privacy topics related to video recording, e-mails, and permissible use.
- The Department’s student privacy caseload continues to increase, as does the complaint backlog in FPCO. Process improvements and expanded proactive technical assistance helped to mitigate the impact of this growth, but the sharp increase in new complaints resulted in a modest increase in the complaint backlog of 21 percent over the same timeframe. While the new resources and reorganization should help, limited resources present a challenge to support student privacy technical assistance and enforcement activities.

Key Milestones and Future Actions

During FY 2016 and in prior fiscal years, the Department demonstrated expected progress on the metrics related to technical assistance delivery. Turnaround time for cases averaged only 6.06 days, exceeding the goal of less than 7.2 days by more than a day. Proactive technical assistance goals were achieved through site visits, presentations, webinars, and regional meetings. To focus efforts on improving response time, and as noted in the FY 2015 APR, the metric regarding “average time to close correspondence and complaints” was retired and replaced with the “average age of correspondence and complaints.”

In achieving the metric goals, the Department accomplished several additional milestones. In FY 2015, the Department responded to public and Congressional criticism over the privacy of students’ medical treatment records in the wake of a recent sexual assault case by issuing a draft Dear Colleague Letter to obtain public input on the protection of student privacy in campus medical records. After extensive collaboration not only across the Department, but also with partners in HHS, in FY 2016, the Department released and was publicly commended for the [final version of this important Dear Colleague Letter](#).

Another significant accomplishment was the Department’s collaboration with DOL in providing needed [guidance to state agencies, educational agencies and institutions, and service providers on performance reporting and evaluation requirements under WIOA](#).

In addition to these formal guidance documents, the Department also offered technical assistance through a variety of [short, informative videos](#) targeting both school personnel and parents.

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

FY 2016 Implementation Strategy

In FY 2016, the Evidence Planning Group (EPG), which consists of representatives from OII, IES, and OPEPD, followed a similar implementation strategy to that of past years. Prior to the start of FY 2016, EPG met with various programs to discuss whether it would be appropriate to move toward an evidence-based model in their competitions. In the first quarter of FY 2016, programs worked with EPG to finalize their plans for using evidence once funding levels became certain. In addition, EPG began to review the ESSA carefully to determine which programs would be the best candidates for evidence, as well as how the Department's current evidence definitions are aligned with the ESSA's "evidence-based" definition, which appears in several programs. In the fourth quarter of FY 2016, the Department [released guidance](#) for states and districts that suggests steps for effective decision-making using evidence and recommends criteria and considerations for each of the four levels of evidence in the ESSA. Additionally, the Department's Office of Educational Technology (OET), in partnership with IES, contracted Mathematica Policy Research and SRI International to build an online platform called the Ed Tech Rapid Cycle Evaluation (RCE) Coach to support school and district leaders to collect more evidence when making decisions about educational technologies. The need for evidence-based decision-making found in the ESSA prompted this work, and the platform is now available and free for educators to use.

The Department exceeded the FY 2016 target for number of peer-reviewed, full-text resources in the Education Resources Information Center (ERIC). In the first quarter, ERIC completed a new source selection round and approved new sources to be in ERIC. In addition, IES engaged the i3 program to encourage its grantees to submit the studies from their project evaluations to ERIC, achieving two important goals for the i3 program: (1) ensuring that all studies from the i3 program are publicly available and (2) ensuring that studies are made available for WWC review in a systematic way.

In FY 2016, the Department exceeded the planned target for number of reviewed studies in the WWC database. In the first quarter, to continue to increase the number of visitors to the WWC website, the WWC continued to expand the database of reviewed studies through reviews conducted for WWC products (e.g., intervention reports, practice guides, single study reviews, and quick reviews). Studies submitted as part of a grant application for the Department's evidence-based grant competitions were also a source of evidence reviewed by the WWC. During the first quarter, the WWC reviewed studies for grant competitions and publicized the use of its study findings dataset, which is a resource that reports all available data for studies that meet standards and either have a WWC report or were reviewed for a grant competition. In addition, in the fourth quarter of FY 2016, the WWC released a redesigned "Find What Works" tool that allows users to search for studies by topic area, such as math or science, to find studies where there is evidence of positive effects. The "Students Like Yours" feature of this tool also allows users to specify characteristics of their students to better identify what research has been conducted on similar populations. This resource continues to be widely used among the research community. To ensure success for this metric, IES continually collaborated with staff from OII, the Office of Postsecondary Education (OPE), and OELA to coordinate evidence reviews for evidence-based competitions.

In FY 2016, the Department exceeded the target for number of completed project evaluations from grantees of select discretionary grant programs that meet WWC evidence standards. The main implementation strategy for this indicator involved checking the WWC database of reviewed studies to determine whether any new studies from Department-funded competitive grants were in the database and met WWC standards. Bolstering performance for this metric is the Department's understanding that effective technical assistance is necessary to ensure grantees tasked with conducting rigorous evaluations of their projects stay on track.

FY 2016 Barriers to Success

The EPG continues to consider whether the current approach to this work is sustainable. Based on lessons learned, the Department has determined that focus must be strategic so that the use of evidence is in select programs rather than continuing to scale at the current rate. With limited resources, it is crucial that the Department focus on high-quality work in programs where using evidence is most likely to be impactful, as opposed to putting evidence priorities in every competitive program without strong fidelity of implementation.

It is important to note that these efforts are also complemented by the work of the Department's Comprehensive Centers and Regional Educational Laboratories, which are designed to provide high-quality resources to the field.

While the Department surpassed its target for the number of studies conducted as part of a discretionary grant-funded project that are determined to meet WWC evidence standards in FY 2016, this work may not be sustainable. One lesson from the i3 program is that, even when employing very sophisticated evaluators, substantial technical assistance from the Department is essential in order to keep the project evaluations on track to meet rigorous standards. While most discretionary grant programs do not have the resource flexibility to focus on rigorous evaluation standards, EPG has worked to create a contracting option for programs that need help with evaluation expertise, with a few programs entering into that contract for FY 2016.

Key Milestones and Future Actions

Looking forward to FY 2017, the Department continues to consider ways to streamline and improve upon its evidence review process for discretionary grant competitions.

To increase the number of visits to the WWC website in FY 2017, the Department will continue to expand social media presence, point competitive grant applicants to the WWC website, and produce products like intervention reports, quick reviews, single study reviews, and practice guides.

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

FY 2016 Implementation Strategy

The Department's many successes during FY 2016 include expanded technical support and assistance to support state and district leaders across the country working to improve teaching and learning through the effective use of technology. Over [25 states and the District of Columbia](#) have joined the effort and committed to supporting district leadership teams in planning for digital learning. In addition, 3,000 superintendents from across the country have committed to foster and lead a culture of digital learning in their districts by signing the [Future Ready District Pledge](#). The Department, in partnership with the Alliance for Excellent Education

and with support from a [coalition of over 50 national and regional partners](#), supports district leaders with specific tools and guidance to plan and implement personalized, research-based digital learning strategies in order to prepare students for success in college, career, and citizenship.

To support the work of the superintendents, OET continued to collect examples of best practices for connecting schools, providing devices, and preparing teachers to use technology effectively. These regularly updated resources were posted on the Department's [website](#), [blog](#), and [YouTube channel](#) and shared via [Twitter](#) and [Facebook](#).

In October 2015, OET launched [#GoOpen](#), a national movement that supports states, school districts, and educators transitioning to openly licensed educational materials to transform teaching and learning. Openly licensed educational resources have enormous potential to increase access to high-quality educational opportunities in the United States when they are accessible via high-speed broadband.

#GoOpen was launched on October 29, 2015, at the Open Education Symposium, an event that brought together district leaders, state leaders, nonprofits, foundations, and private sector companies. As of September 30, 2016, 76 districts committed to transitioning to the use of openly licensed educational resources to replace traditional, static instructional materials, and 16 states committed to providing guidance and leadership for districts making this transition, as well as developing a statewide repository to search and discover resources.

FY 2016 Barriers to Success

Although much progress has been made in connecting schools to high speed broadband, future roadblocks to progress include access to needed fiber optic cable, especially in rural areas; affordability of broadband, especially in smaller and rural districts that are not eligible for bulk pricing discounts; and fully utilizing E-rate funds, since some districts still struggle to provide a percentage match to every E-rate dollar they receive. Several challenges remain in meeting the goals of this objective, including the need to educate the public about privacy and data security (leading to setbacks in the ability to use data to create personalized learning systems), difficulty measuring effectiveness without a robust evaluation program, and difficulty showing impact without data collection.

Limited resources may prevent OET from meeting its legislative mandate to provide technical assistance to states, districts, and programs across the Department and the federal government. This technical assistance has included research and evaluation, updating critical guidance documents, and providing ongoing partnership support to organizations to leverage technology to improve teaching and learning and in support of states and districts working to increase connectivity for students.

Key Milestones and Future Actions

Strategies for reaching this goal have included updating federal government policies and guidance, encouraging significant private sector commitments, and engaging in national outreach efforts to states, districts, technology providers, and nonprofit organizations. Collaboration within the Department, with other government agencies, and the education community as a whole is also key to success, as is developing sustainable, scalable solutions for using data and evidence in decision-making. Some strategies, especially around support for teachers adopting innovative approaches, evaluating effectiveness of technology-based approaches, and establishing best practices for maintaining student privacy, are dependent on

funding and staffing. The Department is working to identify ways to make its data more accessible and actionable for the public.

In the coming year, the Future Ready District Infrastructure Guide will be updated with an expanded connectivity section. OET will continue to collect examples of best practices for connecting schools, providing devices, and preparing teachers to use technology effectively and share them via its social media channels.

Work will continue on the Ed Tech RCE Coach tool during FY 2017. With the implementation of ESSA, the need for evidence-based decision-making has increased significantly. The goal is to fundamentally change the procurement and implementation process to include evidence-based decision-making throughout.

During FY 2017, OET will collect new examples from the field to add to the National Educational Technology Plan. This is based on the office's commitment to refresh the plan more frequently than the previous five-year cycle in order to better respond to the needs of the field.

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

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

Goal Leader: Assistant Secretary, Office of Management (OM)

Objective 6.1: Effective Workforce. Continue to build a skilled, diverse, and engaged workforce within the Department.

Objective 6.2: Risk Management. Improve the Department's program efficacy through comprehensive risk management, and grant and contract monitoring.

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

Objective 6.4: Productivity and Performance Management. Improve workforce productivity through information technology enhancements, telework expansion efforts, more effective process performance management systems, and state-of-the-art leadership and knowledge management practices.

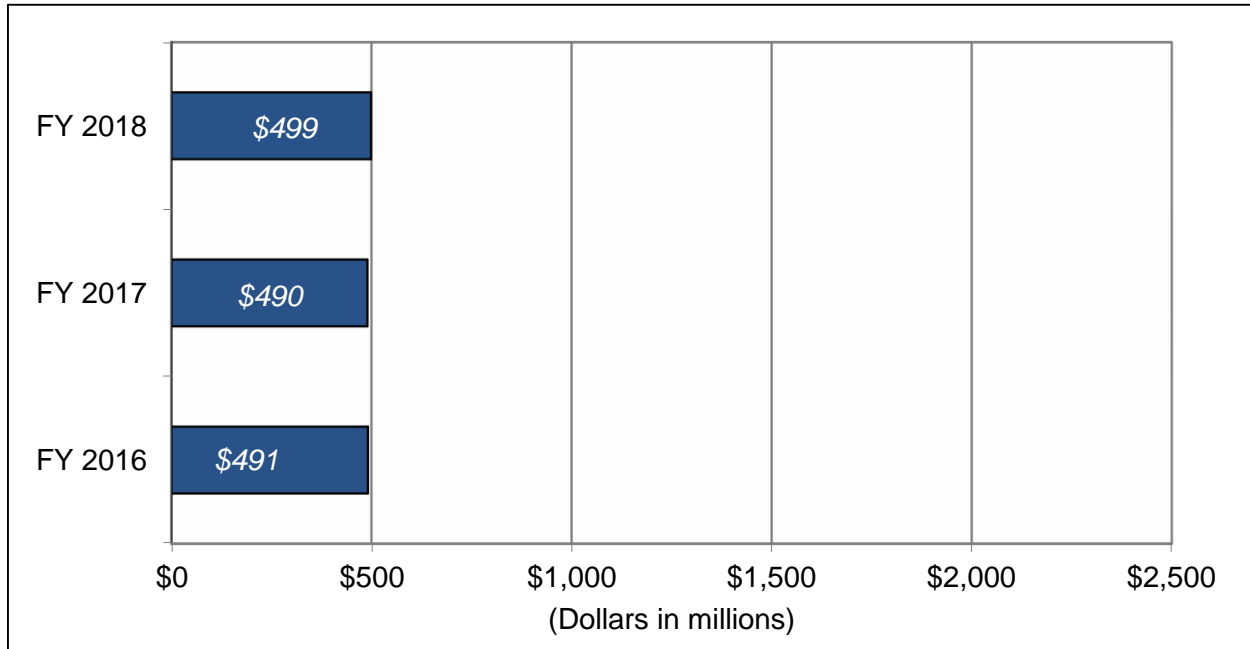
Public Benefit

The Department continues to focus on acquiring and developing its workforce through human capital management; increasing diversity and inclusion and improving employee engagement; rethinking how it monitors and intervenes with high-risk grantees and contractors; enhancing workforce productivity through IT; safeguarding its assets and stakeholders from cybersecurity threats; continuing to improve and integrate effective performance management; and transforming the way the Department interacts with states, districts, institutions of higher education, and other grantees and stakeholders. These efforts aim to improve performance results, increase stakeholder collaboration, and lead to greater employee engagement.

The Department continues to build Department capacity and systems to support states' and other grantees' implementation of reforms that result in improved outcomes, and keep the public informed of promising practices and new reform initiatives. By consolidating processes, the Department has been able to more effectively customize its outreach to individual states and model the critical partnerships states should have with their respective districts.

Beyond building Department capacity to support states and other grantees, throughout FY 2016, the Department provided strategic training courses to strengthen leadership and knowledge management throughout the Department, with a special emphasis on ensuring managers and supervisors have the essentials they needed to effectively manage and lead. The Department also recognized the important role that technology and facilities contribute to supporting productivity. As a result, the Department continued to build on the success of its ED Space Modernization plan, including the deployment of critical IT to support telework and leverage wireless connectivity.

Goal 6 Discretionary Resources



Major Discretionary Programs and Activities⁸³ Supporting Goal 6 Performance Metrics [Dollars in Millions]

POC	Account	Obj.	Program	FY 2016 Appropriation	FY 2017 Annualized CR ⁸⁴	FY 2018 President's Budget
OIG	OIG		Office of Inspector General	59	59	61
DM/PA	DM/PA		Program Administration: Building modernization	1	--	--
DM/PA	DM/PA		Program Administration: Salaries and expenses	431	431	438
TOTAL, GOAL 6				491	490	499

POC = Principal Operating Component.


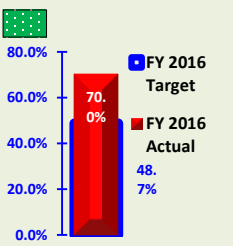
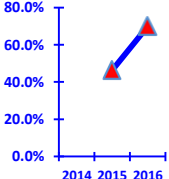

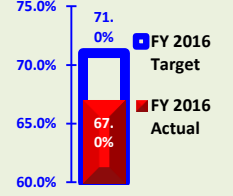
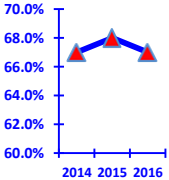

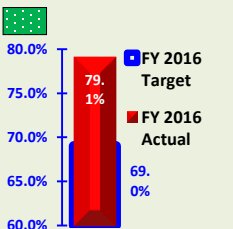
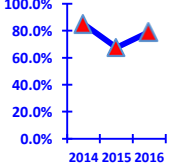
CR = Continuing Resolution.

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

⁸³ All the programs listed are discretionary programs, as distinct from mandatory programs. These include both competitive and noncompetitive/formula programs.





⁸⁴ A full-year 2017 appropriation was not enacted at the time the FY 2018 Budget was prepared; therefore, the Budget is built off of the *Further Continuing Appropriations Act, 2017* (P.L. 114-254). The amounts included for 2017 reflect the annualized level provided by the continuing resolution.

Goal 6: Details




U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁸⁵	Exceeded ⁸⁶	2017	2018	
6.1.A. Percent of selections made per job opportunity announcement (JOA) INCREASE 	FY: 2015 46.4%	NA	FY: 2015 46.4%	FY 2016: 70.0%	FY: 2016 48.7%	MET			51.2%	53.7%	
6.1.B. EVS Employee Engagement Index INCREASE 	FY: 2012 64.7%	FY: 2014 67.0%	FY: 2015 68.0%	FY 2016: 67.0%	FY: 2016 71.0%	NOT MET			72.0%	73.0%	
6.1.C. Time to hire INCREASE 	FY: 2013 65.0%	FY: 2014 85.0%	FY: 2015 67.6%	FY: 2016 79.1%	FY: 2016 69.0%	MET			70.0%	71.0%	

⁸⁵ Missed target by <=1, or if percentage, <=1.3 percentage points.

⁸⁶ Surpassed target; not just met the target. If a diminishing target, the actual was below the reduction target set.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁸⁵	Exceeded ⁸⁶	2017	2018	
6.1.D. Effective Communication Index <p style="text-align: center;">INCREASE</p> 	FY: 2012 48.0%	FY: 2014 50.0%	FY: 2015 51.0%	FY: 2016 50.0%	FY: 2016 51.0%	NOT MET			52.0%	53.0%	
6.2.A. Percentage of A-133 Single Audits Overdue for resolution⁸⁷ <p style="text-align: center;">DECREASE</p> 	FY: 2012 57.0%	FY: 2014 37.0%	FY: 2015 20.0%	FY: 2016 10.0%	FY: 2016 37.0%	MET			NA	NA	



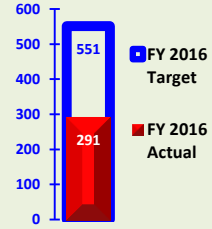
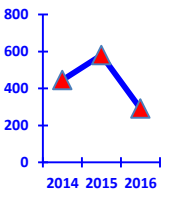


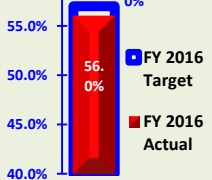
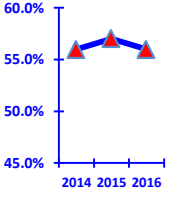
⁸⁷ Retiring metric at conclusion of FY 2016. Please see appendix B for additional information pertaining to the metric's retirement. The FY 2017 and 2018 targets were 31.0% and 25.0%, respectively. If a new metric is being proposed, the new metric will be directly below the indicator measurement direction of the metric being retired.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	 Missed ⁸⁵	 Exceeded ⁸⁶	2017	2018	
New Metric: Percentage of Department Grant Recipients without any Single Audit Findings	FY: 2014–2016 Average 85.4% ⁸⁸	NA	NA	86.1%	NA	NA	NA		86.1%	86.6%	NA
6.2.B. Compliance rate of contractor evaluation performance reports	FY: 2013 85.0%	FY: 2014 97.0%	FY: 2015 98.0%	FY: 2016 95.8%	FY: 2016 100.0%	NOT MET			100.0%	100.0%	
INCREASE 											

⁸⁸ The baseline data is based on an average of Department grantees with no single audit findings over the past three fiscal years, 2014–16.




U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁸⁵	Exceeded ⁸⁶	2017	2018	
6.3.A. Overall average impact score of the Department's technical assistance in helping build State capacity to implement education reforms⁸⁹	FY: 2015 7.73	NA	FY: 2015 7.73	FY: 2016 7.58	FY: 2016 8.00	NOT MET			7.75	8.00	
INCREASE 											

⁸⁹ Metric has been revised from tracking the “percentage of states” to tracking the “overall average impact score” of the states that rate the Department’s technical assistance via the Grantee Satisfaction Survey, which is a more meaningful metric for the Department. The baseline and subsequent data points have been revised from the 2015 APR to reflect the change in the metric.

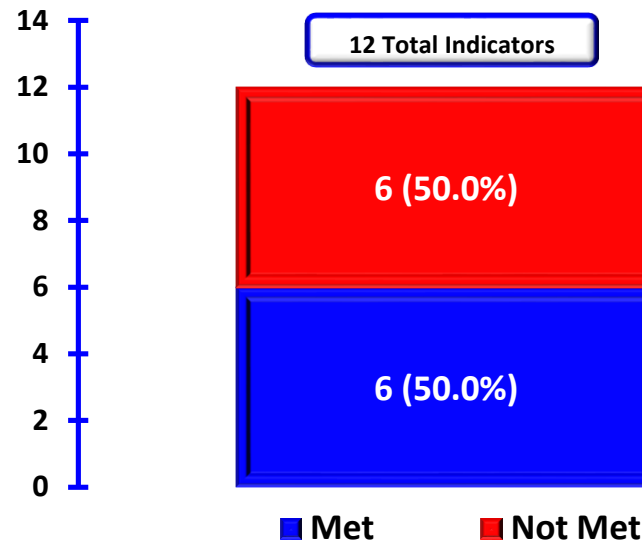
U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁸⁵	Exceeded ⁸⁶	2017	2018	
6.4.A. Number of ED IT security incidents <p style="text-align: center;">DECREASE</p> 	FY: 2012 756	FY: 2014 445	FY: 2015 580	FY: 2016 291	FY: 2016 551	MET	 	291 ⁹⁰	277 ⁹¹		
6.4.B. EVS Results-Oriented Performance Culture Index <p style="text-align: center;">INCREASE</p> 	FY: 2012 53.0%	FY: 2014 56.0%	FY: 2015 57.0%	FY: 2016 56.0%	FY: 2016 57.0%	NOT MET	 	58.0%	59.0%		

⁹⁰ FY 2017 target was reduced significantly to aim at a continual decrease in incidents by more than the 5 percent reduction from the initially proposed FY 2016 target in the 2015 APR.

⁹¹ Reduction of 5 percent from previous year's actual to align with a more aggressive approach to reducing security incidents.

U.S. Department of Education Indicators of Success	Baseline	Actuals			Current Year Target	Current Year Results	Actual-to-Target 2016		Out-Year Targets		Trend Line (Actuals)
		2014	2015	2016	2016	2016	Missed ⁸⁵	Exceeded ⁸⁶	2017	2018	
6.4.C. EVS Leadership and Knowledge Management Index INCREASE 	FY: 2012 60.0%	FY: 2014 61.0%	FY: 2015 62.0%	FY: 2016 61.0%	FY: 2016 63.0%	NOT MET			64.0%	65.0%	
6.4.D. Total usable square footage DECREASE 	FY: 2012 1,563,641	FY: 2014 1,533,239	FY: 2015 1,530,864	FY: 2016 1,367,000	FY: 2016 1,459,937	MET			TBD	TBD	
6.4.E. Rent cost DECREASE 	FY: 2014 \$74.3M	FY: 2014 \$74.1M	FY: 2015 \$72.7M	FY: 2016 72,149,828	FY: 2016 \$80.3M	MET			\$74,470,439	TBD	

Goal 6 FY 2016 Indicator Performance Summary



NA = Not applicable.

TBD = To be determined.

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

Data Sources and Frequency of Collection:

- 6.1.A. EDHires (Monster’s electronic hiring management system); annually
- 6.1.B. Office of Personnel Management (OPM) Federal Employee Viewpoint Survey (FEVS); annually
- 6.1.C. Federal Personnel/Payroll System (FPPS) Datamart; annually
- 6.1.D. OPM FEVS; annually
- 6.2.A. Office of the Chief Financial Officer’s (OCFO) Audit Accountability & Resolution Tracking System (AARTS); annually
- 6.2.B. Past Performance Information Retrieval System (PPIRS) www.ppirs.gov “PPIRS Compliance Report”; annually
- 6.3.A. Annual Grantee Satisfaction Survey; annually
- 6.4.A. Cyber Security Assessment and Management (CSAM) and RSA Security Operations management (SecOps); quarterly
- 6.4.B. OPM FEVS; annually
- 6.4.C. OPM FEVS; annually
- 6.4.D. Department’s Master Space Management Plan; annually
- 6.4.E. Department’s Master Space Management Plan; quarterly

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

Analysis and Next Steps by Objective

Objective 6.1: Effective Workforce

FY 2016 Implementation Strategy

In FY 2016, the Department continued to improve its time-to-hire performance, fill mission-critical positions, and offer viable options to the competitive process while ensuring hiring managers continue to receive a high caliber of applicants from which to select. These successes continue to be relayed during Supervisor Training 101, at collaboration meetings with hiring managers and HR Specialists, and in meetings with the Department's Senior Leaders.

The Department's enhanced engagement activities resulted in the Department exceeding the government average [Federal Employee Viewpoint Survey \(FEVS\)](#) response rate by 30.4 percentage points. The Department's 2016 response rate increased 3.5 points to 76.2 percent. Nine offices met or exceeded the Department's 2016 response rate goal of 80 percent. Fourteen offices exceeded their prior year participation rate; seven exceeded by double digits. The Department's unwavering and focused championing of engagement has resulted in the Department achieving a 1 percent increase in the Employee Engagement Index annually since 2012.

Diversity and inclusion has been empirically and positively associated with greater talent utilization, better employee retention, increased innovation, and higher performance. The Department continues to build capacity at all levels of the Department, working through the Department's Diversity and Inclusion Council, the Diversity Change Agent Program, and various training opportunities. The Department has designed a "Diversity and Inclusion Dashboard" for internal use that serves as a tool to provide senior leaders with demographic diversity data about hiring, attrition, retention, and a host of other data-driven accountability measures to assist in diversity planning. The Department continues to participate in the governmentwide Federal Diversity in Government Council.

FY 2016 Barriers to Success

There are challenges to educating managers on the numerous hiring flexibilities of the recruitment process and engaging subject matter experts (SMEs) where it would be most beneficial. Some hiring managers found reworking recruitment packages to include strengthening specialized experience statements or reworking self-assessment questions to be a challenge. The Department mitigates this risk by building partnerships up front, utilizing other avenues to hire, and providing consistent briefings from top to bottom.

The Department's employee engagement initiative relies heavily on principal office prioritization and implementation. The Office of Management (OM) offered and will continue to offer training courses, access to expert consultants, and senior-level engagement meetings to assist principal offices in successfully implementing employee engagement programs and activities. OM also communicated to principal offices about the support services available to the principal offices to assist them in the engagement planning and implementation process.

Key Milestones and Future Actions

The Department has entered into an agreement with Monster Government Solutions to utilize the assessment tool and position classification modules within its hiring system. This agreement expands the Department's ability to standardize position descriptions and provide more support

in the efforts to shorten timeframes. In addition, the Department will continue to promote the effective use of noncompetitive hiring authorities and advocate HR Specialists directly partnering with hiring officials at the onset of the process.

In the area of employee engagement, OM will continue outreach to principal offices and work through the Monthly Operations Forum to shape annual engagement focus areas, raise awareness of best practices and information sharing, incorporate engagement best practices into day-to-day operations, and strive to increase the Department's Employee Engagement Index.

Currently, the Department plans to continue hosting regularly scheduled Diversity and Inclusion Council meetings, participating in the governmentwide Diversity and Inclusion Council, and providing diversity and inclusion training opportunities.

Objective 6.2: Risk Management

FY 2016 Implementation Strategy

Through risk management, the Department identifies, sets priorities, and takes action on challenges affecting the successful use of grant, loan, and contract funds, in order to forward the achievement of its mission and strategic goals. During FY 2016, the Department's risk management work included improving the audit resolution process, conducting grantee risk assessments, increasing oversight and technical assistance with targeted grantees, recording past performance information on contractors, and monitoring grants and contracts.

This year, the Department improved its use of audit data to identify grantee management challenges. Our continued improvement in the audit resolution and closure process enables the Department to provide feedback and technical assistance to audited grantees that helps them improve the management and outcomes of their grant-funded activities.

During FY 2016, the Department conducted a preaward risk review of all organizations slated for new awards or continuation awards from competitive grant programs. This process helped identify grantees that had not completed audits, as required for all grantees expending \$750,000 or more during the fiscal year, and resulted in many organizations completing their audits. The number of grantees the Department identified as missing audits declined by two-thirds between 2012 and 2015. In addition, the Department's program officers provided targeted oversight and technical assistance to grantees to address issues identified during the preaward risk reviews. The Department formula grant programs reviewed the financial management and performance information of grantees and used this information to guide technical assistance to the field, as well as monitoring and oversight of specific grantees.

Contract monitoring was improved this year by partnership between the contracts office and program staff to ensure that both the contractor fulfillment of requirements and successful outcomes and deliverables were achieved. Program offices conducted ongoing monitoring of grants, targeting programs and grantees that pose the greatest risk to program success.

FY 2016 Barriers to Success

Although the Department did not encounter barriers to success in risk management, there are ongoing challenges that must be addressed on a regular basis. These include the resources available for monitoring and the agency's dependence on direct grant recipients to monitor the ultimate recipients, who spend the grant funds.

The staff levels in Department program offices, FSA, the contracts office, and other Department offices largely determine the limits of monitoring and oversight activities. To address this challenge, the Department continues to explore ways to make the process more efficient, such as targeting oversight based on risk, automating the analysis of audit and past performance information, and using telecommunication and web-based technology to communicate with grantees.

Because most Department funds flow through direct grant recipients to the agencies and individuals who ultimately use the funds, good oversight of Department funds depends on the “pass through agency” that distributes funds to the ultimate recipient agencies and beneficiaries. State agencies that sub-award Department grants to local agencies are crucial participants in grant oversight. Control over student aid funds is dependent on participating institutions. Most of these partners in administering Department programs are also challenged to find sufficient staff resources to conduct rigorous oversight of grant programs.

Key Milestones and Future Actions

In 2016, the Department launched Enterprise Risk Management (ERM) to meet the requirements of OMB Circular No. A-123, “[Management’s Responsibility for Enterprise Risk Management and Internal Control](#).” Over the next year, the Department will formulate ERM plans by coordinating and expanding current risk management activities into an agencywide strategy to address its highest priority risks.

To address capacity for grant, contract, and student financial aid oversight, the Department will continue to improve upon its risk-based monitoring planning and provide professional development for contract and grant officers. The number and skills of the staff responsible for monitoring will be assessed through ERM.

To improve the usefulness of audits to the Department as well as the audited organization, the Department will continue to work toward improving the audit process. The Department is developing guidance for grantees on audit readiness, and plans to continue to promote quality audits by working with the national auditor community. The Department will continue to improve the process for resolving audits and will revise its procedures for audit resolution and closure.

Objective 6.3: Implementation and Support

FY 2016 Implementation Strategy

The OSS within OESE is designed to provide more transparent, higher quality, and better differentiated support to states. The matrix organization model adopted by the OSS ensures that a state has two primary contacts within the office, and these individuals serve as the liaisons across key state-administered grant programs and major federal funding streams that flow to each state and district. By consolidating processes and technical assistance, the Department will be able to more effectively customize its outreach to individual states and model the critical partnerships that states should have with their respective districts.

In FY 2016, the office focused on continuing professional learning and increasing staff knowledge and capacity in the program areas and office functions, as well as supporting states in implementing programs administered by the OSS. The OSS is working to deepen staff knowledge and build and pilot systems and routines that allow staff to support states with implementation through a systemic approach to performance review, policy coordination, data review, and technical assistance. In early 2016, the OSS launched staff Professional Learning Communities to provide OSS staff opportunities to deepen knowledge of new ESSA provisions.

The OSS is also working to create a culture of data use. In FY 2016, OSS staff reviewed and validated state data reported on the consolidated state performance report (CSPR). Staff used this and other outcome data from the state to better understand state context when conducting performance progress review calls. Additionally, leadership used data from the employee viewpoint survey, as well as focus group findings, to determine areas of strength and weaknesses of the OSS. As a result of these data, leadership began a strategic planning process, with input from staff.

The OSS continued implementing its performance review system. This new system covers all OSS programs through a single, streamlined process that encourages SEAs to develop and effectively implement integrated and coherent state plans. OSS restructured the comprehensive performance review system implementation timeline by elevating support to SEAs preparing for full implementation of the ESSA and its requirements in SY 2017–18. As a result, during this transition period the OSS implemented, in phases, a comprehensive performance review system.

In FY 2016, OSS implemented several new routines to ensure ongoing coordination with internal and external partners. OSS began monthly conversations with the CCSSO to increase information sharing and coordination of ESSA transition support to states. Additionally, OSS and School Support and Rural Programs have regular meetings to increase coordination and communication between state program officers and Department-funded Comprehensive Centers.

FY 2016 Barriers to Success

Transitioning to the new OSS structure is a significant change that will take time to implement fully. OESE and OSS leadership are still establishing new processes and procedures, and the transition will take place gradually. Continuing challenges include staffing, appropriate professional development and support for staff, and relevant outreach and communication internally and externally. Additional challenges for the upcoming year include the launch of an updated state performance review and implementing against a new strategic technical assistance plan. State capacity to implement new ESSA provisions also continues to be a challenge.

Key Milestones and Future Actions

In launching the OSS performance review system, the Department deepened its collaborative relationship with the states with the quarterly progress checks on a common topic, piloted a risk-based fiscal review, conducted several shadowing trips to better understand the work of SEA staff, and hosted two collaborative calls that brought several states together to discuss common problems and share their approaches. To support continuous improvement of this process, OSS surveyed each fiscal review pilot state to gather feedback on the prototype tiered protocol that was developed in partnership with the Management and Support Unit of OESE.

The OSS kicked off the State Support Network, a new four-year, \$10 million technical assistance contract that will support states as they intervene in the lowest-achieving schools. The State Support Network continues to work collaboratively with the Comprehensive Centers and other partners to help states. In FY 2017, the State Support Network will provide universal support through broadly shared school improvement resources organized in a user-friendly website; collective support for technical assistance delivered in person, virtually, and shared by multiple organizations; and individual support focused on direct technical assistance from providers delivered in person and virtually to address specific state and district needs.

The OSS restarted an assessment peer review process. After a four-year hiatus, and releasing new guidance in fall 2015, the OSS led a peer review process for 38 states in spring and summer 2016. From those reviews, the OSS began to develop feedback to states, with the goal of providing peer review notes and feedback letters to all reviewed states by the first quarter of FY 2017. Having good, actionable data from the assessment system is paramount to having a strong accountability system and providing schools, teachers, parents, and the public with the information they need to help all kids reach their potential.

Objective 6.4: Productivity and Performance Management

FY 2016 Implementation Strategy

Cybersecurity continues to be a priority at the Department with the implementation of new, and the optimization of existing, capabilities to control the flow of sensitive information and prevent access to information systems, data, and critical information and infrastructure by unauthorized individuals. The ongoing measurement and analysis of cybersecurity incidents and privacy breaches, in accordance with OMB and Department of Homeland Security (DHS) guidelines, identifies areas for improvement and working with critical stakeholders to implement best practices.

The Department continued its focus on the implementation and utilization of new security tools, and fine-tuning existing tools to meet the security needs of the IT environment. Our progress demonstrated the effectiveness of the installed capabilities by identifying unauthorized business practices and inappropriate handling of sensitive information. The Department increased its emphasis on the training of the cybersecurity workforce, to address identified discrepancies, and published new standard operating procedures (SOPs). In another effort to expand and strengthen its IT security posture, the Department implemented Two-Factor Authentication (2FA) for external users of the Grant Management System (G5), in compliance with Homeland Security Presidential Directive 12 (HSPD-12).

The Department continued its implementation efforts to maximize the utilization of electronic signature functionality for discretionary and formula grants. The Department performed continuous monitoring of discretionary and formula grant activities in the G5 system to evaluate adoption of the electronic signature functionality by the program offices.

The Department focused on applying the lessons learned, testing of the automation changes, and implementation of additional process to improve the Department's overall incident response. To reduce the response time, additional resources were assigned and a surge capacity has been identified using Department and DHS assets.

The Department also continues to improve the performance management system to strengthen and clarify performance expectations and ensure alignment with organizational goals to support a results-oriented performance culture. This effort keeps performance management at the forefront of Departmental news on a regular and recurring basis.

Ensuring staff have the facilities and space to perform is an important part of supporting productivity. Through an aggressive strategy of relocating staff and reconfiguring space, as well as leveraging wireless connectivity, telework, desk sharing, and "hoteling" seating arrangements, the Department achieved the FY 2016 goals in reducing overall footprint (Usable Square Feet/USF) and rent costs. The immediate reductions in FY 2016 were mainly due to the Rapid Rent Reduction initiative (R3), which compressed personnel into existing Lyndon B. Johnson (LBJ) and Potomac Center Plaza (PCP) locations, allowing the release of three

commercial leases: 1990 K Street, Capitol Place, and L'Enfant Plaza. This strategy supported an overall plan that will further reduce the overall USF and rent costs in FY 2017, FY 2018, and beyond. Significant progress was made in FY 2016 that will generate further reductions in space and commercial leases.

FY 2016 Barriers to Success

During FY 2016, the Department continued to address challenges that included the availability of a skilled cybersecurity workforce, and the ability to rapidly implement automated cybersecurity capabilities. Additionally, OCIO is working with its IT services provider to provide qualified staff and accelerate planned implementations.

While data assurance and visibility increased, processes and technology continually need to be refined to reduce the risk to the Department. The Department met the FY 2016 performance target of 234 for IT security incidents and 120 for IT security breaches. To reduce the response time, additional resources were assigned and a surge capacity has been identified using Department and DHS assets. The Department's efforts resulted in reducing the cybersecurity response time to 22 minutes for the final quarter of FY 2016.

The use of the electronic signature functionality was heavily promoted during the fourth quarter of FY 2016. The outcome was an increase in use by program offices. The Department found that only through continued change management efforts will the use of the functionality be fully accepted. Change management is an important theme in the Department's efforts in leadership and knowledge management and maintaining a results-oriented performance culture. However, employees need time to participate in training opportunities, even online learning opportunities. Managers and employees need to be engaged in training and performance management; risks are mitigated by senior leadership emphasis and support for the program. Also, risks are mitigated by holding managers accountable for completing the process.

In the areas of space and rent, while the commitment is strong to reduce the amount of space and the rent bill, there are several factors that affect the Department's implementation of these plans. One challenge is the availability of funds in the near term, as it will require an initial investment to realize the longer-term savings.

Another challenge is identifying program areas that may grow or shrink in coming years, based on both policy and changes in resources and environment. One way to mitigate this is to provide flexibilities both in furnishings and layout, but also to leverage increased telework, desk sharing, and technology to increase the flexibility and usage of space.

Key Milestones and Future Actions

As noted earlier, the Department achieved a 97 percent establishment rate for performance plans. The Department continues to make strides toward 100 percent completion of performance plans. The involvement and commitment from senior leaders was essential to the increase in the percentage of performance plans completed this year and is essential moving forward. Performance management and training are critical to employees and supervisors. Throughout FY 2016, OM continued to market and educate supervisors on the initial and annual requirements for supervisory/managerial training. This effort and the provision of a robust set of course offerings for employees will continue in FY 2017.

In the area of space and rent, the Department will continue with projects and plans to consolidate our footprint. The General Services Administration (GSA) is currently performing the PCP/LBJ Program of Requirements (POR)/Feasibility study for the renovation, space

optimization, and consolidation of a significant portion of the PCP-leased space into the LBJ Headquarters Building. The consolidation will reduce the overall utilization rate by reducing space allocations in the two locations. Once the Department has the study results, it will incorporate the space reductions into its out-year space plan.

Management Priorities and Challenges

The mission of the Department is to promote student achievement and preparation for global competitiveness by fostering educational excellence and ensuring equal access.

Continuous Improvement & Accountability in Department Operations

To support the work of the Department's policy agenda, a sound infrastructure and strategic allocation of and investments in human resource capacity are critical. The Department uses data-driven reviews as a mechanism to bring together the people, resources, and analysis needed to drive progress, reinforce priorities, and establish a culture of continuous improvement. Also, again in FY 2016, the Department participated in the President's Management Agenda Benchmarking effort and reviewed the data during the Department's FedStat meeting with OMB to discuss organizational performance management, gauge the impact of operations, and talk about risk mitigation strategies and the path forward.

The Department has collaborated with both government and private sector partners to explore solutions to payment and data integrity issues, address fraud risk, and provide better oversight of its programs. More information on these efforts, including the use of shared services and managing enterprise risk, was reported in the [FY 2016 Agency Financial Report](#).

In FY 2018, the Department's management priorities will focus on improvements to achieve the goals established in the President's Management Agenda. These include:

1. managing programs and delivering critical services more effectively;
2. devoting a greater percentage of taxpayer dollars to mission achievement rather than costly, unproductive compliance activities;
3. increasing effectiveness and efficiency in supporting program outcomes; and
4. increasing accountability for improving performance.

Addressing Management Challenges

As summarized in the *FY 2016 Agency Financial Report*, the Office of Inspector General (OIG) has identified five management challenges for the Department in FY 2017. These challenges are detailed in the [FY 2017 Management Challenges Report](#).

In FY 2016, the Department began a new effort to address these challenges. The Office of the Deputy Secretary initiated a detailed review of the five management challenges, assigned senior managers to be accountable for each, and assembled a workgroup of other senior managers throughout the Department to address the noted challenges. This effort underway has helped identify systemic root causes to ensure that the Department's actions produce results. The OIG has stated that it considers this initiative to be a positive step towards addressing long-standing management challenges and encouraged the Department to continue to explore approaches that result in targeted focus within each of the areas.

While these challenges reflect continuing vulnerabilities and emerging issues, the Department remains committed to improved governance and better business processes. Management has worked closely with OIG to gain its perspective about the Department's most significant management and performance challenges.

In FY 2018, the Department will continue implementing coordinated actions to address the root causes of management challenges. The *Government Performance and Results Modernization Act of 2010* requires the Department to include in its APP the following information on those planned actions, including performance goals, indicators, and milestones, to address these challenges:

Management Challenge	Accountable Official	Planned Actions	Performance Goals/Indicators/ Milestones
Improper Payments	Chief Financial Officer (FSA)	<ul style="list-style-type: none"> ▪ Continue to coordinate with OMB on refinements to estimation methodology for student aid programs ▪ Continue to improve grant and contract risk assessments ▪ Continuous monitoring of processes and systems to strengthen controls, including work with IRS to implement system upgrades and reactivate the Data Retrieval Tool to enable applicants to securely obtain necessary financial information to complete the FAFSA or apply for an income-driven repayment (IDR) plan 	<ul style="list-style-type: none"> ▪ Goal: Minimize the risk of improper payments without unduly burdening students ▪ Indicators: Strengthened controls, improved risk assessments and estimates ▪ Key milestones: Engage OMB and Congress, revise risk assessment and estimation methodologies, implement actions intended to help achieve FY 2018 targets including reactivation of IRS Data Retrieval Tool
Information Technology Security	Chief Information Security Officer (OCIO)	<ul style="list-style-type: none"> ▪ Complete ED cybersecurity workforce assessment to identify current gaps in Department cybersecurity workforce ▪ Develop ED Cybersecurity Workforce Development Plan to address gaps identified in the ED cybersecurity workforce assessment ▪ Establish Department/FSA Cybersecurity Committee ▪ Develop ED Cybersecurity Strategy and Implementation Plan (ED-CSIP) 	<ul style="list-style-type: none"> ▪ Goal: Mature the Department’s cybersecurity operations to achieve the next level of effectiveness as defined by the FISMA maturity model ▪ Indicators: Updated plans and strategies, tools acquired, increased detection and reporting of system breaches ▪ Key milestones: FY 2018 and FY 2019 budget submissions, deployment phases through FY 2018
Oversight and Monitoring	Director, Risk Management (FSA)	<ul style="list-style-type: none"> ▪ Increase expertise among Department staff to effectively monitor student aid program participants and grant recipients ▪ Improve monitoring and support processes, including increased information-sharing across offices and more integrated and targeted monitoring approaches ▪ Expand data analysis capabilities and develop better 	<ul style="list-style-type: none"> ▪ Goal: Improve program compliance and grant outcomes through high-quality and timely monitoring and support ▪ Indicators: Increased use of data to identify higher-risk program participants, improved internal controls to ensure efficient and effective monitoring, improved customer feedback

Management Challenge	Accountable Official	Planned Actions	Performance Goals/Indicators/Milestones
		<p>ways to identify higher-risk program participants to detect potential misuse of funds</p> <ul style="list-style-type: none"> ▪ Highlight areas of ambiguity or common misunderstanding for program participants and provide additional technical assistance in those areas 	<ul style="list-style-type: none"> ▪ Key milestones: update risk assessments for student aid participants; gather feedback from annual student aid conference attendees; implement FY 2018 Enterprise Risk Management requirements; implement risk-based, tiered, and virtual monitoring approaches for grant recipients; strengthen electronic records for grant monitoring; develop skills in staff
Data Quality and Reporting	Director, Risk Management Service (ODS)	<ul style="list-style-type: none"> ▪ Implement tracking tool using key elements from Consolidated State Performance Reports (CSPR) to improve monitoring and correction of data quality issues ▪ Finalize data management strategy and continuation with principal offices stewarding data quality, as part of the ED Facts Data Governance Board ▪ Adopt new standard certification language in each data collection system; require states to provide additional justification for questionable data ▪ Identify promising practices in monitoring grantee controls over data accuracy and share across principal offices ▪ Leverage Single Audits to help assess grantee data quality 	<ul style="list-style-type: none"> ▪ Goal: Strengthen data quality and reporting to better enable evidence-based decision-making ▪ Indicators: Improved governance of data quality, fewer data quality audit findings, increased use of data to improve program outcomes ▪ Key milestones: Expand use of data tracking tool, disseminate promising practices, revise FY 2018 Compliance Supplement
Information Technology System Development and Implementation	Director, Information Technology Program Services (OCIO)	<ul style="list-style-type: none"> ▪ Establish a governing OCIO-based Project Management Office capability to begin integrating and optimizing resources to review project work plans, methods, and deliverables and provide support, review, and oversight to Department IT project managers ▪ Consolidate and standardize current LCM/LMM structure and governance to monitor, 	<ul style="list-style-type: none"> ▪ Goal: Mature the Department's compliance with FITARA requirements ▪ Indicators: Improved governance and capabilities, fewer audit findings ▪ Key milestones: Implement new governance structure and LCM/LMM reporting, target dates through FY 2018

Management Challenge	Accountable Official	Planned Actions	Performance Goals/Indicators/Milestones
		manage, and enforce IT project management practices and IT solution delivery methods <ul style="list-style-type: none"> ▪ Educate systems owners on LCM/LMM processes by forming an internal community of practice ▪ Develop Department Guidance on Software Development Best Practices 	

Lower-Priority Program Activities

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

Appendices

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Appendix A: Data Validity and Verification

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

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



Joseph C. Conaty
Delegated the Duties and Functions
of the Deputy Secretary
May 23, 2017

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

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
1.1.A	Federal student loan delinquency rate	Federal Student Aid (FSA) Data Center	<p>NSLDS is currently the source of the data. Verification and validation occur in three aspects of the process:</p> <p>(1) Data providers (servicers in this case) transmit data to NSLDS where the data are subject to edits and screening. FSA works with the servicers to resolve anomalies.</p> <p>(2) Users who analyze the data sometimes identify anomalies in the course of their analytic roles and work with experts in NSLDS to resolve. In some cases NSLDS will again work with the servicer(s) to resolve.</p> <p>(3) The report providing the data for this metric has been validated. This means that the programming and logic have been independently reviewed.</p>
1.1.B	Web traffic to the College Scorecard	Google Analytics data from College Scorecard	<p>The data are simply pulled from the GSA Google Analytics account. The data are checked for reasonability, and incorporated alongside the existing baseline data. The data need to be matched with baseline data and collated accordingly. There is limited analysis required.</p> <p>The data will be matched with prior data for reasonability checks. The Office of Planning, Evaluation and Policy Development will pursue solutions to anomalous data, but do not anticipate a significant problem, as the data are produced relatively automatically.</p>
1.1.C	Percent of High School Seniors Filing a FAFSA	<p>The denominator is the number of graduating seniors according to the most recent projection by NCES (Table 219.10 within the Digest of Education Statistics). The numerator is from Federal Student Aid's (FSA's) Central Processing System and is based on the number of applications during the first nine months of the application cycle that are—as of September 30 of the first year of the application cycle—complete (not rejected); first-time filers; incoming freshmen, with or without previous college attendance; age 18 or less as of June 30 of the first year of the application cycle; reporting high school diploma attainment; and attended a high school in the fifty states and Washington, DC.</p>	<p>The denominator is the number of graduating seniors according to the most recent projection by National Center for Education Statistics (3,365,560). Number of seniors obtained from the most recent release of Digest of Education Statistics (2013) obtained here: http://nces.ed.gov/programs/digest/d13/tables/dt13_219.10.asp</p> <p>The numerator is based on the number of applications during the first nine months of the application cycle that are—as of September 30 of the first year of the application cycle—complete (not rejected); first-time filers; incoming freshmen, with or without previous college attendance; age 18 or less as of June 30 of the first year of the application cycle; reporting high school diploma attainment; and attended a high school in the 50 states and DC. (Data Source: FSA's Central Processing System. Query timeframe: January–September 30, 2014: 2,021,691)</p> <p>Broadly speaking, several individuals and organizations serve as controls, including the Customer Analytics Group (for primary calculation), Business Intelligence (for technical validation), and the Financial Reporting and Analysis Branch for ensuring documentation is complete and archived.</p> <p>In addition to the above controls, queries and calculations are simultaneously conducted on data from previous years to ensure technical definitions remain consistent and calculations are accurate.</p> <p>Being that the Central Processing System is the core legacy system used to determine aid eligibility and awards and understanding the significance, value and reliability of the Digest of Educational Statistics, FSA feels confident that the outcomes are reliable, accurate, and valid.</p>

*Metric associated with an Agency Priority Goal.

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
1.1.D	Index of national annual aggregate earnings of VR consumers (based on the number of competitive integrated employment outcomes, hours worked, and hourly wages of VR Consumers)	Rehabilitation Services Administration (RSA)- 911	Each grantee's RSA-911 is submitted as a text file to RSA via an SFTP server. We run an edit program that converts the text file into MS Access and verifies the accuracy of the data. Each of the 215 data elements is verified. If errors are identified by the application, the grantee is requested to correct the errors and resubmit the data. Once the data file is corrected and resubmitted, it is checked again using the same process. If anomalies are identified, the grantee must provide an explanation and verify that the data is correct. RSA provides the agencies with the edit program that we use and are encouraged to run their data using the program often, at least quarterly, during the year. In addition, agencies have edits in their own systems which run additional checks.
1.1.E	Index of national annual aggregate earnings of Transition-Age Youth (based on the number of competitive integrated employment outcomes, hours worked, and hourly wages of VR Transition-Age Youth)		
1.1.F	<i>*Number of data points or other information reports released on the FSA Data Center</i>	FSA Data Center	The Validation Subject Matter Expert (SME) works with the Request SME to understand the solution used to fulfill the request, checking all results, code, and documentation produced by the Request SME. Additionally, the Validation SME ensures there are no data disclosure issues that need to be addressed. In the event the Validation SME cannot validate the request results, they contact the Request SME and the Data Request Team (DRT) to resolve any issues necessary to successfully complete their validation. The Validation SME completes their portion of the Request Template and notifies the DRT that the validation step is complete. Upon receipt of the data that was requested, the DRT confirms with the assigned Validation SME that the results have been validated and documented per their selected solution and enters it into the Data Request Tracking database.
1.2.A	Pell enrollment at IHEs with high graduation rates	Data from College Scorecard	Validation of the data is conducted by the National Center for Education Statistics (NCES) through its annual IPEDS data validation process. NCES will ensure accuracy, while Office of Planning, Evaluation and Policy Development / Policy and Program Studies Service will incorporate the data into the Scorecard datasets. Analysis will be conducted to identify anomalous data. They will be handled on a case-by-case basis, as most anomalies are due to variation from year-to-year or small n-size and are already pooled and suppressed before publishing the data. Other data problems may necessitate additional runs, qualifications, or suppression for stability reasons.
1.2.B	Number of states that develop or strengthen career pathways policies, guidance, and or legislation	Development data from the National Skills Coalition, possibly supplemental with data from the Association of State Legislators and CLASP	The Department cannot independently verify the data, but rely on the tracking of the National Skills Coalition. There are no processes in place to check for anomalous data.
1.3.A	<i>*Degree attainment among 25-34-year-old age cohort</i>	NCES Digest of Education Statistics, Table 104.30 (https://nces.ed.gov/programs/digest/d15/tables/dt15_104.30.asp), Number of persons age 18 and over, by highest level of educational attainment, sex, race/ethnicity, and age: 2015. Tabulated from Current Population Survey data, U.S. Census	Data quality and limitations are documented in: http://www.census.gov/prod/2006pubs/tp-66.pdf . NCES tabulates the data, which is verified prior to publication according to NCES guidelines.

**Metric associated with an Agency Priority Goal.*

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
1.3.B	Enrollment in IHEs below the minimum earnings threshold	Data from College Scorecard Tool	<p>Extensive validation is conducted by the Treasury Department before it is shared with the Department of Education, both on the earnings file used to construct the measure and on the resulting data file by institution. The Department will also continue to validate the unit-level files that are shared with the Treasury Department to generate the match.</p> <p>Analysis will be conducted to identify anomalous data. They will be handled on a case-by-case basis, as most anomalies are due to variation from year-to-year or small n-size and are already pooled and suppressed before sharing with the Department of Education. Other data problems may necessitate additional runs, qualifications, or suppression for stability reasons.</p> <p>The median earnings is calculated only on individuals who are employed (i.e., have earnings greater than zero). The data are not produced for small years, and are pooled across years, to reduce variability or misrepresentative figures.</p>
1.3.C	Persistence among first-time filing aid recipients	FSA's Common Origination and Disbursement (COD) system	<p>Data used for these calculations are based on counts from operational systems (number of recipients and number of applicants). Moreover, standardized queries are used to re-run and match calculations for earlier cycles. Therefore, the metric as defined should be considered verified and valid.</p> <p>Data used for these calculations are based on counts from operational systems (number of recipients and number of applicants meeting certain criteria). Anomalous data would suggest there are recipients that are not recipients (or vice versa) or applicants that are not applicants (or vice versa). A variety of internal controls are in place tracking both of these processes.</p>

*Metric associated with an Agency Priority Goal.

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
1.4.A	Number of STEM postsecondary credentials awarded	<p>Integrated Postsecondary Education Data System (IPEDS) Data Center</p> <p>Doctor's Degrees: (324.25, 324.30 and 324.35) http://nces.ed.gov/programs/digest/d14/table/dt14_324.25.asp http://nces.ed.gov/programs/digest/d14/table/dt14_324.30.asp http://nces.ed.gov/programs/digest/d14/table/dt14_324.35.asp</p> <p>Master's Degrees: (323.30, 323.40, 323.50) http://nces.ed.gov/programs/digest/d14/table/dt14_323.30.asp http://nces.ed.gov/programs/digest/d14/table/dt14_323.40.asp http://nces.ed.gov/programs/digest/d14/table/dt14_323.50.asp</p> <p>Bachelor's Degrees: (322.30, 322.40, 322.50) http://nces.ed.gov/programs/digest/d14/table/dt14_322.30.asp http://nces.ed.gov/programs/digest/d14/table/dt14_322.40.asp http://nces.ed.gov/programs/digest/d14/table/dt14_322.50.asp</p> <p>Associate's Degrees: (321.30, 321.40, 321.50) http://nces.ed.gov/programs/digest/d14/table/dt14_321.30.asp http://nces.ed.gov/programs/digest/d14/table/dt14_321.40.asp http://nces.ed.gov/programs/digest/d14/table/dt14_321.50.asp</p> <p>Certificates (320.20) http://nces.ed.gov/programs/digest/d14/table/dt14_320.20.asp</p>	<p>IPEDS collects completions by Classification of Instructional Programs (CIP) Code which may be aggregated into STEM and non-STEM counts. The Department of Education does not currently have a single definition for which CIP codes are STEM.</p> <p>Data quality and limitations are identified in IPEDS First Look Publications, "Data Collection Procedures," and IPEDS methodology available at http://nces.ed.gov/pubs2014/2014067.pdf. Data are checked by NCES for consistency.</p>

*Metric associated with an Agency Priority Goal.

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

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
2.1.A	Number of states / territories that have adopted college- and career-ready standards	<i>Elementary and Secondary Education Act (ESEA) Monitoring</i>	<p>The Office of Elementary and Secondary Education's (OESE) Office of State Support will count the number of states that either (a) have a memorandum of understanding in place to implement standards common to a number of states or (b) have a letter from Institutions for Higher Education in their state certifying that their state has college- and career-ready standards. There are no known data limitations.</p> <p>The Office of Elementary and Secondary Education's (OESE) Office of State Support (OSS) monitors that states are meeting requirements under the ESEA waiver. Monitoring includes desk monitoring and on-site monitoring. Previously, OSS state leads monitored using a monitor protocol and rubric based on ESEA Flexibility waivers to ensure that monitoring is consistent across all states with ESEA Flexibility. OSS is revising its monitoring practices based on passage of the ESEA, as amended by the ESSA, in December 2016, based on statutory revisions, as well as regulatory action. OSS state leads work with their Group Leader to finalize monitoring reports. There are no known data limitations.</p> <p>The Department is no longer conducting ESEA Flexibility monitoring, but states continued to implement their ESEA Flexibility requests through August 1, 2016, before beginning the transition to the ESSA.</p>
2.1.B	Number of states / territories that are implementing next-generation reading and mathematics assessments, aligned with college- and career-ready standards		
2.2.A	Number of states that have fully implemented teacher and principal evaluation and support systems that consider multiple measures of effectiveness, with student growth as a significant factor	ESEA Flexibility Applications and Monitoring	<p>In December 2015, the President signed into law the <i>Every Student Succeeds Act (ESSA)</i>, which reauthorizes the <i>Elementary and Secondary Education Act of 1965 (ESEA)</i>. Under the ESEA as amended by the ESSA, the Secretary of Education is prohibited from, among other prohibitions, prescribing "any aspect or parameter of a teacher, principal, or other school leader evaluation system within a State or local educational agency" and "indicators or specific measures of teacher, principal, or other school leader effectiveness or quality." The Department has no new data on the number of states implementing teacher and leader evaluation and support systems consistent with this performance metric and no way to verify the data reported.</p> <p>The Department is no longer conducting ESEA Flexibility monitoring, but states continued to implement their ESEA Flexibility requests through August 1, 2016, before beginning the transition to the ESSA.</p>
2.3.A	Disparity in the rates of out-of-school suspensions for students with disabilities and youth of color (youth of color metric)	Civil Rights Data Collection (CRDC)	<p>The Office for Civil Rights (OCR) strives to ensure CRDC data are an accurate and comprehensive depiction of student access to educational opportunities in school districts. The submission system includes a series of embedded edit checks to ensure significant data errors are corrected before the district submits its data. Additionally, each district is required to certify the accuracy of its submission. Only a district superintendent, or the superintendent's designee, may certify the CRDC submission. Ultimately, the quality of the CRDC data depends on accurate collection and reporting by the participating districts.</p>
2.3.B	Disparity in the rates of out-of-school suspensions for students with disabilities and youth of color (SWD, IDEA only metric)		

*Metric associated with an Agency Priority Goal.

2.4.A	*Number of persistently low graduation rate high schools	NCES ED Facts	<p>ED Facts works with the data stewards to determine the appropriate business rule checks for these data. The checks that were done on these data include:</p> <ul style="list-style-type: none"> • File validation and format checks: Identifies file submissions that do not conform to the accepted file format, the data universe (school/LEA/state directory), or the reporting requirements (mandatory reporting fields). • Submission Edit Business Rules: Submission edits and warnings ensure that the data meet or exceed an acceptable level of reasonability by checking the values entered in a field against other similar values in the same file or across files. If a discrepancy is found (i.e., a value falls outside of the acceptable range), a submission error or warning is issued. Unlike format and validation edits, submission edits and warnings are programmed into the ED Facts Submission System and applied to the data after they are in the staging database. • Coordinated Data Quality Reviews (CDQR): Identifies potential errors and anomalies related to completeness, consistency, and comparability in the file submissions that would affect the quality and usability of data in the files. <ul style="list-style-type: none"> ○ CDQR Process: At the end of a collection period, ED Facts runs checks to validate data quality of submitted data and presents all results to program offices. It is the responsibility of the program offices, in consultation with the ED Facts staff, to determine which identified errors to escalate to states for further review. The ED Facts Partner Support Center (PSC) sends these errors to states for remediation, which take the form of explanations for data anomalies, data file submission updates, and data corrections. OESE should be considered the point-of-contact for identifying which errors were escalated and the result of those escalations. <p>Data concerns for state, district and school level 2014–15 data submissions are documented and available in two places:</p> <ol style="list-style-type: none"> a) State Notes to submitted Adjusted Cohort Graduation Rate (ACGR) data are available within the Department’s ED Data Express Tool at http://eddataexpress.ed.gov b) Identified Data Anomalies are documented at the state level in appendix B to the file documentation released along with school and district level data files at http://www2.ed.gov/about/inits/ed/edfacts/data-files/index.html <p>Additional concerns, if any are identified, related to the calculated national rate or work done prior to 2014–15 will be available in future releases of the NCES report “Public High School Four-Year On-Time Graduation Rates and Event Dropout Rates: School Year #####-##.” The most recent report covers 2010–11 and 2011–12. Reports covering more recent years of data are being prepared and once released will be available at http://nces.ed.gov/ccd/pub_dropouts.asp.</p> <p>Path to public release and national rates: For each collection cycle states report their calculated cohort counts and ACGR graduation rates. These counts and rates are tested against a number of submission edit business rules and the ACGR Coordinated Data Quality Review for format, consistency, completeness, and comparability. Those rule checks are delivered to the Office of Elementary and Secondary Education (OESE) for follow-up correspondence through the ED Facts Partner Support Center with the states. The program office, in consultation with NCES ED Facts staff and other stakeholders, meet to determine which issues identified by the business rules should be raised with the state for explanation, update, or correction. Following that review, data are then aggregated to the national level for the purpose of calculating and publishing a national rate. NCES processes these data to force conformity of reporting categories (mapping reported “Major Racial/Ethnic Groups” to the traditional 5 racial/ethnic groups) and addresses any issues raised by missing data. After imputations are made, NCES produces a national rate for the country as a whole; a rate which is representative of every state. Once produced, NCES documents any remaining issues with these data, and the aggregation and imputation methodology in a public report. That report, documentation, and the associated data tables are put through several stages of review including independent reviews at the division (Administrative Data), center (NCES), and principal office (IES) levels prior to public dissemination.</p>
*Metric associated with an Agency Priority Goal.			

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
2.4.B	Percentage of SIG schools in Cohort 5 that are above the 25th percentile in mathematics, as measured by their state assessments	Analytic dataset produced by the contractor for the SIG National Summary, because this provides an accurate list of SIG schools and flags for different exclusions that we are included in the analysis. (The analytic dataset is a combination of <i>EDFacts</i> student achievement files in Math and Reading, the NCES Common Core of Data, SIG lists provided to <i>EDFacts</i> by Office of State Support (OSS), and Exclusions that are generated by the contractor that apply to these results.)	To produce these numbers, OESE relies on the analytic dataset produced by the contractor for the SIG National Summary, because this provides a list of SIG schools and flags for different exclusions that we include in the analysis. The analytic dataset is a combination of <i>EDFacts</i> student achievement files in Math and Reading, the NCES Common Core of Data, SIG lists provided to <i>EDFacts</i> by OSS, and Exclusions that are generated by the contractor that apply to these results. For the 2012–13 data, a draft version of the analytic dataset was available in March of 2015, although OESE hopes that it will be available sooner in future years. Information can be found on the <i>EDFacts</i> website (http://www2.ed.gov/about/inits/ed/edfacts/index.html).
2.4.C	Percentage of SIG schools in Cohort 5 that are above the 25th percentile in reading language arts, as measured by their state assessments		
2.5.A	Percentage of high school and middle school teachers who teach STEM as their main assignment who hold a corresponding undergraduate degree	Schools and Staffing Survey (SASS), NCES	The methods report for the 2011–12 SASS is not yet released. Study documentation from the 2007–08 survey is available at https://nces.ed.gov/surveys/sass/methods.asp .
2.5.B	Number of External high school graduates who have taken at least one STEM AP exam	College Board/AP administrative records	College Board Public School List is updated annually by state DOEs; thus small changes to the list over time are to be expected as schools open, close, and/or merge. Students are assigned to graduating cohorts based on self-reported information (i.e., grade level and/or graduation year) provided at the time of registration (in the case of SAT) or test administration (in the case of AP and PSAT). The College Board matches students' data across programs to identify the most recent valid value when assigning students to cohorts.

*Metric associated with an Agency Priority Goal.

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

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
3.1.A	<i>*Percent of 4-year olds enrolled in state preschool programs</i>	Preschool Development Grants Annual Performance Reports (APR), Data Workbook, Table A(1)(a) and (b)	APR data is collected externally. The data are collected primarily through a performance report template and a data workbook submitted by State Project Directors for the grants. Data are collected by program offices through a technical assistance contractor using a performance report template and self-administered electronic submission tool. The data collection period for one year is reported in the following year's APR submission. For example, school year 2015–2016 data is reported in February of 2016. During November of 2015, State Project Directors are provided with any submission updates and granted access to the APR submission tool. The APR data collection period is January 1, 2015–December 31, 2015. The Technical Assistance (TA) contractor performs an analysis and data anomalies are clarified and verified with the State Project Director.
3.1.B	<i>*Number of states with high-quality preschool programs standards</i>	National Institute for Early Education Research (NIEER) Yearbook (The State of Preschool), Table 1: State Ranking and Quality Checklist Sums, Column "Quality Checklist Sums"	NIEER data are collected externally. The data are collected primarily through surveys of state preschool administrators using the State of Preschool data collection instrument. Data are collected by staff at Rutgers University's NIEER using a self-administered online data instrument. The collection for the 2013–14 school year, for example, began in the fall of 2013. During November of 2013, links to the web-based survey instrument were sent to administrators of the state-funded preschool programs. The initial listing of administrators was drawn from the 2011–12 State of Preschool data collection. NIEER project staff updated the list, where appropriate, by recontacting state agencies to determine if new programs had been started since the 2013–14 school year, or whether any programs had been left out of the previous report (no such programs were identified). All states and the District of Columbia responded. Data collection ended in April 2015. All programs included in the data collection and current report are those that are funded and directed by the states to support group learning experiences for preschool-age children, usually ages 3 and 4. A full list of criteria programs must meet for inclusion is available in the introduction of this report. Please see Data Verification Overview. http://nieer.org/yearbook .
3.2.A	Number of states that require a teacher with a bachelor's degree in a state preschool program	National Institute for Early Education Research (NIEER) Yearbook (The State of Preschool), Workforce Supplement, Table 3: Preschool Teacher Qualifications and Salary, Column "BA Required"	NIEER data are collected externally. The data are collected primarily through surveys of state preschool administrators using the State of Preschool data collection instrument. Data are collected by staff at Rutgers University's NIEER using a self-administered online data instrument. The collection for the 2013–14 school year, for example, began in the fall of 2013. During November of 2013, links to the web-based survey instrument were sent to administrators of the state-funded preschool programs. The initial listing of administrators was drawn from the 2011–12 State of Preschool data collection. NIEER project staff updated the list, where appropriate, by recontacting state agencies to determine if new programs had been started since the 2013–14 school year, or whether any programs had been left out of the previous report (no such programs were identified). All states and the District of Columbia responded. Data collection ended in April, 2015. All programs included in the data collection and current report are those that are funded and directed by the states to support group learning experiences for preschool-age children, usually ages 3 and 4. A full list of criteria programs must meet for inclusion is available in the introduction of this report. Please see Data Verification Overview. http://nieer.org/yearbook .

*Metric associated with an Agency Priority Goal.

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
3.3.A	Number of states collecting and reporting disaggregated data on the status of children at kindergarten entry using a common measure	Race to the Top (RTT)-Early Learning Challenge (ELC) Technical Assistance Center	<p>The data are limited to the 20 Race to the Top-Early Learning Challenge (RTT-ELC) states.</p> <p>Department staff has requested Kindergarten Entry Assessment (KEA) data be collected in the 2015–16 academic year as part of the State of Preschool data collection and has requested to add KEA data reporting in <i>EDFacts</i>. In addition, the new Preschool Development Grants will provide data on additional states.</p>

*Metric associated with an Agency Priority Goal.

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

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
4.1.A	*National high school graduation rate	NCES ED Facts	<p>ED Facts works with the data stewards to determine the appropriate business rule checks for these data. The checks that were done on these data include:</p> <ul style="list-style-type: none"> • File validation and format checks: Identifies file submissions that do not conform to the accepted file format, the data universe (school/LEA/state directory), or the reporting requirements (mandatory reporting fields). • Submission Edit Business Rules: Submission edits and warnings ensure that the data meet or exceed an acceptable level of reasonability by checking the values entered in a field against other similar values in the same file or across files. If a discrepancy is found (i.e., a value falls outside of the acceptable range), a submission error or warning is issued. Unlike format and validation edits, submission edits and warnings are programmed into the ED Facts Submission System and applied to the data after they are in the staging database. • Coordinated Data Quality Reviews (CDQR): Identifies potential errors and anomalies related to completeness, consistency, and comparability in the file submissions that would affect the quality and usability of data in the files. <ul style="list-style-type: none"> ○ CDQR Process: At the end of a collection period, ED Facts runs checks to validate data quality of submitted data and presents all results to program offices. It is the responsibility of the program offices, in consultation with the ED Facts staff, to determine which identified errors to escalate to states for further review. The ED Facts Partner Support Center (PSC) sends these errors to states for remediation, which take the form of explanations for data anomalies, data file submission updates, and data corrections. OESE should be considered the point-of-contact for identifying which errors were escalated and the result of those escalations. <p>Data concerns for state, district and school level 2014–15 data submissions are documented and available in two places:</p> <ol style="list-style-type: none"> a) State Notes to submitted Adjusted Cohort Graduation Rate (ACGR) data are available within the Department’s ED Data Express Tool at http://eddataexpress.ed.gov b) Identified Data Anomalies are documented at the state level in appendix B to the file documentation released along with school and district level data files at http://www2.ed.gov/about/inits/ed/edfacts/data-files/index.html <p>Additional concerns, if any are identified, related to the calculated national rate or work done prior to 2014–15 will be available in future releases of the NCES report “Public High School Four-Year On-Time Graduation Rates and Event Dropout Rates: School Year #####-##.” The most recent report covers 2010–11 and 2011–12. Reports covering more recent years of data are being prepared and once released will be available at http://nces.ed.gov/ccd/pub_dropouts.asp.</p> <p>Path to public release and national rates: For each collection cycle states report their calculated cohort counts and ACGR graduation rates. These counts and rates are tested against a number of submission edit business rules and the ACGR Coordinated Data Quality Review for format, consistency, completeness, and comparability. Those rule checks are delivered to the Office of Elementary and Secondary Education (OESE) for follow-up correspondence through the ED Facts Partner Support Center with the states. The program office, in consultation with NCES ED Facts staff and other stakeholders, meet to determine which issues identified by the business rules should be raised with the state for explanation, update, or correction. Following that review, data are then aggregated to the national level for the purpose of calculating and publishing a national rate. NCES processes these data to force conformity of reporting categories (mapping reported “Major Racial/Ethnic Groups” to the traditional five racial/ethnic groups) and addresses any issues raised by missing data.</p>

*Metric associated with an Agency Priority Goal.

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
4.1.B	* <i>Gap in the graduation rate between all students and students from low-income families</i>		After imputations are made, NCES produces a national rate for the country as a whole; a rate which is representative of every state. Once produced, NCES documents any remaining issues with these data, and the aggregation and imputation methodology in a public report. That report, documentation, and the associated data tables are put through several stages of review including independent reviews at the division (Administrative Data), center (NCES), and principal office (IES) levels prior to public dissemination.
4.1.C	* <i>Number of schools that do not have a gap or that decreased the gap between students from low-income families and the state average for all students</i>		
4.2.A	Percentage of proactive civil rights investigations <u>launched</u> annually that address areas of concentration in civil rights enforcement	Office for Civil Rights' (OCR) Case Management System (CMS) and Document Management (DM) systems	<p>The verification and validation of CMS data utilize (1) rules built into the CMS Case Management component; (2) periodically checks on questionable data; (3) guidance and reference on data entries; and (4) regular training and guidance for primary users imputing the data.</p> <p>(1) Rules built in CMS: Samples of CMS validations: - Docket number is assigned by the CMS based on four required data (Active Office, Case Type, Institution Type, and Case Open Date). - Date should be a validated date. - When a notification letter is issued, current stage is changed from Evaluation to Investigation. - Resolution Type is filled by the CMS based on the Resolution Codes of allegations.</p> <p>(2) Periodic checks on questionable data: (monthly) - Missing entries: such as cases resolved without (a) case resolved/closed dates, (b) allegations and (c) resolutions. - Inconsistent entries: such as resolution type not matched with resolution code.</p> <p>(3) Guidance and reference materials for use by primary users making data entries are posted at the OCR SharePoint site and are available to all OCR staff: - Lists of issue codes, specific bases, resolution codes, milestones, stage, data definition, and etc. - CMS Data Entries requirements and checklist. - CMS User Manual.</p> <p>(4) Users Training: - User training is available as needed. OCR also provides training through a "peer helper" or "train the trainer" model for staff in the field offices and headquarters.</p>
4.2.B	Percentage of proactive civil rights investigations <u>resolved</u> annually that address areas of concentration in civil rights enforcement		

*Metric associated with an Agency Priority Goal.

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

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

*Metric associated with an Agency Priority Goal.

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

**Metric associated with an Agency Priority Goal.*

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
5.3.D	<i>*Number of completed project evaluations from grantees of select discretionary grant programs in a given fiscal year that meet What Works Clearinghouse (WWC) Evidence Standards</i>	Discretionary grant slate memoranda, discretionary grant financial forecasts and reports from OCFO, and the What Works Clearinghouse	<p>Expectation is that it will take about five minutes to search the WWC database for new i3 studies each quarter. Also considering ways in which Institute of Education Sciences' staff and Office of Innovation and Improvement staff can work closely to report these data quickly.</p> <p>No formal verification or validation processes are in place or to check for anomalous data. So far, no anomalous data has been encountered.</p> <p>The Office will report out on studies that are funded by i3 that are in the WWC database and meet WWC Evidence Standards. Please note it is not implied that these studies all reflect positive results—in actuality, the WWC Evidence Standards only measure the rigor of impact evaluations and do not consider the actual outcomes reported.</p>
5.4.A	Percentage of schools in the country that have actual internet bandwidth speeds of at least 100 Mbps	Education Superhighway (for baseline), Consortium for School Networking (CoSN)/AASA (American Association of School Administrators today known as AASA, The School Superintendents Association) E-rate Infrastructure Survey	<p>The Department uses an external data source for this metric and relies on the external, third party's verification and validation methodology. Based on the information provided (http://cosn.org/about-cosn), the response rate for this survey may not be sufficient to ensure that the data are representative of all districts in the country. The Department is exploring the feasibility of collecting data on access to and use of education technology from a representative sample of schools and districts across the country. In the meantime, we believe these data are the best currently available and provide useful information to gauge progress on this metric.</p>

*Metric associated with an Agency Priority Goal.

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

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
6.1.A	Percent of selections made per job opportunity announcement (JOA)	EDHires (Monster's electronic hiring management system)	<p>The data are entered into the EDHires system by customers, contractors, and staff, so quality of data are only as reliable as the information entered and/or updated in the system.</p> <p>Data are reviewed by HR Specialists for relevance and completeness to ensure correct parameters and filters have been applied.</p> <p>If anomalies are identified, HR Specialists will compare contractor generated reports against ad hoc hiring reports generated from the system of record and other linked HR systems. Any questionable results would be brought to the contractor's attention; in turn, OHR would work with the contractor to obtain clarity and/or resolve.</p>
6.1.B	EVS Employee Engagement Index	Office of Personnel Management (OPM) Federal Employee Viewpoint Survey (FEVS)	<p>Any questionable FEVS data points are brought to the attention of OPM. In turn, the OPM point of contact responds to the inquiry. Further, if there are questions regarding the FEVS data, the Department works with the OPM point of contact to obtain clarity.</p> <p>The Engagement index score is calculated by OPM by first determining the percent positive for each of the 15 items in the sub-indices (i.e., Leaders Lead, Supervisors, and Intrinsic Work Experiences). Then the unrounded percent positive scores are averaged across the items in the index to get the index score. The overall index score is then rounded for reporting purposes.</p>

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
6.1.C	Time to Hire	Federal Personnel/Payroll System (FPPS) Datamart	<p>The Office of Management (OM) identified a gap between hiring procedures and the 90 Day Hiring Model's time to hire calculations which necessitated an adjustment in the way time to hire is calculated for some actions. OM found that recruitment work is often initiated prior to the receipt of an "official" action. While this is a proactive customer-centric approach, especially prevalent in ED's noncompetitive hiring activities, it can sometimes result in a negative time to hire or a time to hire of zero—neither of which reflects a realistic or meaningful hiring lead time.</p> <p>To account for, track and document this upfront work, OM developed an adjustment mechanism to better gauge hiring lead time in these cases. For ease of comparison, the adjustment was applied to all FY 2016 hiring actions and resulted in a revised Q1 actual. To ensure clarity and consistency in the application of time to hire methodology moving forward, OM also clarified time to hire calculation protocols as follows:</p> <ul style="list-style-type: none"> ➤ Individual time to hire: <ul style="list-style-type: none"> ○ Time to hire for individual hiring actions is determined by calculating the number of days between the Request to Recruit (ROE) Date and the Verbal (tentative) Offer Date, as reflected in FPPS DataMart. <ul style="list-style-type: none"> ▪ If time to hire results in a negative or zero, it is replaced with the value 1. ▪ If time to hire cannot be determined (i.e., date not available), it is excluded from agency calculations. ○ Time to hire is not calculated for actions In-Progress; it is only calculated for Completed actions (i.e., estimated EOD established). ➤ Agency time to hire: <ul style="list-style-type: none"> ○ The Department's time to hire is an annual rate determined by calculating the percent of hiring actions within a fiscal year completed within 90 days. ○ Q1, Q2, and Q3 actuals are cumulative, measured from the beginning of the fiscal year. ○ Q4 actuals represent the Department's annual time to hire rate and are reported in the Annual Performance Report. ○ Periodic snapshots of time to hire may be computed monthly, quarterly or by principal office to help gauge progress toward the annual target; however, care should be taken to ensure periodic updates are clearly identified as snapshots or progress indicators and not represented as the agency's annual rate.
6.1.D	Effective Communication Index	Office of Personnel Management (OPM) Federal Employee Viewpoint Survey (FEVS)	<p>Any questionable FEVS data points are brought to the attention of OPM. In turn, the OPM point of contact responds to the inquiry. Further, if there are questions regarding the FEVS data, the Department works with the OPM point of contact to obtain clarity.</p> <p>This index score is calculated by the Department by averaging the percent positive scores from OPM FEVS questions 53, 58, and 64.</p>

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
6.2.A.	Percentage of A-133 Single Audits Overdue for resolution	Office of the Chief Financial Officer's (OCFO) Audit Accountability & Resolution Tracking System (AARTS)	<p>Calculations for this metric are determined by dividing the total number of audits that are overdue at the end of the Department's fiscal year by the total number of audits in the Department's inventory.</p> <p>Access rights to the AARTS database are managed by Office of the Chief Financial Officer (OCFO) and all users receive annual IT security training to help ensure data integrity. A Quality Control reviewer initiates a weekly upload of A-133 audit data to AARTS through a file submission directly from the Federal Audit Clearinghouse (FAC). An AARTS administrator (separate from the Quality Control reviewer) must verify the uploaded data with the actual audits. Data for individual programs are verified by Principal Offices (POs) through periodic review by Responsible Managers and Audit Liaison Officials. In addition, the specific data for this metric are verified by POs each month as part of monthly Dashboard reports.</p> <p>Data are validated by OCFO monthly. Staff work to reconcile data reported on the Dashboards with any discrepancies reported by the POs.</p>
6.2.B.	Compliance rate of contractor evaluation performance reports	Past Performance Information Retrieval System, www.ppirs.gov , "PPIRS Compliance Report"	<p>Compliance rates of contractor performance evaluations are set by OMB and are calculated by use of a Government wide reporting tool available in the PPIRS (www.ppirs.gov).</p> <p>Office of the Chief Financial Officer (OCFO) and Federal Student Aid (FSA) Acquisitions staff actively monitor the PPIRS report to ensure that each contractor performance evaluation reflected on that report should appear on that report, and to rectify any errors on the report.</p>
6.3.A.	Overall average impact score of the Department's technical assistance in helping build State capacity to implement education reforms	Annual Grantee Satisfaction Survey	<p>The contractor has a quality control system and the results are also provided to all of the programs that participate in the survey to identify issues/anomalies with the data.</p> <p>Program staff report anomalies to the contractor to correct.</p> <p>The data comes from the Annual Grantee Satisfaction Survey Report (See https://www2.ed.gov/about/reports/annual/gss/index.html). The report is produced by a contractor; the contract is managed by OCFO.</p> <p>One major issue with the Grantee Satisfaction Survey is the timing of the survey. The survey is administered in late spring/early summer when many staff are out of the office, which suppresses the response rate. Also, some grant programs do a better job than others of promoting the survey and showing how the survey results have been used to make improvements. We have been told that the survey is administered late each year for the following reasons:</p> <ul style="list-style-type: none"> --The Interagency Agreement can't be put into clearance until the budget is approved each year; --Getting the Interagency Agreement through Departmental clearances takes several months; program staff are asked to review their customized survey questions and submit their grantee contact lists at the busiest time of the year which makes it difficult to turn them around quickly.

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
6.4.A.	Number of ED IT security incidents	Cyber Security Assessment and Management (CSAM) and RSA Security Operations management (SecOps)	Office of the Chief Information Officer (OCIO) has standard operating procedures (SOP) to verify and validate the data: 1) CSAM SOP, 2) Incident Response SOP, and 3) SecOps SOP. This process is executed on a weekly basis. Further, the data is pulled from the Department's authoritative source (system of record) for Incident Response and Tracking. In addition, SOPs enforce the use of this capability for entering, tracking, and managing all incident related activity. The data is also audited on a routine basis to ensure consistency and accuracy.
6.4.B.	EVS Results-Based Performance Culture Index	Office of Personnel Management (OPM) Federal Employee Viewpoint Survey (FEVS)	Data verification and validation process is integrated into the OPM FEVS survey results validation process. Any questionable FEVS results would be brought to the attention of OPM; the Department would then work with the OPM point of contact to obtain clarity.
6.4.C.	EVS Leadership and Knowledge Management Index		Data verification and validation process is integrated into the OPM FEVS survey results validation process. The Results-Oriented Performance Culture Index score is calculated by OPM by first determining the percent positive for each of the 13 items in the index. Then the unrounded percent positive scores are averaged across all index items to get the index score. The index score is then rounded for reporting purposes.

Metric No.	Metric (Indicator)	Data Source	Data Quality, Limitations and Improvements
6.4.D	Total usable square footage	Department's Master Space Management Plan	<p>The Department reconciles its rent bills per building on a monthly basis. Every six months the usable square footage is verified with GSA.</p> <p>Because usable square footage relates directly to rent costs, the Department uses the same data verification and validation procedures. Specifically, the data are collected directly from Occupancy Agreements and rent bills per building.</p> <p>The data are derived from historic examples and relevant experience. Department leadership has agreed to a set of assumptions by which the data are based. Leadership has reached out to subject matter experts to broaden the scope of the data set, and lower risks of missing contingencies that may affect the data. At each step, the data are reviewed independently to double check the work of each team member and provide quality control. These processes help ensure the data's completeness and reliability.</p> <p>For the baseline data, the Department made the following assumptions:</p> <ol style="list-style-type: none"> 1) All leased buildings: 2% is applied for anticipation of CPI (Consumer Price Index) annual increases on the anniversary date of the active lease/occupancy agreement (OA); and 2.5% is applied for anticipation of annual tax increases. 2) All federal buildings: 2.5% is applied for operating cost escalations on the anniversary date of the active OA. 3) 20% is applied to all federal buildings after an OA has expired and a new OA is unavailable. (Projected increase on the appraisal.) 4) 40% is applied to all leased buildings after an OA has expired and a new OA is unavailable. (Projected increase on the market rent.) 5) If a new OA is unavailable, 3 months' early rent is applied to all buildings that are relocating due to possible Department delays. Example: Changes made to the designs after Scope of Work (SOW) is completed. 6) 3 months' late rent is applied to all buildings that are relocating due to possible Department delays. For example, delays in returning space back to a rentable condition. <p>The Department reconciles its rent bills per building on a monthly basis.</p>
6.4.E	Rent cost	Department's Master Space Management Plan	<p>Data are collected directly from OAs and rent bills per building. The actual rent may vary significantly if the Department relocates to a new leased building and/or signs short lease extensions. The Department is leveraging the examples and experience of the mobility labs and building consolidations programs.</p> <p>The Department reconciles its rent bills per building on a monthly basis. Every six months, leadership will re-evaluate the data, the assumptions on which it is based, and incorporate actual costs and project schedules. These steps will become part of our quality assurance program and procedures. Leadership looks to improve completeness, reliability, and quality of the data at these milestones.</p>

Total number of the Department's 2016 external (public-facing) metrics (indicators): **52**

Appendix B: Changed Performance Goals

The *Government Performance and Results Act Modernization Act of 2010* requires agencies to “identify performance goals changed or dropped since publication of the Annual Performance Plan, if such changes were approved by OMB, and the reasons for the changes.”⁹²

⁹² OMB Circular A-11, Preparation, Submission, and Execution of the Budget (2015), Part 6, Section 210.22 – Content for Strategic Plans, Annual Performance Plans, Annual Performance Reports

FY 2016 EXTERNAL (PUBLIC-FACING) METRICS BEING REMOVED and NEW METRICS BEING ADDED FOR 2017

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

EXTERNAL METRIC NO.	METRIC (INDICATOR)	BRIEF SUMMARY FOR REMOVAL	NEW METRICS FOR 2017	NEW METRIC DATA SOURCE
1.3.B.	Enrollment in IHEs below the minimum earnings threshold	The Department has minimal impact on this metric and the rate did not change positively in FY 2016.	No replacement metric is being proposed at this time.	NA
1.1.C.	Percentage of first-time FAFSA filers among high school seniors	Federal Student Aid (FSA) reports this metric in their Annual Performance Report with ranges as targets. The Department is moving away from using ranges for any of its metrics. The new metric will focus on the number of first-time FAFSA filers among high school seniors, which is complementary to what FSA is already reporting. Further, the new metric highlights the actual impact of FSA's reach by reflecting the actual number of students completing the FAFSA versus reporting just the percentage year-over-year.	Number of first-time FAFSA filers among high school seniors	FSA's Central Processing System

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

EXTERNAL METRIC NO	METRIC (INDICATOR)	BRIEF SUMMARY FOR REMOVAL	NEW METRIC(s) FOR 2017	NEW METRIC DATA SOURCE
2.2.A.	Number of states that have fully implemented teacher and principal evaluation and support systems that consider multiple measures of effectiveness, with student growth as a significant factor	In December 2015, the President signed into law the <i>Every Student Succeeds Act</i> (ESSA), which reauthorizes the <i>Elementary and Secondary Education Act of 1965</i> (ESEA). Under the ESEA as amended by the ESSA, the Secretary of Education is prohibited from, among other prohibitions, prescribing "any aspect or parameter of a teacher, principal, or other school leader evaluation system within a State or local educational agency" and "indicators or specific measures of teacher, principal, or other school leader effectiveness or quality." The Department has no new data on the number of states implementing teacher and leader evaluation and support systems consistent with this performance metric and no way to verify the data reported.	No replacement metric is being proposed at this time.	NA
2.5.A.	Percentage of high school and middle school teachers who teach STEM as their main assignment who hold a corresponding undergraduate degree	Retiring this metric due to the data set only being available every four years and therefore has not been helpful to inform STEM policy efforts. In addition, degree held is just one indicator of STEM content knowledge and doesn't apply for things like elementary school teaching. The data set was also only applicable for math and science and didn't capture engineering or computer science, which have been important STEM disciplines as well.	No replacement metric is being proposed at this time.	NA

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

EXTERNAL METRIC NO.	METRIC (INDICATOR)	BRIEF SUMMARY FOR REMOVAL	NEW METRIC(S) FOR 2017	NEW METRIC DATA SOURCE
NA	NA	NA	NA	NA

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

4.2.A.	Percentage of proactive civil rights investigations launched annually that address areas of concentration in civil rights enforcement	This metric is too narrow to capture the breadth of the Office for Civil Rights' (OCR) work. A new metric is being proposed.	To ensure educational institution's awareness of and compliance with federal civil rights obligations, the new metric focuses on increasing the average number of cases resolved, per investigative staff member.	OCR's Case Management System (CMS) and human resources dashboard
4.2.B.	Percentage of proactive civil rights investigations resolved annually that address areas of concentration in civil rights enforcement	This metric is too narrow to capture the breadth of the Office for Civil Rights' (OCR) work. A new metric is being proposed.	To increase awareness and understanding by students and their families of their rights, and schools, colleges and universities of their obligations under federal civil rights, the new metric focuses on increasing the number of technical assistance presentations and press releases on OCR's work.	OCR's Case Management System (CMS) and website

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

EXTERNAL METRIC NO.	METRIC (INDICATOR)	BRIEF SUMMARY FOR REMOVAL	NEW METRIC(s) FOR 2017	NEW METRIC DATA SOURCE
1.1.B.	Web traffic to the College Scorecard	NA	This performance metric is transitioning from Goal 1 to Goal 5.	NA
5.1.C.	Number of states linking K-12 with early childhood data	Requesting to replace this metric with a new metric related to the number of states actively using data systems to support and inform improvements, which is a more meaningful and useful metric.	Number of states actively using data systems to support and inform improvements	Grant monitoring

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

EXTERNAL	METRIC (INDICATOR)	BRIEF SUMMARY FOR	NEW METRIC(s) FOR 2017	NEW METRIC DATA
6.2.A	Percentage of A-133 Single Audits Overdue for resolution	OCFO/Financial Improvement Operations is proposing this change because the new measure will potentially be a more accurate measure of the efforts of both program office (grants administration) staff and staff involved in resolution of Single Audits to positively influence lasting program improvement. Lack of any audit findings is a reflection of effective administration by grant recipients and improvements over time will validate the Department's overall efforts to partner with them to effect positive change in their operations.	Percentage of Department grant recipients without any Single Audit findings	Federal Audit Clearinghouse (FAC)

Total number of the Department's 2016 external metrics being removed FY-end: **8***

Total number of new external metrics being added in 2017: **5**

* Please note, the total number of metrics removed in FY 2015 was 11 versus the 12 reported in the 2015 APR.

Appendix C: Additional Programs by Goal

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

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

Other discretionary Goal 1 programs/activities include the following:

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

NA = Not applicable.

POC = Principal Operating Component.

Mandatory programs supporting Goal 1 include:

POC	Account	Objective	Program
FSA	FDSL	1	Federal Direct Student Loans Program Account: Downward modification of existing loans (non-add)
FSA	FDSL	1	Federal Direct Student Loans Program Account: Downward re-estimate of existing loans (non-add)

ADDITIONAL PROGRAMS BY GOAL

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

Goal 2: Elementary and Secondary Education

Other discretionary Goal 2 programs/activities include the following:

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

NA = Not applicable.

POC= Principal Operating Component.

Goal 3: Early Learning

Other discretionary Goal 3 programs/activities include the following:

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

NA = Not applicable.

POC = Principal Operating Component.

Goal 4: Equity

No additional programs.

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

Other discretionary Goal 5 programs/activities include the following:

POC	Account	Objective	Program
IES	IES	3	National Assessment Governing Board

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

POC = Principal Operating Component.

Goal 6: U.S. Department of Education Capacity

Mandatory programs supporting Goal 6 include:

POC	Account	Objective	Program
			Contributions

POC = Principal Operating Component.

Other

Programs/activities supporting other performance metrics include:

(Dollars in millions)

POC	Account	Program	FY 2016 Appropriation	FY 2017 Annualized CR [*]	FY 2018 President's Budget
OSERS	REHAB	Client assistance state grants	13	13	13
OSERS	REHAB	Demonstration and training programs	6	6	6
OSERS	REHAB	Helen Keller National Center for Deaf-Blind Youths and Adults	10	10	10
OSERS	REHAB	Independent living services for older blind individuals	33	33	33
OSERS	REHAB	Protection and advocacy of individual rights	18	18	18
OSERS	REHAB	Supported employment state grants	28	27	--
OSERS	REHAB	VR Training	30	30	30
		College housing and academic facilities loans program account: Re-estimate of existing loan subsidies	0	0	--
TOTAL, OTHER			138	138	110

POC = Principal Operating Component.

CR = Continuing Resolution.

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

^{*} A full-year 2017 appropriation was not enacted at the time the FY 2018 Budget was prepared; therefore, the Budget is built off of the *Further Continuing Appropriations Act, 2017* (P.L. 114-254). The amounts included for 2017 reflect the annualized level provided by the continuing resolution.

Appendix D: Summary of Performance Evaluations Released During FY 2016–17 and Expected During FY 2017–18

For a complete list of program evaluations and studies from the Office of Planning, Evaluation, and Policy Development, please visit

<http://www2.ed.gov/about/offices/list/oepd/ppss/reports.html>. For a complete list of evaluation studies of the National Center for Education Evaluation and Regional Assistance, please visit <http://ies.ed.gov/ncee/projects/evaluation/index.asp>.

Evaluation Reports From FY 2016–17

National Center for Education Evaluation and Regional Assistance

Literacy

Summary of Research Generated by Striving Readers on the Effectiveness of Interventions for Struggling Adolescent Readers

1. *Study Purpose:* Striving Readers was a discretionary grant program focused on raising reading achievement of middle school and high school students through intensive interventions for struggling readers and enhancing the quality of literacy instruction across the curriculum. The 2006 and 2009 cohorts of grantees were required to conduct rigorous, experimental evaluations. The Institute of Education Sciences (IES) provided technical assistance to support grantees in conducting evaluations that would meet What Works Clearinghouse (WWC) standards. This study also conducted a systematic review of the 17 evaluations of 10 different interventions funded by Striving Readers across the 16 grants.
2. *Key Question Addressed:*
 - What do the evaluations funded by the Striving Readers program tell us about effective interventions for improving the achievement of struggling adolescent readers?
3. *Design:* The study is descriptive; it provided technical assistance to the local evaluations of Striving Readers grantees and also reviewed the completed evaluations against the WWC evidence standards. The report summarizes the results of this systematic review of the evaluations.
4. *Estimated or Actual Completion Date:* The final report was released in October 2015.
5. *Key Findings:*
 - Fifteen of the 17 evaluations of the interventions funded by the Striving Readers grant program met WWC evidence standards with or without reservations.
 - Based on findings from the 15 evaluations that met WWC evidence standards with or without reservations, 4 of the 10 interventions funded by the Striving Readers grant program had positive, potentially positive, or mixed effects on reading achievement.
 - The Striving Readers studies not only expand the evidence base on effective reading interventions for adolescents, but also increase the number of high-quality effectiveness studies reviewed by the WWC on this topic. Three of the four interventions that had positive, potentially positive, or mixed effects on reading achievement had not previously been reviewed by the WWC.

6. *Link to Additional Information:* <http://ies.ed.gov/ncee/pubs/20164001/>

School Choice

Evaluation of the DC Opportunity Scholarship Program: Descriptive Reports Based on Parent and Principal Surveys

1. *Study Purpose:* The April 2011 *Scholarships and Opportunities for Results Act* (SOAR Act) provided for a five-year continuation of a school choice program for low-income residents of Washington, DC. The program, still titled the Opportunity Scholarship Program (OSP), now provides annual scholarships of \$8,000 (for grades K–8) or \$12,000 (for grades 9–12) to enable low-income students to attend private schools in DC in lieu of the public schools already available to them. The new law also mandated another independent, rigorous evaluation of the effectiveness of the program.
2. *Key Questions Addressed:*
 - What is the impact of the OSP on student academic achievement and other measures of student success, overall and for subgroups of students identified in the statute as high priority?
 - What effect does the program have on student and parent perceptions of school safety and satisfaction, and on parents' involvement in education of their children?
 - Does the program change students' instructional environments and opportunities?
3. *Design:* The evaluation will primarily compare outcomes of approximately 1,800 student applicants randomly assigned by lottery to either receive a scholarship or not receive a scholarship. Lotteries of program applicants were conducted in spring 2012 (cohort 1), spring 2013 (cohort 2), and spring 2014 (cohort 3). Data will be collected for three follow-up years for each of the cohorts and, for students in both the scholarship and nonscholarship groups. The contractor will administer academic assessments, and conduct student, parent, and principal surveys each spring (spring 2013–17). Prior to the first impact report, descriptive reports based on application forms parents filled out when they applied to the OSP, principal surveys, and extant data will be released.
4. *Estimated or Actual Completion Date:* The second and third descriptive reports—focused on select findings from parent and principal surveys—were released in 2016. The first impact report is scheduled for completion in early 2017.
5. *Key Findings from the Second Report:*
 - The majority of parents seeking a private school voucher for their child were satisfied with the school their child was attending at the time of application. Fifty-seven percent of applicants' parents gave their child's current school at time of application a grade of 'A' or 'B', while 14 percent gave their child's school a 'D' or 'F.'
 - Most applicants' parents (49 percent) chose academic quality as their top priority when selecting a new school. The next most commonly selected top priority was school safety (selected by 18 percent of applicants' parents).
 - Among the 49 percent of parents that said academic quality was their top priority for a new school, over 85 percent were satisfied with the academic quality of the school their child was attending when they applied for a scholarship. This suggests that families do

not always apply for private school vouchers because they are dissatisfied with key elements of the schools their children are already attending.

Key Findings from the Third Report: Spring 2014 survey responses from principals at DC public schools—both traditional and charter—and private schools that participated in the OSP indicate that private schools participating in the OSP:

- Were more likely than public schools to report that student behavior, student motivation, parental support for learning, and the instructional skills of teachers were excellent or very good;
- Were less likely than public schools to suspend students, use metal detectors, and have on-site security personnel;
- Taught reading and math for fewer minutes a week across grade levels than public schools; and
- Were less likely than public school to have instructional programs for non-English speakers and students with learning disabilities.

6. *Links to Additional Information:* <https://ies.ed.gov/ncee/pubs/20164003/>,
<https://ies.ed.gov/ncee/pubs/20164007/>

Students with Disabilities

Evaluation of Response to Intervention Practices for Elementary School Reading

1. *Study Purpose:* The focus of this study was on the implementation and effects of Response to Intervention (RtI) practices for elementary school reading. RtI is a multistep approach to providing early and more intensive intervention and monitoring within the general education setting. In principle, RtI begins with research-based instruction provided to students in the general education classroom, followed by screening of all students to identify those who may need systematic progress monitoring, intervention, or support. Students who are not responding to the general education curriculum and instruction are provided with increasingly intense interventions through a “tiered” system, and they are frequently monitored to assess their progress and inform the choice of future interventions. This evaluation occurred under the National Assessment of the *Individuals with Disabilities Education Act* (IDEA), which permits districts to use RtI to inform decisions regarding a child’s eligibility for special education.
2. *Key Questions Addressed:*
 - How do RtI practices for early grade reading vary across schools?
 - How do schools experienced with RtI vary the intensity of reading instruction for children at different reading levels?
 - What are the effects on grade 1–3 reading achievement of providing reading interventions to children who fell just below school-determined standards for each grade on screening tests?
3. *Design:* The evaluation relied on a combination of descriptive data collection from school staff and regression discontinuity methods to address the research questions, and focused on practices in place during the 2011–12 school year in a sample of 146 elementary schools from 13 states.

4. *Actual Completion Date:* The study report was released in November 2015.
5. *Key Findings:*
 - Full implementation of the RtI framework in grade 1–3 reading was reported by 86 percent of the experienced elementary schools sampled for in-depth study, compared with 56 percent of a random sample of elementary schools from the same 13 states.
 - The schools sampled for in-depth study of their RtI practices provided more intense small-group instruction and more reading intervention services for groups of students reading below grade level than for groups of students reading at or above grade level. However, these schools' implementation of RtI differed in some ways from descriptions in the prior literature:
 - In grade 1, 45 percent of schools provided intervention services to some groups of students at all reading levels, rather than only for reading groups below grade level.
 - In grade 1, 67 percent of schools provided at least some reading intervention during the core reading block, rather than only in addition to the core.
 - Grade 1 students who scored just below school-determined benchmarks on fall screening tests, and who were assigned to reading interventions, had lower spring reading scores than similar students in the same schools who were not assigned to those interventions. Unexplored, but plausible, factors that may be related to these negative effects include incorrect identification of students for intervention and a mismatch between the interventions provided and these students' instructional needs. No statistically significant effects of assignment to reading interventions were found for students in Grades 2 or 3.
6. *Link to Additional Information:* <http://ies.ed.gov/ncee/pubs/20164000/>

Teacher Effectiveness

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

1. *Study Purpose:* The Teacher Incentive Fund (TIF) was renamed the Teacher and School Leader Incentive Program with reauthorization of the *Elementary and Secondary Education Act* (ESEA) in the *Every Student Succeeds Act* (ESSA). The purpose of the TIF program is to develop and implement performance-based compensation systems (PBCSs) for teachers, principals, and other personnel in high-need schools. Research indicates that high-quality teachers are critical to raising student achievement in low-performing schools, but schools most in need often have difficulty in attracting and retaining high-quality teachers. Performance pay is a policy promoted by the TIF program to improve the quality of teachers in high-need schools. This evaluation studies performance pay that provides substantial and differentiated bonus pay to high-performing teachers in low-performing schools with high-need students.
2. *Key Questions Addressed:*
 - What are the characteristics of all TIF districts and their performance-based compensation systems? What implementation experiences and challenges did TIF districts encounter?

- How do teachers and principals in schools that did or did not offer pay-for-performance bonuses compare on key dimensions, including their understanding of TIF program features, exposure to TIF activities, allocation of time, and attitudes toward teaching and the TIF program?
 - What is the impact of pay-for-performance bonuses on students' achievement on state assessments of math and reading?
 - How do pay-for-performance bonuses affect educator mobility, including whether mobility differs by educator effectiveness?
3. *Design:* Study schools were randomly assigned within a grant to either implement all components of the PBCS or the PBCS with a 1 percent across-the-board bonus in place of the differentiated effectiveness incentive component of the PBCS. Data collection will include a grantee survey, a survey of teachers and principals, teacher and principal school assignment records, student record information (such as student demographics and student test scores), and grantee interviews to document implementation information, as well as to conduct impact analyses.
4. *Estimated or Actual Completion Date:* A report on the implementation and early impacts after one year was released in September 2014. The second report on the ongoing implementation and impacts after two years was released in September 2015. The third report on implementation and impacts after three years was released in August 2016. A fourth and final report is scheduled for release in the fall of 2017.
5. *Key Findings:* The main findings among all TIF districts with 2010 awards are:
- Similar to the previous two years, most districts (88 percent) implemented at least three of the four required program components for teachers.
 - By the third year, reported implementation challenges decreased, with no more than one-fifth of TIF districts reporting any major challenges.
- For the subset of 10 districts that agreed to participate in a random assignment study, key findings on the effect of pay-for-performance on educators include the following:
- After three years of TIF implementation, average student achievement remained 1 to 2 percentile points higher in schools that offered pay-for-performance bonuses than in schools that did not. This difference was equivalent to a gain of about four additional weeks of learning.
 - At least half of the evaluation districts each year met the grant guidance for awarding differentiated performance bonuses for teachers. However, in each year, no more than 2 of the 10 districts awarded bonuses for teachers that were substantial or challenging to earn.
 - Teachers' understanding of performance measures continued to improve, but only about 60 percent of teachers correctly reported being eligible for a performance bonus. In addition, teachers believed that the maximum bonus they could earn was no more than two-fifths the size of the actual maximum bonus that districts awarded, a finding similar to previous years.
6. *Link to Additional Information:* <http://ies.ed.gov/ncee/pubs/20164004/>

Focusing on Mathematical Knowledge: The Impact of Content-Intensive Teacher Professional Development

1. *Study Purpose:* Title II, Part A of the current ESEA provides monetary resources to improve teacher quality through professional development. Currently there is relatively little rigorous empirical evidence on the components of an effective professional development program. At the same time, there has been renewed policy interest in fostering a globally competitive STEM workforce, which will require teachers to effectively impart mathematics to their students. This study will present implementation and impact findings from a random assignment evaluation of an intensive math professional development intervention focused on enhancing teacher content knowledge and integrating this knowledge into the classroom.
2. *Key Questions Addressed:*
 - What is the average impact on (a) teachers' content knowledge, (b) teachers' classroom practices, and (c) student achievement of offering a specialized professional development intervention (in this case, Intel Math, Mathematics Learning Communities, and Video Feedback Cycles) relative to "business-as-usual" professional development?
 - How is the professional development intervention implemented?
3. *Design:* Approximately 200 volunteer fourth-grade math teachers from six districts around the country participated in this study during the 2013–14 school year. The intervention has three components: i) Intel Math (80 hours largely focused on developing teachers' understanding of K–8 mathematics), ii) Mathematics Learning Communities (which offers teachers opportunities to connect their learning to the classroom through a professional learning community aligned to Intel Math that focuses on student thinking), iii) Video Feedback Cycles (which provide teachers with individualized feedback three different times based on videotaped lessons of their classroom teaching reviewed by certified analysts using the Mathematical Quality of Instruction [MQI] rubric). Within each participating school, fourth-grade teachers were randomly assigned to receive either the professional development intervention or business-as-usual professional development. Data collection includes measures of teacher knowledge and practice, and student achievement obtained from administrative records.
4. *Estimated or Actual Completion Date:* A report on implementation and impacts was released in September 2016.
5. *Key Findings:*
 - The professional development had a positive impact on teacher knowledge: Average scores on a study-administered math test were 21 percentile points higher for teachers who received the study professional development than for those who did not.
 - The professional development had a positive impact on some aspects of instruction: Average ratings of teachers' use and quality of math explanations in the classroom were 23 percentile points higher for teachers who received the study professional development than for those who did not.
 - The professional development did not have a positive impact on student achievement: Students of teachers who received the professional development scored, on average, 2 percentile points lower than control teachers' students on both a study-administered

math test and state assessment. In general, this difference was not statistically significant.

6. *Link to Additional Information:* <http://ies.ed.gov/ncee/pubs/20164010/>

Other

Case Studies of Schools Receiving School Improvement Grants: Final Report

1. *Study Purpose:* School Improvement Grants (SIGs) are authorized by Title I, Section 1003(g) of the ESEA. The purpose of the grants—awarded based on the Title I funding formula to states, which then competitively distribute the funds to districts applying on behalf of their eligible schools—is to support the turnaround of the nation’s persistently lowest-achieving schools. The first cohort of SIG, which is the focus of this study, received funding beginning in the 2010–11 school year. To qualify for the three-year grant in the first cohort, schools must (among other requirements) have been willing to implement one of four prescribed intervention models: turnaround, restart, closure, or transformation. About \$546 million was allocated in FY 2009 for SIG with a supplement of \$3 billion from the Recovery Act. With the possibility of rollover funds, this amounts to a \$3.5 billion injection into the SIG program during the 2010–11, 2011–12, and 2012–13 school years. This study will provide descriptively rich, primarily qualitative information for a small set of schools receiving SIG in the first cohort to implement an intervention model beginning in the 2010–11 school year.
2. *Key Questions Addressed:*
 - What is the background and context of these persistently lowest-achieving schools? How do the leadership and staff in these schools define the performance problem, and to what do they attribute their problems?
 - What leadership styles do the principals of these persistently lowest-achieving schools exhibit? What actions do these schools engage in to try to improve their history of low performance?
 - What is the change process in these persistently lowest-achieving schools, particularly in terms of school climate and staff capacity?
 - What improvements do school stakeholders perceive during the three-year course of SIG, and do these improvements appear to be sustainable?
3. *Design:* This study employs a school-level case study design. A core sample of 25 SIG schools was purposively selected from six states to represent a range of geographic regions, urbanities, school sizes, racial/ethnic compositions, socioeconomic statuses, SIG intervention models, and SIG funding levels, among other factors. Data collection took place over three school years, beginning in spring 2011 and concluding in spring 2013, and included interviews with each state’s SIG leaders, a teacher survey, and site visits to the case study schools, which included analysis of fiscal records, as well as interviews and focus groups with district officials, principals, teachers, parents, union officials, external support providers, and students.
4. *Estimated or Actual Completion Date:* A final report was released in April 2016.

5. *Key Findings:*

- Most case study schools (22 of 25) replaced their principal at least once in the year before SIG or the first two years of SIG: Two of the four SIG intervention models required the principal to be replaced. About half of the new principals were described by school staff as an improvement over their predecessor.
- Twelve of the 25 case study schools replaced at least half of their teachers by the second year of SIG: Respondents in more than half of the 12 schools characterized the change as positive. All but one of the 25 schools created new nonteaching positions in the first two years of SIG, with the most frequent positions being instructional, technology, or data coaches and additional school administrators.
- In 15 of the 25 case study schools, most of the teacher professional development was job-embedded: According to teacher survey responses, professional development more often focused on math, literacy, or data use than classroom management or improving instruction for English learners and special education students. In most schools, teachers reported changing their practice after participating in professional learning on math, literacy, or data use.
- Sustaining improvements may be challenging: In more than half of the 12 schools the study followed for all three years of SIG, teachers felt their school had changed in primarily positive ways. However, just two of these schools show strong prospects for sustaining improvement, while six show mixed prospects, and four show weak prospects. The schools that had higher organizational capacity by the third year of SIG had higher sustainability prospects.

6. *Link to Additional Information:* <http://ies.ed.gov/ncee/pubs/20164002/>

Policy and Program Studies Service (PPSS)

Implementing Accountability and Supports Under ESEA Flexibility

1. *Study Purpose:* This study examines the early implementation of the ESEA Flexibility initiative at the state and local levels. The study includes reviews of state and local documents; interviews with education officials at the state, district, and school level in early implementing states; and analysis of baseline student outcome and other data obtained through extant data sources.
2. *Key Questions Addressed:*
 - What are the primary components of state accountability and support systems under ESEA Flexibility?
 - What modes of communication did states and districts use to inform and build local-level understanding of state accountability and support systems under ESEA Flexibility? How did local-level officials perceive state accountability systems under ESEA Flexibility, including the criteria being used to identify low-performing schools?
 - What approaches did states take to identify and intervene in low-performing districts and schools? What improvement strategies did principals report implementing?
 - What supports were states and districts providing to low-performing schools? How did officials perceive their capacity to implement the ESEA Flexibility provisions for state support and accountability systems, and what challenges did they report?

3. *Design:* The primary data sources for this study included state ESEA Flexibility applications, state and district policy documents, and interviews with officials identified by state and district leaders as holding primary responsibility for accountability and support systems under ESEA Flexibility.
4. *Actual Completion Date:* The report was released in February 2016.
5. *Key Findings:*
 - In developing updated accountability systems, five of the 12 states in the study used a combined subgroup as part of their system, and eight of the 12 devised their own goals for measuring student achievement. Eight of the 12 created a designation category for low-performing schools that did not meet the priority and focus designation criteria.
 - State officials reported providing support to priority and focus schools through regional technical assistance organizations, external support providers, and early warning systems. Ten of the 13 priority and focus school principals described receiving more frequent or more intensive support than in years prior to ESEA Flexibility.
 - State officials described building capacity through cross-agency collaborations, developing staff expertise, partnering with districts, implementing organizational changes, and consolidating funding streams.
 - Nearly all state officials (11 of 12) reported holding periodic committees, advisory councils, and commissions to share ESEA Flexibility update to districts.
6. *Link to Additional Information:* <http://www2.ed.gov/rschstat/eval/title-i/implementing-accountability-esea-flexibility/report.pdf>

Evaluation of the Teacher Incentive Fund: Final Report

1. *Study Purpose:* This study examines program implementation in the first two cohorts of grantees for the TIF program (2006 and 2007), which included 33 grantees. All 33 grantees implemented performance pay systems for principals and other school administrators; 31 grantees also included teachers in their performance pay systems. The final report complements a previous 2012 report from this study on the early implementation of the program, and analyzes award payouts and educator perspectives on a variety of issues related to implementation.
2. *Key Questions Addressed:*
 - How did the size and distribution of incentive awards vary across educators and grantees?
 - To what extent were incentive payments based on student achievement vs. other factors such as supports for improving practice, performance evaluations, and teaching in hard-to-staff schools or subjects?
 - How did participating educators perceive the fairness and effectiveness of the performance pay system?
3. *Design:* Data collection included surveys of a representative sample of teachers and principals in schools served by TIF projects; financial data for awards paid to educators; interviews with TIF project directors, teachers, principals, and other stakeholders; and

reviews of extant documents. The surveys were conducted in spring 2011, and the incentive award payout data are primarily for the 2010–11 school year.

4. *Actual Completion Date:* The report was released in June 2016.

5. *Key Findings:*

- Across all educators who received an incentive award, the average award was \$3,651 for teachers and \$5,508 for administrators. These average awards represented approximately 8 percent of average teacher salaries and 6 percent of average principal salaries.
- Within grantees, the average teacher award ranged from \$1,170 for the grantee with the smallest average award to \$8,772 for the grantee with the largest average award (2–24 percent of average salaries), and the average administrator award ranged from \$814 to \$10,711 (1–13 percent of average salaries).
- Awards for student achievement gains comprised the largest share of incentive payouts to teachers and administrators; 64 percent of teacher award payouts and 63 percent of administrator award payouts were based on student achievement.
- Smaller proportions of incentive payouts were based on performance evaluations (13–14 percent), participation in supports for improving practice (12–14 percent), and working in hard-to-staff schools and subjects (6–12 percent).
- Teachers were less likely than principals to agree that their performance pay system was fair (46 percent vs. 64 percent). However, 55 percent of both teachers and principals agreed that the possible award size was large enough to motivate them to earn it.

6. *Link to Additional Information:*

<http://www2.ed.gov/about/offices/list/opepd/ppss/reports.html#tg>

Case Studies of the Implementation and Use of Kindergarten Entry Assessments (KEAs)

1. *Study Purpose:* The purpose of the KEAs implementation case studies is to examine the processes, accomplishments, challenges, and solutions of four states implementing KEAs and to share what they have learned with federal and state policymakers and the field. Of particular interest is to identify what is working well in states that are early adopters of KEAs. This information is needed to support the technical assistance efforts of the Department and to inform KEA efforts across the nation.

2. *Key Questions Addressed:*

- How did the four case study states develop or adopt KEAs?
- How did the four states train teachers to administer KEAs and to what extent did teachers feel prepared to do so?
- What were the KEA implementation experiences of the 12 case study districts?
- To what extent did the states, districts, and schools in the study use KEA results to inform policy and practice?
- What challenges did the case study sites experience with KEAs, and what strategies did sites use or suggest using to address these challenges?

3. *Design:* The study consisted of document reviews, telephone interviews with state agency respondents and local preschool directors, and in-person interviews with district administrators, principals, kindergarten teachers, and other KEA assessors. Data were collected in 12 districts and 23 schools in Maryland, Oregon, Pennsylvania, and Washington between January and June 2015 and include information from a total of 201 interviews.
4. *Actual Completion Date:* The report was released in August 2016.
5. *Key Findings:*
 - State officials and stakeholders considered multiple criteria when developing or adopting KEA measures: reliability and validity, appropriateness for all students, usefulness for informing classroom instruction, usefulness for informing early learning policies and program improvement, feasibility of administration by teachers, and cost.
 - The four states trained teachers on KEA administration through self-paced webinars, in-person presentations, and train-the-trainer models. A majority of the interviewed teachers said the training prepared them to administer the KEA to students, though many teachers reported that they had difficulty in determining what were appropriate accommodations for English learner students and students with disabilities and indicated that they needed further assistance.
 - District officials reported working to reduce the burden associated with KEA data collection and entry by purchasing new technology, providing staffing assistance to teachers with KEA administration, and omitting or delaying other assessments.
 - Although the majority of interviewed teachers reported that they had not yet used formal KEA reports to inform their instructional practices, a few teachers said that the impressions they gained while administering the KEA helped them to understand their students' strengths and needs and to assign students to instructional groups.
 - District administrators and teachers identified challenges with administering KEAs with English learner students and students with disabilities, using KEA results to inform instruction, and sharing KEA data with parents; they suggested that state officials could address these challenges by providing explicit training on these topics, on-site coaching, and tailored reports to help educators use and share the data.
6. *Link to Additional Information:* <http://www2.ed.gov/rschstat/eval/disadv/kindergarten-entry-assessments/report.pdf>

A Study of Practices to Improve Learning in Kindergarten Through Third Grade

1. *Study Purpose:* This study summarized how (a) aligning preschool through third grade education and (b) differentiating instruction for children in kindergarten and first grade may build on the positive effects of preschool and help students in kindergarten through third grade (K–3) make cognitive, social-emotional, and academic gains. In addition, the study conducted case studies of five programs that may build on the positive effects of preschool by using policies, programs, and practices for alignment and differentiation.
2. *Key Questions Addressed in the Literature Review:*
 - What approaches does the research and theoretical literature suggest for aligning preschool through third grade (P–3) education, and what is the quality of the research studies?

- What are the findings from studies of differentiated instruction on children in kindergarten and first grade, and what is the quality of these studies?

Key Questions Addressed in the Case Studies:

- What approaches did the five programs use to implement P–3 alignment?
 - In programs that implemented differentiated instruction, what approaches did staff use?
3. *Design:* The literature review covered two topics: (1) preschool and K–3 alignment, and (2) differentiated instruction in kindergarten and first grade. The case studies examined five sites that implemented P–3 alignment or differentiating instruction in kindergarten and first grade. The research team interviewed principals, teachers, evaluators, and funders to understand programs’ characteristics, challenges and solutions, and the sustainability of the programs.
 4. *Actual Completion Date:* The literature review was released in August 2016, and the case study report was released in December 2016.
 5. *Key Findings from the Literature Review:*
 - Nearly all qualitative studies and policy and theory articles on P–3 alignment suggest aligning standards, curriculum, instruction, assessments, and environments across preschool and grades K–3.
 - P–3 alignment could be supported by establishing similar teacher education and training requirements and developing longitudinal data systems that integrate preschool and K–12 data.
 - Of the 17 quantitative studies of differentiated instruction, one RCT of the *Individualized Student Instruction With Assessment to Instruction* intervention demonstrated positive results on reading outcomes and had the potential to meet the criteria for strong causal evidence.
 - Qualitative studies of differentiated instruction indicate that opportunities for peer collaboration and guidance by mentors may be helpful to improve teacher practice related to differentiation.

Key Findings from the Case Studies:

- All five programs aligned instruction across grades by coordinating standards, curricula, instructional practices and professional development.
 - Common elements of these programs included the use of professional learning communities, coaches, parent engagement, and play-based or student-initiated learning.
 - All five programs reported using strategies to accommodate students’ different skill levels, including modifying assignments, adapting learning materials, providing different levels of support, or using small-group instruction.
6. *Links to Additional Information:*

Literature review: <http://www2.ed.gov/rschstat/eval/disadv/p-3-alignment-differentiated-instruction/report.pdf>

Case studies: <http://www2.ed.gov/rschstat/eval/implementing-early-strategies/report.pdf>

Study of Emerging Teacher Evaluation Systems

1. *Study Purpose:* This study will provide descriptive information on the design and early implementation of teacher evaluation systems in eight school districts. The findings are intended to help other districts and states learn from the experiences of eight districts featured in the study, and apply the design and implementation lessons to their own work as it relates to teacher evaluation and support.
2. *Key Questions Addressed:*
 - What key priorities and measures informed the design of the new teacher evaluation systems?
 - What steps did the districts take prior to full implementation to test the system and prepare teachers and staff to implement it?
 - How did the districts structure and conduct the classroom observation component of their teacher evaluation systems?
 - How did the districts analyze student performance and other data to evaluate teacher performance?
 - How did the districts use, or plan to use, teacher evaluation results to make personnel decisions? To what extent were professional development and career advancement decisions tied to evaluation results?
 - What administrative structures did districts use to support their new teacher evaluation systems?
 - What are the perceived early effects of the teacher evaluation systems on the professional practices of teachers, principals and district administrators?
3. *Design:* This descriptive study relied on interviews with key district administrators, principals, teachers, and representatives of community stakeholder groups, from eight districts, who were involved in the development and early implementation of the respective districts' teacher evaluation system. Given the limited sample, the findings cannot be generalized to other districts.
4. *Actual Completion Date:* The final report was released in November 2016.
5. *Key Findings:*
 - Teachers and central office staff generally agreed that the foremost goal of the teacher evaluation system was to improve instruction.
 - Teacher and principal input during the design and/or pilot test phase strongly influenced decisions regarding system modifications in six districts, according to district administrators.
 - Classroom observations varied in frequency, duration, and degree of formality in all eight districts. In addition, principals reported challenges in finding time to conduct teacher observations.
 - Six districts used multiple approaches for measuring teacher impact on student performance, including individual and/or school-level value-added models.

- Districts used teacher evaluation results for a range of purposes, including targeted professional development and support, career ladders and performance pay, and in some instances, redeployment or release of teachers identified as ineffective.
- The majority of districts created relatively simple, streamlined structures to administer their teacher evaluation systems.
- Teachers reported that they believed that the classroom observations and feedback helped them become better teachers.

6. *Link to Additional Information:*

<http://www2.ed.gov/about/offices/list/opepd/ppss/reports.html#tg>

State Efforts to Promote Equitable Access to Effective Teachers

1. *Study Purpose:* This report provides a broad overview of state efforts, as of the 2011–12 school year, to monitor equitable access to qualified and effective teachers among schools; develop and adopt multiple measures of teacher performance to rate teachers among at least three performance levels; and implement targeted strategies for promoting equitable access to qualified and effective teachers in schools serving high proportions of poor and/or minority students. The report examines the use of measures of teacher qualifications and teacher performance in the implementation of these strategies.
2. *Key Questions Addressed:*
 - What measures did states use to monitor equitable access to qualified and effective teachers among schools?
 - To what extent were states developing or using multiple measures of teacher performance to rate teachers among at least three performance levels?
 - What strategies did states use to promote equitable access to qualified and effective teachers in schools serving high proportions of poor and/or minority students?
3. *Design:* This report is based on telephone interviews with officials in SEAs in all states, the District of Columbia, and Puerto Rico. Study staff also reviewed extant sources including equity plans, Consolidated State Performance Reports, reports from federal monitoring visits, and other information on state websites. The interviews were conducted between August 2011 and January 2012, and the study reflects state efforts that were underway at that time, and predates implementation of the fall 2011 ESEA Flexibility initiative as well as the recent state equity plans submitted under the Excellent Educators for All initiative.
4. *Actual Completion Date:* The final report was released in January 2017.
5. *Key Findings:*
 - In 2011–12, states most commonly monitored equitable access to qualified and effective teachers among schools using measures of teacher qualifications.
 - Four states reported using measures of teacher performance—student achievement growth and/or measures of teacher practice—to monitor equitable access to qualified and effective teachers among schools, and nine states used teacher performance measures to monitor the quality of the teacher workforce overall.

- In two of the four states that reported using teacher performance measures to monitor equitable access among schools, officials reported seeing larger inequities than were previously detected using measures of teacher qualifications alone.
- Six states reported that they had adopted multiple measures of teacher performance and were using them to rate teachers among at least three performance levels in 2011–12, and 38 states indicated that there were in the process of developing such measures.
- Offering monetary incentives was the most common strategy that states reported using in disadvantaged schools to promote equitable access to qualified and effective teachers among schools (24 states).
- Other state-reported strategies that were directed specifically at disadvantaged schools for promoting equitable access were specialized professional development (14 states) and teacher recruitment and preparation programs (14 states).

6. *Link to Additional Information:*

<http://www2.ed.gov/about/offices/list/opepd/ppss/reports.html#tg>

Feasibility Study on Improving the Quality of School-Level Expenditure Data

1. *Study Purpose:* This study explores the feasibility of improving the collection of school-level expenditure data by examining the nature and quality of school-level fiscal data collection in five states and four school districts that had developed their own systems for collecting and reporting school-level expenditures: Florida, Hawaii, Ohio, Rhode Island, Texas, Baltimore City, Hillsborough County, Houston, and Los Angeles
2. *Key Questions Addressed:*
 - In states and districts that have developed systems to report expenditures at the school level, what types of personnel and nonpersonnel expenditures are included in the school-level data?
 - To what extent do the sites track actual expenditures to individual schools versus allocating or prorating expenditures to schools using formulas?
 - How consistent are school-level expenditure data obtained from these systems with similar data from other sources? How do the funding amounts attributed to individual schools based on formula allocations compare to those based on tracking actual expenditures?
 - What lessons can other states and districts learn from these sites if they wish to implement systems for reporting accurate and reliable data on school-level expenditures?
3. *Design:* The study included (1) surveys and interviews of officials to understand the process of collecting school-level expenditure data and (2) collection and analysis of school-level spending data to examine data quality issues. The study examined three aspects of data quality: the comprehensiveness of school-level spending data, consistency with other data sources, and the relative accuracy of allocating expenditures to schools by formula (rather than tracking actual expenditures for each school).
4. *Actual Completion Date:* The final report was released in January 2017.

5. *Key Findings:*

- Study sites reported that they attributed most categories of spending to the school level, including salaries for teachers, administrators, and other support staff as well as nonpersonnel items, such as textbooks, instructional materials, furniture and equipment, and computers and software.
- The school districts and states in this study attributed an average of three-quarters of operational expenditures to individual schools, demonstrating that it is feasible to link a significant share of spending to the school level.
- Most of the expenditures that the study sites attributed to schools were directly tracked to schools (85 percent) rather than simply being allocated by formula (8 percent).
- Comparisons between the site-reported school-level expenditures and other data sources showed a relatively high degree of consistency for salary expenditures, but nonpersonnel expenditure data were much less consistent.
- Allocating expenditures to schools by formula (e.g., based on total salaries or staff) appeared relatively accurate for health benefits and less accurate for pension benefits, pupil support staff, and instructional support staff.
- Instituting a system for collecting school-level expenditure data typically required new hardware and software (eight sites), changes to charts of accounts (six sites), and staff training (eight sites).
- Advice that interviewees offered for others aiming to implement school-level expenditure data systems was to get stakeholders involved, communicate clearly and frequently, and think long-term about future data needs.

6. *Link to Additional Information:*

<https://www2.ed.gov/about/offices/list/opepd/ppss/reports.html#title>

Study of Experiences and Needs of Rural Education Achievement Program (REAP) Grantees and Subgrantees

1. *Study Purpose:* This descriptive study examined how grantees and subgrantees use REAP funds provided through the Small, Rural School Achievement (SRSA) and Rural and Low-Income Schools (RLIS) programs—on their own or in combination with other federal funds—as well as to explore technical assistance needs related to REAP.
2. *Key Questions Addressed:*
 - What role do states play in supporting the Department’s SRSA and RLIS eligibility and award determination process?
 - How do districts use their SRSA or RLIS funds?
 - To what extent do SRSA-eligible districts use REAP Flex and for what purposes?
 - What recommendations do states and districts have for improving the operation of the SRSA and RLIS programs?
3. *Design:* The study consisted of: 1) a survey of a sample of approximately 1,000 SRSA grantees and RLIS subgrantee districts; 2) telephone interviews with a sample of 30 SRSA grantees and RLIS subgrantees; and 3) telephone interviews with REAP coordinators in all

states receiving REAP funds. Data collection began in winter 2015 and was completed by spring 2015. At the state level, the study included interviews with all state REAP coordinators about state goals and priorities, the planning process for use of RLIS funds, the eligibility process for districts, management and distribution of SRSA and RLIS funds, and recommendations for the program. At the school district level, the study included an online survey of a nationally representative sample of REAP coordinators about the REAP eligibility determination process, administration of REAP, and challenges and technical assistance needs related to REAP, as well as telephone interviews with a subsample of 30 districts. The interviews included questions about program administration, technical assistance needs, and recommendations for changing the REAP program to better meet the needs of rural districts.

4. *Actual Completion Date:* The report was completed in December 2016.

5. *Key Findings:*

- States supported the Department in determining REAP eligibility by providing district-level data and reviewing the accuracy of Department-provided data.
- All 43 states with RLIS-eligible districts chose to make subgrants to districts on the basis of a funding formula rather than on a competitive basis, and 28 of these states based the subgrant amount entirely on average daily attendance (ADA).
- Districts most frequently used SRSA and RLIS funds to improve or expand access to technology (71 percent of SRSA districts and 71 percent of RLIS districts) and to provide educator professional development (45 percent of SRSA districts and 58 percent of RLIS districts).
- Forty-six percent of SRSA district coordinators reported exercising REAP-Flex; of these, 82 percent reported that they used funds eligible for REAP-Flex to maintain a stable level of funding for ongoing activities.
- The majority of both district and state REAP coordinators were highly satisfied with REAP as a whole. However, they provided recommendations for improvement to REAP in three categories: (1) improved timelines for eligibility and award determination, (2) more information on allowable uses of funds and REAP-Flex, and (3) revised eligibility criteria.

6. *Link to Additional Information:*

<https://www2.ed.gov/about/offices/list/oepd/ppss/reports.html#rural>

Summary of Performance Evaluations Expected During FY 2017 and FY 2018*

National Center for Education Evaluation and Regional Assistance

Pathways to Career or College

Enhancing Advising to Improve College Fit in Upward Bound

1. *Study Purpose:* Growing concern over college enrollment and completion rates has heightened interest in cost-effective strategies to improve the outcomes of low-income students, including those in high-profile college access programs. One aspect of this concern is that many low-income high school students fail to enroll in colleges that are well aligned with their qualifications, talents, and needs. This report provides the early impacts of a low-cost enhancement to current college advising approaches in Upward Bound that is designed to improve college fit and persistence. The approach includes professional development for Upward Bound advisors and user-friendly packets of information for students that demonstrate the value of considering a range of institutional indicators in their college application, search, and acceptance process.
2. *Key Questions Addressed:*
 - Can an enhanced college advising approach improve upon what Upward Bound grantees are already doing—i.e., does it have positive effects on the number of colleges to which Upward Bound participants apply, the quality/selectivity of the colleges in which they enroll, and their persistence?
 - In what types of grantees is this approach most effective and with what types of students?
3. *Design:* About 200 Upward Bound grantees that volunteered were randomly assigned in spring 2015 so that half received the professional development and packets to begin using with their rising 2015–16 seniors (the treatment group) and half did not receive the enhancements for use with rising 2015–16 seniors (the control group); however, the control group did receive training and packets a year later to use with rising 2016–17 seniors. A survey administered in spring 2016 to seniors in both sets of projects collected information about their college planning, including the number of applications. The study will also examine those seniors' later enrollment and persistence in college using administrative records.
4. *Estimated or Actual Completion Date:* The first report on early impacts (number of college applications, FAFSA completion by March 15) is expected in fall 2017. A second report examining impacts on college enrollment and fit is expected in early 2018.
5. *Link to Additional Information:*
http://ies.ed.gov/ncee/projects/evaluation/pathways_upward.asp

* This section was last updated in April 2017. Key findings are included for reports that were released during the first half of FY 2017 (October 2016 to March 2017). All other reports that are expected but not yet released in the second half of FY 2017 or in FY 2018 have estimated completion dates only.

Is Access to Data Enough? The Effects of Providing Information on Student FAFSA Completion Directly to School Districts

1. *Study Purpose:* Completing a Free Application for Federal Student Aid (FAFSA) is a key but challenging task for many students applying to college, particularly for low-income students. The Department has responded to concerns about the complexity of the FAFSA, including through the FAFSA Completion Project which started with a 20-district pilot in 2010 and expanded in 2012 to almost 100 more. One component of the project was consistent urging by federal officials and some technical assistance for participating districts to help them conduct FAFSA promotion and outreach activities districtwide. But the Department also provided districts with ongoing and direct access to federal data on which seniors had not submitted a FAFSA so that schools could provide targeted support to individual students. The evaluation tested whether that data access had an impact on FAFSA completion rates above and beyond the other FAFSA activities the districts might have implemented. The study was conducted by IES staff and designed to be low-burden, and low-cost, depending only on the Department's data for measuring effectiveness.
2. *Key Question Addressed:*
 - Does making the student-level data available improve FAFSA completion rates?
3. *Design:* Just over 60 districts that had more than one high school participated in the evaluation, for a total of 567 schools. IES randomly assigned the schools within each district to either an "early start" (treatment) group, which would have access to the FAFSA completion status for 2013 seniors, or a "later start" (control) group, which would have access for 2014 seniors. Because many districts had relatively small numbers of schools, pairs of schools were matched prior to random assignment to help ensure that important characteristics of schools were balanced between the treatment and control groups. At the beginning of the evaluation, districts provided the lists of all seniors in each school and these were matched against the Department's federal student aid database so that FAFSA completion rates in March 2013 and September 2013 could be compared between the two groups of schools.
4. *Estimated or Actual Completion Date:* The report is expected in fall 2017.
5. *Link to Additional Information:*
https://ies.ed.gov/ncee/projects/evaluation/pathways_fafsa.asp

The Effectiveness of Text Messaging to Support College Transition of GEAR Up Students

1. *Study Purpose:* GEAR Up is one of the U.S. Department of Education's college access programs, funding states or local partnerships of districts and postsecondary institutions to serve students in high need schools beginning in 7th grade. The 2008 amendments to the *Higher Education Act* (HEA) allowed GEAR Up grantees to serve participating students beyond high school graduation and into a first year of college, when they might be dispersing to a variety of college campuses. This demonstration evaluates a low-cost way to provide these services, building on emerging evidence that customized text messages can help students overcome logistical and behavioral challenges that might otherwise derail their college matriculation and persistence into sophomore year. The messages include reminders and information relating to college registration, course selection, financial aid award and renewal, meeting with college advisors and faculty, and tuition payments, and provide a way to access real-time support from GEAR Up counselors.

2. *Key Questions Addressed:*

- Do the text-based reminder strategies improve GEAR Up students' rates of college enrollment and persistence?
- For which types of students is the strategy more or less beneficial?

3. *Design:* The first grantees eligible to use funds to support a year of post-high school services and who have seniors entering that phase have been targeted for the demonstration. Across about 80 schools, approximately 6,000 seniors in school years 2015–16 or 2016–17 will be randomly assigned to receive either the college transition services grantees originally proposed in their applications or those regular transition services plus the customized reminders and support through text messages. Reminders and support will begin at the end of students' high school senior year and continue into the spring of their expected first year of college. The study team will administer a survey before the reminder messaging begins, 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, will be measured using administrative records.

4. *Estimated or Actual Completion Date:* The first report examining impacts on initial college enrollment is expected in fall 2018.

5. *Link to Additional Information:*

http://ies.ed.gov/ncee/projects/evaluation/pathways_gearup.asp

Upward Bound at 50: Reporting on Implementation Practices Today

1. *Study Purpose:* Upward Bound is the oldest and largest of the federal college access programs targeted to low-income students and those who would represent the first-generation of college completers in their families. First established in 1965, the program currently serves more than 60,000 high school students at a cost of about \$4,300 per youth with a wide array of academic and college transition support services. While much about the structure of Upward Bound and the services to be offered are prescribed in legislation, little is currently known about the intensity, duration, and mix of services provided by projects or about how they are delivered. Because of the importance of its mission, and the comprehensiveness and costs of its services, Upward Bound has long been of interest to policymakers. This report describes the approaches to providing program services as reported by Upward Bound project directors.

2. *Key Questions Addressed:*

- Within the core service areas of the program, where do projects focus their efforts?
- How are services delivered to Upward Bound participants?
- In what ways does the focus or delivery of services vary across different Upward Bound projects?

3. *Design:* This descriptive report relies primarily on findings from a summer 2013 survey of all regular Upward Bound project directors.

4. *Estimated or Actual Completion Date:* The report was released in November 2016.

5. *Key Findings:*

- In four of the seven core service areas—coursework, tutoring, college exposure, and college application assistance—there was a dominant approach (used by at least 50 percent of projects) to how projects focused their activities. There was no dominant approach to how projects focused their efforts when it came to academic advising, ACT/SAT prep, and financial aid prep services.
- When, where, and how services were delivered differed across service areas. There was no dominant approach to when projects offered services except for tutoring, which was typically available after school. The dominant location for services (where) was at the projects' host institution for coursework, college entrance exam prep, and college and financial aid application assistance, but other services were more likely to be provided at students' high schools. Finally, tutoring and college entrance exam preparation services were most commonly delivered (how) in groups, while academic advising, college application assistance, and financial aid assistance were typically provided one-on-one.
- Variation in the focus and delivery of services appears related to the urbanicity and type of institution (four-year, two-year, and nonhigher education) that hosts the project but not to other project characteristics examined. There were few substantive differences (at least 10 percentage points) in the percentage of projects reporting each potential approach by project size (number of students served), per-student funding, and whether the host institution was a Minority-Serving Institution.

6. *Link to Additional Information:* <http://ies.ed.gov/ncee/pubs/20174005/>

School Choice

Evaluation of the DC Opportunity Scholarship Program: Impacts After One and Two Years

1. *Study Purpose:* The April 2011 SOAR Act provided for a five-year continuation of a school choice program for low-income residents of Washington, DC. The program, still titled the Opportunity Scholarship Program (OSP), now provides annual scholarships of \$8,000 (for grades K–8) or \$12,000 (for grades 9–12) to enable low-income students to attend private schools in DC in lieu of the public schools already available to them. The new law also mandated another independent, rigorous evaluation of the effectiveness of the program.
2. *Key Questions Addressed:*
 - What is the impact of the OSP on student academic achievement and other measures of student success, overall and for subgroups of students identified in the statute as high priority?
 - What effect does the program have on student and parent perceptions of school safety and satisfaction, and on parents' involvement in education of their children?
 - Does the program change students' instructional environments and opportunities?
3. *Design:* The evaluation will primarily compare outcomes of approximately 1,800 student applicants randomly assigned by lottery to either receive a scholarship or not receive a scholarship. Lotteries of program applicants were conducted in spring 2012 (cohort 1), spring 2013 (cohort 2), and spring 2014 (cohort 3). Data will be collected for three follow-up years for each of the cohorts and, for students in both the scholarship and nonscholarship

groups. The contractor will administer academic assessments, and conduct student, parent, and principal surveys each spring (spring 2013–16). Prior to the first impact report, descriptive reports based on application forms parents filled out when they applied to the OSP, principal surveys, and extant data were released.

4. *Estimated or Actual Completion Date:* The first impact report is expected in spring 2017. The second impact report is expected by early 2018.
5. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/choice_soar.asp

Parent Information and School Choice Evaluation

1. *Study Purpose:* School choice is among the most visible K-12 education policy trends to emerge over the last two decades. For school choice to be effective, it seems critical that parents are able to navigate school choice systems and process large amounts of complex information about schools and application procedures to make informed choices. However, few studies have rigorously examined school choice information strategies or attempted to identify effective methods of information presentation. This evaluation is designed to address this significant gap in the literature.
2. *Key Questions Addressed:*
 - What is the optimal way to present school choice information? (E.g., which presentation formats make school performance/achievement data easiest to understand?)
 - What is the right amount of information to provide to parents whom might be making a school choice? (E.g., is there a limit to the number of choice options and amount of information that parents can reasonably consider?)
 - How is school choice information best organized? (E.g., does the order in which information is presented shape how it is understood and used? Is there a way to make the information parents most often report caring about salient?)
3. *Design:* The evaluation findings will be based on low cost quick turn-around “lab” based experiments. These studies will take advantage of opportunistic samples of low income parents in order to test a large number of potentially promising information strategies and to obtain findings within a relatively short period of time.
4. *Estimated or Actual Completion Date:* A short user-friendly guide, based on the evaluation’s findings, that will help school districts and other providers of school choice information design or refine their own parent information materials is expected in October 2017.
5. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/choice_parent.asp

Students with Disabilities

Impact Evaluation of Training in Multi-Tiered Systems of Support for Behavior (MTSS-B)

1. *Study Purpose:* Training school staff in supporting student behavior is becoming increasingly attractive to districts and schools as a vehicle for school improvement. Implementation of MTSS-B is an approach to improving school and classroom climate as well as student outcomes. MTSS-B is a multi-tiered, systematic framework for teaching and reinforcing behavior for all students as well as for providing additional support to those who need it. Over a third of U.S. districts report implementing MTSS-B at the elementary school

level. Recent studies have shown the promise of MTSS-B, and a large-scale study of the effectiveness of MTSS-B is needed.

2. *Key Questions Addressed:*

- What MTSS-B training and support activities were conducted? 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)?

3. *Design:* This is a randomized trial of the impact of training in MTSS-B on school climate, school staff practice, and student outcomes. The contractor, with assistance and input from the Department and in consultation with a panel of experts, selected a MTSS-B training provider, the Center for Social Behavior Support (CSBS), which is a collaboration between the Illinois-Midwest PBIS Network at the School Association for Special Education in DuPage, Illinois (SASED) and the PBIS Regional Training and Technical Assistance Center at Sheppard Pratt, in Maryland. Approximately 90 elementary schools will be randomly assigned to either training in MTSS-B including universal supports (Tier I) plus targeted interventions for at-risk students (Tier II) or a business-as-usual control group. Treatment schools will receive training in MTSS-B prior to and across two school-years, 2015–2016 (Tier I) and 2016–2017 (Tiers I and II), and implement MTSS-B across these two years. Data collection will include staff surveys, teacher ratings of student behavior, classroom observations, site visits, and student records data.

4. *Estimated or Actual Completion Date:* The report is expected in 2018.

5. *Link to Additional Information:*

http://ies.ed.gov/ncee/projects/evaluation/disabilities_MTSSB.asp

National Evaluation of the IDEA Technical Assistance and Dissemination Program: Final Report

1. *Study Purpose:* IDEA, which was most recently reauthorized in 2004, provides funds to assist states and local educational agencies in making available a free, appropriate public education for children with disabilities. Funded at \$12.6 billion in FY 2010, IDEA supports early intervention services for infants and toddlers, special education and related services for children ages 3 through 21, and early intervening services for students not in special education but in need of academic or behavioral support. IES is conducting studies under Section 664 of IDEA to assess the implementation and effectiveness of key programs and services supported under the law.

As specified in IDEA Part D, the Technical Assistance and Dissemination (TA&D) program is to provide technical assistance, support model demonstration projects, disseminate useful information, and implement activities that are supported by scientifically based research to meet the needs of children with disabilities. The National Evaluation of the IDEA TA&D program is designed to describe the products and services provided by the TA&D program grantees, state and local needs for technical assistance, and the role that the TA&D program plays in meeting these needs and supporting implementation of IDEA. The State

Deaf-Blind Projects are part of the TA&D Program and are the focus of the evaluation's final report.

2. *Key Questions Addressed:*

- What technical assistance and dissemination activities do State Deaf-Blind Projects provide and how does this vary across the states?
- How do State Deaf-Blind Projects collaborate with other organizations in their state, with other technical assistance providers, and across the network of State Deaf-Blind Projects?
- What are the needs for technical assistance among direct service providers who work with children and youth with deaf-blindness?
- How satisfied are direct service providers with services received from the State Deaf-Blind Projects?

3. *Design:* Data collection for the interim report included administering surveys to the national and regional level TA&D program grantees, all state IDEA Part B and Part C administrators, and a sample of state-level special education program staff. Data were collected between November 2012 and March 2013. State-level administrators and staff reported on their receipt of technical assistance from TA&D program grantees during the 2010–11 school year. Grantees reported on their goals and activities from the beginning of their current grant through the interview date. The funding period for the centers included in the interim report varied, with the earliest end date in 2012 and the latest in 2014. Data collection for the final report included administering surveys to the 48 state level deaf-blind projects awarded grants in 2013 and to a sample of local level special and general education providers currently working with deaf-blind children.

4. *Estimated or Actual Completion Date:* The final report is expected in summer 2017.

5. *Link to Additional Information:*

http://ies.ed.gov/ncee/projects/evaluation/disabilities_idea2004.asp

Preparing for Life After High School

1. *Study Purpose:* Phase I of the National Longitudinal Transition Study 2012 (NLTS 2012), also referred to as the Study of Transition Outcomes for Youth with Disabilities Phase I, is the third in a series examining the characteristics and school experiences of a nationally representative sample of youth with disabilities. NLTS 2012 focuses on youth ages 13 to 21 (in December 2011), but also includes a small sample of students without disabilities to enable direct comparisons of students with and without individualized education programs (IEPs). It is part of the congressionally mandated National Assessment of the IDEA and is supported with funds authorized under Section 664 of IDEA.

2. *Key Questions Addressed:*

- What are the personal, family, and school characteristics of youth with disabilities in public schools across the country?
- What regular education, special education, transition planning, and other relevant services and accommodations do youth with disabilities receive?

- How do the services and accommodations differ from those of youth not served under IDEA, including those identified for services under Section 504 of the Rehabilitation Act?
 - How do the services and accommodations for youth with disabilities vary with the characteristics of youth?
 - How much have the services and accommodations of youth with disabilities changed over time?
3. *Design:* Phase I of the study collected survey data (spring 2012–summer 2013) on a nationwide sample of 12,000 youth in school, of which 10,000 are students with IEPs across the federal disability categories. Surveys of both youth and their parents/guardians were administered.
4. *Estimated or Actual Completion Date:* A report assessing existing research on the effectiveness of transition strategies for youth with disabilities was released August 2013. Two volumes of a report describing the survey results were released in March 2017. The third and final volume of this report is expected later in 2017.
5. *Key Findings from the first two volumes of the March 2017 report include:*
- Youth with an IEP, particularly those with intellectual disability and emotional disturbance, are more likely than their peers to be socioeconomically disadvantaged. Youth with an IEP are 12 percentage points more likely to live in low-income households and are less likely to have parents who are employed or have a college education. Among disability groups, youth with intellectual disability and youth with emotional disturbance are more socioeconomically disadvantaged and more likely to attend a lower-performing school than youth with an IEP overall. In contrast, youth with autism and youth with speech or language impairments are less socioeconomically disadvantaged and less likely to attend a lower-performing school than youth with an IEP overall.
 - The vast majority of youth with and without an IEP feel positive about school, but those with an IEP experience bullying and are suspended at higher rates. Like their peers, more than 80 percent of youth in special education report that they are happy with school and with school staff. However, not only do youth with an IEP more commonly experience some types of bullying (e.g., being teased or called names) but, according to parent reports, they are more than twice as likely to be suspended or expelled from school. Among the disability groups, youth with emotional disturbance are most likely to report being teased and are suspended, expelled, and arrested at more than twice the rates of youth with an IEP on average.
 - Youth with an IEP are more likely than other youth to struggle academically, yet less likely to receive some forms of school-based support. Half of all youth with an IEP report they have trouble with their classes, about 15 percentage points more than reported by their peers. However, they are less likely to report receiving school-based academic help before or after regular hours, although their parents more commonly help with homework and attend a parent-teacher conference. Among youth with an IEP, those with autism, intellectual disability, and multiple disabilities are least likely to receive school-provided instruction outside of school hours though most likely to receive modified tests and assignments.
 - Youth with an IEP lag their peers in planning and taking steps to obtain postsecondary education and jobs. Substantially fewer youth with an IEP expect to enroll in

postsecondary education or training, compared to youth without an IEP. Reflecting these gaps, youth in special education are almost half as likely as their peers to report taking college entrance and placement tests. Forty percent report having recent paid work experience while in high school, compared with 50 percent of youth without an IEP. Among youth with an IEP, the three groups least likely to receive academic supports before or after school—youth with autism, intellectual disability, and multiple disabilities—are also least likely to take these steps to prepare for college and employment.

- Youth with autism, deaf-blindness, intellectual disability, multiple disabilities, and orthopedic impairments are most at-risk for not transitioning successfully beyond high school. Youth in these groups are less likely than all youth with an IEP to have key characteristics and experiences linked to success after high school, such as performing typical daily living tasks, engaging with friends and in school activities, or preparing for college, careers, and independent living.

6. *Link to Additional Information:*

https://ies.ed.gov/ncee/projects/evaluation/disabilities_nlts2012.asp

Preschool Special Education Programs and Practices Supporting Children with Disabilities

1. *Study Purpose:* Most recently authorized in 2004, IDEA provides funding to states to support special education and related services for children and youth with disabilities, including young children ages 3–5 years old. Currently there is limited information available on the curricula and interventions being used across states to support young children with disabilities. Phase I of the Evaluation of Preschool Special Education Practices is being conducted to address the primary objective of assessing the feasibility of conducting a large-scale impact study of curricula or interventions promoting the literacy, language, and/or social-emotional skills of preschool-age children with disabilities. A secondary objective of the Phase I study is to provide nationally representative descriptive information about preschool special education programs and the specific curricula or interventions being delivered to preschool children with disabilities.
2. *Key Questions Addressed:*
 - Which curricula and interventions are used nationally for preschool children with disabilities to promote learning of language, literacy, and social emotional skills?
 - How are states and school districts structuring programs to serve children ages 3 through 5 with disabilities?
 - What staff resources are available to support the instruction of children ages 3 through 5 with disabilities?
3. *Design:* The study collected survey data from state and district grantees of IDEA funds to obtain nationally representative information on the programs, services, curricula and interventions available to children ages 3–5 identified for special education services. The survey sample included a nationally representative sample of 1,200 school district preschool special education coordinators and state Section 619 coordinators in all 50 states and DC. Additionally, an evidence review will be conducted to identify preschool curricula and interventions focused on improving literacy, language, and social emotional skills of preschool-aged children with disabilities for the design of impact study options. If an impact study is feasible to conduct, preparations for the impact study will occur under Phase I.

4. *Estimated or Actual Completion Date:* A descriptive report on the survey findings is expected in 2018.
5. *Link to Additional Information:*
http://ies.ed.gov/ncee/projects/evaluation/disabilities_preschool.asp

Study of Early Intervention and Special Education Services and Personnel

1. *Study Purpose:* IDEA was most recently authorized in 2004 to promote a free appropriate public education for children with disabilities. Funded at \$12.5 billion in FY 2015, IDEA supports early intervention services for infants and toddlers (IDEA Part C), special education and related services for children ages 3 through 21 (IDEA Part B), and early intervening services for students not in special education but in need of academic or behavioral support. Under Section 664 of IDEA 2004, IES is conducting studies to assess the implementation and effectiveness of key programs and services supported under the law. This study is supporting the analysis of extant data to examine early intervention and special education service delivery and the personnel providing services.
2. *Key Questions Addressed:*
 - How has the delivery of early intervention services changed over time, and how do these services differ for subgroups defined by age and state?
 - How have special education services changed over time, and how do these services differ for subgroups defined by age, disability category, and state?
 - How has the distribution of personnel providing special education services changed over time?
3. *Design:* This study includes new descriptive analysis of extant data available in public use or restricted formats. Among the data sources that are being used are cross-sectional Section 618 data submitted by states to the Department and the NCES Schools and Staffing Survey.
4. *Estimated or Actual Completion Date:* The report is expected in summer 2017.
5. *Link to Additional Information:*
http://ies.ed.gov/ncee/projects/evaluation/disabilities_persserv.asp

Teacher Effectiveness

Does Content-Focused Teacher Professional Development Work? Findings from Three Institute of Education Sciences Studies

1. *Study Purpose:* Federal and local governments continue to invest billions of dollars each year in professional development for teachers. Until recently, there has been little rigorous evidence to inform the design and delivery of these professional development programs. Nevertheless, there has been growing consensus that deepening teachers' content knowledge is an essential component of effective professional development in both reading and mathematics. Over the past decade, IES conducted three large-scale random assignment studies of teacher professional development in different grades in reading and math. These studies, which are the focus of this brief, reveal a common pattern of findings on the impact of intensive, content-focused professional development on teaching and learning. The findings also highlight unresolved issues that future research might explore to advance our understanding and inform professional development policy and practice.

2. *Key Questions Addressed:* This brief synthesizes findings from three large-scale random assignment studies of professional development that were conducted by the National Center for Education Evaluation and Regional Assistance in IES. Each study examined the impact of teacher professional development on teacher knowledge, practice, and student achievement.
3. *Design:* Although the professional development programs in each study were different, they all emphasized building teachers' content knowledge or knowledge about content-specific pedagogy. The programs combined summer institutes with periodic teacher meetings and coaching during the school year. These programs were compared to the substantially less intensive professional development that teachers typically received in study districts. The three studies included 270 second-grade reading teachers, 165 fourth-grade math teachers, and 195 seventh-grade math teachers.
4. *Estimated or Actual Completion Date:* The brief was released in November 2016.
5. *Key Findings:*
 - The professional development improved teachers' knowledge and some aspects of their practice;
 - Improving teachers' knowledge and practice did not lead to positive impacts on student achievement;
 - Most of the measured aspects of teachers' knowledge and practice were not correlated with student achievement; and
 - The consistent pattern of findings suggests that future studies might seek to better understand on what aspects of teacher knowledge and practice professional development should focus, and how professional development can achieve a larger impact on knowledge and practice that also impacts student achievement.
6. *Link to Additional Information:* <http://ies.ed.gov/ncee/pubs/20174010/>

Impact Evaluation of Professional Development for Teachers on Data-Driven Instruction

1. *Study Purpose:* Title II, Part A of ESEA funds a broad array of activities to improve teacher quality, including professional development. One possible focus of professional development is how to use ongoing data from student performance and assessments. These data provide information about students' academic needs and are already available to principals and teachers but may not be used effectively. This study evaluates the effectiveness of professional development for teachers to use such data to guide instruction. Existing evidence on data-driven instruction strategies is limited; however, it suggests that professional development that helps teachers focus on individual students' academic needs is promising.
2. *Key Questions Addressed:*
 - What are the effects on student achievement of providing professional development to principals and teachers that focuses on using individual student academic information already available to school staff to guide instruction?

- What are the effects of providing this professional development on teachers' and principals' use of individual student academic information to inform instructional support, planning, and practice?
3. *Design:* The study is a randomized controlled trial with a sample of 104 schools in 12 districts. In each district, schools were randomly assigned to treatment (professional development) or to control (business as usual) status. Data collection will consist of a teacher survey, a principal survey, and student administrative records, including student state standardized achievement test scores.
 4. *Estimated or Actual Completion Date:* The report is expected in summer 2018.
 5. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/tq_datadriven.asp

Impact Evaluation of Teacher and Leader Evaluation Systems

1. *Study Purpose:* The study is designed to examine the implementation of a package of performance evaluation system components and the impact of their use for formative purposes. These are components that states and districts might elect to include in their evaluation systems, with support from Title II Part A funds under the ESSA. The components include measures of student achievement growth, classroom practices, and principal leadership.
2. *Key Questions Addressed:*
 - What is the impact of the performance evaluation system on student achievement?
 - What is the impact on teachers' classroom practices?
 - What are districts' and educators' experiences with implementation?
3. *Design:* Within each of eight districts, approximately 15 elementary and middle schools were randomly assigned to receive the study's measures of student achievement growth, classroom practices, and principal leadership during 2012–13 and 2013–14 (treatment group) or to participate only in the district's usual performance evaluation system during the same time period. In treatment schools, each year, teachers received four rounds of classroom observations and feedback sessions and information about their students' achievement growth in math and/or reading using a statistical model known as value-added. Principals in treatment schools received feedback on their leadership practices twice per year. Study data collection included surveys of teachers and principals, observations of teachers' classroom practices, and collection of student records data. The study also looks at the extent to which the measures were implemented as intended and whether the ratings from the measures reliably distinguish educator performance.
4. *Estimated or Actual Completion Date:* A report on first year implementation findings was released in November 2016. A final report on impacts on educator practices and student achievement as well as implementation during the study's second year is expected in fall 2017.
5. *Key Findings:* The main findings from the study's first report are:
 - The study's performance measures were implemented generally as planned. Teachers and principals received multiple rounds of ratings and feedback on their practices.

However, fewer principals and teachers accessed their student growth reports than the study intended.

- Both classroom observation and student growth measures differentiated teacher performance, although observation scores were mostly at the upper end of the scale. Overall, observation scores varied across teachers, and both value-added scores and average classroom observation scores over the year had sufficient reliability to capture performance differences among some teachers.
- The principal leadership measure differentiated performance, but principal self-ratings, teachers' ratings of the principal, and the principal's supervisor's ratings of the principal often differed.
- Both teachers and principals in treatment schools reported receiving more feedback on their performance than did their counterparts. For example, teachers and principals in treatment schools reported spending more total time in performance feedback sessions across the year than teachers and principals in the control schools.

6. *Links to Additional Information:*

https://ies.ed.gov/ncee/projects/evaluation/tq_performance.asp

Impact Evaluation of the Teacher Incentive Fund

1. *Study Purpose:* The TIF was renamed the Teacher and School Leader Incentive Program with reauthorization of the ESEA in the ESSA. The purpose of the TIF program is to develop and implement performance-based compensation systems (PBCSs) for teachers, principals, and other personnel in high-need schools. Research indicates that high-quality teachers are critical to raising student achievement in low-performing schools, but schools most in need often have difficulty in attracting and retaining high-quality teachers. Performance pay is a policy promoted by the TIF program to improve the quality of teachers in high-need schools. This evaluation studies performance pay that provides substantial and differentiated bonus pay to high-performing teachers in low-performing schools with high-need students.
2. *Key Questions Addressed:*
 - What are the characteristics of all TIF grantee districts and their performance-based compensation systems? What implementation experiences and challenges did TIF districts encounter?
 - How do teachers and principals in schools that did or did not offer pay-for-performance bonuses compare on key dimensions, including their understanding of TIF program features, exposure to TIF activities, allocation of time, and attitudes toward teaching and the TIF program?
 - What is the impact of pay-for-performance bonuses on students' achievement on state assessments of math and reading?
 - How do pay-for-performance bonuses affect educator mobility, including whether mobility differs by educator effectiveness?
3. *Design:* Study schools were randomly assigned within a grant to either implement all components of the PBCS or the PBCS with a 1 percent across-the-board bonus in place of the differentiated effectiveness incentive component of the PBCS. Data collection will include a grantee survey, a survey of teachers and principals, teacher and principal school

assignment records, student record information (such as student demographics and student test scores), and grantee interviews to document implementation information, as well as to conduct impact analyses.

4. *Estimated or Actual Completion Date:* The first report was released in September 2014. The second report was released in September 2015. The third report was released in August 2016. The fourth and final report, which will include updated impacts, is expected in fall 2017.
5. *Key Findings from the Third Report:* The main findings among all TIF districts with 2010 awards are:
 - Similar to the previous two years, most districts (88 percent) implemented at least three of the four required program components for teachers.
 - By the third year, reported implementation challenges decreased with no more than one-fifth of TIF districts reporting any major challenges.
 - For the subset of 10 districts that agreed to participate in a random assignment study, key findings on the effect of pay-for-performance on educators include the following:
 - After three years of TIF implementation, average student achievement remained 1 to 2 percentile points higher in schools that offered pay-for-performance bonuses than in schools that did not. This difference was equivalent to a gain of about four additional weeks of learning.
 - At least half of the evaluation districts each year met the grant guidance for awarding differentiated performance bonuses for teachers. However, in each year, no more than 2 of the 10 districts awarded bonuses for teachers that were substantial or challenging to earn.
 - Teachers' understanding of performance measures continued to improve, but only about 60 percent of teachers correctly reported being eligible for a performance bonus. In addition, teachers believed that the maximum bonus they could earn was no more than two-fifths the size of the actual maximum bonus that districts awarded, a finding similar to previous years.
6. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/tq_incentive.asp

Impact Evaluation of Support for Principals

1. *Study Purpose:* Title II, Part A, the Improving Teacher State Formula Grants program, is the primary federal funding under ESEA to support high-quality educators. The program targets high-poverty districts and funds a broad array of allowable activities for principals and teachers, such as support for certification, teacher mentoring and induction, intensive professional development, recruitment, retention, and merit-based teacher and principal pay strategies as well as class size reduction. Principals, through a collective focus on instructional and organizational leadership and human capital management, have the potential to greatly influence the quality of instruction. However, there is limited evidence about the effectiveness of principal professional development programs and their ability to improve principals' leadership skills and school quality. This evaluation studies professional development for principals and thus provides an important source of information for this program.

2. *Key Questions Addressed:*

- What are the professional development experiences of principals?
- What are the initial impacts on school climate and educator behaviors of providing principals structured and intensive professional development?
- What are the impacts on teacher retention, the effectiveness of instructional staff, and student achievement of providing principals with structured and intensive professional development?

3. *Design:* The study team will randomly assign within 10 districts a total of 100 elementary schools to a treatment or control group. Treatment group principals will be offered intensive professional development provided by the University of Washington's Center for Educational Leadership during the 2015–16 and 2016–17 school years. The Center for Educational Leadership was competitively selected to provide the professional development focused on in this study. The professional development includes a heavy emphasis on instructional leadership activities, including support in conducting school walkthroughs and classroom observations with constructive feedback to facilitate teacher growth focused on improving student achievement. Control group principals will receive supports normally offered by the district. Data collection will include: information about the professional development delivered and experienced by the participating principals; teacher and principal surveys and periodic logs of principal daily activities to document intermediate outcomes, such as principal behaviors and school climate; and administrative records to document student outcomes (e.g., achievement, behavior, attendance) and teacher outcomes (e.g., retention of effective teachers, quality of newly hired teachers).

4. *Estimated or Actual Completion Date:* The first report, which will focus on implementation and intermediate outcomes, is expected in spring 2018.

5. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/tq_principals.asp

Study of Teacher Preparation Experiences and Early Teacher Effectiveness

1. *Study Purpose:* A primary focus of the ESSA's Title II Part A is on the improvement of teacher quality. Little research exists, however, to inform how best to prepare teachers for the classroom. This study provides descriptive information on the preparation experiences of a large sample of novice teachers. It also will examine whether the instructional skills that teachers learn about and have opportunities to practice in their preparation programs are associated with teachers' effectiveness once they are in the classroom.

2. *Key Questions Addressed:*

- To what extent do teachers report participating in various preparation experiences? How much variation is there within and between programs?
- Among novice teachers, what are the relationships between the teachers' experience in their preparation programs and the achievement of students in their classroom?

3. *Design:* Approximately 3,200 novice language arts and/or math teachers from grades 4 through 6 participated in the study. In spring 2015, the teachers responded to a survey focused on their preparation experiences related to instructional skills that have been shown to be associated with teacher value-added scores. For each instructional skill, the teachers were asked about the nature of their learning experiences, including how they learned (e.g.,

through coursework or through practice in K-12 classroom) and the extent to which they found the experience useful. The study will also compute value-added scores for teachers, based on students' state math and English language arts tests, and examine the relationships between teacher preparation experiences and teacher value-added scores.

4. *Estimated or Actual Completion Date:* A report describing teachers' preparation experiences and the relationship between experiences and teacher value-added scores is expected by fall 2017.
5. *Link to Additional Information:*
http://ies.ed.gov/ncee/projects/evaluation/tq_teacherprep_early.asp.

Study of the Distribution of Effective Teaching

1. *Study Purpose:* There is a persistent achievement gap in the United States where students from high-income families outperform those from low-income families on achievement tests. There is also substantial variation in the effectiveness of teachers. A key question for policymakers is whether policy initiatives focused on providing low-income students with equal access to effective teachers can address the achievement gap. This study provided information about the extent to which disadvantaged students received less-effective teaching than other students. The study also examined teacher mobility in participating districts and how patterns of mobility might contribute to unequal access.
2. *Key Questions Addressed:*
 - Are low-income students taught by less effective teachers than high-income students? If so, to what extent would providing equal access to effective teachers reduce the student achievement gap?
 - Are there differences between high- and low-poverty schools in teacher hiring, transfer, and attrition? If so, are they consistent with inequitable access to effective teachers for low-income students?
3. *Design:* The study documented low-income students' access to effective teachers, as measured by value added across the 2008–09 through 2012–13 school years. The study also described district policies designed to address inequitable distribution of effective teaching implemented during those years. Lastly, the study examined teacher mobility patterns within participating districts. Annual data collection included district administrative records, such as student achievement to conduct value added analyses, as well as annual semi-structured interviews with district leadership to provide information on district policies. District personnel data were also collected to examine teacher mobility within participating districts. The study was conducted in 29 geographically dispersed school districts.
4. *Estimated or Actual Completion Date:* The final report on school years 2008–09 through 2012–13 was released in October 2016.
5. *Key Findings from the Final Report:* The final report focused on low-income students' access to effective teachers and teacher mobility patterns in 26 districts and found that:
 - There are small differences in the effectiveness of teachers of high- and low-income students, on average. The average teacher of a low-income student is just below the 50th percentile of effectiveness based on value-added, while the average teacher of a

high-income student is at the 51st percentile. Providing low-income students with equally effective teachers would not substantively reduce the achievement gap.

- In a subset of the study districts, there is meaningful inequity in teacher effectiveness in math. In 3 of the 26 study districts, providing low-income students with teachers whose effectiveness is equal to that of high-income students over a five-year period would reduce the math achievement gap by at least a tenth of a standard deviation of student achievement, the equivalent of about 4 percentile points.
- Teacher hiring patterns are consistent with small inequities in access to effective teachers. High-poverty schools have more newly hired teachers than low-poverty schools, but this difference is likely to have a small influence on equity because (1) relatively few teachers are new hires (11 percent of teachers in high-poverty schools and 5 percent in low-poverty schools), and (2) performance of newly hired teachers improves quickly. On average, newly hired teachers become as effective as the average teacher after one year.
- Teacher transfer patterns are also consistent with small inequities in access to effective teachers. Teachers who transfer to schools in a higher poverty category are less effective (43rd percentile) than the average district teacher. Teachers who transfer to schools in a lower poverty category are nearly as effective (48th percentile) as the average district teacher. These patterns likely have a small influence on equity since just under 4 percent of all teachers transfer across poverty categories each year.
- Teacher attrition patterns do not contribute to inequity. Teachers who leave a district are less effective (44th percentile) than the average teacher, and more teachers leave high-poverty schools than low-poverty schools (10 percent versus 7 percent, respectively).

6. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/tq_distribution.asp

Other

Evaluation of Investing in Innovation

1. *Study Purpose:* Investing in Innovation (i3) is a competitive grant program that funds entities with a record of improving student achievement in order to expand the implementation of, and investment in, evidence-based interventions to significantly improve student education outcomes. The i3 program supports three types of grants that are differentiated by level of prior evidence supporting the intervention, the scope of the proposed implementation, and the amount of funding to be provided. Scale-up and Validation grants require prior evidence of effectiveness, while Development grants support innovative strategies.

Grantees receiving funds under this program are required to conduct an independent evaluation of their project and must agree, along with their independent evaluator, to cooperate with evaluation technical assistance provided by the Department and its contractor. The purpose of this technical assistance is to maximize the strength of the impact studies and the quality of their implementation data and performance feedback.

2. *Key Questions Addressed:*

- What types of supports were provided to i3 local evaluators and how were these supports implemented?
- Were the i3-funded evaluations well-designed and well-implemented?

- What did the i3-funded evaluations add to the evidence base on educational interventions?
3. *Design:* This study is descriptive and includes technical assistance to support the i3 local evaluators. The study also includes a systematic review of the completed evaluations against the WWC evidence standards as well as other criteria for assessing the strength of the impact and implementation aspects of the evaluations.
 4. *Estimated or Actual Completion Date:* The first report, which will focus primarily on findings for the first cohort (FY 2010), is expected in fall 2017.
 5. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/assistance_ita.asp

Evaluation of NAEP Achievement Levels

1. *Study Purpose:* Under the provisions of P.L. 107-279, the Secretary is required to provide for continuing review of the [National Assessment of Educational Progress](#) (NAEP) assessment. The legislation identifies the issues to be addressed in the reviews, one of which includes the requirement to evaluate whether the NAEP achievement levels, established by the National Assessment Governing Board, are “reasonable, valid, reliable and informative to the public.” Section 303(e)(2)(C) of the *Education Sciences Reform Act of 2002* (P.L. 107-279) states that NAEP achievement levels shall be used on a trial basis until the Commissioner of the National Center for Education Statistics (NCES) determines, as a result of an evaluation under Sec. 303(f), that such levels are “reasonable, valid, and informative to the public.” This independent evaluation was intended to provide IES and the Commissioner of NCES with information necessary to inform the decision about whether the current trial status of the NAEP achievement levels can be removed or whether they should remain in trial status.
2. *Key Objectives:*
 - Determine how “reasonable, valid, reliable and informative to the public” will be operationalized in this study.
 - Identify the kinds of objective data and research findings that will be examined.
 - Review and analyze extant information related to the study’s purpose.
 - Gather other objective information from relevant experts and stakeholders, without creating burden for the public through new, large-scale data collection.
 - Organize, summarize, and present the findings from the evaluation in a written report, including a summary that is accessible for nontechnical audiences, discussing the strengths/weaknesses and gaps in knowledge in relation to the evaluation criteria.
 - Provide, prior to release of the study report, for an independent external review of that report for comprehensiveness, objectivity, and freedom from bias.
3. *Design:* This study focused on the achievement levels used in reporting NAEP results for the reading and mathematics assessments in grades 4, 8, and 12. Specifically, the study reviewed developments over the past decade in the ways achievement levels for NAEP are set and used and will evaluate whether the resulting achievement levels are “reasonable, valid, reliable, and informative to the public.” The study relied on an independent committee of experts with a broad range of expertise related to assessment, statistics, social science,

and education policy. The project is receiving oversight from the Board on Testing and Assessment and the Committee on National Statistics of the National Research Council.

4. *Actual Completion Date:* The prepublication version of the report from this study was released in November 2016 and may be downloaded at <https://www.nap.edu/catalog/23409/evaluation-of-the-achievement-levels-for-mathematics-and-reading-on-the-national-assessment-of-educational-progress>.
5. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/other_naep.asp

Evaluation of the Comprehensive Technical Assistance Centers, FY 2012 Grantees

1. *Study Purpose:* The Comprehensive Technical Assistance Centers is a federally funded program currently authorized under the *Educational Technical Assistance Act of 2002*. The Department awarded five-year grants in FY 2012 to 22 Comprehensive Technical Assistance Centers with the purpose to help state education agencies build their capacity to implement state-level initiatives and to support district- and school-level initiatives that improve educational outcomes for all students, close achievement gaps, and improve the quality of instruction. The FY 2014 appropriation for the Centers was \$48.4 million. This study will inform the Department of Education, the Comprehensive Center program, and the larger field about the design, implementation, and outcomes of the Centers' work.
2. *Key Questions Addressed:*
 - **Program Design:** How did the Centers design their work? How did Centers define capacity building? Did their definitions change over time? If so, how? What theories of action did Centers use to guide their general capacity-building work? Did the theories change over time? If so, how? How did Centers assess the needs of their constituencies?
 - **Program Implementation:** How did the Centers operate? What strategies did Centers employ to achieve their outcomes? To what extent did Centers implement technical assistance to their constituencies as planned? To what extent and how did Centers collaborate with each other?
 - **Program Outcomes:** What was the result of the Centers' work? To what extent did Centers achieve their goals and objectives?
3. *Design:* This evaluation is a multiyear descriptive study examining the Centers' programs. Data on the Centers' activities and outcomes will be collected during the FY 2015, FY 2016, and FY 2017 program years. The evaluation will describe how the individual Centers intend to build SEA capacity (their theories of action) and document what types of activities they actually conduct to build capacity. The evaluation plans to focus on Center projects in two priority areas: great teachers and leaders and early learning. Data collection will include: (1) the Centers' management plans and technical assistance activity data; (2) interviews with staff from each Center; (3) interviews with technical assistance recipients; (4) a survey of Center staff; and (5) a survey of technical assistance recipients. Additionally, observations of technical assistance events will be conducted to inform project profiles that illustrate the strategies that the Centers use to support capacity building and achieve planned outcomes. This approach will yield a diverse set of data that can be analyzed and summarized using qualitative research methods and simple quantitative tabulations.
4. *Estimated or Actual Completion Date:* A report describing findings is expected in 2018.

5. *Link to Additional Information:*

http://ies.ed.gov/ncee/projects/evaluation/other_techcenters12.asp

Implementation and Impact Evaluation of Race to the Top: Final Report

1. *Study Purpose:* RTT is a competitive grant program of the Department that funds states and districts planning to implement comprehensive education reform in one or more core areas. Since its first awards in 2010, RTT has funded general state competitions, state competitions focused on early learning, and district competitions focused on personalized learning. With funds from the Recovery Act, the general state competition awarded approximately \$4 billion to states in support of comprehensive K–12 education reform in several core areas, including teachers and leaders, standards and assessments, data systems, and school turnaround. This study examined the implementation of RTT and its relationship to student outcomes, focusing on the initial general state competition for RTT that began in 2010.
2. *Key Questions Addressed:*
 - Which policies and practices promoted by the RTT program do RTT states report using, and how do they compare to the policies and practices that non-RTT states report using?
 - Is receipt of an RTT grant related to improvement in student outcomes?
3. *Design:* The RTT sample included all 50 states and DC. Data from interviews with all states and DC informed the first evaluation question. The second evaluation question was addressed using a short interrupted time series design with state-level NAEP data comparing, before and after the RTT competition, states that were awarded an RTT grant to states that applied for but were not awarded an RTT grant.
4. *Estimated or Actual Completion Date:* The final report for RTT was released in October 2016.
5. *Key Findings from the Final Report for RTT:*
 - In four of six areas examined, 2010 RTT grantees reported using more policies and practices promoted by RTT than states that did not receive a grant: The four areas with differences were standards and assessments, teachers and leaders, school turnaround, and charter schools. The other two areas were state capacity and data systems.
 - 2011 RTT grantees reported using more policies and practices promoted by RTT than states that did not receive a grant in one area, which was teachers and leaders.
 - Across all states, use of RTT-promoted policies and practices were highest in the data systems area and lowest in the teachers and leaders area: States reported using 76 percent of the 8 RTT-promoted practices examined in data systems, but only 26 percent of the 39 practices in teachers and leaders.
 - The relationship between RTT and student outcomes was not clear: Trends in student outcomes could be interpreted as providing evidence that RTT had a positive effect, a negative effect, or no effect.
6. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/other_racetotop.asp

Implementation and Impact Evaluation of SIGs: Final Report

1. *Study Purpose:* The SIG program is authorized through Title I of the ESEA and provides three-year awards to support turnaround in the nation's persistently lowest-achieving schools. In FY 2009, the \$546 million SIG appropriation was supplemented by \$3 billion through the Recovery Act, for a total of \$3.5 billion. SIG funds are distributed to states by formula based on Title I allocations. States then competitively award funds to districts applying on behalf of their eligible schools. Schools receiving SIG must implement one of four prescriptive intervention models: turnaround, transformation, closure, or restart. This study examined the implementation and impacts of SIG, focusing on the first cohort of SIG schools implementing intervention models beginning in the 2010–11 school year.
2. *Key Questions Addressed:*
 - Are SIG-funded schools using the improvement or turnaround strategies promoted by the four SIG intervention models, and how do they compare to strategies in schools not implementing a SIG-funded intervention model? How are states and districts supporting such efforts?
 - Does receipt of SIG funding to implement a school intervention model have an impact on outcomes for low-performing schools?
 - Is implementation of the four school intervention models related to improvement in outcomes for low-performing schools?
3. *Design:* The SIG sample included about 500 schools in 60 districts from 22 states. This sample was purposively selected to support a regression discontinuity design to address the fourth evaluation question, exploiting cutoff rules that states used to identify their persistently lowest-achieving schools as eligible for SIG to implement one of the four intervention models. Data from state and district interviews, as well as school surveys from the SIG sample, were used to inform the third and fifth evaluation questions. Student- and school-level achievement data were also collected from administrative records up to the 2012–13 school year to inform the fourth and fifth evaluation questions.
4. *Estimated or Actual Completion Date:* The final report for SIG was released in January 2017.
5. *Key Findings from the Final Report for SIG:*
 - SIG schools implementing one of the four models (transformation, turnaround, restart, or closure) reported using more practices than other schools: SIG schools reported using an average of 23 out of 35 practices, whereas other schools reported using 20 practices.
 - Across all schools, use of SIG-promoted practices was highest in the area of comprehensive instructional reform strategies and lowest in the area of operational flexibility and support: Schools reported using 89 percent of the eight SIG-promoted practices examined in the comprehensive instructional reform strategies area, but only 43 percent of the two practices in operational flexibility and support (the other two areas examined were increasing teacher and principal effectiveness, and increasing learning time and creating community-oriented schools).
 - Implementing any of the four SIG models had no significant impacts on math or reading test scores, high school graduation, or college enrollment.

- In elementary grades, student achievement gains did not differ across the four SIG models. In secondary grades, the turnaround model was associated with larger achievement gains than the transformation model.

6. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/other_racetotop.asp

Implementation of Title I/II Program Initiatives

1. *Study Purpose:* The Title I and Title II programs are part of the ESEA and are intended to help provide all students with equal access to education by providing financial assistance to schools and districts that have a high percentage of students from low-income families (Title I) and improving teacher and principal quality (Title II). The previous reauthorization of ESEA, the *No Child Left Behind Act of 2001* (NCLB), increased accountability through the use of assessments for students, requirements for all teachers to be highly qualified, and funding for supports and interventions for schools not achieving adequate yearly progress for the entire school population as well as for various subgroups of students. Subsequently, a majority of states received ESEA Flexibility beginning in 2012, which allowed particular NCLB requirements to be waived in exchange for a commitment to implement various reform principles. ESEA was reauthorized as the ESSA in December 2015, and it offers states and districts more autonomy than under NCLB and ESEA Flexibility, specifically in the areas of accountability, educator evaluation systems, and teacher qualification requirements.

This study is designed to provide relevant data from states, districts, schools, and teachers on the implementation of programs and policies related to Title I and Title II under NCLB and ESEA Flexibility (during the 2013–14 school year). It will also provide data from states and districts as they undergo the early stages of implementing the ESSA (during the 2017–18 school year).

2. *Key Questions Addressed:*

- What content standards and high school graduation requirements are states adopting, and what materials and resources do states, districts, and schools provide to help teachers implement the state content standards?
- What assessments do states and districts use (in terms of assessment format and coverage of grade levels and content areas), and what materials and resources do states, districts, and schools provide to support the implementation of assessments and use assessment data?
- How has student achievement changed over time?
- What elements are included in states' accountability systems? How do states and districts identify and reward their highest-performing schools, how do they identify and support their lowest-performing schools, and how do they offer differentiated support for those schools that are neither highest-performing nor lowest-performing?
- How do states and districts evaluate teacher and principal effectiveness and assess equitable distribution of teachers and principals, and what supports do states, districts, and schools provide to improve teacher and principal effectiveness?

3. *Design:* The study is descriptive and nationally representative. Data were collected from all 50 states and the District of Columbia, a nationally representative sample of districts and schools, and teachers within those schools through surveys in the 2013–14 school year.

Subsequently, data will be collected from all 50 states and the District of Columbia as well as the same nationally representative sample of districts through surveys in the 2017–18 school year.

4. *Estimated or Actual Completion Date:* The first report, based on the findings from the 2013–14 data collection, was released in January 2017.
5. *Key Findings from the First Report:*
 - Most states adopted and most principals and teachers reported implementing state standards that focused on college- and career-readiness. All but one state had committed to having college- and career-ready standards in place by 2013–14. A majority of principals (67–69 percent, depending on subject) reported fully implementing state content standards, and most teachers reported receiving professional development relevant to state content standards (79 percent of teachers) and weekly use of aligned instructional activities (92 percent of teachers).
 - Many state assessments incorporated more sophisticated response formats to better assess students' college- and career-readiness. In their reading/English language arts (ELA) summative assessments, many states (24–36, depending on grade level) reported using extended constructed-response formats, a type of response format intended to assess higher-order thinking skills. Nineteen states used this response format in math assessments.
 - States used ESEA flexibility to reset their accountability goals and to target a narrower set of schools for additional support. Forty-three states had received ESEA Flexibility for the 2013–14 school year. The most common accountability goal adopted by states with ESEA Flexibility (28 of the 43 states) was reducing by half the percentage of students and subgroups not proficient in 6–8 years. States with ESEA Flexibility identified 5 percent of Title I schools as lowest performing and an additional 10 percent of Title I schools with substantial student achievement gaps, compared to non-Flexibility states that reported identifying 43 percent of Title I schools as lowest performing.
 - Almost all states adopted new laws or regulations related to educator evaluation systems between 2009 and 2014, and most districts reported full or partial implementation in 2013–14. Only four states had not adopted new teacher evaluation laws or regulations by 2014, and a majority (59 percent) of districts reported fully implementing, piloting, or partially implementing a new teacher evaluation system. However, few districts (18 percent) reported using evaluation system measures of student achievement growth and classroom practice consistent with emerging research.
 - Proficiency rates on the National Assessment of Educational Progress (NAEP) slightly increased from 2005 to 2015, with the largest increases in 4th and 8th grades and smaller or no increases in 12th grade. Overall proficiency rates increased by statistically significant levels of 4–5 percentage points in 4th and 8th grade reading and math and by 2 percentage points in 12th grade reading. Statistically significant increases in proficiency were also evident for economically disadvantaged students in both subjects and across all three grades (by 4–7 percentage points), and in the large majority of individual states (46–51 states, depending on grade and subject).
6. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/other_title.asp

Progress and Challenges in Developing Tiered Quality Rating and Improvement Systems (TQRIS) in the Round 1 Race to the Top-Early Learning Challenge (ELC) States

1. *Study Purpose:* ELC aims to improve early learning and development programs so children enter kindergarten ready to succeed. One of the key areas of reform for the program focuses on the design and implementation of Tiered Quality Rating and Improvement Systems (TQRIS) that can provide parents and stakeholders with information on the quality of early learning programs. Since ELC grantee states are in the process of developing, refining, and/or implementing their TQRIS, this evaluation will describe the current state plans and implementation status.
2. *Key Question Addressed:*
 - How are TQRIS ratings defined, collected, and generated in the nine Round 1 ELC states and how might the structure and implementation of the rating system influence the reliability and validity of the ratings?
3. *Design:* This is a descriptive study that involved collecting and analyzing various data from the nine Round 1 ELC grantee states. The study collected and conducted a targeted review of documents describing the structure of TQRIS, including component measures and the quality indicators used to evaluate preschool programs, how these are combined to generate overall ratings, the availability of TQRIS and child outcome data, and policies regarding the administration of kindergarten entry assessments (KEAs) in each Round 1 state. The study also included interviews with state administrators to confirm and clarify the information obtained from documents and, as needed, to gather information that could not be obtained from the document reviews.
4. *Estimated or Actual Completion Date:* An evaluation brief is scheduled for completion in summer 2017.
5. *Link to Additional Information:* http://ies.ed.gov/ncee/projects/evaluation/other_rtt.asp

Policy and Program Studies Service (PPSS)

TEACH Grant Study

1. *Study Purpose:* The TEACH Grant program provides grants up to \$4,000 a year to students who are completing coursework needed to begin teaching. If a recipient does not complete four years of service in a high-need subject at a high-need school within eight years after completing their coursework, their grant funds are converted to a direct unsubsidized loan. This study examines how institutions support and inform students who are eligible for TEACH Grants. In addition, the study examines why some participants do not meet TEACH Grant service requirements. Lastly, the study examines factors associated with grant recipients meeting and not meeting service requirements.
2. *Key Questions Addressed:*
 - How are TEACH Grants administered in institutions of higher education?
 - Why do some TEACH Grant recipients fail to meet program service requirements?
 - What are the factors associated with TEACH Grant recipients meeting and not meeting the grant service requirements?

3. *Design:* The study includes surveys of 1) 479 institutions that administered at least 10 TEACH Grants in the 2014–15 award year and 2) a sample of 500 TEACH Grant recipients. In addition, the study includes case studies of six institutions and an analysis of administrative data.
4. *Estimated Completion Date:* The final report is scheduled for completion in summer 2017.

National Survey on High School Strategies Designed to Help At-Risk Students Graduate

1. *Study Purpose:* This nationally representative survey of high school administrators is examining strategies that high schools use to reduce students' likelihood of dropping out of high school and to increase their likelihood of attaining a high school credential. The survey seeks information on the prevalence of high school graduation strategies, the students who participate in them, and how high schools deliver services or interventions as part of that strategy. The Department will release a set of issue briefs based on the survey data to describe the prevalence and characteristics of dropout prevention strategies for at-risk youth and will compare high schools with high and low graduation rates, among other school characteristics.
2. *Key Questions Addressed:*
 - What strategies are high schools implementing to help students stay in school and graduate? Do these strategies vary for high schools with high or low graduation rates?
 - How many students are served through each of these strategies? Are the strategies focused on particular student populations?
 - How do schools deliver services or interventions for each of the strategies? What specific services are provided, and who provides the services?
3. *Design:* The study is conducting a web-based survey of a nationally representative sample of approximately 2,000 high school administrators.
4. *Estimated Completion Date:* Issue briefs are scheduled for completion between winter 2016–17 and spring 2017.

Implementation Study of the Turnaround School Leaders Program

1. *Study Purpose:* This study will examine the implementation of the Turnaround School Leaders Program (TSLP). This study seeks to generate information to help policymakers and practitioners who struggle with the challenges of developing leaders to turn around low-performing schools and to add to the field's general body of knowledge about developing turnaround leadership pipelines.
2. *Key Questions Addressed:*
 - How do TSLP projects identify, develop, and support leaders for low-performing schools?
 - What role do project partners play in implementing projects and helping grantees to achieve project goals?
 - How have grantees modified projects to adapt to challenges or meet the demands of changing circumstances?

- How are grantees measuring the success of their TSLP projects, and do early outcome data show promising results?
 - How have the turnaround school leaders grants contributed to developing a sustainable, long-term pipeline of leaders for turnaround schools?
3. *Design:* The study will include surveys of 12 TSLP cohort 1 grantees and case studies of seven TSLP cohort 1 grantees, including each grantees' partners; an analysis of extant data, including grantee applications, early outcomes data, and other relevant project-specific data.
 4. *Estimated Completion Date:* The final report is scheduled for completion in fall 2017.

Study of School Climate Transformation Grants

1. *Study Purpose:* The study will describe how states and school districts that participate in the School Climate Transformation Grant (SCTG) program are coordinating services and supports with certain other related federal programs administered by the Departments of Health and Human Services and Justice.
2. *Key Questions Addressed:*
 - What does coordination between SCTG and Project AWARE grantees look like?
 - What does coordination between SCTG and DOJ grantees look like?
 - What did grantees say about the value of coordination?
 - What were the challenges and lessons learned?
3. *Design:* The study will conduct telephone interviews with representatives from 38 state and local grantees to explore the ways in which grantees coordinate services, the benefits that grantees have experienced from program coordination, and challenges and lessons learned.
4. *Estimated Completion Date:* The report is scheduled for completion in late fall/winter 2017.

Study of Title I Schoolwide and Targeted Assistance Programs

1. *Study Purpose:* The study will examine how Title I schoolwide programs use the schoolwide flexibility to design services and strategies to address the needs of low-achieving students and subgroups, and how such strategies compare to approaches used in targeted assistance programs. The study will include interviews and analysis of extant data in approximately 30 Title I schools, including both schoolwide and targeted assistance programs, as well as surveys of principals and district administrators for a representative sample of Title I schools.
2. *Key Questions Addressed:*
 - How do schoolwide and targeted assistance programs use Title I funds to improve student achievement, particularly for low-achieving subgroups?
 - How do districts and schools make decisions about how to use Title I funds in schoolwide programs and targeted assistance programs?
 - To what extent do schoolwide programs commingle Title I funds with other funds or coordinate the use of Title I funds with other funds?

3. *Design:* The study will include both in-depth case studies and surveys of a nationally representative sample of 350 districts and 1,400 schools. The case studies will include approximately 35 Title I schools including both schoolwide and targeted assistance programs. Data collection for the case studies will include site visits and interviews with two to four staff members in each school and approximately two staff members in each district, as well as extant documents and data, including Title I budgets and plans.
4. *Estimated Completion Date:* The report is scheduled for completion in spring 2018.

Study of Digital Learning Resources for Instructing English Learners

1. *Study Purpose:* This study will examine the use of digital learning resources (DLRs) to support the English language acquisition and academic achievement of English learners in K–12 education. The study will explore the range of DLRs that are available for use with English learner students, examine how districts and schools select and use these apps, and consult an expert panel of technology developers, practitioners, and education researchers for ideas on ways to improve the design and use of apps to support learning for English learner students. The study will culminate in a final report that presents findings from the study, as well as two short field-focused toolkits or guides for educators and technology developers that present key information from the study in a manner that will be accessible and useful for those audiences.
2. *Key Questions Addressed:*
 - How do districts and teachers identify and select DLRs in general? How do districts and teachers identify and select DLRs specifically to support English learner students?
 - What are the types and characteristics of DLRs that districts most commonly report as used to support English learners? What are the types and characteristics of DLRs that teachers most commonly report that they use in instructing and structuring learning activities for their English learner students?
 - How do teachers of English learner students use DLRs in the instruction of English learner students?
 - To what extent do teachers receive professional development or other supports for effective use of DLRs for instruction? Which professional development approaches do teachers report to be most helpful in supporting their use of DLRs in instruction?
 - What are barriers to and supports for (1) the use of DLRs in instruction of English learner students and (2) the use of DLRs by students at home? How can districts, schools, and DLR developers address these?
 - How do districts and teachers define and measure the success of their use of technology to support English learner students?
 - How could developers and practitioners improve the usefulness of DLRs for instructing English learner students?
3. *Design:* The study will explore the range of such apps that are available for use with English learner students, examine how districts and schools select and use these apps, and consult an expert panel of technology developers, practitioners, and education researchers for ideas on ways to improve the design and use of apps to support learning for English learner

students. It will rely on six key components: (1) a literature review; (2) market research on existing DLRs for K–12 instruction; (3) survey of school districts; (4) survey of teachers; (5) case studies; and (6) an expert panel of technology developers, practitioners, and education researchers.

4. *Estimated Completion Date:* The report is scheduled for completion in spring 2018.

Study of the Title III Native American and Alaska Native Children in Schools Program

1. *Study Purpose:* The study will examine services and strategies for English learners in the Native American, Alaska Native, Native Hawaiian, and Pacific Islander communities that are supported through the Native American and Alaska Native Children in Schools (NAM) program. The study includes case study of 25 NAM grantees, and examines: (1) the types of services and strategies that NAM funds support to address the instructional needs of these communities and develop student proficiency in both English and (optionally) native languages; (2) how grantees plan, implement, and evaluate their respective projects; (3) how grantees coordinate and prioritize the use of NAM funds in relation to other federal, state, and local resources; and (4) how grantees use data and evidence to inform program implementation and meet U.S. Department of Education reporting requirements.

2. *Key Questions Addressed:*

- How does the NAM program support grantees in providing services to Native American, Alaska Native, Native Hawaiian, and Pacific Islander children, especially through teacher training and professional development, curriculum development, parent engagement, and English (especially academic English) and native language instruction? How do NAM grantees incorporate technology to support and/or preserve heritage languages through dual-language or other forms of English language instruction? How many students are served through each of these strategies? Are the strategies focused on particular student populations?
- What challenges do NAM grantees face in providing funded services, and what steps have grantees taken to overcome these challenges? To what extent does the Department or other external entities provide support to overcome these challenges? What lessons have the grantees learned?
- How do schools deliver services or interventions for each of the strategies? What specific services are provided, and who provides the services?
- What are the roles and responsibilities among (as applicable) tribal entities, public schools, local education districts, and state agencies in implementing NAM grants and meeting federal reporting requirements?
- What are NAM grant stakeholders' perceptions of community participation and student engagement in language instruction and other educational programs?

3. *Design:* The study will include site visits to NAM grantees to obtain detailed information regarding how they are implementing the NAM program and meeting the needs of their students and communities, as well as telephone surveys or interviews of local grant coordinators and state directors of Indian education to inform the case study site visits. The study will also utilize extant data, including grant applications.

4. *Estimated Completion Date:* The report is scheduled for completion in spring 2018.

Evaluation of the Title I, Part D Neglected or Delinquent Program

1. *Study Purpose:* The study will examine the implementation of educational programs for children and youth in residential facilities and correctional institutions funded under Title I, Part D of ESEA. The study will be informed by surveys of state grantees and local subgrantees to examine the types of services and strategies that Part D funds support, how state and local agencies assist students in transitioning back to schools, how state correctional facilities implement institution-wide Part D projects, and how grantees assess the educational outcomes of participating students.
2. *Key Questions Addressed:*
 - What types of services and strategies do Title I, Part D funds support for children and youth in correctional and child welfare settings?
 - How do correctional facilities and child welfare agencies assist students in transitioning back to districts and schools, including those outside their jurisdictions?
 - How do state correctional facilities plan and implement institution-wide Part D projects?
 - How do grantees assess the educational outcomes of students participating in Part D-funded educational programs?
3. *Design:* The study will include a review of extant data, a review of literature related to programs for neglected and delinquent youth, surveys of state and local coordinators of Title I-Part D funded programs, and site visits to state agencies, school districts, correctional institutions, and child welfare facilities to obtain more detailed information on how grantees and subgrantees are implementing the Part D programs and how they are meeting the needs of their students.
4. *Estimated Completion Date:* The report is scheduled for completion in spring 2018.

Evaluation of the Migrant Education Program

1. *Study Purpose:* This study will examine how states, districts, and schools are providing instructional supports and assessing highly mobile migratory students, as well as examine state plans for implementing the new accountability requirements (as they pertain to migratory students) under the ESSA. The Migrant Education Program (MEP) is a state program, giving states flexibility in how they allocate funds to serve migratory students, allowing the local entities that serve migratory students to be both local educational agencies (LEAs) and local operating agencies (LOAs).
2. *Key Questions Addressed:*
 - How do state and local grantees respond to federal requirements for serving migratory children?
 - What services are provided to migratory students?
 - How do MEP grantees collaborate with other programs and agencies to address the needs of highly mobile students?
 - How do migrant programs support students in earning high school diplomas and equivalency, and preparing for postsecondary education and the workforce?

3. *Design:* The study will include survey of states, a nationally representative sample of district programs serving migrant children, site visits to state and local grantees. The contractor shall prepare a final report that integrates findings from the surveys and case studies as well as from an extant data analysis.
4. *Estimated Completion Date:* The report is scheduled for completion in fall 2018.

Evaluation of the Indian Education LEA Grants Program

1. *Study Purpose:* This study will examine the implementation of the Indian Education Local Education Agency (LEA) Grants Program funded under Title VI of the ESEA, as amended by the ESSA. The study will document the scope of activities funded by the Indian Education LEA Grants Program and will examine the LEA and tribal-level implementation of the grants. Specifically, the study will examine the processes used to identify and count eligible children and how grantees establish LEA program priorities and implement grant-funded services.
2. *Key Questions Addressed:*
 - What strategies do grantees use to identify and count program-eligible children?
 - How do grantees plan services?
 - What services do Indian Education LEA Grants fund?
 - How do grantees assess the project outcomes of students participating in Indian Education LEA Grants Program-funded educational programs?
3. *Design:* This study will consist of four key components: (1) analysis of extant data including APRs and Electronic Application System for Indian Education (EASIE) data; (2) review of relevant literature; (3) survey of 1,300 coordinators of Indian Education LEA grant programs; and (4) case studies of nine districts.
4. *Estimated Completion Date:* The report is scheduled for completion in fall 2018.

Study of Weighted Student Funding Systems

1. *Study Purpose:* This study is examining weighted student funding (WSF) and school-based budgeting (SBB) systems, which are methods for providing funds to schools based on the numbers and, in the case of WSF, types of students they served. The study will examine how districts have implemented SBB and WSF systems for allocating funds to schools and how these districts and their schools compare with districts using traditional systems for allocating school resources.
2. *Key Questions Addressed:*
 - How are resources allocated to schools in districts with SBB or WSF systems compared 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 districts with SBB or WSF and other districts?
 - How has the implementation of WSF systems affected the distribution of funding provided to schools?
 - What challenges did districts and schools experience in implementing SBB and WSF, and how did they respond to those challenges?

3. *Design:* To obtain detailed information about the implementation, benefits, and challenges of WSF systems, this study will conduct case studies in nine districts using such systems, including site visits that include in-person interviews and collection and analysis of extant documents and data such as school budgets and planning documents. In addition, the study will administer surveys to a nationally representative survey of districts and schools to enable the study to ground the case study data in the larger context of WSF, SBB, and traditional methods of resource allocation.
4. *Estimated Completion Date:* The report is scheduled for completion in winter 2018–19.

Appendix E: Glossary of Acronyms and Abbreviations

2FA	Two-Factor Authentication
AARTS	Audit Accountability and Resolution Tracking System
AFR	<i>Agency Financial Report</i>
AIR	American Institutes for Research
AP	Advanced Placement
APG	Agency Priority Goal
APP	Annual Performance Plan
APR	<i>Annual Performance Report</i>
AY	Academic Year
CAP Goals	Cross-Agency Priority Goals
CCSSO	Council of Chief State School Officers
CEDS	Common Education Data Standards
CEELO	Center for Enhancing Early Learning Outcomes
CFR	Code of Federal Regulations
COP	Community of Practice
CoSN	Consortium for School Networking
CoSTEM	Committee on STEM Education
CPS	Current Population Survey
CRDC	Civil Rights Data Collection
CTE	Career and Technical Education
CY	Calendar Year
DATA Act	<i>Digital Accountability and Transparency Act of 2014</i>
DEC	Division of Early Childhood
DHS	U.S. Department of Homeland Security
DLR	Digital Learning Resources
DM	Document Management
DOJ	U.S. Department of Justice

DOL	U.S. Department of Labor
DRT	Data Request Team
DST	Data Strategy Team
EAC	Equity Assistance Center
EAG	Enhanced Assessment Grants
EASN	Equitable Access Support Network
ECR	Early Complaint Resolution
ECS	Education Commission on the States
EDGAR	Education Department General Administrative Regulations
EDSOC	Education Department Security Operations Center
ELC	Early Learning Challenge
ELC TA	Early Learning Challenge Technical Assistance Program
EMAPS	ED <i>Facts</i> Metadata and Process System
EPG	Evidence Planning Group
EQUIP	Educational Quality through Innovative Partnerships
ERIC	Education Resources Information Center
ESEA	<i>Elementary and Secondary Education Act of 1965</i>
ESSA	<i>Every Student Succeeds Act</i>
EVS	Employee Viewpoint Survey
FAFSA	Free Application for Federal Student Aid
FERPA	<i>Family Educational Rights and Privacy Act</i>
FEVS	Federal Employee Viewpoint Survey
FFEL	Federal Family Education Loan
FFY	Federal Fiscal Year
FPCO	Family Policy Compliance Office
FSA	Federal Student Aid
FY	Fiscal Year
GANs	Grant Award Notices
GEAR Up	Gaining Early Awareness and Readiness for Undergraduate Programs

GPRA	<i>Government Performance and Results Act of 1993</i>
GPRAMA	<i>GPRA Modernization Act of 2010</i>
GSA	General Services Administration
HBCUs	Historically Black Colleges and Universities
HEA	<i>Higher Education Act of 1965</i>
HEAL	Health Education Assistance Loans
HHS	U.S. Department of Health and Human Services
HR	Human Resources
HSI-STEM	Hispanic Serving Institution STEM Articulation Program
HUD	U.S. Department of Housing and Urban Development
i3	Investing in Innovation Program
IDEA	<i>Individuals with Disabilities Education Act</i>
IES	Institute of Education Sciences
IHE	Institutions of Higher Education
IPB	Interagency Policy Board
IPEDS	Integrated Postsecondary Education Data System
IT	Information Technology
JOA	Job Opportunity Announcement
KEA	Kindergarten Entry Assessment
LBJ	Lyndon B. Johnson
LEA	Local Educational Agency
LINCS	Literacy Information and Communication System
LOA	Local Operating Agency
MEP	Migrant Education Program
MSAP	Magnet School Assistance Program
MSP	Mathematics and Science Partnerships
NA	Not Applicable
NAEP	National Assessment of Educational Progress
NAM	Native American and Alaska Native Children in Schools Program

NASA	National Aeronautics and Space Administration
NCER	National Center for Education Research
NCES	National Center for Educational Statistics
NIA	Notice Inviting Applications
NIEER	National Institute for Early Education Research
NRC	National Research Council
NSF	National Science Foundation
OCFO	Office of the Chief Financial Officer
OCIO	Office of the Chief Information Officer
OCR	Office for Civil Rights
OCTAE	Office of Career, Technical, and Adult Education
OEL	Office of Early Learning
OELA	Office of English Language Acquisition
OESE	Office of Elementary and Secondary Education
OET	Office of Educational Technology
OGC	Office of the General Counsel
OHR	Office of Human Resources
OIG	Office of Inspector General
OII	Office of Innovation and Improvement
OM	Office of Management
OMB	Office of Management and Budget
OPE	Office of Postsecondary Education
OPEPD	Office of Planning, Evaluation, and Policy Development
OPM	Office of Personnel Management
OSEP	Office of Special Education Programs
OSERS	Office of Special Education and Rehabilitative Services
OSP	Opportunity Scholarship Program
OSS	Office of State Support
P3	Performance Partnership Pilots for Disconnected Youth

PAYE	Pay As You Earn
PBCS	Performance-Based Compensation System
PCP	Potomac Center Plaza
PDG	Preschool Development Grants
PDG TA	Preschool Development Grant Technical Assistance
PFS	Pay For Success
POC	Principal Operating Component
POR	Program of Requirements
PPIRS	Past Performance Information Retrieval System
PPSS	Policy and Program Studies Service
PSLF	Public Service Loan Forgiveness
R3	Rapid Rent Reduction Initiative
RCE	Rapid Cycle Evaluation
RDA	Results Driven Accountability
REAP	Rural Education Achievement Program
REPAYE	Revised Pay As You Earn
RLIS	Rural and Low-Income Schools Program
RMS	Risk Management Service
Rtl	Response to Intervention
RTL	Ready to Learn
RTT	Race to the Top
SASS	Schools and Staffing Survey
SBB	School-Based Budgeting
SCTG	School Climate Transformation Grant Program
SEA	State Educational Agency
SFA	Student Financial Assistance
SIG	School Improvement Grant
SIP	Strengthening Institutions Program
SLDS	Statewide Longitudinal Data System

SOAR Act	<i>Scholarships and Opportunities for Results Act</i>
SPPAD	Student Privacy Policy and Assistance Division
SRSA	Small, Rural School Achievement Program
SSIP	State Systemic Improvement Plan
STEM	Science, Technology, Engineering, and Mathematics
SWD	Students with Disabilities
SY	School Year
TBD	To Be Determined
TEACH	Teacher Education Assistance for College and Higher Education Grant
TIF	Teacher Incentive Fund
TQRIS	Tiered Quality Rating and Improvement System
Treasury	U.S. Department of Treasury
TRIO	Federal TRIO Programs
TSLP	Turnaround School Leaders Program
U.S.	United States
VR	Vocation Rehabilitation
WHI-HBCU	White House Initiative on Historically Black Colleges and Universities
WIOA	<i>Workforce Innovation and Opportunity Act</i>
WSF	Weighted Student Funding
WWC	What Works Clearinghouse



**OUR MISSION IS TO PROMOTE STUDENT ACHIEVEMENT AND PREPARATION FOR
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ENSURING EQUAL ACCESS.**

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