



# FY 2017 Annual Performance Report and FY 2019 Annual Performance Plan

**U.S. Department of Education**

Betsy DeVos

Secretary

February 12, 2018

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## About the Department

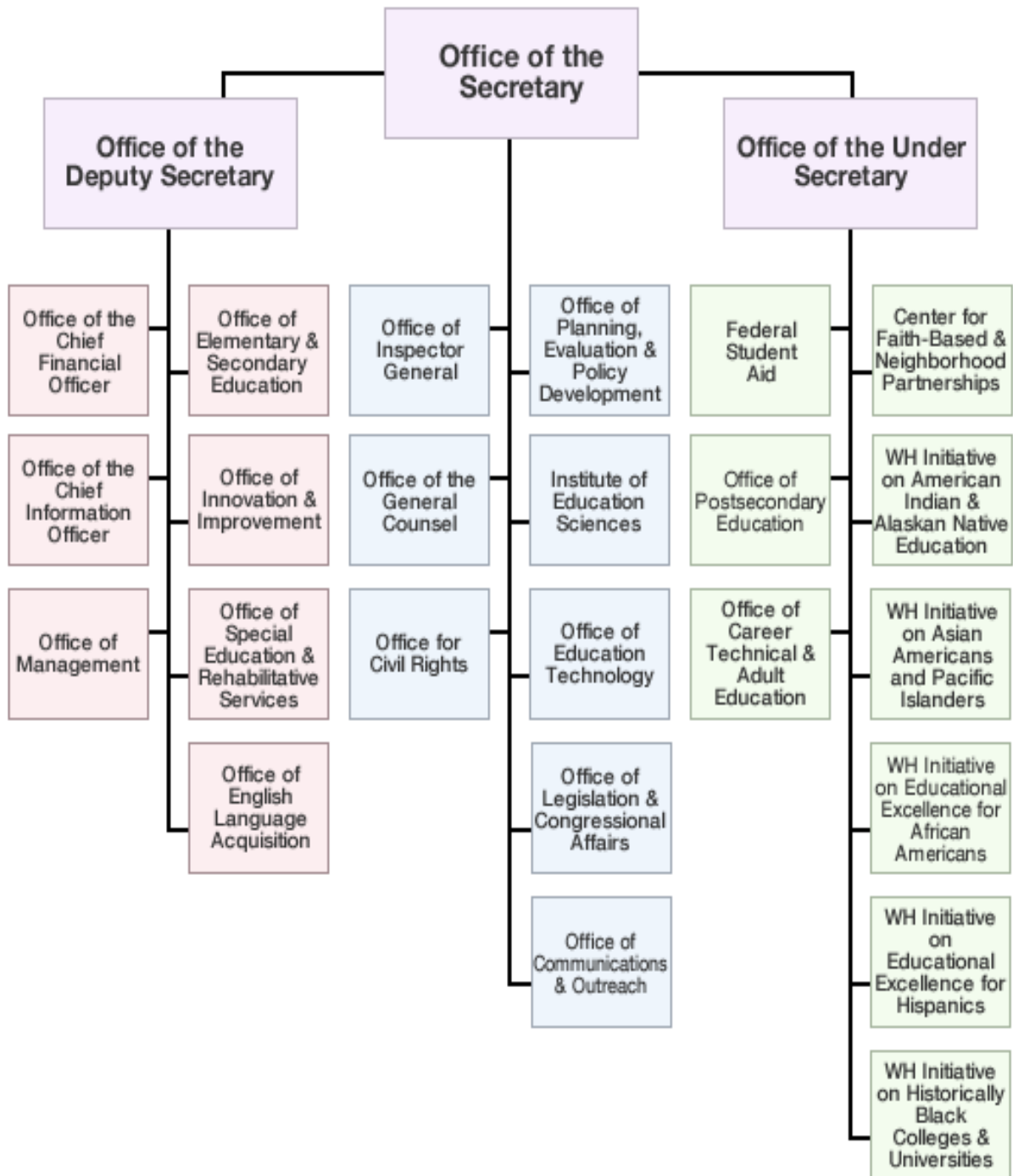
The U.S. Department of Education’s mission is to promote student achievement and preparation for global competitiveness by fostering educational excellence and ensuring equal access.

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

The figure below reflects the operating structure of the [U.S. Department of Education](#) used in Fiscal Year (FY) 2017. [Interactive](#) and [text](#) versions of the operating structure of the Department are available online.



# Operating Structure<sup>1</sup>



<sup>1</sup> Source <https://www2.ed.gov/about/offices/or/index.html>.

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## Overview

The *FY 2017 Annual Performance Report (APR)* and *FY 2019 Annual Performance Plan (APP)*, required by the [Government Performance and Results Act Modernization Act of 2010](#), accompanies the Department's Budget submission and links performance goals with resources for achieving targeted levels of performance. The APR reflects performance against the Department's [FY 2014-18 Strategic Plan](#). The APP identifies implementation strategies and performance measures to accomplish the strategic goals and objectives represented in the Department's [FY 2018-22 Strategic Plan](#).

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. This mission is manifested in the Department's efforts to continually improve the educational environment for all students, addressing their educational needs. The Department's [National Center for Education Statistics](#) (NCES) estimates that 50.7 million students were attending public elementary and secondary schools in 2017, with a projected 35.6 million in prekindergarten through grade 8 and a projected 15.1 million in grades 9 through 12. An additional 5.2 million students are projected to attend private elementary and secondary schools. NCES predicts that the total pre-K-12 enrollment will continue to grow to an all-time high of 56.8 million by 2026, indicating the increasing need for quality education throughout the United States.

## FY 2017 Performance

Education is primarily a state and local responsibility in the United States. It is states and communities, as well as public and private organizations of all kinds, that establish schools and colleges, develop curricula, and determine requirements for enrollment and graduation. As such, the Department is committed to supporting SEA, LEAs and other education institutions to help ensure every student in America has an equal opportunity for a great education.

In March 2017, the Department released a revised consolidated state plan template to support states in meeting the requirements of the *Elementary and Secondary Education Act* of 1965 (ESEA), as amended by the *Every Student Succeeds Act* (ESSA). The Department worked with SEAs, and other state and local stakeholders, to develop a revised template that was structured to reduce burden and promote innovation, flexibility, transparency, and accountability, while maintaining essential protections for all students. The revised template asked states only to provide details on their plans in areas (a) explicitly required by law and (b) deemed absolutely necessary for consideration of such a plan, consistent with ESEA section 8302(b)(3), leveraging input of states, local educators, and parents. State plans were submitted to the Department and peer-reviewed.

In FY 2017, the Department also focused on promoting evidence-based decision making with the intention to support states and districts in using and building evidence effectively. The Department published revised evidence definitions and related selection criteria for competitive grant programs in the [Education Department General Administrative Regulations](#) that align with ESSA, disseminated non-regulatory guidance on evidence in ESSA, [Using Evidence to Strengthen Education Investments](#); awarded \$16 million to support rigorous evaluations and researcher-practitioner partnerships focused on state and local education priorities.

With regard to postsecondary education, the passage of the FY 2017 spending bill restored year-round Pell grants, and the Department announced that these grants would become available to college students beginning July 1, 2017. The Department recommended that unless a student had remaining eligibility from the 2016-17 award year, institutions should award Pell

Grant funds for this past summer out of the 2017–18 award year since the additional funding will be available later in the year (e.g., spring or summer of 2018). The change allows an eligible student to receive up to 150 percent of the student’s scheduled Pell Grant for an award year beginning with the 2017–18 award year, giving hundreds of thousands of students more resources to finish their coursework in a timeframe that meets their individual needs.

In FY 2017, the Department also paused on two postsecondary regulations—Borrower Defense to Repayment, concerning forgiveness of student loan debt, and Gainful Employment, concerning educational programs that prepare students for gainful employment in a recognized occupation. Two negotiated rulemaking committees have been established to rethink these two higher education regulations, with the intent to develop fair, effective, and improved regulations to protect individual borrowers from fraud, ensure accountability across Institutions of Higher Education (IHEs), and protect taxpayer interests. It is the Department’s aim to protect students from predatory practices while also providing clear, fair, and balanced rules for colleges and universities to follow.

The Department continued to improve the information and data it makes available to parents, students, and education stakeholders. A few examples include:

- The Department’s [College Scorecard](#), which supports postsecondary students by providing the public with clear, easily accessible information on college performance.
- The Department’s [National Assessment of Educational Progress \(NAEP\)](#), the largest nationally representative and continuing assessment of student knowledge in various subject areas.
- The Department’s InformED initiative, which is intended to transform how the Department makes information available—and actionable—for internal users and for the public through the identification and development of open data initiatives.

Finally, the Department continued to strengthen its internal operations throughout FY 2017. In response to President Trump’s Executive Order 13777, Enforcing the Regulatory Reform Agenda, the Department established a Regulatory Reform Task Force that catalogued over 150 regulations and more than 1,700 items of policy guidance at the Department. The task force, comprised of agency political appointees and career staff, provided recommendations on which regulations and guidance documents to repeal, modify, or keep in an effort to ensure those items that remain protect students while giving states, institutions, teachers, parents, and students the flexibility to improve student achievement.

Also, in response to Executive Order 13781, Comprehensive Plan for Reorganizing the Executive Branch, the Department submitted an Agency Reform Plan to the Office of Management and Budget (OMB). Department staff continue to assess reform factors that include: new activities or functions the Department should initiate; ways the agency can be more efficient in meeting the needs of students, families, and education partners; activities or functions the Department should consider combining or modifying; agency activities or functions that duplicate what others are doing; and how the Department could best deliver education services or products to students and educators.

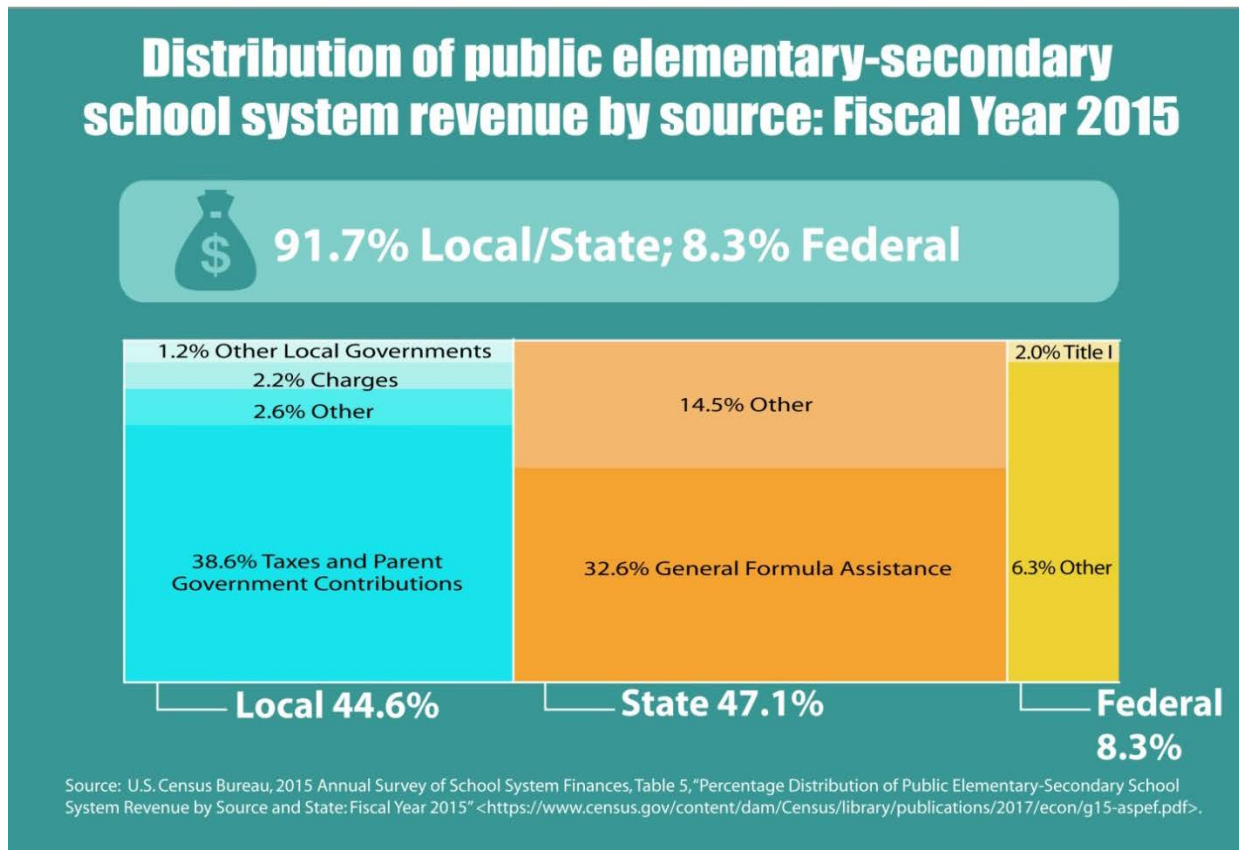
See Appendix A for detailed information on the FY 2017 performance measures.

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. Looking to the future towards the [FY 2018–22 Strategic Plan](#), the Department plans to focus in four key areas: (1) supporting state and local efforts to improve learning outcomes for all P–12 students in every community; (2) expanding postsecondary

education opportunities and improving outcomes to foster economic opportunity and informed, thoughtful and productive citizenry; (3) strengthening the quality, accessibility and use of education data through better management, increased privacy protections, and transparency; and (4) reforming the effectiveness, efficiency and accountability of the Department.

Through its *FY 2018-22 Strategic Plan*, the Department is focusing on the students it serves. Students have unique needs, and the Department must strive to align and tailor its programs to meet their needs. When thinking about how education delivery and the support the Department provides to parents, teachers, school leadership, districts, institutions, and states must change, it is important to reflect on the current state of education in the United States. The following graphics provide information on public school funding, state performance compared to the Nation on the NAEP, high school graduation rate and degree attainment rate.

### Public Funding Sources





# National Assessment of Educational Progress – Fourth Grade

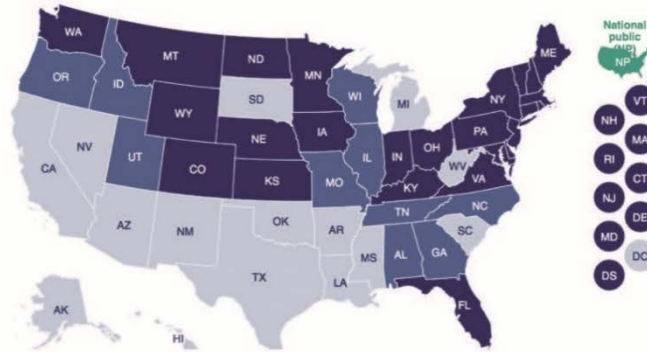
## State Performance Compared to the Nation

Reading, Grade 4

Difference in average scale scores between all jurisdictions and National public, for All students [TOTAL], 2013



Reading, grade 4  
Difference in average scale scores between all jurisdictions and National public, for All students [TOTAL], 2013



† Not applicable.

# Rounds to zero.

NOTE: DS = Department of Defense Education Activity (DoDEA). The NAEP Reading scale ranges from 0 to 500. Some apparent differences between estimates may not be statistically significant.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), 2013 Reading Assessment.

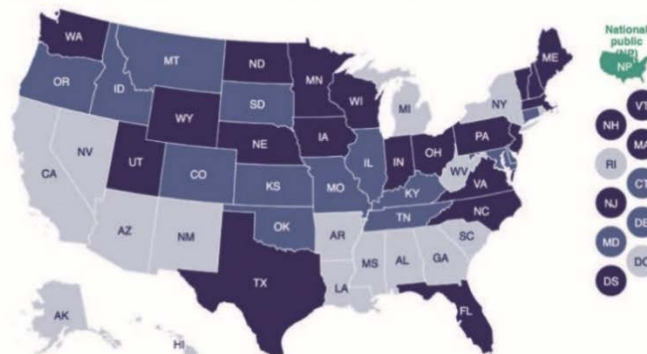
## State Performance Compared to the Nation

Mathematics, Grade 4

Difference in average scale scores between all jurisdictions and National public, for All students [TOTAL], 2015



Mathematics, grade 4  
Difference in average scale scores between all jurisdictions and National public, for All students [TOTAL], 2015



† Not applicable.

# Rounds to zero.

NOTE: DS = Department of Defense Education Activity (DoDEA). The NAEP Mathematics scale ranges from 0 to 500. Some apparent differences between estimates may not be statistically significant.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), 2015 Mathematics Assessment.

# National Assessment of Educational Progress – Eighth Grade

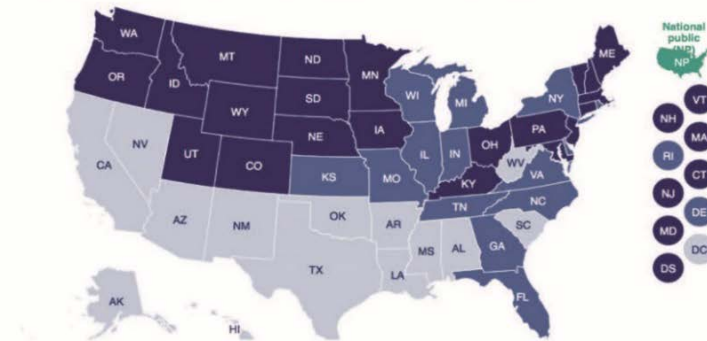
## State Performance Compared to the Nation

Reading, Grade 8

Difference in average scale scores between all jurisdictions and National public, for All students [TOTAL], 2013



Reading, grade 8  
Difference in average scale scores between all jurisdictions and National public, for All students [TOTAL], 2013



† Not applicable.

# Rounds to zero.

NOTE: DS = Department of Defense Education Activity (DoDEA). The NAEP Reading scale ranges from 0 to 500. Some apparent differences between estimates may not be statistically significant.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), 2013 Reading Assessment.

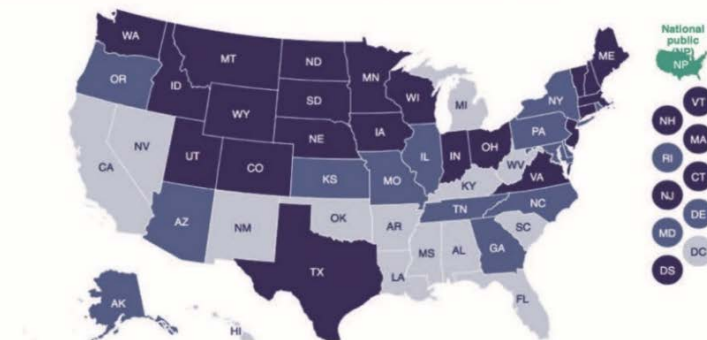
## State Performance Compared to the Nation

Mathematics, Grade 8

Difference in average scale scores between all jurisdictions and National public, for All students [TOTAL], 2015



Mathematics, grade 8  
Difference in average scale scores between all jurisdictions and National public, for All students [TOTAL], 2015



† Not applicable.

# Rounds to zero.

NOTE: DS = Department of Defense Education Activity (DoDEA). The NAEP Mathematics scale ranges from 0 to 500. Some apparent differences between estimates may not be statistically significant.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), 2015 Mathematics Assessment.

# National Assessment of Educational Progress – Twelfth Grade

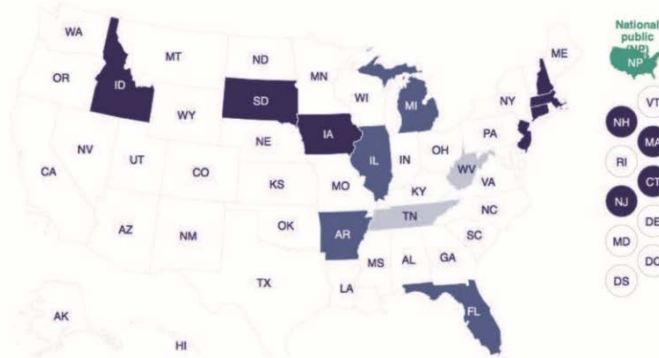
## State Performance Compared to the Nation

Reading, Grade 12

Difference in average scale scores between all jurisdictions and National public, for All students [TOTAL], 2013



Reading, grade 12  
Difference in average scale scores between all jurisdictions and National public, for All students [TOTAL], 2013



— Not available.

† Not applicable.

NOTE: DS = Department of Defense Education Activity (DoDEA). The NAEP Reading scale ranges from 0 to 500. Some apparent differences between estimates may not be statistically significant.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), 2013 Reading Assessment.

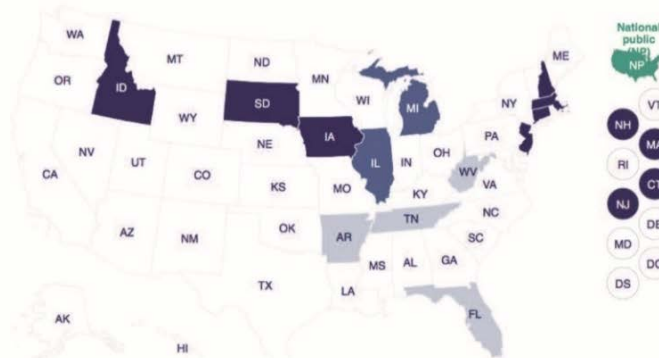
## State Performance Compared to the Nation

Mathematics, Grade 12

Difference in average scale scores between all jurisdictions and National public, for All students [TOTAL], 2013



Mathematics, grade 12  
Difference in average scale scores between all jurisdictions and National public, for All students [TOTAL], 2013



— Not available.

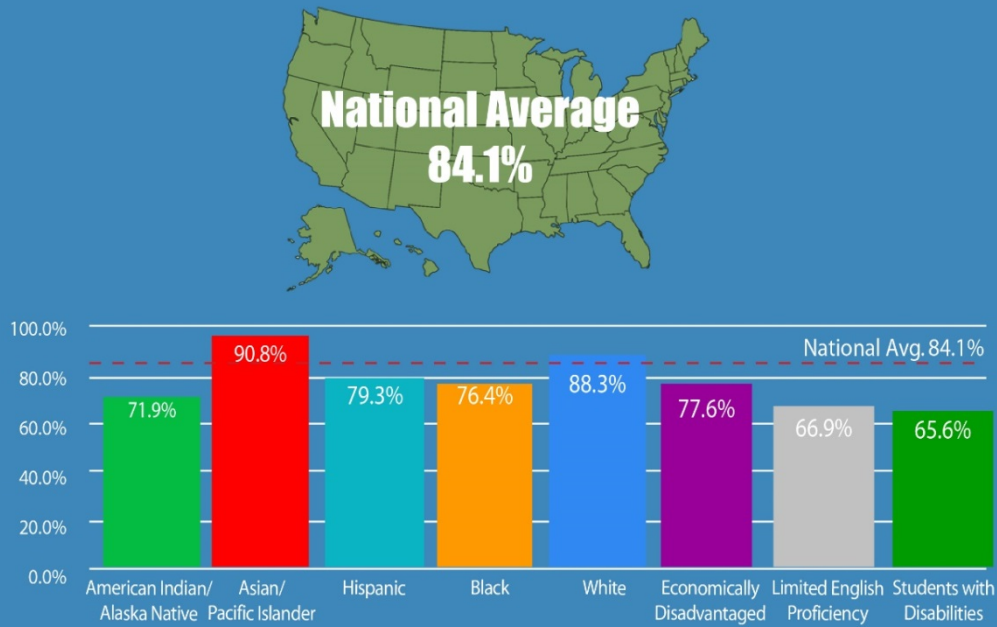
† Not applicable.

NOTE: DS = Department of Defense Education Activity (DoDEA). The NAEP Mathematics scale ranges from 0 to 300. Some apparent differences between estimates may not be statistically significant.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), 2013 Mathematics Assessment.

## National High School Graduation Rate

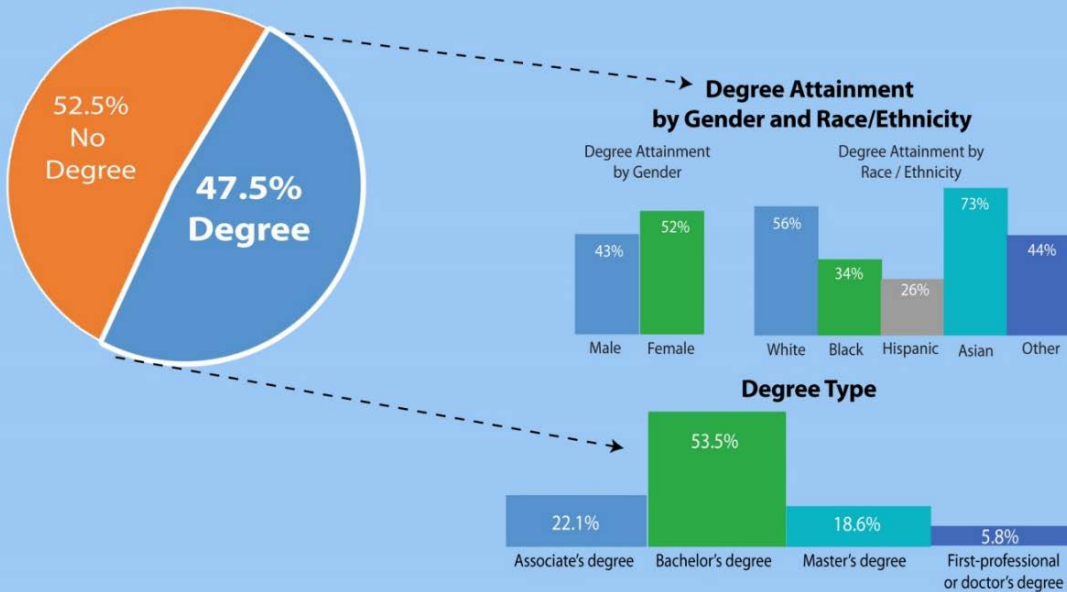
### National public high school 4-year adjusted cohort graduation rate (ACGR): School Year 2015-16



Source: ED Facts Data Groups 695 and 696, School year 2015-16; October 25, 2017 <[https://nces.ed.gov/ccd/tables/ACGR\\_RE\\_and\\_characteristics\\_2015-16.asp](https://nces.ed.gov/ccd/tables/ACGR_RE_and_characteristics_2015-16.asp)>.

## National College Degree Attainment

### College Degree Attainment for persons age 25-34



Source: U.S. Department of Commerce, Census Bureau, Current Population Survey (CPS), Annual Social and Economic Supplement, 2016. (This table was prepared March 2017.) <[https://nces.ed.gov/programs/digest/d16/tables/dt16\\_104.30.asp?current=yes](https://nces.ed.gov/programs/digest/d16/tables/dt16_104.30.asp?current=yes)>.



## FY 2018-22 Strategic Goals and Strategic Objectives

<b>Strategic Goal 1:</b> Support state and local efforts to improve learning outcomes for all P-12 students in every community.	
<b>Strategic Objective 1.1</b>	Increase high-quality educational options and empower students and parents to choose an education that meets their needs.
<b>Strategic Objective 1.2</b>	Provide all P-12 students with equal access to high-quality educational opportunities.
<b>Strategic Objective 1.3</b>	Prepare all students for successful transitions to college and careers by supporting access to dual enrollment, job skills development and high-quality science, technology, engineering and mathematics (STEM).
<b>Strategic Objective 1.4</b>	Support agencies and institutions in the implementation of evidence-based strategies and practices that build the capacity of school staff and families to support students' academic performance.
<b>Strategic Goal 2:</b> Expand postsecondary educational opportunities, improve outcomes to foster economic opportunity and promote an informed, thoughtful and productive citizenry.	
<b>Strategic Objective 2.1</b>	Support educational institutions, students, parents and communities to increase access and completion of college, lifelong learning and career, technical and adult education.
<b>Strategic Objective 2.2</b>	Support agencies and educational institutions in identifying and using evidence-based strategies or other promising practices to improve educational opportunities and successfully prepare individuals to compete in the global economy.
<b>Strategic Objective 2.3</b>	Support agencies and educational institutions as they create or expand innovative and affordable paths to relevant careers by providing postsecondary credentials or job-ready skills.
<b>Strategic Objective 2.4</b>	Improve quality of service for customers across the entire student aid life cycle.
<b>Strategic Objective 2.5</b>	Enhance students' and parents' ability to repay their federal student loans by providing accurate and timely information, relevant tools and manageable repayment options.
<b>Strategic Goal 3:</b> Strengthen the quality, accessibility and use of education data through better management, increased privacy protections and transparency.	
<b>Strategic Objective 3.1</b>	Improve the Department's data governance, data life cycle management and the capacity to support education data.
<b>Strategic Objective 3.2</b>	Improve privacy protections for, and transparency of, education data both at the Department and in the education community.
<b>Strategic Objective 3.3</b>	Increase access to, and use of, education data to make informed decisions both at the Department and in the education community.
<b>Strategic Goal 4:</b> Reform the effectiveness, efficiency and accountability of the Department.	
<b>Strategic Objective 4.1</b>	Provide regulatory relief to educational institutions and reduce burden by identifying time-consuming regulations, processes and policies and working to improve or eliminate them, while continuing to protect taxpayers from waste and abuse.
<b>Strategic Objective 4.2</b>	Identify, assess, monitor and manage enterprise risks.
<b>Strategic Objective 4.3</b>	Strengthen the Department's cybersecurity by enhancing protections for its information technology infrastructure, systems and data.
<b>Strategic Objective 4.4</b>	Improve the engagement and preparation of the Department's workforce using professional development and accountability measures.

## The Department’s Agency Priority Goals (APGs)

The Department identified four Agency Priority Goals (APGs) for FY 2018–19. Improving education starts with allowing greater decision-making authority at the state and local levels and empowering parents and students with educational options. These APGs aim to increase educational choice, improve the customer service the Department provides, ensure students are protected, and reduce red tape. The effective implementation of the Department’s APGs will depend, in part, on the effective use of high-quality and timely data, including evaluations and performance measures. Quarterly updates for the APGs will be available on [www.Performance.gov](http://www.Performance.gov).

APG	Related Strategic Objective
<p><b>Improve the access to, and the quality and transparency of, school choice options for K-12 students.</b></p> <p>By September 30, 2019, the Charter School Program (CSP) will support the creation and expansion of 300 new charter schools nationally. The CSP will also support the enrollment of 50,000 students in new charter schools. Additionally, by September 30, 2019, the Department will disseminate eight resources, at least one per quarter, on evidence-based and promising practices related to school choice.</p>	<p><b>Strategic Objective 1.1:</b> Increase high-quality educational options and empower students and parents to choose an education that meets their needs.</p>
<p><b>Improve borrowers’ access to quality customer service.</b></p> <p>By September 30, 2019, Federal Student Aid will improve customers’ access to and availability of quality customer service by decreasing the overall average speed of answer to 60 seconds or less, decreasing abandoned rates to three percent or less and requiring all non-default federal student loan servicers to expand and standardize call center hours.</p>	<p><b>Strategic Objective 2.4:</b> Improve quality of service for customers across the entire student aid life cycle.</p>
<p><b>Improve student privacy and data security at Institutions of Higher Education (IHEs) through outreach and compliance efforts.</b></p> <p>By September 30, 2019, the Department will increase information security program outreach activities to IHEs by 40% in order to help protect IT systems and data privacy and commence audits of IHEs subject to A-133 and <i>Gramm-Leach-Bliley Act</i> (GLBA), resulting in 36 IHEs (from a baseline of zero) completing an audit of GLBA-related information security safeguards with no significant findings.</p>	<p><b>Strategic Objective 3.2:</b> Improve privacy protections for, and transparency of, education data both at the Department and in the education community.</p>
<p><b>Provide regulatory relief to education stakeholders.</b></p> <p>By September 30, 2019, the Department will reduce the regulatory burden on education stakeholders by submitting to OMB no less than 25 deregulatory actions (against a baseline of zero (0) for FYs 2015 and 2016).</p>	<p><b>Strategic Objective 4.1:</b> Provide regulatory relief to educational institutions and reduce burden by identifying time-consuming regulations, processes and policies and working to improve or eliminate them, while continuing to protect taxpayers from waste and abuse.</p>

## Cross-Agency Priority (CAP) Goals

In addition to the APGs, the Department contributes to CAP Goals established by the Administration. These CAP Goals are used by leadership to accelerate progress on a limited number of Presidential priority areas where implementation requires active collaboration among multiple agencies. The Department will contribute to the CAP goals, as appropriate, and will include information on its contributions in the *FY 2018 Annual Performance Report* and *FY 2020 Annual Performance Plan*. Additionally, please refer to [www.Performance.gov](http://www.Performance.gov) for the agency's contributions to those goals and progress, where applicable.

## Strategic Goal 1

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

**Goal leader:** Assistant Secretary for Elementary and Secondary Education

### Strategic Objective 1.1

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

**Strategic Objective Leader:** Assistant Deputy Secretary for Innovation and Improvement

#### Implementation Strategies:

Parents and students need to know about and understand the educational options available to them. Further, parents and students should be able to select the educational experience that best suits their needs. If every student had the opportunity to pursue personal development in the context of an organization aligned with their unique interests, our nation would be stronger as a result. To that end, the Department will support greater state and local flexibility in elementary and secondary education and encourage SEAs and LEAs to increase the number and quality of educational opportunities to provide for meaningful school choice. The two primary strategies the Department will use to achieve this strategic objective are the administration of federal programs that increase educational options (e.g., the Charter School Program (CSP) and the Magnet Schools Assistance Program (MSAP)) and the provision of technical assistance.

#### Next Steps:

Several offices across the Department support this Strategic Objective, including the Office of Elementary and Secondary Education (OESE), the Office of Innovation and Improvement, the Office of Special Education and Rehabilitative Services (OSERS), the Office for Civil Rights (OCR), and the Office of English Language Acquisition (OELA). During FY 2018 and FY 2019, the Department will:

- Administer federal programs and use the proposed Secretary's Supplemental Priority on educational choice in discretionary grant programs, when appropriate and consistent with a program's authorizing statute.
- Develop and disseminate quarterly resources on evidence-based and promising practices related to school choice.
- Deliver relevant technical assistance to states and communities on school choice topics.
- Apply effective oversight of CSP and MSAP on grant performance.
- Respond to risks identified by national audits and studies of charter schools and school choice.
- Provide information and technical assistance to support parents, including parents of children with disabilities, in choosing a high-quality education option for their child.
- Provide information to states regarding distributing federal *Individuals with Disabilities Education Act* (IDEA) funds to all LEAs, including charter LEAs.



- Provide information and technical assistance to support states in ensuring that the rights of children with disabilities are protected when parents exercise school choice.
- Host a symposium in FY 2018 to explore weighted student funding (WSF) models, including lessons learned from early adopters, challenges, and opportunities, to inform the Department’s work in developing policy guidance and programmatic infrastructure that will support efforts by up to 50 districts in the 2018-19 school year to adopt WSF systems that improve funding equity and support expanded educational choice.
- Launch the Flexibility for Equitable Per-Pupil (weighted student funding) demonstration program authorized by Title I, Part E of the ESEA.

**Performance Measures:**

1.1.A Number of open and operating charter schools supported by CSP.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
SY 2016-17	SY 2017-18	SY 2018-19	SY 2019-20
<b>3,549</b>	<b>3,699</b>	<b>Prior Year +150</b>	<b>Prior Year +150</b>

**1.1.A** This metric is aligned with an FY 2018-19 APG. The APG focuses on the creation and expansion of new charter schools, which is the growth represented in the performance targets for this metric.

**Data Source and Frequency of Collection:** National Center for Education Statistics, CCD (used to identify all charter schools and enrollees) and grantee annual performance reports (used to identify the subset of charter schools in CCD that receive CSP support); Annually.

1.1.B Number of students enrolled in charter schools supported by CSP.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
SY 2016-17	SY 2017-18	SY 2018-19	SY 2019-20
<b>1,539,854</b>	<b>1,564,854</b>	<b>Prior Year +25,000</b>	<b>Prior Year +25,000</b>

**1.1.B** This metric is aligned with an FY 2018-19 APG. The APG focuses on the number of students enrolled in new charter schools, which is the growth represented in the performance targets for this metric.

**Data Source and Frequency of Collection:** National Center for Education Statistics, CCD (used to identify all charter schools and enrollees) and grantee annual performance reports (used to identify the subset of charter schools in CCD that receive CSP support); Annually.

1.1.C Number of new resources on evidence-based and promising practices related to school choice disseminated.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	FY 2020
<b>0</b>	<b>4</b>	<b>4</b>	<b>4</b>

**1.1.C** This metric is aligned with an FY 2018-19 APG.

**Data Source and Frequency of Collection:** National Charter School Resource Center and IES sponsored materials; Annually.

1.1.D Number of students enrolled in magnet schools.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2018	2018	2019	2020
AY 2017-18	Baseline Year	AY 2018-19	AY 2019-20
<b>TBD</b>		<b>75,697</b>	<b>78,824</b>

**1.1.D.** Given the changes in the program statute under ESSA, baseline data for this metric begins with the 2017 cohort. The 2017 MSAP cohort was awarded funding and began their projects in October of 2017. The fall enrollment for the 2017-2018 school year is considered the baseline year for enrollment in the MSAP project schools for the 2017 cohort of grantees.

**Data Source and Frequency of Collection:** Grantee annual performance reports; Annually.

N/A = 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.

### Strategic Objective 1.2

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

**Strategic Objective Leader:** Assistant Secretary for Special Education and Rehabilitative Services

#### Implementation Strategies:

Every child, regardless of his or her ZIP code or family income, should have access to a high-quality education. The implementation of the ESSA, which reauthorized the ESEA, provides a framework for states and school districts to provide high-quality educational opportunities that meet the needs of their students, based on the following:

- High academic standards and assessments.
- A well-rounded education that includes a safe and healthy environment and integrated technology.
- Access to effective teachers and strong systems of collaboration among education stakeholders.
- Proper support and interventions for struggling students and opportunities for enrichment experiences before, after, and during the school day.

This Strategic Objective considers characteristics that are necessary to ensure both access to opportunities and the quality of such opportunities. The Department is committed to improving access to high-quality P-12 education opportunities for each student and will support educational institutions, parents, and communities in developing such opportunities as well as their capacity to improve the outcomes for each student.

**Next Steps:**

Several offices across the Department support this Strategic Objective, including OESE, OSERS, OCR, the Office of Education Technology (OET), the Office of Career, Technical, and Adult Education (OCTAE), and the Office of Planning, Evaluation, and Policy Development (OPEPD). During FY 2018 and FY 2019, the Department will:

- Develop accountability system summaries of all approved ESSA state plans for internal use to help build staff capacity to support states as they implement and, as necessary, refine their plans. The Policy and Program Studies Service (PPSS) within OPEPD will develop these summaries based on state plans that the Department has approved.
- Prepare and disseminate studies on K-12 program or policy issues that could inform or support state implementation of ESSA state plans across programs.
- Provide states, districts, schools, and families:
  - Literacy instructional and assessment strategies and accessible digital instructional materials to students who are blind, visually impaired, or who have print disabilities.
  - Resources and technical assistance that support preschool children with disabilities growth in social-emotional skills, acquisition and use of knowledge and skills, and use of appropriate behaviors to meet their needs.
  - Resources and technical assistance that support the participation of children with disabilities in early childhood classrooms.
  - Technical assistance on the development, implementation, and sustainability of multi-tiered systems of support, and intervention strategies to reduce inappropriate school behavior and improve school conditions.
  - Technical assistance to ensure children with disabilities have appropriately ambitious individualized education program (IEP) goals and challenging objectives.
  - Technical assistance to support improved results for economically disadvantaged students, children with disabilities, English learners, migrant, homeless, charter schools’ attendees, magnet schools’ attendees, and CTE concentrators.
- Provide targeted and intensive monitoring and support as well as general technical assistance based on risk assessments.
- Conduct a National Educational Technology Survey to provide national estimates on the availability and use of educational technology in elementary and secondary schools.

**Performance Measures:**

1.2.A Percentage of states that show improvement in the percentage of students in grades 3-8 scoring at or above proficient on state assessments in reading in all of the following subgroups: economically disadvantaged, children with disabilities, English learners, migrant, homeless, and major racial and ethnic groups.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
SY 2015-16	SY 2016-17	SY 2017-18	SY 2018-19
<b>19%</b>	<b>19%</b>	<b>22%</b>	<b>25%</b>

**1.2.A** The major racial and ethnic groups are the subgroups defined by states in their state plans under the *Elementary and Secondary Education Act*, as amended. The subgroups may vary by states; states typically report on 5 to 7 racial and ethnic groups.

**Data Source and Frequency of Collection:** Assessment Data File that includes state reported data pulled from ED Facts files C175, C178, C185, and C188; Annually.

1.2.B Percentage of states that show improvement in the percentage of students in grades 3-8 scoring at or above proficient on state assessments in mathematics in all of the following subgroups: economically disadvantaged, children with disabilities, English learners, migrant, homeless, and major racial and ethnic groups.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
SY 2015-16	SY 2016-17	SY 2017-18	SY 2018-19
<b>45%</b>	<b>45%</b>	<b>48%</b>	<b>51%</b>

**1.2.B** The major racial and ethnic groups are the subgroups defined by states in their state plans under the *Elementary and Secondary Education Act*, as amended. The subgroups may vary by states; states typically report on 5 to 7 racial and ethnic groups.

**Data Source and Frequency of Collection:** Assessment Data File that includes state reported data pulled from EDData files C175, C178, C185, and C188; Annually.

1.2.C Percentage of states with 80% or more of preschoolers with disabilities that showed greater than expected growth in positive social-emotional skills (including social relationships) by the time they exit IDEA Part B, section 619 services.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2015	FY 2016	FY 2017	FY 2018
<b>55%</b>	<b>56%</b>	<b>57%</b>	<b>58%</b>

**Data Source and Frequency of Collection:** IDEA Part B State Annual Performance Reports; Annually.

1.2.D Percentage of schools in the country that have actual Internet bandwidth speeds of at least 100 Mbps.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	FY 2020
<b>88%</b>	<b>94%</b>	<b>98%</b>	<b>100%</b>

**Data Source and Frequency of Collection:** Education Superhighway; Annually.

1.2.E Percentage of rural schools connected to a broadband infrastructure capable of scaling to 10 gigabits per second.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	FY 2020
<b>94%</b>	<b>96%</b>	<b>98%</b>	<b>99%</b>

**Data Source and Frequency of Collection:** Education Superhighway; Annually.

1.2.F Percentage of states publishing report cards on the preceding school year in a timely manner (i.e., by January 15th of the year following the reporting year).		↑ INCREASE	
Baseline / Baseline Year	Out-Year TARGETS		
2018	2018	2019	2020
SY 2017-18 <b>TBD</b>	Baseline Year	SY 2018-19 <b>A greater than or equal percentage of states publishing timely report cards (or maintain 100% if the 2017-18 baseline data showed all states publishing)</b>	SY 2019-20 <b>A greater than or equal percentage of states publishing timely report cards (or maintain 100% if the SY 2018-19 data showed all states publishing)</b>

**1.2.F-1** Timeliness is defined as report cards that are published by January 15th of the year following the reporting year (e.g., report cards on the 2017-18 school year would be timeline if published by January 15, 2019).

**1.2.F-2** Although both of the metrics for timeliness (1.2.F) and completeness (1.2.G) relate to the same school years, there are timing anomalies that impact when the data are reported.

**Data Source and Frequency of Collection:** Consolidated State Performance Report (CSPR); Annually.

1.2.G Percentage of monitored states reporting information on each indicator in the state’s accountability system and the list of schools identified for comprehensive support and improvement and targeted support and improvement.		↑ INCREASE	
Baseline / Baseline Year	Out-Year TARGETS		
2019	2018	2019	2020
SY 2017-18 <b>TBD</b>	<b>N/A</b>	Baseline Year	SY 2018-19 <b>TBD</b>

**1.2.G** Although both of the metrics for timeliness (1.2.F) and completeness (1.2.G) relate to the same school years, there are timing anomalies that impact when the data are reported.

**Data Source and Frequency of Collection:** OESE Title I monitoring reports of ESSA state report cards; Annually.

N/A = Not applicable

TBD = To be determined

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**Strategic Objective 1.3**

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

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

**Implementation Strategies:**

Well-rounded education programs are critical to preparing students for college and careers. Access to accelerated coursework to earn postsecondary credit while still in high school, such as Advanced Placement and International Baccalaureate courses, dual or concurrent enrollment



programs, as well as to STEM opportunities and career and technical education is critical for students as they prepare for the transition to college and career and the constantly changing career demands of the technology-driven global economy.

**Next Steps:**

Several offices across the Department support this Strategic Objective, including OCTAE, OESE, OPEPD, OCR and OSERS. During FY 2018 and FY 2019, the Department will:

- Provide technical assistance to recipients and subrecipients of funds under:
  - The *Adult Education and Family Literacy Act* to improve program management and participant outcomes.
  - The *Carl D. Perkins Career and Technical Education Act* to improve program management and participant outcomes.
- Conduct outreach related to the [\*President’s Memorandum on STEM education\*](#), which calls for investing \$200 million annually in high-quality STEM education, with an emphasis on computer science.
- Use the proposed Secretary’s Supplemental Priority on STEM in discretionary grant programs, when appropriate and consistent with the program’s authorizing statute.
- Develop guidance and activities regarding transition services and pre-employment transition services for students and youth with disabilities.
- Provide technical assistance to support state special education and Vocational Rehabilitative staff to provide transition services and pre-employment transition services to youth with disabilities.
- Utilize the Parent Training and Information Centers to provide parents with technical assistance, information, and training about disabilities under IDEA, IDEA rights and protections and other relevant laws.

**Performance Measures:**

1.3.A Number of discretionary grant notices with STEM as a priority.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	FY 2020
<b>3</b>	<b>8</b>	<b>9</b>	<b>10</b>

**Data Source and Frequency of Collection:** Program offices holding discretionary grant competitions each year (including OESE, OII, OSERS, OPE, OCTAE, IES, and OELA); Annually.

1.3.B Number of public high school students by graduating cohort who have taken at least one Advanced Placement (AP) Science, Technology, Engineering, Mathematics (STEM) exam while in high school.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
SY 2015-16 <b>622,553</b>	SY 2016-17 <b>653,681</b>	SY 2017-18 <b>Prior Year + 5%</b>	SY 2018-19 <b>Prior Year + 5%</b>

**1.3.B** The following AP exams included in this metric are Biology, Chemistry, Environmental Science, Physics B, Physics C: Electricity and Magnetism, Physics C: Mechanics Based, Calculus AB, Calculus BC, Computer Science A, and Statistics.

The targets indicate a percent increase of 5% over the prior year versus a percentage point increase.

**Data Source and Frequency of Collection:** College Board; Annually.

1.3.C Number of public high school students by graduating cohort who have taken at least one Advanced Placement (AP) Science, Technology, Engineering, Mathematics (STEM) exam while in high school and score a 3 or better.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
SY 2015-16 <b>339,784</b>	SY 2016-17 <b>356,773</b>	SY 2017-18 <b>Prior Year + 5%</b>	SY 2018-19 <b>Prior Year + 5%</b>

**1.3.C** The following AP exams included in this metric are Biology, Chemistry, Environmental Science, Physics B, Physics C: Electricity and Magnetism, Physics C: Mechanics Based, Calculus AB, Calculus BC, Computer Science A, and Statistics.

The targets indicate a percent increase of 5% over the prior year versus a percentage point increase.

**Data Source and Frequency of Collection:** College Board; Annually.

1.3.D Percentage of adult education participants in adult basic education programs who achieve a measurable skill gain.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2018	2018	2019	2020
FY 2018 <b>TBD</b>	Baseline Year	FY 2019 <b>TBD</b>	FY 2020 <b>TBD</b>

**Data Source and Frequency of Collection:** National Reporting System (NRS) for Adult Education; Annually.

1.3.E Percentage of adult education participants who obtain a secondary school diploma or its equivalent and are employed or enrolled in an education or training program within one year following exit.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2019	2018	2019	2020
FY 2019 <b>TBD</b>	<b>N/A</b>	Baseline Year	FY 2020 <b>TBD</b>

**Data Source and Frequency of Collection:** NRS for Adult Education; Annually.

1.3.F Percentage of secondary career and technical education (CTE) concentrators who attain a secondary school diploma, a General Education Development credential or other state-recognized equivalent (including recognized alternative standards for individuals with disabilities), or a proficiency credential, certificate, or degree, in conjunction with a secondary school diploma.		↑ INCREASE	
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2016	FY 2017	FY 2018	FY 2019
<b>95.81%</b>	<b>96%</b>	<b>96%</b>	<b>96%</b>

**Data Source and Frequency of Collection:** State Consolidated Annual Reports (CARs) for the *Carl D. Perkins Career and Technical Education Act*; Annually.

N/A = Not applicable

TBD = To be determined

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**Strategic Objective 1.4**

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

**Strategic Objective Leader:** Director of Policy and Program Studies Service, OPEPD

**Implementation Strategies:**

A greater focus on evidence of what works for educators will help better serve students, families, and communities. This Strategic Objective aims to support the development of evidence about what works in P-12 education, primarily through expanded support for SEAs and LEAs as they implement provisions in the ESSA that require the use of evidence when determining what education interventions to implement.

**Next Steps:**

Several offices across the Department support this Strategic Objective, including OPEPD, OSERS, OESE and the Institute of Education Sciences (IES). During FY 2018 and FY 2019, the Department will:

- Collaborate with internal and external partners to disseminate resources related to use of evidence.
- Utilize the Parent Training and Information Centers to provide parents with technical assistance, information and training about disabilities, IDEA rights and protections, and other relevant laws.
- Support state work related to the State Systematic Improvement Plan (SSIP) to promote increased state capacity in evaluating the efficacy, fidelity of implementation and impact of evidence-based practices.
- IES, through its National Center for Education Research and National Center for Special Education Research, will:
  - Announce the FY 2018 funding opportunity for Small Business Innovation Research, and

- Announce FY 2019 funding opportunities for Education Research, Special Education Research, and Partnerships and Collaborations Focused on Problems of Practice or Policy.
- Release What Works Clearinghouse products on what is known about the effectiveness of various P-12 educational interventions.

**Performance Measure:**

1.4.A Number of technical assistance engagements, events or related activities or products focused on the grantees' use of evidence in kindergarten through grade 12 education.		↑ INCREASE	
Baseline / Baseline Year	Out-Year TARGETS		
2018	2018	2019	2020
SY 2017-18	Baseline Year	SY 2018-19	SY 2019-20
<b>TBD</b>		<b>Prior Year +15%</b>	<b>Prior Year +15%</b>

**1.4.A.** The targets indicate a percent increase of 15% over the prior year versus a percentage point increase.

**Data Source and Frequency of Collection:** Department of Education offices that deliver technical assistance; Annually.

N/A = Not applicable

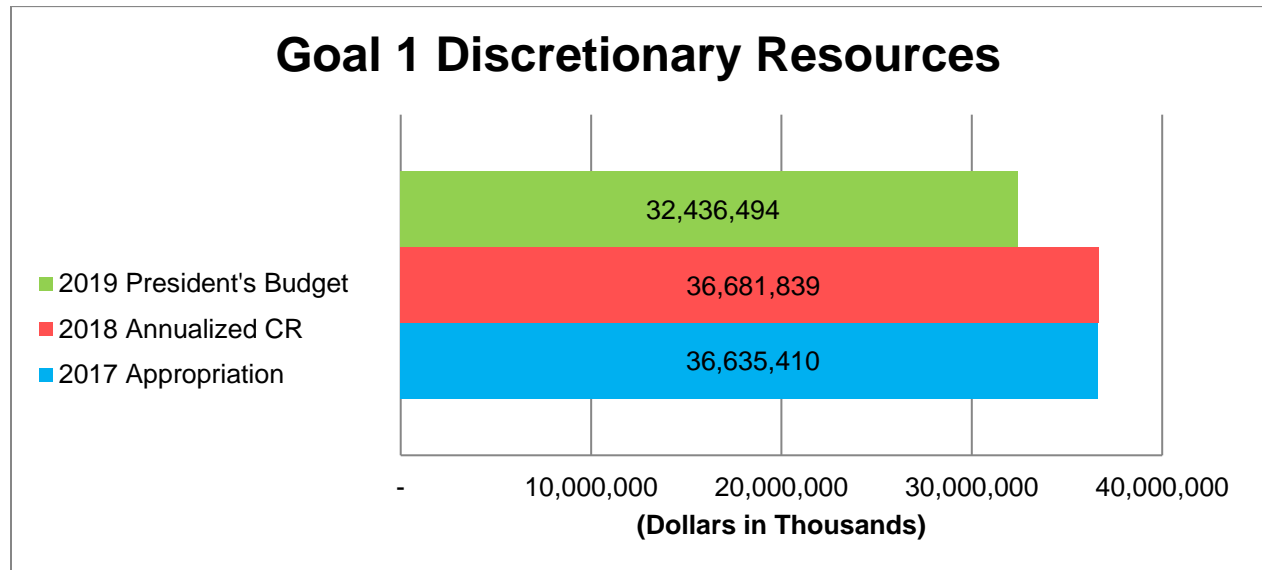
TBD = To be determined

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**Note on performance metrics and targets:** These metrics were established as a part of the development of *FY 2018-22 Strategic Plan*. Metrics may be updated or revised in the future. Such updates or revisions will be identified in footnotes.



## Goal 1 Discretionary Resources



## Major Discretionary Programs and Activities Supporting Goal 1

POC	ACCT	Goal #	Obj #	Program	FY 2017 Appropriation	FY 2018 Annualized CR	FY 2019 President's Budget
OESE	ED	1	1.2, 1.3, 1.4	Title I Grants to local educational agencies	15,386,180	15,428,437	15,459,802
OESE	SIP	1	1.2, 1.4	State assessments	369,100	366,593	369,100
OII	I&I	1	1.1, 1.2	Opportunity Grants (proposed legislation)	-	-	500,000
OII	I&I	1	1.1, 1.2	Charter schools grants	342,172	339,848	500,000
OSERS	SE	1	1.1, 1.2, 1.4	Special education grants to States	11,939,805	11,984,380	12,002,848

**Note:** On February 9, 2018, the President signed the *Bipartisan Budget Act of 2018*, which includes a two-year cap deal that raises the FY 2019 spending caps significantly. As such, the Administration submitted an addendum to its FY 2019 Budget that includes additional funding for a limited set of Administration priorities under the new, higher cap levels. Please see <https://www2.ed.gov/about/overview/budget/budget19/index.html> for final levels in the FY 2019 Budget.

## Strategic Goal 2

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

**Goal leader:** Assistant Secretary for Postsecondary Education

### Strategic Objective 2.1

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

**Strategic Objective Leader:** Deputy Assistant Secretary for Management and Planning, Office of Postsecondary Education (OPE)

### Implementation Strategies:

The Department recognizes there are multiple, diverse routes to postsecondary education and employment and, under this Strategic Objective, seeks to support access to these educational opportunities and their completion for students at all stages of life. To that end, the Department will support the educational institutions that advance such opportunities through the administration of federal programs and the provision of technical assistance. Additionally, the Department will leverage opportunities to enhance the dissemination of information about these programs and to work collaboratively with partners to improve institutional oversight.

The Department will focus on improved utilization of discretionary grant funding so that grantees can fully achieve program goals and best serve students. A key indicator of program activity is drawdown of funds from grants that have been awarded. The Department will improve utilization of federal funding in monitoring the number of grantees with large available balances and providing technical assistance to those grantees to remedy such balances.

A key indicator of successful administration of a grant program is fulfillment of all statutory requirements. The Department will monitor compliance with reporting and other requirements and assess whether adequate financial and human capital resources are in place to conduct mandated activities.

### Next Steps:

Several offices across the Department support this Strategic Objective, including the OPE, OPEPD, FSA, and OCR. During FY 2018 and FY 2019, the Department will:

- Provide technical assistance to Congress, as requested, to inform the reauthorization of the Higher Education Act – such technical assistance includes reviewing draft legislation or policies for technical accuracy as well as providing information as to the impact of such proposals.
- Amend Title IX regulations to protect all students from harassment and violence by utilizing the federal rulemaking process to seek public comment on proposed regulations.

- Strengthen grants management practices to maximize the impact of the Department’s discretionary grants portfolio.
- Conduct, as appropriate and necessary, negotiated rulemaking to ensure the development of regulations that are fair, efficient, and effective for all affected parties.
- Automate applicable College Scorecard measures within the National Student Loan Data System.
- Release College Scorecard information, including earnings, annually.
- Promote promising postsecondary enrollment strategies designed to improve postsecondary success.
- Provide resources and tools to parents and students to increase awareness and understanding of their rights, and to schools, colleges, and universities to increase awareness and understanding of their obligations, under federal civil rights laws by increasing the number of OCR technical assistance presentations and releases of public information.
- Promote first-time FAFSA filing among high school seniors, to increase access to postsecondary education.
- Improve the FAFSA-filing experience for first time aid recipients, to improve persistence among first-time FAFSA filers.

**Performance Measures:**

2.1.A Percentage of OPE grantees with large available balances.			↓ DECREASE
Baseline / Baseline Year	Out-Year TARGETS		
2018	2018	2019	2020
FY 2018	Baseline Year	FY 2019	FY 2020
TBD		TBD	TBD

**2.1.A.** The programs will mostly be the same but in different stages. Year 1 of a program tends to look very different because of startup. The final year tends to look very different because a grantee spends down its remaining funds.

**Data Source and Frequency of Collection:** The Department’s Grants Management System G5; Quarterly.

2.1.B Percentage of OPE grantees with large available balances that received technical assistance resulting in “Resolved with Good Explanation.”			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2018	2018	2019	2020
FY 2018	Baseline Year	FY 2019	FY 2020
TBD		100%	100%

**Data Source and Frequency of Collection:** The Department’s Grants Management System G5; Annually.

2.1.C Percentage of annual statutory requirements for OPE programs that are fulfilled by OPE.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2018	2018	2019	2020
FY 2018	Baseline Year	FY 2019	FY 2020
<b>TBD</b>		<b>TBD</b>	<b>TBD</b>

**2.1.C** Anticipating Congressional reauthorization of the Higher Education Act in FY 2018, the Department cannot anticipate the number or type of mandated reporting requirements in the new statute, thereby making the establishment of a baseline not possible until FY 2020 as FY 2019 will be a transition year.

**Data Source and Frequency of Collection:** The Department’s Grants Management System G5; Annually.

2.1.D Percentage of first-time FAFSA filers among high school seniors			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	FY 2020
<b>60.20%</b>	<b>66.4%</b>	<b>TBD</b>	<b>TBD</b>

**Data Source and Frequency of Collection:** FSA’s Central Processing System; Annually.

2.1.E Persistence among first-time filing aid recipients			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	FY 2020
<b>82.6%</b>	<b>82.6%</b>	<b>TBD</b>	<b>TBD</b>

**Data Source and Frequency of Collection:** FSA’s Common Origination and Distribution system; Annually.

N/A = Not applicable

TBD = To be determined

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**Strategic Objective 2.2**

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

**Strategic Objective Leader:** Director of Policy and Program Studies Service, OPEPD

**Implementation Strategies:**

The Department is committed to improving educational opportunities for the existing and future workforce. As such, this Strategic Objective focuses on the administration of federal programs that provide educational opportunities, training, and support services to the workforce as well as the use of evidence. It is also essential that the Department fulfill its commitment to individuals with disabilities by working with state and local agencies to provide job-driven training and support services, consistent with the *Workforce Innovation and Opportunity Act*.

**Next Steps:**

Several offices across the Department support this Strategic Objective, including the OPE, OPEPD, IES, OSERS, and OCTAE. During FY 2018 and FY 2019, the Department will:

- Strengthen grants management practices to maximize the impact of the Department's discretionary and formula grants portfolio.
- Leverage discretionary grant competitions to promote the use of evidence-based and promising practices.
- Launch a CTE research network to increase the number of high-quality, causal studies on CTE practices, policies, and programs.
- Provide technical assistance to states and adult education providers to promote the effective implementation of Integrated English Literacy and Civics Education program activities that prepare individuals for unsubsidized employment in in-demand industries and occupations.
- Provide assistance to states to increase apprenticeship opportunities for high school CTE students.
- Highlight Career Pathways for Individuals with Disabilities demonstration grant projects funded by OSERS.
- Announce FY 2019 funding opportunities for Education Research and Special Education Research and Partnerships and Collaborations Focused on Problems of Practice or Policy.
- Release reports and What Works Clearinghouse products that describe what is known about effective programs or practices in postsecondary education.
- Promote promising postsecondary enrollment strategies designed to improve postsecondary success.

**Performance Measures:**

2.2.A Number of technical assistance events or activities and products focused on the use of evidence in federal programs that promote educational opportunities, training, and support services for the workforce.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2018	2018	2019	2020
FY 2018	Baseline Year	FY 2019	FY 2020
TBD		Prior Year + 10%	Prior Year + 10%

**2.2.A** The targets indicate a percent increase of 10% over the prior year versus a percentage point increase.

**Data Source and Frequency of Collection:** Department of Education offices that deliver technical assistance; Quarterly.

2.2.B Percentage of adult education program participants who are in unsubsidized employment during the second quarter after exit from the program.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2019	2018	2019	2020
FY 2019		Baseline Year	FY 2020
TBD	N/A		TBD

**Data Source and Frequency of Collection:** NRS for Adult Education; Annually.

2.2.C Percentage of VR participants who are in unsubsidized employment during the second quarter after exit from the program.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2020	2018	2019	2020
Program Year (PY) 2020			Baseline Year
TBD	N/A	N/A	

**Data Source and Frequency of Collection:** RSA 911 Vocational Rehabilitation Case Service Report; Quarterly.

2.2.D Percentage of VR program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2020	2018	2019	2020
PY 2020			Baseline Year
TBD	N/A	N/A	

**Data Source and Frequency of Collection:** RSA 911 Vocational Rehabilitation Case Service Report; Quarterly.

N/A = Not applicable  
 TBD = To be determined

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### Strategic Objective 2.3

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

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

#### Implementation Strategies:

It is critical that we ensure our nation's workforce is prepared to meet the challenges of tomorrow with the skills and credentials that employers require, which can be achieved by creating or expanding innovative paths to recognized postsecondary credentials or obtainment of job-ready skills for careers in in-demand industry sectors or occupations. Such credentials may be obtained by students at a wide variety of education providers, such as traditional IHEs, non-traditional education providers, and other providers of self-guided learning. Through this Strategic Objective, the Department will provide grant funding and technical assistance resources to develop, evaluate, and replicate practices and programs that expand access to viable educational and career pathways that are innovative and affordable and lead to educated citizens with quality careers.

#### Next Steps:

Several offices across the Department support this Strategic Objective, including the OPE, OCTAE and OSERS. During FY 2018 and FY 2019, the Department will:

- Provide technical assistance to:
  - Minority-serving community colleges in forming peer-to-peer communities of practice and sharing information.
  - Community colleges in embedding cumulative, industry-recognized credentials within technical associate degree programs that enable students to advance along a career pathway to different and potentially higher-paying jobs.
  - Recipients and subrecipients of funds under the *Adult Education and Family Literacy Act* to improve program management and participant employment outcomes.
  - Improve the CTE and other outcomes of justice-involved young adults (ages 16–24) in diversion programs that are alternatives to initial or continued processing in the criminal justice system.
- Assist state vocational rehabilitation agencies to develop the skills and processes needed to meet the requirements of the *Workforce Innovation and Opportunity Act* by providing training and technical assistance through various grants: (1) Workforce Innovation Technical Assistance Center; (2) Vocational Rehabilitation Technical Assistance Center – Youth with Disabilities; (3) Vocational Rehabilitation Technical Assistance Center – Targeted Communities; and (4) Vocational Rehabilitation Agency Program Evaluation and Quality Assurance.
- Support IHEs to provide support to individuals to obtain a degree in rehabilitation counseling.

**Performance Measures:**

2.3.A Number of technical assistance activities, sponsored by the Department, intended to expand or enhance the integration of workforce preparation activities within academic instruction in adult education classrooms.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	FY 2020
<b>3</b>	<b>6</b>	<b>12</b>	<b>12</b>

**Data Source and Frequency of Collection:** Quarterly Progress Reports from Contractor; Quarterly

2.3.B Percentage of adult education participants enrolled in an integrated education and training (IET) program.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2018	2018	2019	2020
FY 2018	Baseline Year	FY 2019	FY 2020
<b>TBD</b>		<b>TBD</b>	<b>TBD</b>

**Data Source and Frequency of Collection:** NRS for Adult Education; Annually.

2.3.C Percentage of postsecondary CTE concentrators who received an industry-recognized credential, a certificate, or a degree.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2016	FY 2017	FY 2018	FY 2019
<b>54.9%</b>	<b>55%</b>	<b>56%</b>	<b>56%</b>

**Data Source and Frequency of Collection:** State Consolidated Annual Reports (CARs) for the *Carl D. Perkins Career and Technical Education Act*; Annually.

N/A = 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.

**Strategic Objective 2.4**

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

**Strategic Objective Leader:** Chief Operating Officer, Federal Student Aid (FSA)

**Implementation Strategies:**

To improve the way the Department serves its customers, the Department will modernize the loan-servicing environment by taking the best ideas and capabilities available and putting them

to work for Americans with federal student loans. This Strategic Objective focuses on the customer service provided by the Department to students, parents, borrowers, and institutions. The Department will deliver a best-in-class processing and servicing environment capable of sustaining the management of the growing federal student loan portfolio.

**Next Steps:**

During FY 2018 and FY 2019, the FSA will:

- Ensure accurate and timely information is available and promoted through the Department’s multiple engagement and information dissemination channels.
- Provide information geared toward the needs of students at each stage of the student aid life cycle.
- Oversee and monitor non-default federal student loan servicers to ensure they meet the requirements in their contracts.
- Ensure the Department’s non-default federal student loan servicers have websites that borrowers can use to log on, view their loan information, make a payment, and complete other transactions.
- Ensure the Department’s non-default federal student loan servicers communicate with borrowers who are in repayment and are past due.
- Conduct outreach efforts to student loan borrowers and perform listening sessions of customer-call center interactions to ascertain areas for continual improvement in service and the customer experience.

**Performance Measures:**

2.4.A Number of non-default federal loan servicers’ call centers with expanded hours.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	
0	All nine servicers will offer expanded hours (7 am to 11 pm ET).	All servicers will offer expanded hours (7am to 2 am ET).	N/A

2.4.A This metric is aligned with an FY 2018-19 APG.

**Data Source and Frequency of Collection:** Federal servicers quarterly reports; Quarterly.

2.4.B Number of call centers that meet or exceed the quality standard for average speed to answer (ASA).			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	
Average monthly ASA was 76.9 seconds.	All nine servicers will meet or exceed ASA less than or equal to 70 seconds.	All servicers will meet or exceed ASA less than or equal to 60 seconds.	N/A

2.4.B This metric is aligned with an FY 2018-19 APG. The ASA quality standard improves (i.e. decreases) every year. However, overall the metric is to increase the number of centers that meet or exceed the quality standard.

**Data Source and Frequency of Collection:** Federal servicers quarterly reports; Quarterly.



2.4.C Number of call centers that meet or exceed the quality standard for average abandon rate (AR) for incoming calls.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017 <b>Average monthly AR was 3.8%.</b>	FY 2018 <b>All nine servicers will meet or exceed AR less than or equal to 3.50%.</b>	FY 2019 <b>All servicers will meet or exceed AR less than or equal to 3.00%.</b>	N/A

**2.4.C** This metric is aligned with an FY 2018-19 APG. The AR quality standard improves (i.e. decreases) every year. However, overall the metric is to increase the number of centers that meet or exceed the quality standard.

**Data Source and Frequency of Collection:** Federal servicers quarterly reports; Quarterly.

2.4.D ACSI Aid Life Cycle Surveys			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017 <b>69.9%</b>	FY 2018 <b>69.9%</b>	FY 2019 <b>TBD</b>	FY 2020 <b>TBD</b>

**Data Source and Frequency of Collection:** FSA's Customer Satisfaction Surveys; Annually.

N/A = 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.

### Strategic Objective 2.5

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

**Strategic Objective Leader:** Chief Operating Officer, FSA

#### Implementation Strategies:

A comprehensive framework for default prevention that allows students to understand and access information about college options and associated costs, loan counseling and guidance, support for retention, loan repayment options and borrower benefits is critical. The Department will develop materials that clearly communicate students' and parents' options to repay federal student loans before and during the course of pursuing a postsecondary credential.

**Next Steps:**

Several offices across the Department support this Strategic Objective, including FSA and OPE. During FY 2018 and FY 2019, the Department will:

- Monitor and report on non-default federal student loan servicers' performance.
- Focus on reducing the number of delinquent borrowers.
- Address Borrower's Defense regulations.
- Address Gainful Employment regulations.
- Maintain and improve the [Studentaid.gov](http://Studentaid.gov), [FinancialAidToolkit.ED.gov](http://FinancialAidToolkit.ED.gov) and [CollegeCost.ED.gov](http://CollegeCost.ED.gov) websites.
- Leverage our digital engagement assets to inform, motivate and respond to students, parents, and financial aid professionals on the topic of student loans.
- Engage with financial aid professionals to provide training and information on the tools, resources, and information they need to be successful in counseling current and prospective student loan borrowers.
- Partner with minority serving institutions to help increase the financial aid acumen of students and parents.
- Ensure student borrowers receive exit counseling when they complete their degree program, withdraw, or enroll at less than half time.

**Performance Measures:**

2.5.A Percentage of borrowers that are more than 30 days delinquent.			↓ DECREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017 <b>18.4%</b>	FY 2018 <b>18.05%</b>	FY 2019 <b>Achieve a 0.5% reduction in borrowers that are more than 30 days delinquent.</b>	FY 2020 <b>Achieve a 0.5% reduction in borrowers that are more than 30 days delinquent.</b>

**Data Source and Frequency of Collection:** FSA's Data Warehouse, Annually.

2.5.B Percentage of borrowers that are more than 90 days delinquent.			↓ DECREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017 <b>10.9%</b>	FY 2018 <b>10.7%</b>	FY 2019 <b>Achieve a 0.2% reduction in borrowers that are more than 90 days delinquent.</b>	FY 2020 <b>Achieve a 0.2% reduction in borrowers that are more than 90 days delinquent.</b>

**Data Source and Frequency of Collection:** FSA's Data Warehouse; Annually.

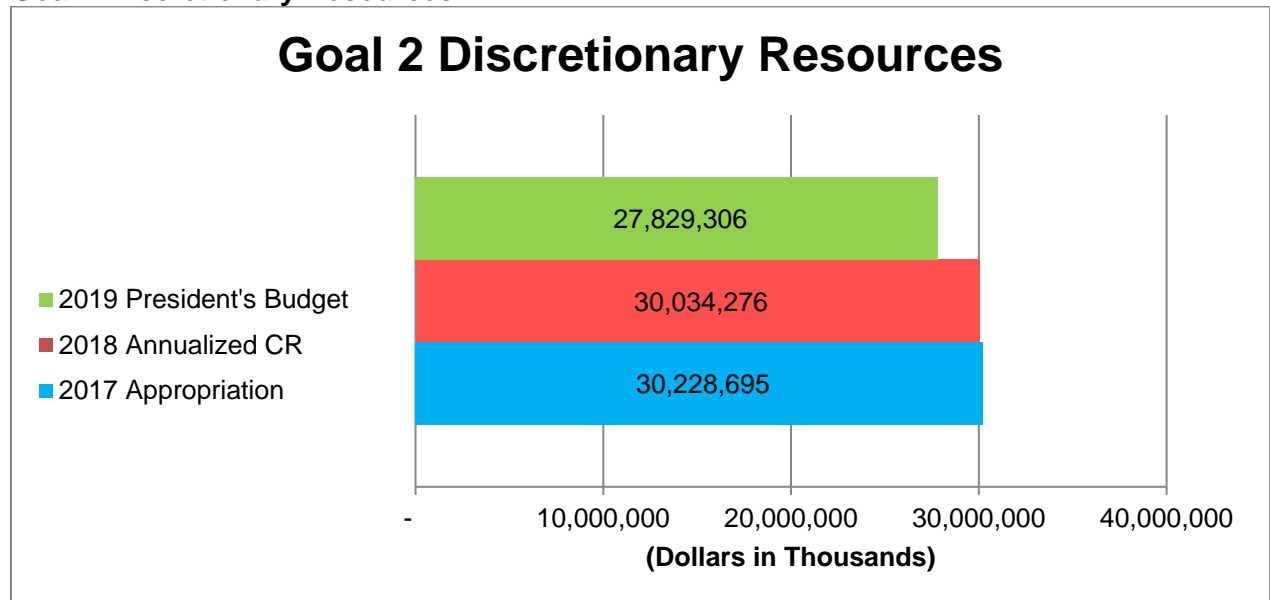
N/A = Not applicable

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.

**Note on performance metrics and targets:** These metrics were established as a part of the development of *FY 2018-22 Strategic Plan*. Metrics may be updated or revised in the future. Such updates or revisions will be identified in footnotes.

**Goal 2 Discretionary Resources**



**Major Discretionary Programs and Activities Supporting Goal 2**

POC	ACCT	Goal #	Obj #	Program	FY 2017 Appropriation	FY 2018 Annualized CR	FY 2019 President's Budget
FSA	SFA	2	2.1, 2.3	Federal Pell grants: Discretionary	22,475,352	22,322,722	22,475,352
OCTAE	CTAE	2	2.1, 2.3	Career and technical education State grants	1,112,226	1,115,380	1,117,598
OPE	HE	2	2.1	Strengthening HBCUs	244,694	243,032	244,694
OPE	HE	2	2.1, 2.2, 2.3	Federal TRIO programs	950,000	943,549	550,000

**Note:** On February 9, 2018, the President signed the *Bipartisan Budget Act of 2018*, which includes a two-year cap deal that raises the FY 2019 spending caps significantly. As such, the

Administration submitted an addendum to its FY 2019 Budget that includes additional funding for a limited set of Administration priorities under the new, higher cap levels. Please see <https://www2.ed.gov/about/overview/budget/budget19/index.html> for final levels in the FY 2019 Budget.

## Strategic Goal 3

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

**Goal leader:** Assistant Secretary for Planning, Evaluation, and Policy Development

### Strategic Objective 3.1

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

**Strategic Objective Leader:** Associate Commissioner, Administrative Data Division, National Center for Education Statistics, IES

#### Implementation Strategies:

This Strategic Objective focuses on the data that the Department collects and opportunities to enhance the Department's data management framework and internal capacity. The main goal of improving data management is to clarify the roles and procedures used to optimize data integrity and quality. The strategies behind this objective guide the Department's activities to develop and support the highly skilled workforce capacity necessary to execute these improvements. As a result, parents, communities, and the Department's state and local partners will be more inclined to make more informed decisions on behalf of their children and communities.

#### Next Steps:

Several offices across the Department support this Strategic Objective, including IES, OPEPD, and the Office of the Chief Information Officer. During FY 2018 and FY 2019, the Department will:

- Assess the current maturity of data management practices within the Department's program offices and work with program offices to identify and prioritize areas of improvement.
- Deliver training curricula for data professionals within the Department to continue to develop a highly skilled workforce throughout the Department to facilitate the accurate and appropriate use of data.
- Explore improvements in the Department's operating structure that would facilitate better data practice.
- Improve the Department's data governance, data life management, and the capacity to support education data through varied efforts that include developing an open source data analysis software package called EdSurvey (currently available for NAEP data) for international assessment data.



**Performance Measures:**

3.1.A Number of data management activities for which Department-wide procedures or templates have been created and reviewed through the Data Strategy Team (DST).			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	FY 2020
0	3	6	8

**Data Source and Frequency of Collection:** Minutes from Monthly Data Strategy Team (DST) meetings; Quarterly.

3.1.B Number of Department program offices participating in DST offered data management training.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	FY 2020
11	18	20	22

**Data Source and Frequency of Collection:** Minutes from Monthly DST meetings; Quarterly.

N/A = Not applicable

TBD = To be determined

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**Strategic Objective 3.2**

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

**Strategic Objective Leader:** Chief Privacy Officer, Office of Management (OM)

**Implementation Strategies:**

The Department is committed to student privacy. While education data have transformative potential, the vast amount and sensitivity of these data make it imperative that the Department and educational institutions that maintain student data take steps to protect the data adequately. This Strategic Objective focuses on improving privacy protections through the administration of the *Family Educational Rights and Privacy Act* (FERPA), the development and dissemination of privacy and security training, and conducting technical assistance to SEAs, LEAs, and IHEs. The APG for this goal focuses on data security at institutions of higher education, using auditing, training, and reporting as tools.

**Next Steps:**

Several offices across the Department support this Strategic Objective, including the Office of the Chief Privacy Officer (OCPO), FSA, IES, Office of the General Counsel (OGC) and all of the Department’s program offices. During FY 2018 and FY 2019, the Department will:

- Administer FERPA, with a focus on improving the timeliness of both enforcement actions and policy determinations.
- Provide needed assistance to educational institutions via the Privacy Technical Assistance Center.
- Provide support, including outreach and compliance efforts, to external partners.

**Performance Measures:**

3.2.A Number of Institutions of Higher Education (IHE) that have an audit of GLBA-related information security safeguards which result in no significant findings			↑ INCREASE	
Baseline / Baseline Year	Out-Year TARGETS			
2017	2018	2019	2020	
FY 2017	FY 2018	FY 2019	FY 2020	
0	18	36	77	

**3.2.A** This metric is aligned with an FY 2018-19 APG.

**Data Source and Frequency of Collection:** IHE-provided auditor reports; Quarterly.

3.2.B Number of outreach activities targeting data privacy and IT security requirements of institutions of higher education.			↑ INCREASE	
Baseline / Baseline Year	Out-Year TARGETS			
2017	2018	2019	2020	
FY 2017	FY 2018	FY 2019	FY 2020	
12	14	17	20	

**3.2.B** This metric is aligned with an FY 2018-19 APG.

**Data Source and Frequency of Collection:** Outreach activity records maintained by the Privacy Technical Assistance Center; Quarterly.

3.2.C Percentage of LEA websites from statistically representative sample reviewed for inclusion of transparency best practices and compliance with legal requirements relating to third party contracting.			↑ INCREASE	
Baseline / Baseline Year	Out-Year TARGETS			
2018	2018	2019	2020	
FY 2018	Baseline Year	FY 2019	FY 2020	
TBD		35%	60%	

**Data Source and Frequency of Collection:** Selected LEA public websites; Quarterly (except for FY 2018 while the baseline is being established).

N/A = Not applicable

TBD = To be determined

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### Strategic Objective 3.3

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

**Strategic Objective Leader:** Director of Policy and Program Studies Service, OPEPD

#### Implementation Strategies:

For education data to be used to support informed decisions, the Department will need to develop and implement methods to analyze, visualize, interpret, and represent education data and support education stakeholders in doing the same. This Strategic Objective focuses on increasing access to education data at all levels, and improving the tools necessary to support the appropriate use of education data for decision-making by the Department and education stakeholders.

#### Next Steps:

Several offices across the Department support this Strategic Objective, including IES, OPEPD, OET, OCR, OCPO, and OSERS. During FY 2018 and FY 2019, the Department will:

- Improve the usefulness of the [NAEP](#) data for informed decision-making in the education community through analysis and reporting of a new type of data produced by the new NAEP digitally based assessments. The new digital format produces data on actions students take in responding to assessment questions.
- Conduct outreach and provide support to LEAs to prepare for the 2017-18 CRDC data submission period to increase data access and use.
- Review data provided by grant recipients and provide technical assistance on data quality and use.
- Expand the InformED initiative to further develop the Department's open data infrastructure.
- Ensure Accountability and Audit Resolution Tracking System (AARTS) system data are secure, accurate and reliable.
- Improve access to NCES' extensive sample-survey data by integrating nine additional data sets on topics ranging from early childhood to postsecondary education into its public facing Datalab tool.
- Provide training, coaching and applied research assistance to SEA and LEA staff through the Regional Educational Laboratory program to assist with the analysis of education data.
- Increase the Department's awareness and appropriate use of:
  - The [Open Licensing Requirement for Competitive Grant Programs](#) and associated exemptions.
  - Data dissemination requirements in grants competitions.
  - Sessions dedicated to improved data use for external audiences.
- Complete a feasibility study on improvements to the open data IT infrastructure at the Department.

- Ensure current links to machine readable data sources in the Public Data Listing are accurate and complete.
- Encourage offices to include releasing data in a machine-readable format into their data dissemination plans.

**Performance Measures:**

3.3.A Number of sessions dedicated to improved data use provided to external grantees and stakeholders presented by Department employees or their contractors, or occurring at Department hosted events.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2018	2018	2019	2020
FY 2018	Baseline Year	FY 2019	FY 2020
<b>TBD</b>		<b>4</b>	<b>6</b>

**Data Source and Frequency of Collection:** PPSS records; Quarterly.

3.3.B Number of newly added publicly available datasets in machine readable formats.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2018	2018	2019	2020
FY 2018	Baseline Year	FY 2019	FY 2020
<b>TBD</b>		<b>8</b>	<b>12</b>

**Data Source and Frequency of Collection:** The Department’s Public Data Listing; Quarterly.

3.3.C Percentage of discretionary grant competitions that include the requirement to openly license to the public copyrightable grant deliverables created with Department grant funds.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2018	2018	2019	2020
FY 2018	Baseline Year	FY 2019	FY 2020
<b>TBD</b>		<b>80%</b>	<b>90%</b>

**Data Source and Frequency of Collection:** Information Collection Packages; Annually.

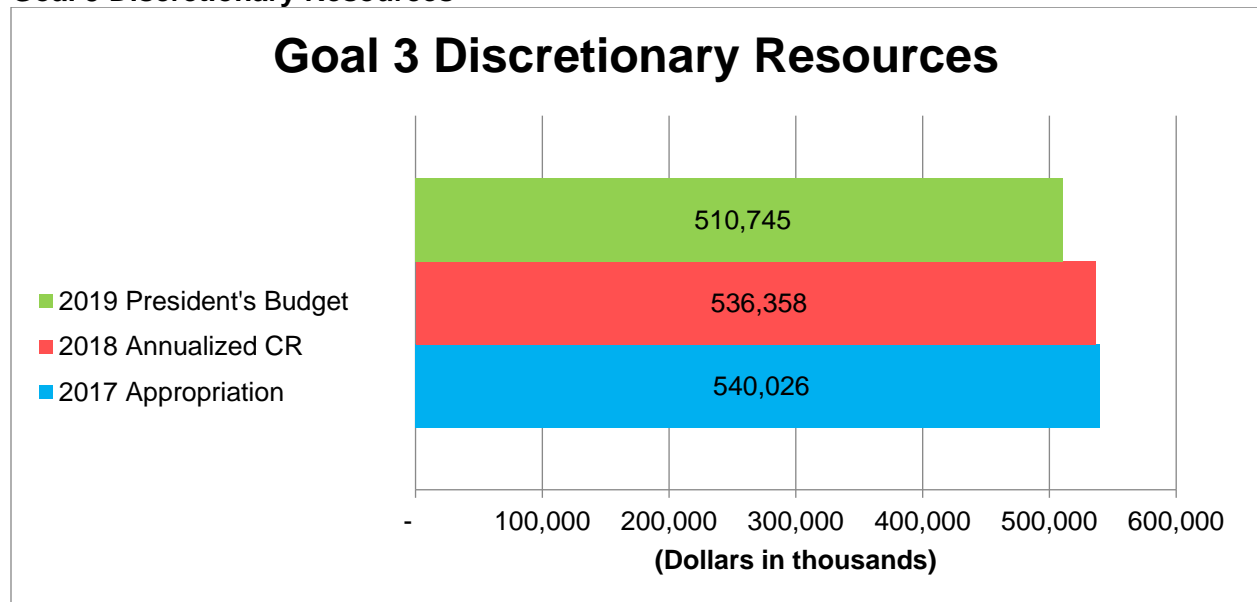
N/A = Not applicable

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.

**Note on performance metrics and targets:** These metrics were established as a part of the development of *FY 2018-22 Strategic Plan*. Metrics may be updated or revised in the future. Such updates or revisions will be identified in footnotes.

## Goal 3 Discretionary Resources



## Major Discretionary Programs and Activities Supporting Goal 3

POC	ACCT	Goal #	Obj #	Program	FY 2017 Appropriation	FY 2018 Annualized CR	FY 2019 President's Budget
IES	IES	3	3.1, 3.2, 3.3	Research, development, and dissemination	187,500	186,227	187,500
IES	IES	3	3.1, 3.2, 3.3	Statistics	109,500	108,756	112,500
IES	IES	3	3.1, 3.2, 3.3	National assessment	149,000	147,988	149,000

**Note:** On February 9, 2018, the President signed the *Bipartisan Budget Act of 2018*, which includes a two-year cap deal that raises the FY 2019 spending caps significantly. As such, the Administration submitted an addendum to its FY 2019 Budget that includes additional funding for a limited set of Administration priorities under the new, higher cap levels. Please see <https://www2.ed.gov/about/overview/budget/budget19/index.html> for final levels in the FY 2019 Budget.



## Strategic Goal 4

**Reform the effectiveness, efficiency and accountability of the Department.**

**Goal Leader:** Assistant Secretary for Management

### Strategic Objective 4.1

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

**Strategic Objective Leader:** Senior Counselor to the Secretary

### Implementation Strategies:

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

### Next Steps:

Given the importance of protecting taxpayers from waste and abuse, all Department offices support this Strategic Objective. During FY 2018 and FY 2019, the Department will continue to identify overly burdensome, outdated, unnecessary, or ineffective regulations and guidance that could be improved or eliminated.

### Performance Measures:

4.1.A Number of evaluations to identify potential EO 13771 deregulatory actions that included opportunity for public input and/or peer review.		↑ INCREASE	
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	FY 2020
0	6	2	TBD

**Data Source and Frequency of Collection:** Report to OMB; Biennially.

4.1.B Number of EO 13771 deregulatory actions recommended by the Regulatory Reform Task Force to the agency head, consistent with applicable law.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	FY 2020
<b>0</b>	<b>13</b>	<b>8</b>	<b>TBD</b>

**Data Source and Frequency of Collection:** Department Records; Biennially.

4.1.C Number of EO 13771 deregulatory actions issued that address recommendations by the Regulatory Reform Task Force.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	FY 2020
<b>0</b>	<b>13</b>	<b>8</b>	<b>TBD</b>

**Data Source and Frequency of Collection:** Federal Register and ed.gov; Biennially.

4.1.D Number of EO 13771 regulatory actions and, separately, EO 13771 deregulatory actions issued.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	FY 2020
<b>0</b>	<b>TBD</b>	<b>TBD</b>	<b>TBD</b>

**Data Source and Frequency of Collection:** Federal Register and ed.gov; Biennially.

4.1.E Total incremental cost of all EO 13771 regulatory actions and EO 13771 deregulatory actions (including costs or cost savings carried over from previous fiscal years).			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	FY 2020
<b>0</b>	<b>Annual Cost -\$3 million Present Value Cost -\$42.9 million</b>	<b>TBD</b>	<b>TBD</b>

**Data Source and Frequency of Collection:** Report to OMB; Annually.

4.1.F Number of significant deregulatory actions submitted to OMB, the number of actions reflected on reginfo.gov.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	FY 2020
0	2	2	N/A

4.1.F This metric is aligned with an FY 2018-19 APG.  
**Data Source and Frequency of Collection:** Reginfo.gov; Quarterly.

4.1.G Number of requests for significance determination of deregulatory actions submitted to OMB, the number of such requests submitted to OMB by e-mail.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	FY 2020
0	13	8	N/A

4.1.G This metric is aligned with an FY 2018-19 APG.  
**Data Source and Frequency of Collection:** E-mails between the Department and OMB; Quarterly.

N/A = 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.

**Strategic Objective 4.2**

Identify, assess, monitor and manage enterprise risks.

**Strategic Objective Leader:** Chief Financial Officer

**Implementation Strategies:**

Enterprise Risk Management (ERM) includes integrating existing risk management processes in day-to-day and strategic decision-making activities and creating a risk-aware culture. The Department will strengthen its ERM practices and foster open discussions about how those risks might impact the accomplishment of the Department’s mission and whether the Department’s allocation of resources is aligned to best mitigate risks.

**Next Steps:**

Given its focus on enterprise risk, all Department offices support this Strategic Objective. During FY 2018 and FY 2019, the Department will:

- Review and update the enterprise risk portfolio and develop an ERM framework aligned to the new Strategic Plan that incorporates other strategic risks as applicable.

- Assign accountability for managing enterprise risks to appropriate Department offices and senior officials.
- Integrate actions taken to address management challenges into the enterprise risk portfolio and in discussions about how they impact strategic objectives and performance.
- Develop and maintain an enterprise risk dashboard with leading indicators to inform risk management discussions.
- Hold routine Senior Management Council meetings to discuss key ERM documents, including the framework, profile, and dashboards, and how enterprise risks relate to management priorities, resource allocation decisions, and other critical issues such as cost estimates for student loans.
- Take actions to further strengthen the integration of the Department and FSA ERM efforts, leveraging consistent approaches to identify, assess, and determine mitigation strategies for enterprise risks.
- Improve the maturity level score of the Department’s Information Technology (IT) Security Program and Practices as they relate to *the Federal Information Security Modernization Act of 2014*.
- Take actions to integrate the Department’s ERM framework with the Internal Control Program.
- Implement a “Risk Management Tool-Kit” website on [ed.gov](http://ed.gov) to assist external grant recipients and staff in identifying, mitigating, and managing risks.

**Performance Measure:**

4.2.A Percentage of key indicators that show improvement in performance and risk management.		↑ INCREASE	
Baseline / Baseline Year	Out-Year TARGETS		
2018	2018	2019	2020
FY 2018	Baseline Year	FY 2019	FY 2020
<b>TBD</b>		<b>TBD</b>	<b>TBD</b>

**Data Source and Frequency of Collection:** Office of the Chief Financial Officer will calculate using data from various sources; Quarterly.

N/A = Not applicable

TBD = To be determined

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**Strategic Objective 4.3**

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

**Strategic Objective Leader:** Chief Information Officer

**Implementation Strategies:**

Improved cybersecurity will be a key contributor in ensuring the Department’s systems and data are protected, which will help build a strong foundation for the Department’s information

technology (IT) infrastructure. As such, the Department will provide proactive cybersecurity services, monitor and enhance threat intelligence capabilities, explore shared services and cloud capabilities, and improve its cybersecurity workforce.

**Next Steps:**

Given its focus on cybersecurity, all Department offices support this Strategic Objective. During FY 2018 and FY 2019, the Department will:

- Improve the maturity level score of the Department’s IT Security Program and Practices as they relate to the *Federal Information Security Modernization Act* of 2014.
- Assess the Department’s IT inventory.
- Lead the Education Department Acquisition Regulations Program, focusing on IT to strengthen and enhance cybersecurity and support *Federal Information Technology Acquisition Reform Act* (FITARA) compliance.
- Ensure all public internet connections are compliant with the Department of Homeland Security Trusted Internet Connections Reference Architecture, as amended.

**Performance Measure:**

4.3.A Maturity level score of the Department’s Information Technology (IT) Security Program and Practices as they relate to the Federal Information Security Modernization Act of 2014 (FISMA).		↑ INCREASE	
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	FY 2020
Identify (Level 3) Protect (Level 2) Detect (Level 2) Respond (Level 2) Recover (Level 2)	60% of security functions scored at or above Level 4 – Managed and Measurable	100% of security functions scored at or above Level 4 – Managed and Measurable	20% of security functions scored at Level 5 – Optimize and 80% remain at or above Level 4 – Managed and Measurable

**Data Source and Frequency of Collection:** Annual (FY) Inspector General *Federal Information Security Modernization Act of 2014* (FISMA) Reporting Metrics Audit Report; Annually.

N/A = Not applicable

TBD = To be determined

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**Strategic Objective 4.4**

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

**Strategic Objective Leader:** Chief Human Capital Officer, Office of Management

**Implementation Strategies:**

In order to best serve the public, the Department must maximize employee effectiveness through robust employee engagement and performance management. The Department will



continue to build the skills and knowledge of its workforce and will focus on all employees and offices. Furthermore, the Department must focus on ways to thrive in an operational climate that is significantly resource constrained. This will spur opportunities to involve employees in thinking differently about strategies to reengineer, streamline, or even eliminate work that does not serve the efficiency of the Department in achieving its strategic goals and desired outcomes.

**Next Steps:**

Given its focus on the Department’s workforce, all Department offices support this Strategic Objective. During FY 2018 and FY 2019, the Department will:

- Implement a comprehensive internal communications strategy focused on employee engagement.
- Expand professional development opportunities to further develop workforce skills by finalizing competency assessments for mission critical occupations and prioritizing training needs, developing a pilot performance management training course to address common performance challenges and launching an Administrative Professionals Development program.
- Ensure that all supervisors, managers, and executives receive continual training and development to be successful in their roles as federal supervisors and to enhance their leadership skills.
- Restructure the Department’s workforce through enhanced succession planning.
- Develop strategies to leverage and retain critical employee skills through reassignments, on-the-job training, needs assessment and skills gap closure, and enhanced professional development opportunities.

**Performance Measures:**

4.4.A FEVS employee engagement index score.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	FY 2020
<b>67%</b>	<b>68%</b>	<b>69%</b>	<b>70%</b>

**Data Source and Frequency of Collection:** Office of Personnel Management (OPM) Federal Employee Viewpoint Survey (FEVS); Annually.

4.4.B Percentage of positions with competencies identified.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2018	2018	2019	2020
FY 2018	Baseline Year	FY 2019	FY 2020
<b>19%</b>		<b>25%</b>	<b>32%</b>

**Data Source and Frequency of Collection:** Talent Management System (TMS); Annually.

4.4.C Percentage of supervisors and managers with a performance plan critical element related to employee engagement.			↑ INCREASE
Baseline / Baseline Year	Out-Year TARGETS		
2017	2018	2019	2020
FY 2017	FY 2018	FY 2019	FY 2020
<b>5%</b>	<b>35%</b>	<b>50%</b>	<b>80%</b>

**Data Source and Frequency of Collection:** TMS and USA Performance; Annually.

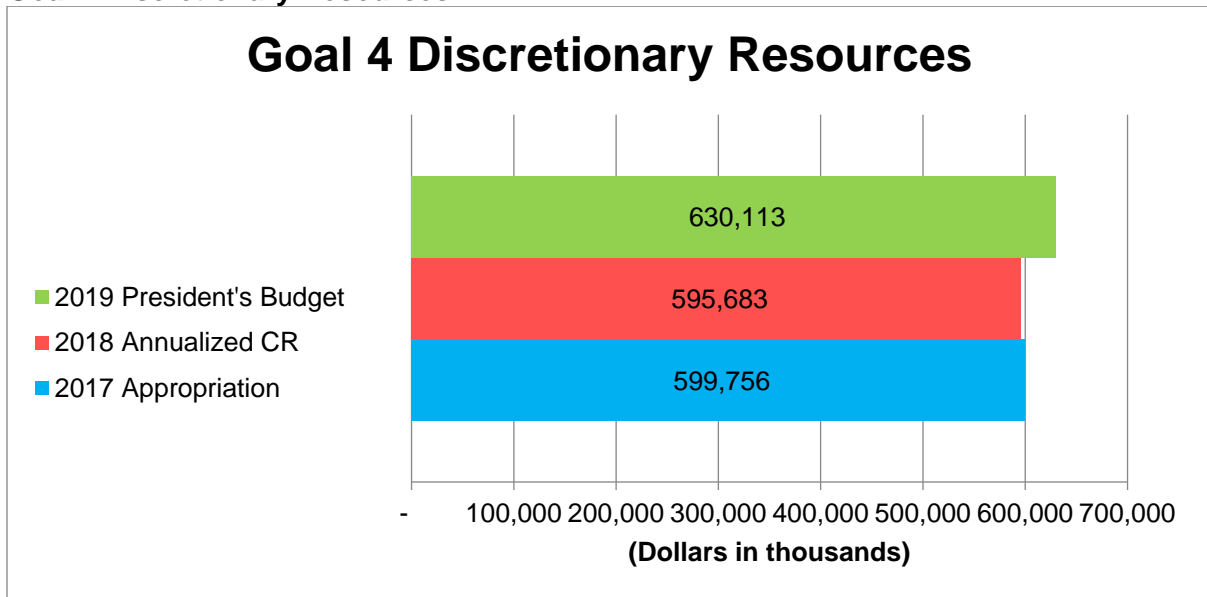
N/A = Not applicable

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.

**Note on performance metrics and targets:** These metrics were established as a part of the development of *FY 2018-22 Strategic Plan*. Metrics may be updated or revised in the future. Such updates or revisions will be identified in footnotes.

**Goal 4 Discretionary Resources**



**Major Discretionary Programs and Activities Supporting Goal 4**

POC	ACCT	Goal #	Obj #	Program	FY 2017 Appropriation	FY 2018 Annualized CR	FY 2019 President's Budget
ALL	DM/PA	4		Program Administration Salaries and Expenses	432,000	429,066	432,506

POC	ACCT	Goal #	Obj #	Program	FY 2017 Appropriation	FY 2018 Annualized CR	FY 2019 President's Budget
OCR	OCR	4		Office for Civil Rights	108,500	107,763	107,438

**Note:** On February 9, 2018, the President signed the *Bipartisan Budget Act of 2018*, which includes a two-year cap deal that raises the FY 2019 spending caps significantly. As such, the Administration submitted an addendum to its FY 2019 Budget that includes additional funding for a limited set of Administration priorities under the new, higher cap levels. Please see <https://www2.ed.gov/about/overview/budget/budget19/index.html> for final levels in the FY 2019 Budget.

## Major Management Priorities and Challenges

As summarized in the [FY 2017 Agency Financial Report](#), the Office of Inspector General has identified four management challenges for the Department in FY 2018. These challenges are detailed in the [FY 2018 Management Challenges Report](#). The *Government Performance and Results Act 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	Accomplishments	Planned Actions	Performance Goals, Indicators, and Milestones
<b>Improper Payments</b>	Chief Financial Officer (FSA)	<p>Obtained approval from OMB for alternative improper payment estimation methodology for 2017, which included refinements over prior years</p> <ul style="list-style-type: none"> <li>-Updated the grant and contract risk assessment processes to include consideration of all required risk factors</li> <li>-Implemented security control improvements and reactivated the Data Retrieval Tool (DRT) to enable applicants to securely obtain necessary financial information to complete the FAFSA or apply for an income-driven repayment (IDR) plan</li> <li>-Documented and tested thousands of entity-level, process and information technology system controls, including more than 500 controls designed to prevent or detect improper payments; determined that 96% of controls are designed and operating effectively, with 4% that have immaterial deficiencies that are being corrected</li> <li>-FSA Program Compliance performed ongoing program reviews of more than 150 schools to ensure compliance and identify root cause issues to inform guidance for schools</li> </ul>	<p>Continue to coordinate with OMB on refinements to estimation methodology for student aid programs</p> <ul style="list-style-type: none"> <li>-Develop a statistically-valid estimation methodology</li> <li>-Continuously monitor processes and systems to strengthen controls, including work with IRS to implement system upgrades</li> <li>-Maintain improper payment compliance requirements as a significant enterprise risk in FSA's risk profile</li> </ul>	<p>Goal: Minimize the risk of improper payments without unduly burdening students</p> <p>-Indicator: % improper payments</p> <p>Key milestones: Integrate improper payment risk management strategies with updated enterprise risk portfolio aligned with Strategic Plan</p>

Management Challenge	Accountable Official	Accomplishments	Planned Actions	Performance Goals, Indicators, and Milestones
<p><b>Information Technology Security</b></p>	<p>Chief Information Security Officer (OCIO)</p>	<p>Completed the Department's cybersecurity workforce capability assessment to identify current gaps in Department cybersecurity workforce skills and certifications</p> <ul style="list-style-type: none"> <li>-Completed the Department's Cybersecurity Workforce Development Plan to address gaps identified in the Department's cybersecurity workforce capability assessment and completed implementation plan for coding of all cyber positions</li> <li>-Established Department/FSA Cybersecurity Committee</li> <li>Developed a Departmental Cybersecurity Strategy and Implementation Plan (ED-CSIP)</li> <li>-Submitted Cybersecurity Framework Implementation Plan to OMB, as required by President's Executive Order</li> <li>-Completed major updates to the Department's primary cybersecurity policy guidance</li> <li>-Re-validated the list of the Department's High Value Assets (HVAs), to include plans of actions to strengthen security controls for all HVAs</li> </ul>	<p>Improve the maturity level score of the Department's Information Technology (IT) Security Program and Practices as they relate to the <i>Federal Information Security Modernization Act of 2014 (FISMA)</i></p> <ul style="list-style-type: none"> <li>-Maintain information technology security as a significant enterprise risk in FSA's risk profile</li> </ul>	<p>Goal: Mature the Department's cybersecurity operations to achieve the next level of effectiveness as defined by the FISMA maturity model</p> <ul style="list-style-type: none"> <li>-Indicator: 60% of security functions will be scored at or above Maturity Level 4 – Managed and Measurable</li> <li>-Key milestones: Calibrate IT security risks with other enterprise risks in ED's updated risk profile</li> </ul>



Management Challenge	Accountable Official	Accomplishments	Planned Actions	Performance Goals, Indicators, and Milestones
<b>Oversight and Monitoring</b>	Chief Enterprise Risk Officer (FSA)	<p>ED announced a stronger approach to FSA compliance enforcement, creating stronger consumer protections for students, parents and borrowers against "bad actors"</p> <ul style="list-style-type: none"> <li>-FSA's Annual Risk Assessment was the first version of the system to be built on the EDWA platform, increasing efficiency and accuracy, and allowing for greater flexibility in scoring in future years</li> <li>-Initiated study to determine if manipulation of financial statement composite scores is a widespread issue impacting FSA risk assessments</li> <li>-FSA revamped REACH agreements for monitoring to align with organization performance and improvement efforts including timely determinations and improved customer service</li> <li>-Grant-making offices developed a standard discretionary grant site visit monitoring tool and related training</li> <li>-Implemented new cross-program risk tools including TAGR and Grantworks</li> <li>-OPE included periodic random checks of grant files in managers' REACH agreements</li> <li>-OESE expanded fiscal monitoring pilot across programs</li> </ul>	<p>Increase expertise among Department staff to effectively monitor student aid program participants and grant recipients</p> <ul style="list-style-type: none"> <li>-Improve monitoring and support processes, including increased information-sharing across offices and more integrated and targeted monitoring approaches</li> <li>-Expand data analysis capabilities and continue risk-based programmatic and fiscal monitoring of grant recipients, providing assistance in meeting requirements</li> <li>-Highlight areas of ambiguity or common misunderstanding for program participants and provide additional technical assistance in those areas</li> <li>-Maintain monitoring and oversight as a significant enterprise risk in FSA's risk profile</li> </ul>	<p>Goal: Support agencies and educational institutions to improve outcomes for students</p> <ul style="list-style-type: none"> <li>-Indicator: % grants not making substantial progress</li> <li>-Key milestones: update risk assessments for student aid participants; gather feedback from annual student aid conference attendees; calibrate oversight and monitoring risks with other enterprise risks in ED's updated risk profile</li> </ul>

Management Challenge	Accountable Official	Accomplishments	Planned Actions	Performance Goals, Indicators, and Milestones
<b>Data Quality and Reporting</b>	Director, Risk Management Service (ODS)	<p>OESE and the Office of Special Education Program applied the new SharePoint tracking tool to collaboratively document and follow-up on data quality concerns identified in the initial submissions of the 2015-16 Consolidated State Performance Reports (CSPR), with a focus on academic assessments and graduation rates, which are shared areas of stewardship and programmatic use</p> <ul style="list-style-type: none"> <li>-EDFacts state Submission plans were modified to allow states to proactively identify issues affecting data submissions</li> <li>-EDFacts Data Quality Summary Reports can be generated on every file collected in EDFacts; Summary Reports present high level information about timeliness, completeness, accuracy and alignment with automated business rules</li> <li>-Policy on Data Management has been developed and is being finalized</li> <li>-A new contract was awarded to implement streamlined data management procedures and templates</li> <li>-EDFacts Data Governance Board (EDGB) continues to promote and support stewardship of data</li> <li>-New certification language was updated in CSPR</li> <li>-The EDGB committed meeting time to exchange best practices, including NCES data review and quality control practices</li> </ul>	<p>Identify efforts which could result in a more streamlined implementation of the tracking tool using key elements on the 2016-17 CSPR to improve monitoring and correction of data quality issues</p> <ul style="list-style-type: none"> <li>-Finalize data management strategy and continuation with principal offices stewarding data quality, as part of the EDFacts Data Governance Board</li> <li>-Adopt new standard certification language in each data collection system; require states to provide additional justification for questionable data</li> <li>-Identify promising practices in monitoring grantee controls over data accuracy and share across principal offices</li> <li>-Leverage Single Audits to help assess grantee data quality</li> </ul>	<p>Goal: Strengthen data management practices to support improved quality and efficient reporting to better enable evidence-based decision-making</p> <ul style="list-style-type: none"> <li>-Indicators: # of procedures or templates reviewed by the Department's Data Strategy Team for use across program office collections; # of data use sessions with stakeholders</li> <li>-Key milestones: Continue use of data tracking tool; identify data management framework used to identify procedures and templates for use across data life cycle of active collections; disseminate promising practices</li> </ul>

In FY 2017, the Department continued to make progress improving Information Technology System Development and Implementation, and the Office of Inspector General removed this issue from the list of FY 2018 Management Challenges. The Department has begun the Maturity Phase of the FITARA plan and, at the time of this report, the Department has completed seven of the seventeen maturity tasks. The continued improvements have been made evident on the most recent Biannual FITARA Scorecard in which the Department's score increased a full letter grade, from a C+ to a B+. In an effort to continue improvement and gain efficiencies in IT spend, the Department has completed an "As-Is" visualization map of all IT systems and services. This effort will enable the Department to rationalize the IT portfolio by eliminating redundant IT services and consolidate existing services when possible.

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## **Appendices**

Appendix A: FY 2017 Performance Metrics

Appendix B: Data Validity and Verification for FY 2017 Annual Performance Report

Appendix C: Data Validity and Verification for FY 2019 Performance Metrics

Appendix D: Programs by Goal

Appendix E: Summary of Performance Evaluations Conducted During FY 2017 and Expected During FY 2018 and FY 2019

Appendix F: Glossary of Acronyms and Abbreviations

## Appendix A: FY 2017 Performance Metrics<sup>2</sup>

**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.**

1.1.A Federal student loan delinquency rate				↓ DECREASE		TREND LINE (ACTUALS)
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	
2014	2015	2016	2017	2017	2017	
FY 2013	FY 2014	FY 2015	FY 2016	FY 2016	✓	
24.0%	21.7%	19.4%	18.6%	18.8%	MET	

Data Sources and Frequency of Collection: FSA Data Center; Annually.

1.1.B Number of first-time FAFSA filers among high school seniors				↑ INCREASE		TREND LINE (ACTUALS)
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	
2014	2015	2016	2017	2017	2017	
AY 2014-15	AY 2015-16	AY 2016-17	AY 2017-18	AY 2017-18	✓	
2,021,691	2,009,155	2,015,138	2,148,070	2,016,304	MET	

Data Sources and Frequency of Collection: FSA's Central Processing System (CPS); Annually.

<sup>2</sup> These performance metrics were established in relation to the [FY 2014-18 Strategic Plan](#) and their FY 2017 performance targets were included in the [FY 2016 Annual Performance Report and FY 2018 Annual Performance Plan](#). Now that the Department has established the [FY 2018-22 Strategic Plan](#), this Appendix represents the final report on these performance metrics and the prior Strategic Plan.

1.1.C Index of national aggregate annual earnings of Vocation Rehabilitation (VR) consumers (based on the number of competitive integrated employment outcomes, hours worked, and hourly wages of VR consumers)			↑ INCREASE			
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2017	!	
\$61,800,214	\$64,688,320	\$66,791,933	TBD	\$66,921,074	TBD	

1.1.C The metric is TBD in this report due to data not being available until 2018.

Data Sources and Frequency of Collection: Rehabilitation Services Administration (RSA)-911; Annually.

1.1.D Index of national aggregate earnings of Transition-Age Youth (based on the number of competitive integrated employment outcomes, hours works, and hours wages of VR Transition-Age Youth)			↑ INCREASE			
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2017	!	
\$18,540,576	\$19,579,074	\$19,980,956	TBD	\$19,866,354	TBD	

1.1.D The metric is TBD in this report due to data not being available until 2018.

Data Sources and Frequency of Collection: Rehabilitation Services Administration-911; Annually.

1.1.E Number of data points or other information reports released on the FSA Data Center			↑ INCREASE			
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
N/A	FY 2015	FY 2016	FY 2017	FY 2017	✓	
N/A	12	15	16	15	MET	

1.1.E This metric was aligned with an FY 2016-17 APG.

Data Sources and Frequency of Collection: FSA Data Center; Quarterly.



1.2.A Pell enrollment at IHEs with high graduation rates				↑ INCREASE		
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
N/A	AY 2012-13 24.1%	AY 2013-14 24.5%	AY 2014-15 24.4%	AY 2014-15 26.0%	NOT MET	

**1.2.A** In prior year reports, the Department reported that the baseline data represented AY 2013-14. However, the baseline of 24.1% aligns with the AY 2012-13. The data table in this report is updated to accurately reflect all years.

**Data Sources and Frequency of Collection:** Data from College Scorecard; Annually.

1.2.B Number of states that develop or strengthen career pathways policies, guidance, or legislation				↑ INCREASE		
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
N/A	FY 2015 8	FY 2016 20	FY 2017 42	FY 2017 37	MET	

**Data Sources and Frequency of Collection:** Development data from the National Skills Coalition, possibly supplemented with data from the Association of State Legislators and Center for Law and Social Policy; Annually.


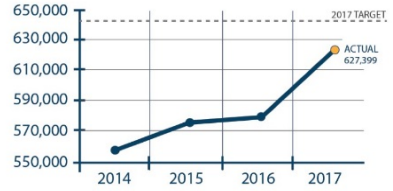
1.3.A Degree attainment among 25-34 year old age cohort				↑ INCREASE		
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
Current Population Survey (CPS) Year 2013 44.8%	CPS Year 2014 45.7%	CPS Year 2015 46.5%	CPS Year 2016 47.5%	CPS Year 2016 48.4%	NOT MET	

**1.3.A** This metric was aligned with an FY 2016-17 Agency Priority Goal.

**Data Sources and Frequency of Collection:** National Center for Education Statistics Digest of Education Statistics; Annually.

1.3.B Persistence among first-time filing aid recipients						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2017		
79.6%	79.5%	79.7%	82.6%	78.7%-80.7%	<b>MET</b>	

**Data Sources and Frequency of Collection:** FSA's Common Origination and Disbursement (COD) system; Annually.

1.4.A Number of STEM post-secondary credentials awarded						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
AY 2011-12	AY 2012-13	AY 2013-14	AY 2014-15	AY 2014-15		
556,696	573,911	578,583	627,399	637,672	<b>NOT MET</b>	

**Data Sources and Frequency of Collection:** Integrated Postsecondary Education Data System (IPEDS) Data Center; Annually

**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.

2.1.A Number of states/territories that have adopted college- and career-ready standards						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
SY 2013-14	SY 2014-15	SY 2015-16	SY 2016-17	SY 2016-17		
51	51	51	N/A	52	<b>N/A</b>	

**2.1.A** With the passage of the Every Student Succeeds Act (ESSA), the Department no longer collects these data.

**Data Sources and Frequency of Collection:** N/A

2.1.B Number of states/territories that are implementing next-generation reading and mathematics assessments, aligned with college- and career-ready standards				↑ INCREASE		
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
SY 2013-14	SY 2014-15	SY 2015-16	SY 2016-17	SY 2016-17	!	
0	49	47	N/A	52	N/A	

**2.1.B-1** With the passage of the ESSA, the Department no longer collects these data.

**2.1.B-2** This metric was aligned with an FY 2016-17 APG.

**Data Sources and Frequency of Collection:** N/A

2.3.A Disparity in the rates of out-of-school suspensions for students with disabilities and youth of color (youth of color metric)				↓ DECREASE		
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
SY 2013-14		SY 2015-16			!	
10.6% point disparity	N/A	TBD	N/A	N/A	N/A	

**2.3.A** The 2015-16 CRDC data for the 2016 actual will not be available until Spring 2018.

**Data Sources and Frequency of Collection:** Civil Rights Data Collection (CRDC); Biennially

2.3.B Disparity in the rates of out-of-school suspensions for students with disabilities and youth of color (SWD, IDEA only metric)				↓ DECREASE		
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
SY 2013-14		SY 2015-16			!	
6.6% point disparity	N/A	TBD	N/A	N/A	N/A	

**2.3.B** The 2015-16 CRDC data for the 2016 actual will not be available until Spring 2018.

**Data Sources and Frequency of Collection:** Civil Rights Data Collection; Biennially

2.4.A Number of persistently low graduation rate high schools						↓ DECREASE	
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)	
2014	2015	2016	2017	2017	2017		
SY 2012-13	SY 2013-14	SY 2014-15	N/A	SY 2015-16	630		
737	680	605	N/A	630	N/A		

**2.4.A-1** With the passage of the ESSA, the Department no longer collects these data.

**2.4.A-2** This metric was aligned with an FY 2016-17 APG.

**Data Sources and Frequency of Collection:** N/A

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	
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)	
2014	2015	2016	2017	2017	2017		
N/A	SY 2013-14	SY 2014-15	N/A	SY 2015-16	23.3%		
N/A	19.7%	21.0%	N/A	23.3%	N/A		

**2.4.B** With the passage of the ESSA, the Department no longer collects these data.

**Data Sources and Frequency of Collection:** N/A

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	
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)	
2014	2015	2016	2017	2017	2017		
N/A	SY 2013-14	SY 2014-15	N/A	SY 2015-16	25.9%		
N/A	20.1%	19.5%	N/A	25.9%	N/A		

**2.4.C** With the passage of the ESSA, the Department no longer collects these data.

**Data Sources and Frequency of Collection:** N/A



2.5.A Number of public high school students who have taken at least one AP STEM exam						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
SY 2012-13	SY 2013-14	SY 2014-15	SY 2015-16	SY 2015-16	NOT MET	
527,001	555,119	592,410	622,553	691,541		

**2.5.A** The 2016 actual reported in this document is corrected from the *FY 2016 Annual Performance Report and FY 2018 Annual Performance Plan*.

**Data Sources and Frequency of Collection:** College Board/Advanced Placement (AP) administrative records; Annually

**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.**

3.1.A Percentage of 4-year olds enrolled in state preschool programs						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
N/A	N/A	SY 2015-16	SY 2016-17	SY 2016-17	MET	
		85.5%	100%	92.7%		

**3.1.A-1** This metric was aligned with an FY 2016-17 APG.

**3.1.A-2** Some states received additional state funding for preschool allowing states to expand their communities and to reach more children, thus increasing the overall communities served from 230 to 250. Examples of states with increased funding are Alabama, New Jersey, New York and Tennessee.

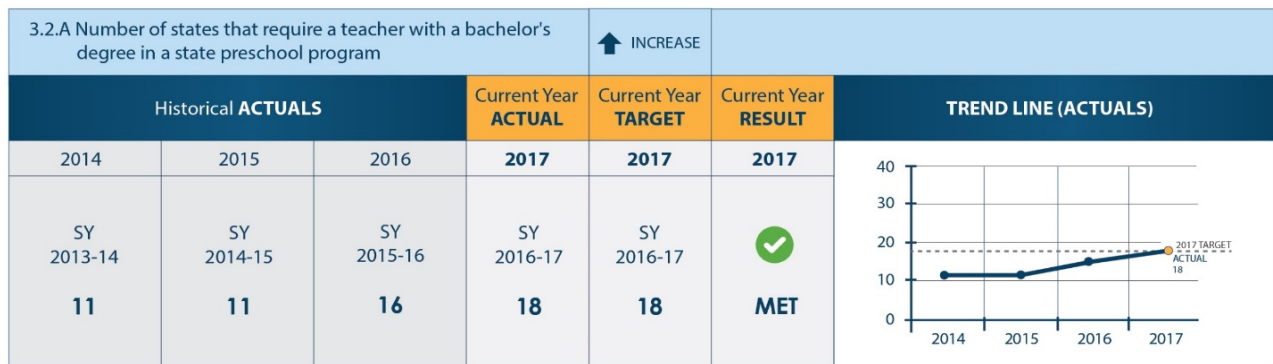
**Data Sources and Frequency of Collection:** Preschool Development Grants Annual Performance Reports, Data Workbook, Table A(1)(a) and (b); Annually.

3.1.B Number of states with high-quality preschool programs standards						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
SY 2013-14	SY 2014-15	SY 2015-16	SY 2016-17	SY 2016-17	MET	
8	8	16	18	12		

**3.1.B-1** In 2016 this metric moved from using NIEER data to the Preschool Development Grants Annual Performance Reports.

**3.1.B-2** This metric was aligned with an FY 2016-17 APG.

**Data Sources and Frequency of Collection:** Preschool Development Grants Annual Performance Reports, Data Workbook, Table 8; Annually.



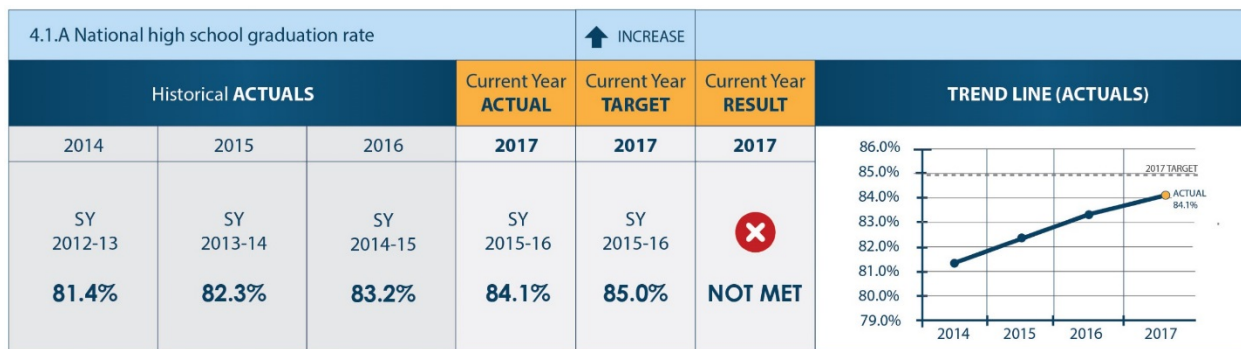
3.2.A In 2016 this metric moved from using NIEER data to the Preschool Development Grants Annual Performance Reports.

Data Sources and Frequency of Collection: Preschool Development Grants Annual Performance Reports, Data Workbook, Table 8; Annually.



Data Sources and Frequency of Collection: ED Facts; Annually

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



4.1.A This metric was aligned with an FY 2016-17 APG.

Data Sources and Frequency of Collection: ED Facts, Data Groups 695 and 696; Annually



4.1.B Gap in the graduation rate between all students and students from low-income families						↓ DECREASE	
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)	
2014	2015	2016	2017	2017	2017		
SY 2012-13	SY 2013-14	SY 2014-15	SY 2015-16	SY 2015-16	✓		
8.1%	7.7%	7.1%	6.5%	7.4%	MET		

Data Sources and Frequency of Collection: ED Facts, Data Groups 695 and 696; Annually

4.1.C 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						↑ INCREASE	
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)	
2014	2015	2016	2017	2017	2017		
N/A	SY 2013-14	SY 2014-15	SY 2015-16	SY 2015-16	✓		
N/A	13,048	13,158	13,785	13,442	MET		

4.1.C This metric was aligned with an FY 2016-17 APG.

Data Sources and Frequency of Collection: ED Facts, Data Groups 695 and 696; Annually.

4.2.A Average number of cases substantively resolved, per investigative staff member						↑ INCREASE	
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)	
2014	2015	2016	2017	2017	2017		
N/A	N/A	FY 2016	FY 2017	FY 2017	✗		
N/A	N/A	5.17%	5.24%	5.27%	NOT MET		

Data Sources and Frequency of Collection: Office for Civil Rights Case Management System (CMS) and human resources dashboard; Annually.

4.2.B Number of technical assistance presentations and press releases on Office for Civil Rights' work						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
N/A	N/A	FY 2016 317	FY 2017 201	FY 2017 333	NOT MET	<p>The graph shows a downward trend from 2016 to 2017. The 2017 actual value is 201, which is significantly below the 2017 target of 333. A red 'X' icon indicates that the target was not met.</p>

Data Sources and Frequency of Collection: Office for CMS and website; Quarterly.

**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.**

5.1.A Number of public data sets included in ED Data Inventory and thus linked to Data.gov or ED.gov websites						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
FY 2014 66	FY 2015 79	FY 2016 94	FY 2017 104	FY 2017 104	MET	<p>The graph shows a steady upward trend from 2014 to 2017. The 2017 actual value is 104, which exactly matches the 2017 target of 104. A green checkmark icon indicates that the target was met.</p>

Data Sources and Frequency of Collection: Data Strategy Team Data Inventory and the public Department's Data Inventory at <http://datainventory.ed.gov>; Quarterly.

5.1.B Number of states linking K-12 and postsecondary data with workforce data						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
FY 2014 20	FY 2015 24	FY 2016 28	FY 2017 28	FY 2017 25	MET	<p>The graph shows an upward trend from 2014 to 2016, followed by a slight decrease in 2017. The 2017 actual value is 28, which is above the 2017 target of 25. A green checkmark icon indicates that the target was met.</p>

Data Sources and Frequency of Collection: Statewide Longitudinal Data Systems (SLDS) grant monitoring (monthly updates from states, annual performance reports, final performance reports, and site visits); Quarterly.

5.1.C Number of states actively using data systems to support and inform improvements						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2017	✓ MET	
18	28	32	34	26		

**Data Sources and Frequency of Collection:** State Longitudinal Data Systems (SLDS) grant monitoring (monthly updates from states, annual performance reports, final performance reports, and site visits); Quarterly.

5.1.D Web traffic to the College Scorecard						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
N/A	FY 2015	FY 2016	FY 2017	FY 2017	✗ NOT MET	
	91,011	1,427,797	964,982	1,800,000		

**Data Sources and Frequency of Collection:** Google Analytics data from College Scorecard; Quarterly.

5.2.A Average time to close “cases” (PTAC + FPCO)						↓ DECREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2017	✓ MET	
9.00 days	4.90 days	6.06 days	4.57 days	6.71 days		

**Data Sources and Frequency of Collection:** Case Tracking System (CTS) Monthly Metric Reports; Quarterly.

5.3.A Percentage of select new (non-continuation) discretionary grant dollars that reward evidence						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2017	✓ MET	
15.9%	29.4%	29.9%	30.03%	20%		

**5.3.A** This metric was aligned with an FY 2016-17 APG.

**Data Sources and Frequency of Collection:** Forecast Report issued by the Office of the Chief Financial Officer (OCFO) and final Funding Reports from relevant programs; Annually.

5.3.B Number of peer-reviewed, full-text resources in the Education Resources Information Center (ERIC)						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2017	✓	
27,292	36,197	47,573	60,009	40,892	MET	

**Data Sources and Frequency of Collection:** Education Resources Information Center (ERIC); Quarterly.

5.3.C Number of visits to the What Works Clearinghouse (WWC) website						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
N/A	FY 2015	FY 2016	FY 2017	FY 2017	✓	
N/A	1,822,000	3,756,724	4,418,125	2,164,536	MET	

**Data Sources and Frequency of Collection:** What Works Clearinghouse (WWC) website analytics provided monthly by the WWC website contractor; Quarterly.

5.3.D Number of completed project evaluations from grantees of select discretionary grant programs in a given fiscal year that meet What Works Clearinghouse (WWC) Evidence Standards						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
N/A	FY 2015	FY 2016	FY 2017	FY 2017	✗	
N/A	2	20	4	10	NOT MET	

**5.3.D** This metric was aligned with an FY 2016-17 APG.

**Data Sources and Frequency of Collection:** Discretionary grant slate memoranda, discretionary grant financial forecasts and reports from OCFO, and the What Works Clearinghouse; Quarterly.



5.4.A Percentage of schools in the country that have actual internet bandwidth speeds of at least 100 Mbps						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
SY 2014-15	SY 2015-16	SY 2016-17	SY 2017-18	SY 2017-18	✓ MET	
N/A	59%	78%	88%	80%		

**5.4.A** In the *FY 2016 Annual Performance Report* and *FY 2018 Annual Performance Plan*, the Department used data from the Consortium for School Networking for this metric. This report includes data from the Education Superhighway (ESH); as such, the actuals for past performance have been updated. Baseline data collected by ESH directly from districts during the 2013-14 school year showed that 37% of schools in the country had actual Internet bandwidth speeds of at least 100 Mbps. This data has been published by ESH in its 2015, 2016, and 2017 “State of the States” reports.

**Data Sources and Frequency of Collection:** Education Superhighway; Annually.

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

6.1.A Percentage of selections made per job opportunity announcement (JOA)						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
N/A	FY 2015 46.4%	FY 2016 70%	FY 2017 110%	FY 2017 51.2%	✓ MET	

**6.1.A** Multiple selections were made from some JOAs and resulted in current year actuals exceeding 100%.

**Data Sources and Frequency of Collection:** EDHires (Monster’s electronic hiring management system); Annually.

6.1.B EVS Employee Engagement Index						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
FY 2014 67%	FY 2015 68%	FY 2016 67%	FY 2017 67%	FY 2017 72%	✗ NOT MET	

**Data Sources and Frequency of Collection:** OPM Federal Employee Viewpoint Survey; Annually.

6.1.C Time to hire				↑ INCREASE		
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2017	 <b>MET</b>	
<b>85%</b>	<b>67.6%</b>	<b>79.1%</b>	<b>87.6%</b>	<b>70%</b>		

**6.1.C** This metric represents the percentage of hiring actions completed within 90 days (i.e., 87.6% of FY17 hires were completed within 90 days).

**Data Sources and Frequency of Collection:** Federal Personnel/Payroll System (FPPS) Datamart; Quarterly.

6.1.D Effective Communication Index				↑ INCREASE		
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2017	 <b>NOT MET</b>	
<b>50%</b>	<b>51%</b>	<b>50%</b>	<b>50%</b>	<b>52%</b>		

**Data Sources and Frequency of Collection:** OPM Federal Employee Viewpoint Survey; Annually.

6.2.A Percentage of Department grant recipients without any Single Audit Findings				↑ INCREASE		
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
N/A	N/A	FY 2016	FY 2017	FY 2017	 <b>MET</b>	
		<b>86.1%</b>	<b>87.6%</b>	<b>86.1%</b>		

**Data Sources and Frequency of Collection:** Federal Audit Clearinghouse (FAC); Quarterly.

6.2.B Compliance rate of contractor evaluation performance reports				↑ INCREASE		
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2017	 <b>NOT MET</b>	
<b>97%</b>	<b>98.0%</b>	<b>95.8%</b>	<b>91.9%</b>	<b>100%</b>		

**Data Sources and Frequency of Collection:** Past Performance Information Retrieval System (PPIRS) Compliance Metric Report; Quarterly.



6.3.A Overall average impact score of the Department's technical assistance in helping build state capacity to implement education reforms						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
N/A	FY 2015 7.73	FY 2016 7.58	FY 2017 5.82	FY 2017 7.75	NOT MET	

Data Sources and Frequency of Collection: Annual Grantee Satisfaction Survey; Annually.

6.4.A Number of ED IT security incidents						↓ DECREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
FY 2014 445	FY 2015 580	FY 2016 291	FY 2017 187	FY 2017 291	MET	

Data Sources and Frequency of Collection: Cyber Security Assessment and Management (CSAM) and RSA Security Operations management (SecOps); Quarterly.

6.4.B EVS Results Oriented Performance Culture Index						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
FY 2014 56%	FY 2015 57%	FY 2016 56%	FY 2017 57%	FY 2017 58%	NOT MET	

Data Sources and Frequency of Collection: OPM Federal Employee Viewpoint Survey; Annually.

6.4.C EVS Leadership and Knowledge Management Index						↑ INCREASE
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
FY 2014 61%	FY 2015 62%	FY 2016 61%	FY 2017 61%	FY 2017 64%	NOT MET	

Data Sources and Frequency of Collection: OPM Federal Employee Viewpoint Survey; Annually.

6.4.D Total usable square footage				↓ DECREASE		
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2017	✘	
1,533,239	1,530,864	1,367,000	1,382,553	1,381,775	NOT MET	

**Data Sources and Frequency of Collection:** Department's Master Space Management Plan; Annually.

6.4.E Rent cost				↓ DECREASE		
Historical ACTUALS			Current Year ACTUAL	Current Year TARGET	Current Year RESULT	TREND LINE (ACTUALS)
2014	2015	2016	2017	2017	2017	
FY 2014	FY 2015	FY 2016	FY 2017	FY 2017	✔	
\$74,100,000	\$72,720,099	\$72,149,828	\$65,527,456	\$74,470,439	MET	

**Data Sources and Frequency of Collection:** Department's Master Space Management Plan; Quarterly.

N/A = 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.

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

## Appendix B: Data Validity and Verification for FY 2017 Annual Performance Report

The *Government Performance and Results Act Modernization Act of 2010* requires agencies to describe the accuracy and reliability of data presented. Details of how the Department assesses the completeness and reliability of the data reported for FY 2017 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 practicable, 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  
Senior Policy Advisor  
Office of the Deputy Secretary  
February 12, 2018

**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.	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
1.1.A	Federal student loan delinquency rate	Federal Student Aid (FSA) Data Center	<p>National Student Loan Data System (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	Number of first-time Free Application for Federal Student Aid (FAFSA) filers among high school seniors	FSA's Central Processing System	<p>The data we use originate from FSA operational systems. These systems, as a part of their operations, have procedures in place to address potential data quality issues. These metrics report figures about data that our operational systems maintain, and we do not manipulate it in any way. If anomalies persist, they exist in the operational systems. We have a consistent and disciplined process in place for querying our systems for data. The process includes having a separate data analyst from a different office within FSA validate the accuracy of the query and the resulting data. This process also is used for anomalous data.</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 by the business intelligence team as part of the validation.</p> <p>The Customer Analytics Group is responsible for the primary calculation of the metric using the data from FSA. Business Intelligence is responsible for the technical validation of the metric, which is done by reviewing for accuracy the query used to pull the data and all calculations made with the data. Finally, the Financial Reporting and Analysis Branch is responsible for ensuring that documentation is complete and archived.</p> <p>Since year of high school graduation is not asked on the FAFSA, several assumptions are made and specific criteria were used (such as age of applicant) to identify those likely to be high school seniors. These assumptions and criteria are applied consistently across all baseline years and future calculations.</p> <p>These calculations also restrict the application period to the first nine months of the application cycle (the close of the fiscal year), rather than the entire 18 months. Since most applicants, including high school seniors, file their FAFSA prior to the start of the upcoming academic year (usually before fiscal year end), this decision better aligns the performance metric with the fiscal year where most of the performance occurred. The alternative is waiting for the close of the 18-month cycle, where a performance metric would mostly reflect performance from an earlier fiscal year.</p>

Metric No.	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
1.1.C	Index of national aggregate annual earnings of Vocation Rehabilitation (VR) consumers (based on the number of competitive integrated employment outcomes, hours worked, and hourly wages of VR consumers)	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 are 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.D	Index of national aggregate earnings of Transition-Age Youth (based on the number of competitive integrated employment outcomes, hours works, and hours wages of VR Transition-Age Youth)	RSA-911	
1.1.E	Number of data points or other information reports released on the FSA Data Center	Federal Student Aid (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, he or she contacts the Request SME and the Data Request Team (DRT) to resolve any issues necessary to successfully complete the validation. The Validation SME completes his or her 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 DRT 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 OPEPD/ Policy and Program Studies Service (PPSS) 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.

Metric No.	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
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 supplemented with data from the Association of State Legislators and Center for Law and Social Policy	The Department cannot independently verify the data, but relies on the tracking of the National Skills Coalition. There are no processes in place to check for anomalous data.
1.3.A	Degree attainment among 25-34 year old age cohort	NCES Digest of Education Statistics, Table 104.30	Data available at <a href="https://nces.ed.gov/programs/digest/d16/tables/dt16_104.30.asp">https://nces.ed.gov/programs/digest/d16/tables/dt16_104.30.asp</a> , Number of persons age 18 and over, by highest level of educational attainment, sex, race/ethnicity, and age: 2016. Tabulated from Current Population Survey data, U.S. Census. The underlying data is verified by Census prior to publication. Data quality and limitations are documented in: <a href="http://www.census.gov/prod/2006pubs/tp-66.pdf">http://www.census.gov/prod/2006pubs/tp-66.pdf</a> . NCES tabulates the data, which are verified prior to publication according to NCES guidelines.
1.3.B	Persistence among first-time filing aid recipients	FSA's Common Origination and Distribution system	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 rerun and match calculations for earlier cycles. Therefore, the metric as defined should be considered verified and valid. 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.



Metric No.	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
1.4.A	Number of Science, Technology, Engineering and Math (STEM) post-secondary credentials awarded	Integrated Postsecondary Education Data System (IPEDS) Data Center Doctor's Degrees: (324.25, 324.30 and 324.35)	<p>Doctor's Degrees: (324.25, 324.30 and 324.35)  <a href="https://nces.ed.gov/programs/digest/d16/tables/dt16_324.25.asp">https://nces.ed.gov/programs/digest/d16/tables/dt16_324.25.asp</a>  <a href="https://nces.ed.gov/programs/digest/d16/tables/dt16_324.30.asp">https://nces.ed.gov/programs/digest/d16/tables/dt16_324.30.asp</a>  <a href="https://nces.ed.gov/programs/digest/d16/tables/dt16_324.35.asp">https://nces.ed.gov/programs/digest/d16/tables/dt16_324.35.asp</a></p> <p>Master's Degrees: (323.30, 323.40, 323.50)  <a href="https://nces.ed.gov/programs/digest/d16/tables/dt16_323.30.asp">https://nces.ed.gov/programs/digest/d16/tables/dt16_323.30.asp</a>  <a href="https://nces.ed.gov/programs/digest/d16/tables/dt16_323.40.asp">https://nces.ed.gov/programs/digest/d16/tables/dt16_323.40.asp</a>  <a href="https://nces.ed.gov/programs/digest/d16/tables/dt16_323.50.asp">https://nces.ed.gov/programs/digest/d16/tables/dt16_323.50.asp</a></p> <p>Bachelor's Degrees: (322.30, 322.40, 322.50)  <a href="https://nces.ed.gov/programs/digest/d16/tables/dt16_322.30.asp">https://nces.ed.gov/programs/digest/d16/tables/dt16_322.30.asp</a>  <a href="https://nces.ed.gov/programs/digest/d16/tables/dt16_322.40.asp">https://nces.ed.gov/programs/digest/d16/tables/dt16_322.40.asp</a>  <a href="https://nces.ed.gov/programs/digest/d16/tables/dt16_322.50.asp">https://nces.ed.gov/programs/digest/d16/tables/dt16_322.50.asp</a></p> <p>Associate's Degrees: (321.30, 321.40, 321.50)  <a href="https://nces.ed.gov/programs/digest/d16/tables/dt16_321.30.asp">https://nces.ed.gov/programs/digest/d16/tables/dt16_321.30.asp</a>  <a href="https://nces.ed.gov/programs/digest/d16/tables/dt16_321.40.asp">https://nces.ed.gov/programs/digest/d16/tables/dt16_321.40.asp</a>  <a href="https://nces.ed.gov/programs/digest/d16/tables/dt16_321.50.asp">https://nces.ed.gov/programs/digest/d16/tables/dt16_321.50.asp</a></p> <p>Certificates: (320.20)  <a href="https://nces.ed.gov/programs/digest/d16/tables/dt16_320.20.asp">https://nces.ed.gov/programs/digest/d16/tables/dt16_320.20.asp</a></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 <a href="https://nces.ed.gov/pubs2015/2015098.pdf">https://nces.ed.gov/pubs2015/2015098.pdf</a>. Data are checked by NCES for consistency.</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.**

<b>Metric No.</b>	<b>Performance Metric (Indicator)</b>	<b>Data Source(s)</b>	<b>Data Verification and Validation Overview</b>
2.1.A	Number of states/territories that have adopted college- and career-ready standards	ESEA Flexibility Monitoring	With the passage of the ESSA, the Department no longer collects these data.
2.1.B	Number of states/territories that are implementing next-generation reading and mathematics assessments, aligned with college- and career-ready standards	ESEA Flexibility Monitoring	With the passage of the ESSA, the Department no longer collects these data.
2.3.A	Disparity in the rates of out-of-school suspensions for students with disabilities and youth of color (youth of color metric)	CRDC	OCR strives to ensure CRDC data are an accurate and comprehensive depiction of student access to educational opportunities in school districts. The CRDC submission system conducts automatic edit checks to validate the format of the data and the system also performs business rule validations. For suspensions, the business rule validations include comparisons of disaggregated data to totals and enrollment counts. Districts must address the quality issues identified before the accuracy of the data can be certified.
2.3.B	Disparity in the rates of out-of-school suspensions for students with disabilities and youth of color (Students With Disabilities (SWD), IDEA only metric)	CRDC	Only the district superintendent, or the superintendent's designee, may certify the data submission. Ultimately, the quality of the CRDC data depends on accurate collection and reporting by the participating districts.
2.4.A	Number of persistently low graduation rate high schools	EDFacts	With the passage of the ESSA, the Department no longer collects these data.
2.4.B	Percentage of School Improvement Grant (SIG) schools in Cohort 5 that are above the 25 <sup>th</sup> percentile in mathematics, as measured by their state assessments	Analytic dataset produced by the contractor for the SIG National Summary	With the passage of the ESSA, the Department no longer collects these data.

Metric No.	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
2.4.C	Percentage of SIG schools in Cohort 5 that are above the 25 <sup>th</sup> percentile in reading language art, as measured by their state assessments	Analytic dataset produced by the contractor for the SIG National Summary	With the passage of the ESSA, the Department no longer collects these data.
2.5.A	Number of public high school students who have taken at least one AP STEM exam	College Board/AP administrative records	The College Board does not collect or report race/ethnicity based on the federal guidelines. Examinees are asked to select one of the options noted in the data. The College Board Public School List is updated annually by state educational agencies; thus, small changes to the list over time are to be expected as schools open, close, and/or merge. Students are assigned to graduating cohorts based on self-reported information (i.e., grade level and/or graduation year) provided at the time of registration (in the case of SAT) or test administration (in the case of AP and PSAT). The College Board matches students' data across programs to identify the most recent valid value when assigning students to cohorts.

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

Metric No.	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
3.1.A	Percent of 4-year olds enrolled in state preschool programs	Preschool Development Grants Annual Performance Reports, Data Workbook, Table A(1)(a) and (b)	Annual Performance Report data are 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 Annual Performance Report submission. For example, school year 2015-2016 data is reported in February of 2016. The Technical Assistance (TA) contractor performs an analysis and data anomalies are clarified and verified with the State Project Director.
3.1.B	Number of states with high-quality preschool programs standards	Preschool Development Grants Annual Performance Reports, Data Workbook, Table 8	
3.2A	Number of states that require a teacher with a bachelor's degree in a state preschool program		
3.3.A	Number of states collecting and reporting disaggregated data on the status of children at kindergarten entry using a common measure	EDFacts	The project officers and our TA provider work with the Race to the Top-Early Learning Challenge grantees to verify and validate the data. The project officers and our TA provider work with the Race to the Top-Early Learning Challenge grantees to check for anomalous data. If anomalous data are discovered, project officers, the TA provider and the grantee meet and discuss.

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

Metric No.	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
4.1.A	National high school graduation rate	EDFacts	EDFacts works with the data stewards to determine the appropriate business rule checks for these data. The checks that were done on these data include:
4.1.B	Gap in the graduation rate between all students and students from low-income families	EDFacts	File validation and format checks: Identify 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.
4.1.C	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	EDFacts	Unlike format and validation edits, submission edits and warnings are programmed into the EDFacts Submission System and applied to the data after they are in the staging database. Coordinated Data Quality Reviews (CDQR): Identify 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. CDQR Process: At the end of a collection period, EDFacts 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 EDFacts staff, to determine which identified errors to escalate to states for further review. The EDFacts 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. 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 Adjusted Cohort Graduation Rate (ACGR) Coordinated Data Quality Review for format, consistency, completeness, and comparability. Those rule checks are delivered to the OESE for follow-up correspondence through the EDFacts PSC with the states. The program office, in consultation with NCES EDFacts 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. 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

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Metric No.	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
			reviews at the division (Administrative Data), center (NCES), and principal office (IES) levels prior to public dissemination.



Metric No.	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
4.2.A	Average number of cases substantively resolved, per investigative staff member	Office for Civil Rights Case Management System (CMS) system and human resources dashboard	<p>OCR captures up-to-date information related to substantive closures of cases through its Case and Activity Management System (CAMS). The CAMS is a formal IT Investment, which includes a business case and its own performance metrics tracked through ED's IT Investment Review process. The CAMS includes the Case Management System (CMS), Activity Management System, and Document/Record Management (DM/RM) components. In order to track this Metric, the staff in OCR's 12 enforcement offices are responsible for updating and maintaining accurate case statuses in the CAMS's CMS. This specific Metric data is extracted from the CAMS for reporting purposes by OCR's IT Specialist who is also the CAMS Project Manager and technical expert. This staff person then delivers the data and analysis to the Goal 4 Strategic Goal Leader for reporting.</p> <p>The verification and validation of CAMS data utilize (1) rules built into the CAMS's CMS component; (2) periodic checks on questionable data; (3) guidance and reference on data entries; and (4) regular training and guidance for primary users inputting 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, TA Type, Nature/Type of Assignment, and Initial Contact/Target).  - Entry date must be validated.</p> <p>(2) Periodic checks on questionable data: (quarterly)  - Missing entries: such as TA completion without (a) date of final activity, (b) activity log including subject area, completion date and location.</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:  - CMS Data Entries requirements.  - 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>

Metric No.	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
4.2.B	Number of technical assistance presentations, issuance of press releases, and issuance of resolution agreements on OCR work	Office for Civil Rights Case Management System (CMS) and website	<p>The verification and validation of CAMS data utilize (1) rules built into the CAMS's CMS component; (2) periodically checks on questionable data; (3) guidance and reference on data entries; and (4) regular training and guidance for primary users inputting 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, TA Type, Nature/Type of Assignment, and Initial Contact/Target).  - Entry date must be validated.</p> <p>(2) Periodic checks on questionable data: (quarterly)  - Missing entries: such as TA completion without (a) date of final activity, (b) activity log including subject area, completion date and location.</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:  - CMS Data Entries requirements.  - 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>

**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.	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
5.1.A	Number of public data sets included in the Department’s Data Inventory and thus linked to <a href="http://Data.gov">Data.gov</a> or <a href="http://ED.gov">ED.gov</a> websites	Data Strategy Team Data Inventory and the public Department’s Data Inventory at <a href="http://datainventory.ed.gov">http://datainventory.ed.gov</a>	The data are validated with a crosswalk between Inventory entries and the listing of the Department’s public datasets, ensuring that the data described in the Department’s Data Inventory are publicly available at the identified web address.
5.1.B	Number of states linking K-12 and postsecondary data with workforce data	Statewide Longitudinal Data Systems (SLDS) grant monitoring (monthly updates from states, annual performance reports, final performance reports, and site visits)	<p>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 received grants or that do not have active grants.</p> <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.</p> <p>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 a systematic collection 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.</p> <p>Currently, data from monitoring are 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>
5.1.C	Number of states actively using data systems to support and inform improvements	Statewide Longitudinal Data Systems (SLDS) grant monitoring (monthly updates from states, annual performance reports, final performance reports, and site visits)	<p>Data for this metric were independently assessed by SLDS program staff using state progress reports, monitoring call summaries and site visit write-ups to determine which states are actively using their data systems to inform improvements. An operational definition for “active use” was agreed upon and is used consistently by SLDS staff to avoid bias.</p> <p>Definitions for active use are based upon tangible deliverables within the grant program. By explicitly counting the number of grantee states with deliverables that meet the definition’s criteria we are able to accurately measure the explicit behavior described in the metric.</p>

Metric No.	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
5.1.D	Web traffic to the College Scorecard	Google Analytics data from College Scorecard	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.
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 CTS. In contrast, “correspondence and complaints” refers to written complaints of alleged failures to comply with <i>Family Educational Rights and Privacy Act</i> / Protection of Pupil Rights Amendment 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 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	Percentage of select new (non-continuation) discretionary grant dollars that reward evidence	Forecast Report issued by the Office of the Chief Financial Officer (OCFO) and final Funding Reports from relevant programs	In determining which discretionary grants are considered “evidence-based” (i.e., the numerator when calculating the percentage), the Department includes all programs that rewarded applicants with supporting evidence of promise or better (per the Education Department General Administrative Regulations (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).

Metric No.	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
5.3.D	Number of completed project evaluations from grantees of select discretionary grant programs in a given fiscal year that meet What Works Clearinghouse (WWC) Evidence Standards	Discretionary grant slate memoranda, discretionary grant financial forecasts and reports from OCFO, and the What Works Clearinghouse	<p>We expect that it will take about five minutes to search the WWC database for new Investing in Innovation Program (i3) studies each quarter. We are also considering ways in which IES staff and OII staff can work closely to report these data quickly.</p> <p>We do not have formal verification or validation processes in place. We do not have formal processes in place to check for anomalous data. So far, we have not encountered anomalous data.</p> <p>We note that we will report out on studies that are funded by i3 that are in the WWC database and meet WWC Evidence Standards. We need to be careful not to imply 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	<p>The Department uses an external data source for this metric and relies on the external, third party's verification and validation methodology. We believe these data are the best currently available and provide useful information to gauge progress on this metric. ESH analyzes publicly available data from the Universal Service Administrative Company, an independent, not-for-profit corporation created by the Federal Communications Commission, confirms data accuracy through outreach and verification processes, and further analyzes the total IA bandwidth as compared to the National Center for Education Statistics data on student population in districts.</p>



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

Metric No.	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
6.1.A	Percent of selections made per job opportunity announcement	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 is only as reliable as the information entered and/or updated in the system. 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' attention; in-turn, Office of Human Resources (OHR) would work with the contractor to obtain clarity and/or resolve.</p>
6.1.B	EVS Employee Engagement Index	OPM Federal Employee Viewpoint Survey (FEVS)	<p>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.</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 to obtain individual sub-index scores. The unrounded sub-index scores are then averaged to obtain the overall index score. The overall index score is then rounded for reporting purposes.</p>

Metric No.	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
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 non-competitive 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 FY16 hiring actions and resulted in a revised Q1 actual.</p> <p>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> <p><u>Individual time to hire:</u></p> <ul style="list-style-type: none"> <li>• 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"> <li>○ If time to hire results in a negative or zero, it is replaced with the value 1.</li> <li>○ If time to hire cannot be determined (i.e., date not available), it is excluded from agency calculations.</li> </ul> </li> <li>• Time to hire is not calculated for actions In-Progress; it is only calculated for Completed actions (i.e., estimated EOD established).</li> </ul> <p><u>Agency time to hire:</u></p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• Q1, Q2, and Q3 actuals are cumulative, measured from the beginning of the fiscal year.</li> <li>• Q4 actuals represent the Department's annual time to hire rate and are reported in the Annual Performance Report.</li> <li>• 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.</li> </ul>
6.1.D	Effective Communication Index	Office of Personnel Management (OPM) Federal Employee Viewpoint Survey (FEVS)	<p>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.</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.	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
6.2.A	Percentage of Department grant recipients without any Single Audit Findings	Federal Audit Clearinghouse (FAC)	<p>The FAC is the primary data source. OCFO and FSA import and manage Single Audits in Accountability and Audit Resolution Tracking System (AARTS) and EZ-Audit respectively. Reporting for this metric is based on downloading FAC data from their web portal.</p> <p>Simple calculations are made with data that are downloaded from FAC that include subtracting the total number of audits with findings from all audits received, then dividing to determine the overall percentage. We do not expect the calculations to be time consuming, so data can be reported to the Performance Improvement Office each quarter. However, quarterly data will be more variable than year-end data given the cycle of when audits are submitted to the FAC.</p> <p>Metric relies on public data from FAC database. The FAC maintains controls to verify and validate data, including procedures to review the completeness of audits before they are formally accepted. OCFO will obtain a copy of those procedures to support this metric.</p> <p>OCFO maintains an interagency agreement with the FAC and internal procedures to review and verify the accuracy of all audits with findings that are imported into AARTS for resolution. FAC staff manually review and correct coding errors in the audit data collection form. OCFO staff review and correct any errors in the imported audit file before it is assigned for resolution. These procedures are documented. Moving forward, OCFO also will use AARTS and EZ-audit data to reconcile the total number of audits that have findings with the total generated through the FAC report.</p>
6.2.B	Compliance rate of contractor evaluation performance reports	Past Performance Information Retrieval System (PPIRS) Compliance Metric 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 (<a href="http://www.ppirs.gov">www.ppirs.gov</a>). Office of the Chief Financial Officer (OCFO) staff analyzes the PPIRS report weekly 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. Program staff report anomalies to the contractor to correct. The data comes from the Annual Grantee Satisfaction Survey Report (See <a href="http://www2.ed.gov/about/reports/annual/gss/index.html">http://www2.ed.gov/about/reports/annual/gss/index.html</a>). 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've been told that the survey is administered late each year for the following reasons:</p> <p>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.</p>

Metric No.	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
6.4.A	Number of the Department's 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 are pulled from the Department's authoritative source (system of record) for Incident Response and Tracking. In addition, standard operate procedures (SOPs) enforce the use of this capability for entering, tracking, and managing all incident related activity. The data are also audited on a routine basis to ensure consistency and accuracy.
6.4.B	EVS Results Oriented Performance Culture Index	OPM Federal Employee Viewpoint Survey (FEVS)	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. 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	OPM Federal Employee Viewpoint Survey (FEVS)	Data verification and validation process is integrated into the OPM FEVS survey results validation process. The Leadership and Knowledge Management Index score is calculated by OPM by first determining the percent positive for each of the 12 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. 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.D	Total usable square footage	Department's Master Space Management Plan	The Department reconciles its rent bills per building on a monthly basis. Every six months the usable square footage is verified with GSA. Because usable square footage relates directly to rent costs, the Department uses the same data verification and validation procedures. Specifically, the data are collected directly from Occupancy Agreements and rent bills per building. The data are derived from historic examples and relevant experience. Department leadership has agreed to a set of assumptions by which the data are based. Leadership has reached out to subject matter experts to broaden the scope of the data set, and lower risks of missing contingencies that may affect the data. At each step, the data are reviewed independently to double check the work of each team member and provide quality control. These processes help ensure the data's completeness and reliability.
6.4.E	Rent cost	Department's Master Space Management Plan	Data are collected directly from Occupancy Agreements and rent bills per building. The actual rent may vary significantly if the Department relocates to a new leased building and/or signs short lease extensions. The Department is leveraging the examples and experience of the mobility labs and building consolidations programs. The Department reconciles its rent bills per building on a monthly basis. Every six months, leadership will re-evaluate the data, the assumptions on which it is based, and incorporate actual costs and project schedules. These steps will become part of our quality assurance program and procedures. Leadership looks to improve completeness, reliability, and quality of the data at these milestones.

## Appendix C: Data Validity and Verification for FY 2019 Performance Metrics

The *Government Performance and Results Act Modernization Act of 2010* requires agencies to describe the accuracy and reliability of data presented. Details of how the Department plans to assess the completeness and reliability of the data reported for the FY 2019 performance metrics 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 practicable, complete, and reliable performance data pertaining to goals and objectives in our *FY 2018-22 Strategic Plan*. Through a process of continuous improvement, the Department regularly assesses its validation process and welcomes input from stakeholders.

Joseph C. Conaty  
Senior Policy Advisor  
Office of the Deputy Secretary  
February 12, 2018



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

Associated Strategic Objective	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
1.1.A	Number of open and operating charter schools supported by CSP	National Center for Education Statistics, CCD (used to identify all charter schools and enrollees) and grantee annual performance reports (used to identify the subset of charter schools in CCD that receive CSP support)	Program officers will review and verify data as part of their project monitoring. Program officers will review reported data and confirm the accuracy with the grantees. The Charter School Program (CSP) team will work closely with their contractor to compare data in the CCD with data in grantees' Annual Performance Reports (APRs) to confirm the data. The CSP director is responsible for certifying that the data are accurate.
1.1.B	Number of students enrolled in charter schools supported by CSP		
1.1.C	Number of new resources on evidence-based and promising practices related to school choice disseminated	National Charter School Resource Center and IES sponsored materials	Verification and validation of data is based on review and approval of resources (promising practices documents, papers, etc.). The CSP Director is responsible for certifying that the data are accurate.
1.1.D	Number of students enrolled in magnet schools	Grantee annual performance reports	The Department relies on a contractor to conduct data reviews of grantee performance data. The contractor is responsible for locating, assessing, and recording annual performance data. Review protocols include checking and documenting the presence and completeness of performance measure data for analysis. The contractor maintains databases with classification and coding schemes in Microsoft Excel and SPSS to analyze grantee data, including student enrollment. The contractor addresses anomalous data during the data verification and validation process. The contractor's research staff discusses anomalous data with grantees, who verify or correct the data. If the data are correct as reported, the contractor will document and clarify the anomaly in the report. The Parental Options and Improvement Programs (POI) Director is responsible for certifying that the data are accurate.

Associated Strategic Objective	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
1.2.A	Percentage of states that show improvement in the percentage of students in grades 3-8 scoring at or above proficient on state assessments in reading in all of the following subgroups: economically disadvantaged, children with disabilities, English learners, migrant, homeless, and major racial/ethnic groups	Assessment Data File that includes state reported data pulled from ED <i>Facts</i> files C175, C178, C185, and C188	<p>The Office of Elementary and Secondary Education (OESE), Office of Special Education Program (OSEP), and ED<i>Facts</i> conduct a thorough, coordinated data quality review of the assessment data submitted by states. OSEP reviews this set of assessment data files for the purposes of IDEA Section 618 and OESE reviews this set of assessment data files for the purposes of the Consolidated State Performance Report (CSPR). The review includes the following three areas: timeliness of the data submission, completeness of the data files, and accuracy of the data. OESE, OSEP, and ED<i>Facts</i> conduct three data quality reviews of states' assessment data submissions. The first two data quality reviews result in data quality inquiries, comments, and questions that are sent to the states for responses. A state may resubmit the data to address the data quality inquiries, provide a written response, or a data note to address the data quality inquiry. The three-data quality review is conducted to ensure that the Department is publishing and using a set of assessment data that meets our data quality criteria.</p> <p>Additionally, OESE, OSEP, and ED<i>Facts</i> will hold conference calls with states to gain better understanding of anomalies that are identified in the data submissions or to provide technical assistance to the state to submit higher quality assessment data</p> <p>These data quality reviews are conducted after each of the due date/ resubmission dates for these data. If there are questions regarding whether the data submitted by a state are accurate remain then the Department may decide not to publish or use the data.</p> <p>Note that this metric is impacted by changes to state assessment systems. If states change assessments, performance levels, cut scores, etc., it will invalidate the year to year analysis to identify states that showed improvements in the percentage of students proficient. Since statewide assessment systems have been influx for the last few years, it makes it challenging to establish baselines and set targets.</p> <p>States sign a certification when submitting their CSPR.</p> <p>If questions remain upon completion of the Department's data quality review process regarding whether the data submitted by a state are accurate, the Department may decide not to publish or use the data.</p> <p>Note that this metric is impacted by changes to state assessment systems. If states change assessments, performance levels, cut scores, etc., it will invalidate the year to year analysis to identify states that showed improvements in the percentage of proficient students. Since statewide assessment systems have been influx for the last few years, it makes it challenging to establish baselines and set targets.</p>

Associated Strategic Objective	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
1.2.B	Percentage of states that show improvement in the percentage of students in grades 3-8 scoring at or above proficient on state assessments in mathematics in all of the following subgroups: economically disadvantaged, children with disabilities, English learners, migrant, homeless, and major racial/ethnic groups	Assessment Data File that includes state reported data pulled from <i>EDFacts</i> files C175, C178, C185, and C188	<p>OESE, OSERS, and <i>EDFacts</i> conduct a very thorough CDQR of the assessment data submitted by states. OSERS reviews this set of assessment data files for the purposes of IDEA Section 618 and OESE reviews this set of assessment data files for the purposes of the CSPR. The review includes the following three areas: timeliness of the data submission, completeness of the data files, and accuracy of the data. Through the coordinated review, the states receive one set of data quality comments or inquiries associated with the assessment data from the Department.</p> <p>OESE, OSERS, and <i>EDFacts</i> conduct three data quality reviews of states' assessment data submissions. The first two data quality reviews result in data quality inquiries, comments, and questions that we sent back to states for responses. A state may resubmit the data to address the data quality inquiries and/or provide a written response and/or a data note to address the data quality inquiry. The three-data quality review is conducted to ensure that we are publishing and using a set of assessment data that meets our data quality criteria.</p> <p>These data quality reviews are conducted after each of the due date/ resubmission dates for these data. Typically, these due date/ resubmission dates occur in December, February/ March, and April. OESE, OSERS, and <i>EDFacts</i> identify anomalous data via the coordinated data quality review noted in question 11 (above). Once anomalous data is identified via the data quality review and analyses, states are given the opportunity to resubmit the data or provide an explanation for the anomalous data. Additionally, OESE, OSERS, and <i>EDFacts</i> will hold conference calls with states to gain better understanding of anomalies that are identified in the data submissions and/or to provide technical assistance to the state to submit higher quality assessment data.</p> <p>If there are questions regarding whether the data submitted by a state are accurate after the mid-April freeze date, OESE and/or OSERS may decide not to publish or use the data.</p> <p>This measure will be impacted by changes to state assessment systems. If states change assessments, performance levels, cut scores, etc., it will invalidate the year to year analysis to identify states that showed improvements in the percentage of students proficient. Since statewide assessment systems have been in flux for the last few years, it makes it challenging to establish baselines and set targets.</p> <p>For states that have missing or inaccurate data, there are opportunities to resubmit their data files and have them reviewed prior to publication.</p>

Associated Strategic Objective	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
1.2.C	Percentage of states with 80% or more of preschoolers with disabilities that showed greater than expected growth in positive social-emotional skills (including social relationships) by the time they exit IDEA Part B, section 619 services	IDEA Part B State Annual Performance Reports	OSEP State Leads review each states' data for data quality issues once the annual performance report is received. The MSIP Data Implementation Team look across all states to review the data for any anomalies. OSEP's technical assistance center, which has expertise on early childhood outcome measurement systems, also reviews the data for quality issues. The center publishes a brief on how they analyze the data <a href="http://ectacenter.org/eco/">http://ectacenter.org/eco/</a> . The number of states collecting high-quality data has increased over time. In addition, states continue to build their capacity to collect valid and reliable data. These efforts are supported by the aforementioned TA center, which helps states build and improve their outcome measurement systems, collect and analyze data, and use data to make program improvements. States certify that the data they turn in to OSEP is accurate. The OSEP Director signs the determination letter for each state.
1.2.D	Percentage of schools in the country that have actual internet bandwidth speeds of at least 100 Mbps	Education Superhighway	Verification and validation of data is managed by Education Superhighway. <a href="https://s3-us-west-1.amazonaws.com/esh-sots-pdfs/methodology_2017_state_of_the_states.pdf">https://s3-us-west-1.amazonaws.com/esh-sots-pdfs/methodology_2017_state_of_the_states.pdf</a> . The process for checking for anomalous data is Education Superhighway. The Office of Education Technology (OET) is responsible for certifying that the data are accurate.
1.2.E	Percentage of rural schools connected to a broadband infrastructure capable of scaling to 10 gigabits per second		

Associated Strategic Objective	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
1.2.F	<p>Percentage of states publishing report cards on the preceding school year in a timely manner*</p> <p>*Timeliness defined as report cards that are published by January 15th of the year following the reporting year (e.g., report cards on the 2017-18 school year would be timely if published by January 15, 2019)</p>	Consolidated State Performance Report (CSPR)	<p>The data will be collected through the CSPR. There is a formal, extensive process for the verification and validation of any information submitted through ED<i>Facts</i>/CSPR which occurs annually, beginning immediately following the submission due date, in a series of review windows between December and May. Data relevant to OSS are reviewed by OSS program staff, and the results of the process are further reviewed by the OSS Data Team, OESE Front Office, and ED<i>Facts</i> team. All staff engaged in this process are trained in the content and review process for these data. Due to the scope and complexity of the process, most data included in the CSPR are not considered final and available for use until May. However, since the review of the report card link will only involve navigating to the web location and confirming that a current report card is posted, OSS will be able to use preliminary data, which will be available earlier in the year, in order to produce this metric. Data will be reviewed by OESE prior to being submitted. Anomalous data will be checked and verified by OESE or other supporting offices. The ESSA report card data metrics are new to states and some states may be working through the programming necessary to report them and therefore may be delayed for the first couple of years of implantation in the release of their data. However, the data to be collected by the Department via CSPR should be standard. States are responsible for certifying the accuracy of data submitted through the CSPR. The data are further reviewed by OSS to identify any anomalies before being used in any public products.</p>
1.2.G	Percentage of monitored states reporting Information on each indicator in the state's accountability system and the list of schools identified for comprehensive support and improvement and targeted support and improvement.	OESE Title I monitoring reports of ESSA State report cards	<p>The data will be collected during Title I monitoring by OESE. Monitoring reports are reviewed both internally by staff in OSS and OESE and submitted to states as part of the monitoring process. Program officers doing the monitoring are trained for consistent and standard application of monitoring protocols. Data will be reviewed by OESE prior to being submitted. Anomalous data will be checked and verified by OESE or other supporting offices. The ESSA report card data metrics are new to states and some states may be working through the programming necessary to report them. However, the data to be collected by ED via monitoring should be standard. OESE is responsible for monitoring the Title I program and follow the protocols necessary to ensure the data are accurate.</p>



Associated Strategic Objective	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
1.3.A	Number of discretionary grant notices with STEM as a priority	Program offices holding discretionary grant competitions each year (including OESE, OII, OSERS, OPE, OCTAE, IES, and OEEL)	Reports can be checked against the NIA for each competition. Each program office listed in the data source is responsible for certifying that the data are accurate.
1.3.B	<p>Number of public high school graduates who have taken at least one Advanced Placement (AP) Science, Technology, Engineering, Mathematics (STEM) exam* while in high school</p> <p>*Including the following exams: Biology, Chemistry, Environmental Science, Physics B, Physics C: Electricity and Magnetism, Physics C: Mechanics Based, Calculus AB, Calculus BC, Computer Science A, and Statistics</p>	College Board	<p>College Board addresses all data quality issues and is responsible for certifying that all data are accurate.</p> <p>The College Board does not collect or report race/ethnicity based on the federal guidelines. Examinees are asked to select one of the options noted in the data. The College Board Public School List is updated annually by state educational agencies; 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.</p>
1.3.C	<p>Number of public high school graduates who have taken at least one Advanced Placement (AP) Science, Technology, Engineering, Mathematics (STEM) exam* while in high school and score a 3 or better</p> <p>*Including the following exams: Biology, Chemistry, Environmental Science, Physics B, Physics C: Electricity and Magnetism, Physics C: Mechanics Based, Calculus AB, Calculus BC, Computer Science A, and Statistics</p>	College Board	<p>College Board addresses all data quality issues and is responsible for certifying that all data are accurate.</p> <p>The College Board does not collect or report race/ethnicity based on the federal guidelines. Examinees are asked to select one of the options noted in the data. The College Board Public School List is updated annually by state educational agencies; 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.</p>
1.3.D	Percentage of adult education participants in adult basic education programs who achieve a measurable skill gain	NRS for Adult Education	Office of Career, Technical and Adult Education (OCTAE) provides guidance and technical assistance to states on data validity, reliability, and completeness. States are required to certify data quality annually. Sufficient edits checks are a

Associated Strategic Objective	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
1.3.E	Percentage of adult education participants who obtain a secondary school diploma or its equivalent and are employed or enrolled in an education or training program within one year following exit		requirement that must be addressed as part of the process for states certifying data quality. States with an overall data quality level that falls below “superior” must submit a data quality improvement plan. OCTAE conducts ongoing desk and on-site monitoring to verify data quality. The director of the Division of Adult Education and Literacy in OCTAE is responsible for ensuring that the data are accurate.
1.3.F	Percentage of secondary career and technical education (CTE) concentrators who attain a secondary school diploma, a General Education Development credential or other state-recognized equivalent (including recognized alternative standards for individuals with disabilities), or a proficiency credential, certificate, or degree, in conjunction with a secondary school diploma	State Consolidated Annual Reports (CARs) for the <i>Carl D. Perkins Career and Technical Education Act</i>	OCTAE performs a 10-step check for validity, reliability, and completeness of data. Under the current <i>Carl D. Perkins Career and Technical Education Act</i> , states have the authority to determine definitions of CTE concentrator and the definitions of their measures. Director of the Division of Academic and Technical Education (DATE) in OCTAE is responsible for certifying that the data are accurate.
1.4.A	Number of technical assistance engagements, events or related activities or products focused on the grantees' use of evidence in kindergarten through grade 12 education	Department of Education offices that deliver technical assistance	The Department has established criteria to accommodate the range of internal and external technical assistance provided across offices. Establishing a common definition of key terms and program offices applying such definitions consistently and in a standard way will be a challenge. PPSS will follow up with program offices as necessary to address any anomalous data. This metric provides descriptive information and no causal relationship could be attributed to the data and the performance of grantees. Contacts will be identified in individual program offices to be responsible for certifying accuracy of the data.

**Strategic Goal 2: Expand postsecondary education opportunities, improve outcomes to foster economic opportunity and promote an informed, thoughtful and productive citizenry.**

Associated Strategic Objective	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
2.1.A	Percentage of OPE grantees with large available balances	The Department's Grants Management System G5	The universe for this metric includes Higher Education Program (HEP) grants and select International and Foreign Language Education (IFLE). G5 data are historically accurate. Grantees tell program staff when they think there is a discrepancy in the balances. This is an independent source of validation. OPE managers will spot check data and address anomalies with program staff. Given that program cycles are in different stages from year to year and each program is unique, the data for this metric may not be comparable each quarter or from year to year. The Deputy Assistant Secretary of HEP and the Assistant Secretary of OPE are responsible for certifying that the data are accurate.
2.1.B	Percentage of OPE grantees with large available balances that received technical assistance resulting in "Resolved with Good Explanation"		
2.1.C	Percentage of annual statutory requirements for OPE programs that are fulfilled by OPE		G5 will be updated to list statutory requirements for each program. Managers will certify fulfillment. Directors will spot check data and address anomalies with managers. Office of the General Counsel (OGC) will be consulted if there is a question about whether a requirement has truly been fulfilled. The Deputy Assistant Secretary of HEP and the Assistant Secretary of OPE are responsible for certifying that the data are accurate.

Associated Strategic Objective	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
2.1.D	Percentage of First-Time FAFSA Filers Among High School Seniors	FSA's Central Processing System	<p>The data we use originate from FSA operational systems. These systems, as a part of their operations, have procedures in place to address potential data quality issues. These metrics report figures about data that our operational systems maintain, and we do not manipulate it in any way. If anomalies persist, they exist in the operational systems.</p> <p>We have a consistent and disciplined process in place for querying our systems for data. The process includes having a separate data analyst from a different office within FSA validate the accuracy of the query and the resulting data. This process also is used for anomalous data.</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 by the business intelligence team as part of the validation.</p> <p>The Customer Analytics Group is responsible for the primary calculation of the metric using the data from FSA. Business Intelligence is responsible for the technical validation of the metric, which is done by reviewing for accuracy the query used to pull the data and all calculations made with the data. Finally, the Financial Reporting and Analysis Branch is responsible for ensuring that documentation is complete and archived.</p> <p>Since year of high school graduation is not asked on the FAFSA, several assumptions are made and specific criteria were used (such as age of applicant) to identify those likely to be high school seniors. For the 2018-19 FAFSA, which was available beginning October 1, 2017, the age assumption for high school seniors was increased from 18 to 19 years of age. Using the age criteria of 18 years of age (used in previous years) resulted in FSA undercounting high school seniors by approximately 23%. Relaxing the age assumption to include FAFSAs from slightly older high school seniors produces more accurate data that also better reflect nationwide awareness and outreach efforts.</p> <p>These calculations also restrict the application period to the first nine months of the application cycle (the close of the fiscal year), rather than the entire 18 months. Since most applicants, including high school seniors, file their FAFSA prior to the start of the upcoming academic year (usually before fiscal year end), this decision better aligns the performance metric with the fiscal year where most of the performance occurred. The alternative is waiting for the close of the 18-month cycle, where a performance metric would mostly reflect performance from an earlier fiscal year.</p>
2.1.E	Persistence Among First-Time Filing Aid Recipients	FSA's Common Origination and Distribution system	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 rerun and match

Associated Strategic Objective	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
			calculations for earlier cycles. Therefore, the metric as defined should be considered verified and valid.
2.2.A	Number of technical assistance events or activities and products focused on the use of evidence in federal programs that promote educational opportunities, training, and support services for the workforce.	Department of Education offices that deliver technical assistance	Criteria for and examples of technical assistance events/activities and products are provided above. The examples provided are not exhaustive, so program offices may be able to “count” additional events/activities and products that meet the other criteria. The criteria are flexible to accommodate different technical assistance offerings provided across the Department. PPSS will follow up with program offices as necessary to address any anomalous data. Establishing a common definition of key terms and program offices applying such definitions consistently and in a standard way will be a challenge. ED could conduct a few “level setting” meetings with staff charged with reporting from each program office to try to support collection of standard and meaningful data. In addition, this will be descriptive information and no causal relationship could be attributed to the data and the performance of grantees. Contacts will be identified in Individual program offices to be responsible for certifying accuracy of the data.
2.2.B	Percentage of adult education program participants who are in unsubsidized employment during the second quarter after exit from the program	NRS for Adult Education	OCTAE provides guidance and technical assistance to states on data validity, reliability, and completeness. States are required to certify data quality annually. Sufficient edits checks are a requirement that must be addressed as part of the process for states certifying data quality. States with an overall data quality level that falls below “superior” must submit a data quality improvement plan. OCTAE conducts ongoing desk and on-site monitoring to verify data quality. The director of the DAEL in OCTAE is responsible for ensuring that the data are accurate.



Associated Strategic Objective	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
2.2.C	Percentage of VR participants who are in unsubsidized employment during the second quarter after exit from the program	RSA 911 Vocational Rehabilitation Case Service Report	<p>The numerator for this metric is the participants who were employed in the 2nd quarter after program exit (RSA-911 Element 383).</p> <p>The denominator for this metric is the total number of participants who exited during the reporting period (RSA-911 Element 355).</p> <p>RSA will maintain a comprehensive edit check table on its website. The table will detail, by data element, the edit checks required to ensure the integrity of data submissions. Edits describe constraints that should be satisfied by the data. Each data submission will be analyzed to determine whether the data are consistent with the edit checks. Data submissions that fail to pass the edit check will be returned to the VR agency for correction and resubmission. Any corrections made must be consistent with the agency's electronic case management system and the supporting documentation maintained by the agency. RSA's data editing process will utilize both hard and soft edits. Hard edits identify records that "fail" based upon erroneous combinations or missing values. Soft edits are constraints that identify (combinations of) values that are suspicious but not necessarily incorrect. RSA data staff conduct macro-level checks to uncover inconsistencies in the data reported by state VR agencies (e.g., formatting errors, necessary relationships between data elements, and completeness of submissions). RSA will request agencies investigate and correct any anomalies in subsequent report submissions. Data for this metric are based on unemployment insurance data from the state's Unemployment Insurance Tax System. There is a two-quarter lag in the availability of those data. As a result, the employment rate data reported is, in effect, reported four quarters after the individual exits the program. VR agencies are responsible for ensuring that any data submitted conforms to edit check and data submission requirements. VR Directors, or individuals formally delegated the authority to submit the data on behalf of the VR Directors, are required to certify the accuracy of the data that are submitted.</p>

Associated Strategic Objective	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
2.2.D	Percentage of VR program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment	RSA 911 Vocational Rehabilitation Case Service Report	<p>The numerator for this metric is the unique count of the most recent date on which participants achieved a Measurable Skill Gains in the reporting period, via one of the following:</p> <ul style="list-style-type: none"> <li>•Educational Functioning Level (RSA-911 Element 343)</li> <li>•Postsecondary Transcript/Report Card (RSA-911 Element 345)</li> <li>•Secondary Transcript/Report Card (RSA-911 Element 344)</li> <li>•Training Milestone (RSA-911 Element 346)</li> <li>•Skills Progression (RSA-911 Element 347)</li> </ul> <p>The denominator for this metric is all participants enrolled in an education or training program leading to a recognized postsecondary credential or employment (RSA-911 Element 85).</p> <p>RSA will maintain a comprehensive edit check table on its website. The table will detail, by data element, the edit checks required to ensure the integrity of data submissions. Edits describe constraints that should be satisfied by the data. Each data submission will be analyzed to determine whether the data is consistent with the edit checks. Data submissions that fail to pass the edit check will be returned to the VR agency for correction and resubmission. Any corrections made must be consistent with the agency's electronic case management system and the supporting documentation maintained by the agency. RSA's data editing process will utilize both hard and soft edits. Hard edits identify records that "fail" based upon erroneous combinations or missing values. Soft edits are constraints that identify (combinations of) values that are suspicious but not necessarily incorrect. RSA data staff conduct macro-level checks to uncover inconsistencies in the data reported by state VR agencies (e.g., formatting errors, necessary relationships between data elements, completeness of submissions). RSA will request agencies investigate and correct any anomalies in subsequent report submissions. VR agencies are responsible for ensuring that any data submitted conforms to edit check and data submission requirements. VR Directors, or individuals formally delegated the authority to submit the data on behalf of the VR Directors, are required to certify the accuracy of the data that are submitted.</p>
2.3.A	Number of technical assistance activities, sponsored by the Department, intended to expand or enhance the integration of workforce preparation activities within academic instruction in adult education classrooms	Quarterly Progress Reports from Contractor	The contractor progress reports include, as applicable, links to virtual events and meeting materials from face-to-face events. OCTAE staff vet all event materials prior to the actual event. For virtual events, contractor provides relevant analytics as supporting documentation. For face-to-face events, contractor collects sign-in sheets and event evaluation forms. OCTAE staff review contractor documentation for anomalous or unclear submissions and follow up with the appropriate contractor. The Deputy Director of DAEL in OCTAE

Associated Strategic Objective	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
			is responsible for certifying that the data are accurate.
2.3.B	Percentage of adult education participants enrolled in an integrated education and training (IET) program	NRS for Adult Education	OCTAE provides guidance and technical assistance to states on data validity, reliability, and completeness. States are required to certify data quality annually. Sufficient edits checks are a requirement that must be addressed as part of the process for states certifying data quality. States with an overall data quality level that falls below “superior” must submit a data quality improvement plan. OCTAE conducts ongoing desk and on-site monitoring to verify data quality. The director of the DAEL in OCTAE is responsible for ensuring that the data are accurate.
2.3.C	Percentage of postsecondary CTE concentrators who received an industry-recognized credential, a certificate, or a degree	State Consolidated Annual Reports (CARs) for the <i>Carl D. Perkins Career and Technical Education Act</i>	OCTAE performs a 10-step check for validity, reliability, and completeness under the current Carl D. <i>Perkins Career and Technical Education Act</i> , states have the authority to determine the definitions of CTE concentrator and the definitions of the measures and so performance data may not be comparable across states. DATE in OCTAE, is responsible for certifying that the data are accurate.
2.4.A	Number of non-default federal student loan servicers’ call centers with expanded hours	Federal servicers quarterly reports	Data will be collected from federal servicers through non-default federal student loan servicers’ quarterly reports. For this metric the query will be “how many call centers have expanded hours meeting or exceeding the defined times?” The verification and validation of performance by the non-default federal student loan servicers’ will be conducted by Federal Student Aid (FSA) including, but not limited to, (a) review and validation of federal servicer reports, (b) ongoing/recurring quality assurance discussion with federal servicers, (c) site visits to federal servicer call center sites, and (c) documented on-phone (“mystery caller”) evaluations of services. Because the agency directive is succinct and builds upon current contractor operational capabilities, FSA does not anticipate anomalous data or issues with implementation. However, in cases where verification and validation detect anomalies that suggest less than complete information, FSA will address any deficiencies through direct contact with federal servicers, requests for information, audits, site visits, and/or other assessment measures of performance, as applicable. FSA is not presently aware of any limitations or constraints of the data. Business Operations Officer, FSA Business Operations, which oversees all of FSA’s non-default federal student loan servicers, is responsible for certifying that the data are accurate.
2.4.B	Number of call centers that meet or exceed the quality standard for average speed to answer (ASA)		Data will be collected from non-default federal student loan servicers through servicers’ quarterly reports. For this metric, the query will be “how many servicers met the standards for quality?” The

Associated Strategic Objective	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
2.4.C	Number of call centers that meet or exceed the quality standard for average abandon rate (AR) for incoming calls		<p>verification and validation of performance by the non-default federal student loan servicers will be conducted by FSA including, but not limited to, (a) review and validation of federal servicer reports, (b) ongoing/recurring quality assurance discussion with federal servicers, (c) site visits to federal servicer call center sites, and (c) documented on-phone (“mystery caller”) evaluations of services. Because the agency directive is succinct and builds upon current contractor operational capabilities, FSA does not anticipate anomalous data or issues with implementation. However, in cases where verification and validation detect anomalies that suggest less than complete information, FSA will address any deficiencies through direct contact with federal servicers, requests for information, audits, site visits, and/or other assessment measures of performance, as applicable. FSA is not presently aware of any limitations or constraints of the data. Business Operations Officer, FSA Business Operations, which oversees all of FSA’s non-default federal student loan servicers, is responsible for certifying that the data are accurate.</p>
2.4.D	ACSI Aid Life Cycle Surveys	FSA’s Customer Satisfaction Surveys	<p>Traditionally, the ACSI Aid Life Cycle metric has been based on the following proportional weights:          .65 – Borrower (in Repayment) Satisfaction – based on a survey of ED held Serviced Borrowers          .29 – Applicant Satisfaction – based on the FAFSA on the Web Survey of Applicants who complete the FAFSA          .06 – Borrower (in School) Satisfaction – based on our survey of borrowers still enrolled.          For 2017, our Borrower in School Survey was not funded while applicants were still in school, so the survey could not be conducted. As a result, last year’s score was based on the following proportional weights:          .76 – Borrower (in Repayment) Satisfaction – based on a survey of ED-held Serviced Borrowers          .24 – Applicant Satisfaction – based on the FAFSA on the Web Survey.          FSA plans to fund the 2018 Borrower in School survey this winter/spring in order to be able to conduct the Borrowers in School Survey and use that information as part of this metric for 2018. The ACSI Survey results have declined in the past few years, partly attributed to unexpected interruptions with the IRS Data Retrieval Tool during FAFSA completion. While the Borrower in School Survey is an important part of the overall Customer Satisfaction Survey, its inclusion is not a significant contributor to the overall score. Therefore, FSA expects the FY2018 ACSI Aid Life Cycle Survey score to be largely unchanged for the coming year. As FSA approaches changes to the FAFSA, we do expect sharp increases in customer satisfaction in future years.</p>

Associated Strategic Objective	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
2.5.A	Percentage of borrowers that are more than 30 days delinquent	FSA's Data Warehouse	Data will be collected on a quarterly basis from FSA's Data Warehouse. The verification and validation of the rate(s) of delinquency will be conducted by FSA's Office of Performance Management. Because the query has been performed before, successfully, FSA does not anticipate anomalous data or issues with interpretation. However, in cases where verification and validation detect anomalies that suggest less than complete information, FSA will address any deficiencies through collaboration with subject matter experts within the Office of Performance Management. No limitations, other than macro-economic situations (i.e., economic downturn), have been identified. Deputy Chief Operating Officer, FSA is responsible for certifying that the data are accurate.
2.5.B	Percentage of borrowers that are more than 90 days delinquent		

**Strategic Goal 3: Strengthen the quality, accessibility, and use of education data through better management, increased privacy protections and transparency.**

Associated Strategic Objective	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
3.1.A	Number of data management activities for which Department-wide procedures or templates have been created and reviewed through the Data Strategy Team (DST)	Minutes from Monthly DST meetings	At the time minutes from the Monthly Meeting are submitted by the DST Support contractor to the DST Co-Chairs, the information presented in support of this metric will be reviewed and accepted by the DST Co-Chairs. These meetings occur every two-weeks providing both the DST Support contractor and the DST Co-Chairs with an opportunity to review and finalize documentation of the Meeting in a timely fashion, and before a subsequent DST Monthly Meeting is held. Any data identified by the DST Co-Chairs as anomalous would be discussed at one of the bi-weekly meetings between the Co-Chairs and the DST Support contractor. Anomalous data would be researched using the original meeting notes from the monthly meeting in question and followed up with calls from the Co-Chairs to any points of contact whose approval or whose attendance at the Monthly Meeting was in question. The DST Co-Chairs are responsible for certifying that the data are accurate.
3.1.B	Number of the Department's program offices participating in DST offered data management trainings		
3.2.A	Number of Institutions of Higher Education (IHE) that have an audit of GLBA-related information security safeguards which result in no significant findings	IHE-provided auditor reports	The data will be verified and validated by the FSA Senior Advisor for Cybersecurity in collaboration with the Department's Chief Privacy Officer, on at least a quarterly basis, and compared to report data, FSA records, and ongoing compliance and investigations regarding data breaches. Anomalous data resulting from GLBA-related audits will be brought to the attention of the auditing entities and reconciled where possible. There are no identified nuances or limitations to the data. FSA's Deputy Chief Operating Officer will certify that all data are accurate.
3.2.B	Number of outreach activities targeting data privacy and IT security requirements of institutions of higher education	Outreach activity records maintained by the Privacy Technical Assistance Center	The data will be verified and validated by the FSA Senior Advisor for Cybersecurity in collaboration with the Department's Chief Privacy Officer on at least a quarterly basis, and compared to report data, FSA records, and ongoing compliance and investigations regarding data breaches. Anomalous data related to outreach activities will be noted and staff and contractors will be questioned to ensure that outreach activities and programs fall within the defined, qualifying activities. There are no identified nuances or limitations to the data. FSA's Deputy Chief Operating Officer will certify that all data are accurate.
3.2.C	Percentage of LEA websites from statistically representative sample reviewed for inclusion of transparency best practices and compliance with legal requirements relating to third party contracting	Selected LEA public websites	The data will be verified and validated by the Director of Student Privacy Policy in collaboration with the Department's Chief Privacy Officer on at least a quarterly basis. Anomalous data will be noted in the comments field, and staff and contractors will be questioned to ensure that district website reviews are accurate and complete. No limitations are anticipated. The Chief Privacy Officer is responsible for certifying that the data are accurate.



Associated Strategic Objective	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
3.3.A	Number of sessions dedicated to improved data use provided to external grantees and stakeholders presented by Department employees or their contractors, or occurring at Departmental hosted events	PPSS records	The sessions will be tracked on a dashboard on PPSS's SharePoint site. Program offices submitting the data will be responsible for verifying its accuracy. The dashboard will include a statement that Program Offices submitting data must agree to ensure the accuracy of their information prior to entering it into the dashboard. OPEPD-PPSS would investigate further any anomalous data. Anomalous data would be researched using the original data submitted and follow-up calls to the program office will be made when necessary. One limitation of the collection could be Program Offices not capturing all qualifying sessions in the dashboard. The Department can use its multiple data focused teams, such as DST, ED Facts Data Governance Board, and InformED, to continuously remind Program Offices to enter their data. OPEPD-PPSS is responsible for certifying that the data are accurate to the best of their knowledge.
3.3.B	Number of newly added publicly available datasets in machine readable formats	The Department's Public Data Listing	The Office of the Associate Commissioner for the Administrative Data Division in NCES will verify that the extract matches the inventory at the time of extraction. NCES and OPEPD-PPSS will discuss and review jointly and data identified as anomalous. Anomalous data would be researched using the original metadata submitted and the extraction. Follow-up calls to the contact person listed for the dataset in question will be made if necessary. The universe of the data used in this reporting does not currently reflect the full universe of data that are or could be made publicly available by the Department. There may also be access points to machine readable data not listed in the Public Data Listing. These gaps will continue to close as the Public Data Listing becomes more complete. Additionally, there may be a time in the future when the Public Data Listing is no longer the central access point for ED's machine readable data. If this happens, we may need to revise the data source, but otherwise the metric will remain the same. OPEPD-PPSS is responsible for certifying that the data are accurate to the best of their knowledge.
3.3.C	Percentage of discretionary grant competitions that include the requirement to openly license to the public copyrightable grant deliverables created with Department grant funds	Information Collection Packages	OM-ICCD is responsible for ensuring the information is accurate, based on information received through the Information Collection Packages. If in reviewing the packages, OET has any questions about any information included in the packages, OET will first ask OM-ICCD. If OM-ICCD cannot find the answer they will facilitate communications with the appropriate Program Office to find the answer. The numerator and denominator are clearly defined, as is the process for calculating a percentage; therefore, there are no limitations or nuances that need to be documented at this time. The OET is responsible for certifying that the data are accurate to the best of their knowledge.

**Strategic Goal 4: Strategic Goal 4: Reform the effectiveness, efficiency and accountability of the Department.**

Associated Strategic Objective	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
4.1.A	Number of evaluations to identify potential EO 13771 deregulatory actions that included opportunity for public input and/or peer review	Report to OMB	Division of Regulatory Services (DRS) will monitor the data and verify numbers. The Assistant General Counsel for Regulatory Services in OGC is responsible for certifying that the data are accurate.
4.1.B	Number of EO 13771 deregulatory actions recommended by the Regulatory Reform Task Force to the agency head, consistent with applicable law	Department Records	DRS will monitor the data and verify numbers. The Assistant General Counsel for Regulatory Services in OGC is responsible for certifying that the data are accurate.
4.1.C	Number of EO 13771 deregulatory actions issued that address recommendations by the Regulatory Reform Task Force	Federal Register and ed.gov	DRS will monitor the data and verify numbers. The Assistant General Counsel for Regulatory Services in OGC is responsible for certifying that the data are accurate.
4.1.D	Number of EO 13771 regulatory actions and, separately, EO 13771 deregulatory actions issued	Federal Register and ed.gov	DRS will monitor the data and verify numbers. The Assistant General Counsel for Regulatory Services in OGC is responsible for certifying that the data are accurate.
4.1.E	Total incremental cost of all EO 13771 regulatory actions and EO 13771 deregulatory actions (including costs or cost savings carried over from previous fiscal years)	Report to OMB	
4.1.F	Number of significant deregulatory actions submitted to OMB, the number of actions reflected on <a href="http://Reginfo.gov">Reginfo.gov</a>	<a href="http://Reginfo.gov">Reginfo.gov</a>	
4.1.G	Number of requests for significance determination of deregulatory actions submitted to OMB, the number of such requests submitted to OMB by e-mail	E-mails between the Department and OMB	
4.2.A	Percentage of key indicators that show improvement in performance and risk management	Office of the Chief Financial Officer will calculate using data from various sources	Each office that is responsible for a risk indicator within this composite metric maintains data verification and validation procedures for that indicator. Office of the Chief Financial Officer (OCFO) requires Sections I and III of this questionnaire be completed for all indicators and maintains copies as supporting documentation to help ensure data integrity. Judgement is required to define the list of risk indicators that comprise this composite metric, since it does not include all Strategic Plan metrics. OCFO leverages the Senior Management Council to decide on the final list of indicators that comprise this metric. OCFO is responsible for certifying that the data are accurate.

Associated Strategic Objective	Performance Metric (Indicator)	Data Source(s)	Data Verification and Validation Overview
4.3.A	Maturity level score of the Department's Information Technology (IT) Security Program and Practices as they relate to the <i>Federal Information Security Modernization Act of 2014</i> (FISMA)	Annual (FY) Inspector General FISMA Reporting Metrics Audit Report	As part of the annual audit process, the OIG disseminates draft reports for the Department to review and comment on its findings, recommendations, and assessments of maturity. OCIO leads coordination efforts across Department stakeholders and participates in review meetings with the OIG to verify and validate the information contained in the OIG's report that provide the basis for its determination of the maturity levels. Each year the Office of Management and Budget publishes new FISMA guidance. OCIO reviews the new guidance and identifies areas that may impact how the Department's IT security program will be evaluated. OCIO leads coordination and communication efforts to ensure stakeholders and Department leadership understand the new guidance and any steps that need to be taken. The CIO is responsible for certifying that the data are accurate.
4.4.A	FEVS employee engagement index score	Office of Personnel Management (OPM) Federal Employee Viewpoint Survey (FEVS)	Data verification and validation processes are integrated into the OPM FEVS survey results validation process. Any questionable FEVS results identified in annual reports would be brought to the attention of OPM. The Department would then work with the OPM point of contact to obtain clarity or resolve. Any questionable or anomalous FEVS data are brought to the attention of OPM. In turn, the OPM point of contact would research the matter and work with the Department to obtain clarity or resolve. There are no known data limitations. OPM is responsible for certifying that the data are accurate.
4.4.B	Percentage of positions with competencies identified	Talent Management System (TMS)	Data are processed and reviewed by LDD staff for accuracy. LDD staff will monitor progress of assessments. OM, OHR and LDD are responsible for certifying that the data are accurate.
4.4.C	Percentage of supervisors and managers with a performance plan critical element related to employee engagement	TMS and USA Performance	To ensure quality control, verification processors will self-check and cross check one another. The validation and affirmation of final numbers will be done by the Principal Operating Component (POC) EXO leadership to reconcile system reports. The Director of Workforce Relations Division will be responsible for certifying the data are accurate.

## Appendix D: Programs by Goal

Most of the Department's 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.

### Strategic Goal 1

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

**Other discretionary Goal 1 programs/activities include the following:**

POC	ACCT	Goal #	Objective #	Program
OESE	ED	1	1.2, 1.3, 1.4	Title I Grants to local educational agencies
OESE	ED	1	1.2	State agency programs: Migrant
OESE	ED	1	1.2	State agency programs: Neglected and delinquent
OESE	ED	1	1.2	Special programs for migrant students: High School Equivalency Program
OESE	IA	1	1.2	Impact Aid, Payments for federally connected children: Basic support payments
OESE	IA	1	1.2	Impact Aid, Payments for federally connected children: Payments for children with disabilities
OESE	IA	1	1.2	Impact Aid, Facilities maintenance
OESE	IA	1	1.2	Impact Aid, Construction
OESE	SIP	1	1.2, 1.4	State assessments
OESE	SIP	1	1.2	Education for homeless children and youth education
OESE	SIP	1	1.2	Training and advisory services
OESE	SIP	1	1.2	Rural education
OESE	SIP	1	1.2	Supplemental education grants
OESE	SSCE	1	1.2	School safety national activities
OESE	IE	1	1.2	Indian Education: Grants to local educational agencies
OESE	IE	1	1.2	Indian Education: Special programs for Indian children
OESE	IE	1	1.2	Indian Education: National activities
OII	I&I	1	1.1, 1.2	Opportunity Grants (proposed legislation)
OII	I&I	1	1.3, 1.4	Education innovation and research
OII	I&I	1	1.1, 1.2	Charter schools grants
OII	I&I	1	1.1, 1.2	Magnet schools assistance
OESE/ OLEA	ELA	1	1.2	English language acquisition
OSERS	SE	1	1.1, 1.2, 1.4	Special education grants to States
OSERS	SE	1	1.1, 1.2	Preschool grants
OSERS	SE	1	1.1	Grants for infants and families

POC	ACCT	Goal #	Objective #	Program
OSERS	SE	1	1.1, 1.2, 1.4	Technical assistance and dissemination
OSERS	SE	1	1.1	Parent information centers
OSERS	SE	1	1.3	Education technology, media, and materials

**Mandatory programs supporting Goal 1 include:**

No additional programs.

## Strategic Goal 2

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

**Other discretionary Goal 2 programs/activities include the following:**

POC	ACCT	Goal #	Objective #	Program
OESE	ED	2	2.1	Special programs for migrant students: College Assistance Migrant Program
OSERS	SE	2	2.2	State personnel development
OSERS	SE	2	2.2	Personnel preparation
OSERS	REHAB	2	2.1, 2.2	VR Training
OSERS	REHAB	2	2.1, 2.2	Demonstration and training programs
OSERS	REHAB	2	2.2	Independent living services for older blind individuals
OSERS	REHAB	2	2.2	Helen Keller National Center for Deaf-Blind Youths and Adults
OSERS	APBH	2	2.1, 2.3	American Printing House for the Blind
OSERS	NTID	2	2.1, 2.2	National Technical Institute for the Deaf
OSERS	GU	2	2.1, 2.3	Gallaudet University
OCTAE	CTAE	2	2.1, 2.3	Career and technical education State grants
OCTAE	CTAE	2	2.1, 2.4	Career and technical national programs
OCTAE	CTAE	2	2.1	Adult basic and literacy education State grants
OCTAE	CTAE	2	2.1	Adult education national leadership activities
FSA	SFA	2	2.1, 2.3	Federal Pell grants: Discretionary
FSA	SFA	2	2.1, 2.3	Federal work-study
OPE	HE	2	2.1	Aid for institutional development: Strengthening tribally controlled colleges and universities
OPE	HE	2	2.1	Strengthening HBCUs
OPE	HE	2	2.1	Strengthening historically Black graduate institutions
OPE	HE	2	2.1	Strengthening HBCU masters program
OPE	HE	2	2.2, 2.3	Minority science and engineering improvement
OPE	HE	2	2.1	Model transition programs for students with intellectual disabilities into higher education
OCTAE	HE	2	2.1	Tribally controlled postsecondary career and technical institutions
OPE	HE	2	2.1, 2.2, 2.3	Federal TRIO programs
OPE	HE	2	2.1	Child care access means parents in school

POC	ACCT	Goal #	Objective #	Program
OPE	HE	2	2.1	Howard University: General support
OPE	HE	2		College Housing and Academic Facilities Loans Program Account: Federal administration
OPE	HE	2		Historically Black College and University Capital Financing Program Account: Federal administration
OPE	HE	2		Historically Black College and University Capital Financing Program Account: Loan subsidies
FSA	DM/ SAA	2	2.4, 2.5	Student Aid Administration: Salaries and expenses
FSA	DM/ SAA	2	2.4, 2.4	Student Aid Administration: Servicing activities

**Mandatory programs supporting Goal 2 include:**

POC	ACCT	Goal #	Objective #	Program
OSERS	REHAB	2	2.1, 2.2, 2.3	Vocational rehabilitation, State grants
OSERS	REHAB	2	2.1	Vocational rehabilitation, Grants to Indians
FSA	SFA	2	2.1, 2.3	Federal Pell grants: Mandatory
FSA	SFA	2	2.1, 2.3	Federal Pell grants: Mandatory funding for discretionary program costs
FSA	TEACH	2	2.1, 2.3	TEACH Grants: New loan subsidy
FSA	FDSL	2	2.1, 2.3	Federal Direct Student Loans Program Account: New loan subsidy
FSA	FDSL	2	2.1, 2.3	Federal Direct Student Loans Program Account: New net loan subsidy (non-add)
FSA	FFEL	2	2.1	Federal Family Education Loans Program Account: Downward modification of existing loans (non-add)
FSA	FFEL	2	2.1	Federal Family Education Loans Program Account: Net modification of existing loans (non-add)
FSA	FFEL	2	2.1	Federal Family Education Loans Liquidating Account: Pre-1992 student loans
FSA	HEAL	2	2.1	Health Education Assistance Loans Liquidating Account
OPE	HE	2	2.1	Aid for institutional development: Mandatory strengthening tribally controlled colleges and universities
OPE	HE	2	2.1	Mandatory strengthening Alaska Native and Native Hawaiian-serving institutions
OPE	HE	2	2.1	Mandatory strengthening HBCUs
OPE	HE	2	2.1	Mandatory strengthening predominantly Black institutions
OPE	HE	2	2.1	Mandatory strengthening Asian American- and Native American Pacific Islander-serving institutions
OPE	HE	2	2.1	Mandatory strengthening Native American-serving nontribal institutions



POC	ACCT	Goal #	Objective #	Program
OPE	HE	2	2.1, 2.2	Mandatory developing HSI STEM and articulation programs
SFA		2	2.1	Perkins loan repayments
SFA	FDSL	2	2.1, 2.3	FDSL downward modification/negative loan subsidies
SFA	FFEL	2	2.1	FFEL downward modification/negative loan subsidies
SFA		2	2.1, 2.3	Student Financial Assistance debt collection

### Strategic Goal 3

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

**Other discretionary Goal 3 programs/activities include the following:**

POC	ACCT	Goal #	Objective #	Program
IES	IES	3	3.1, 3.2, 3.3	Research, development, and dissemination
IES	IES	3	3.1, 3.2, 3.3	Statistics
IES	IES	3	3.1, 3.2, 3.3	National assessment
IES	IES	3	3.1, 3.2, 3.3	National Assessment Governing Board
IES	IES	3	3.3	Research in special education

**Mandatory programs supporting Goal 3 include:**

No additional programs.

### Strategic Goal 4

**Reform the effectiveness, efficiency and accountability of the Department.**

**Other discretionary Goal 4 programs/activities include the following:**

POC	ACCT	Goal #	Objective #	Program
ALL	DM/PA	4		Program Administration: Salaries and expenses
ALL	DM/PA	4		Program Administration: Building Modernization
OCR	OCR	4		Office for Civil Rights
OIG	OIG	4		Office of Inspector General

**Mandatory programs supporting Goal 4 include:**

No additional programs.

## Appendix E: Summary of Performance Evaluations Conducted During FY 2017 and Expected During FY 2018–19

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

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

### Evaluation Reports From FY 2017–18

#### National Center for Education Evaluation and Regional Assistance

##### Literacy

##### **An Exploration of Instructional Practices that Foster Language Development and Comprehension: Evidence from Prekindergarten through Grade 3 in Title I Schools**

###### **Study Purpose:**

The National Assessment of Educational Progress (NAEP) found that one-third of fourth-grade students performed below a basic level in reading in 2011. Gaps in reading and language development between disadvantaged children and their more advantaged peers begin early, as documented by the Early Childhood Longitudinal Study. Closing the gap in language development and background knowledge is critical if children are to comprehend text because the research literature indicates that these areas of development are linked. Given the modest and inconsistent effects of large-scale early literacy interventions, the purpose of the Early Childhood Language Development study was to investigate types of instructional practices that hold potential promise for promoting children's language development and comprehension.

###### **Key Question(s) Addressed:**

- What classroom practices are associated with children's development of language skills, background knowledge, and comprehension in prekindergarten through 3rd grade in Title I schools?

###### **Design:**

This exploratory study included a sample of 83 Title I schools with prekindergarten programs to identify instructional practices associated with improved language development, background knowledge, and comprehension outcomes. In the 2011-12 school year, the study collected data for five grade cohorts (prekindergarten, kindergarten, first, second, and third grades) and classroom and student samples were selected for each. Data collection included a battery of student assessments and classroom observations. This study is exploratory, and its analyses estimated the associations between instructional practices and student outcomes to inform future rigorous evaluation of strategies to improve language and comprehension outcomes for disadvantaged children.

###### **Actual Completion Date:**

The final report was released in August 2017.

**Key Findings:**

The exploratory analysis identified four instructional practices that show promise for improving young children’s language development and comprehension. The practices that were most consistently related to student growth include:

- Engaging students in defining new words during or after reading a text
- Helping students make connections between their prior knowledge and the texts they read
- Promoting higher-order thinking by asking questions that require students to analyze information, explain their thinking, and develop new ideas
- Focusing students’ attention on the meaning of a text before reading it, such as by introducing the topic and encouraging predictions

**Link to Additional Information:** <http://ies.ed.gov/ncee/pubs/20174024>

**Teacher Effectiveness****Study of the Distribution of Effective Teaching****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 policy makers 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.

**Key Question(s) 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?

**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.

**Actual Completion Date:**

The final report on school years 2008–09 through 2012–13 was released in October 2016.

### 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).

**Link to Additional Information:** <https://ies.ed.gov/ncee/pubs/20174008/>

### Impact Evaluation of Teacher and Leader Evaluation Systems

#### 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 *Every Student Succeeds Act* (ESSA). The components include measures of student achievement growth, classroom practices, and principal leadership.

#### Key Question(s) Addressed:

- What is the impact of the performance evaluation system on teachers' classroom practices and student achievement? What are districts' and educators' experiences with implementation?

#### 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.

**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.

**Key Findings from the First Report:**

- 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.

**Link to Additional Information:** <https://ies.ed.gov/ncee/pubs/20174004/>

**Does Content-Focused Teacher Professional Development Work? Findings from Three Institute of Education Sciences (IES) Studies****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 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.

**Key Question(s) 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.

**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.

**Actual Completion Date:**

The brief was released in November 2016.

**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.

**Link to Additional Information:** <http://ies.ed.gov/ncee/pubs/20174010/>

## School Choice

### Evaluation of the DC Opportunity Scholarship Program (OSP): Impacts One Year After Application

**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), plus a cumulative inflation adjustment, 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.

**Key Question(s) 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?



**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 were collected for three follow-up years for each of the cohorts and, for students in both the scholarship and nonscholarship groups. The contractor administered academic assessments, and conducted student, parent, and principal surveys each spring (spring 2013–17).

**Estimated or Actual Completion Date:**

The first impact report was released in spring 2017. The second and final impact reports are planned for early spring 2018 and late fall 2018.

**Key Findings from the First Impact Report:**

- The OSP had a statistically significant negative impact on mathematics achievement after one year. Math scores were lower for students who were offered or used OSP scholarships, compared to students that applied for but were not offered scholarships. There were no statistically significant impacts on reading scores for students in the evaluation overall.
- The program did not have a statistically significant impact on parents' or students' general satisfaction with the school the child attended in that first year. The percentage of parents giving their child's school a grade of A or B was not statistically different when comparing parents of students who were offered or used OSP scholarships with the parents of students not selected for the scholarship offer. There were also no statistically significant differences when looking at student satisfaction with schools.
- The program had a statistically significant positive impact on parents' perceptions of safety at the school their child attended in that first year. Parents of students who were offered or used OSP scholarships were more likely to indicate that their child's school was "very safe," compared with the parents of students not selected for the scholarship offer. Student perceptions of school safety were not significantly different between the groups.
- The OSP did not have a statistically significant impact on parent involvement in education overall. However, for parents of students in grades 6–12, the program had statistically significant positive impacts on involvement in education-related activities and events at home after one year.

**Link to Additional Information:** <https://ies.ed.gov/ncee/pubs/20174022/>

**Students with Disabilities****National Longitudinal Transition Study (NLTS) 2012****Study Purpose:**

Supporting youth's successful transition to adult life is a priority under the *Individuals with Disabilities Education Act* (IDEA). IDEA provides federal funds to states and through them to school districts to assist in providing special education and related services. States and school districts must make a free appropriate public education (FAPE) available to all eligible children with disabilities. FAPE includes the provision of special education and related services provided in conformity with an individualized education program. IDEA requires that the first IEP to be in effect when a child turns 16 include postsecondary goals and transition services needed to help youth with disabilities complete high school prepared to achieve appropriate post-school outcomes, such as postsecondary education, jobs, and independent living. The NLTS 2012 is the third in a series examining the characteristics, school experiences, and post-high school

outcomes 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 an IEP. This study is part of the congressionally mandated National Assessment of the IDEA and is supported with funds authorized under Section 664 of IDEA.

**Key Question(s) Addressed:**

- How do the personal, family, and school characteristics and experiences of youth with disabilities differ from those of youth not served under IDEA? (Volume 1; March 2017)
- How do the characteristics and experiences of youth vary across disability groups? (Volume 2; March 2017)
- How have the characteristics and experiences of youth with disabilities changed over time?
- To what extent do youth with disabilities make progress through high school compared to other youth?
- Are youth with disabilities achieving the post-high school outcomes envisioned by IDEA, and how do their college, training, and employment rates compare to those of other youth?
- How do these high school and postsecondary outcomes vary with student characteristics?

**Design:**

This descriptive study includes a nationally representative sample drawn from 432 school districts and special schools randomly sampled in 2011 and students randomly sampled within those districts. Survey data were collected in 2012-2013 from approximately 12,000 in-school youth and their parents, of which about 10,000 are students with IEPs representing each of the federal disability categories. The surveys asked about the background characteristics of secondary school youth and the schools they attend, their health, functional abilities, and engagement in school, the academic supports they receive, and their expectations for and steps to achieve transitions beyond high school. High school records and postsecondary enrollment information from the National Student Clearinghouse are being collected (from 2017-2019) to follow the sample of students through high school and beyond. This administrative data will be linked with the 2012-2013 survey data to examine high school course-taking and completion, and youth's experiences with college, training, and employment.

**Actual Completion Date:**

The first two volumes of the study report describing survey results were released in March 2017.

**Key Findings (from the March 2017 volumes):**

- Youth with an IEP 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.
- 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.
- 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.

- 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.
- 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.

**Link to Additional Information:** <https://ies.ed.gov/ncee/pubs/20174016/>

## Pathways to Career or College

### Upward Bound at 50: Reporting on Implementation Practices Today

#### Study Purpose:

First established in 1965, 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. When the evaluation began in 2012, the program served more than 60,000 high school students at a cost of about \$4,300 per youth. Upward Bound projects provide a wide array of academic and college transition support services, with seven types of services required by statute (“core” 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, to help identify common (or uncommon but promising) practices that could inform program improvement studies that Congress requires the U.S. Department of Education to conduct.

#### Key Question(s) 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?

#### Design:

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

#### Actual Completion Date:

The report was released in November 2016.

**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.
- When, where, and how services were delivered differed across service areas. For example, tutoring and college entrance exam preparation services were most commonly delivered 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 non-higher education) that hosts the project but not to other project characteristics examined (e.g., project size, per-student funding, and whether the host institution was a Minority-Serving Institution).

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

**Other****Race to the Top: Implementation and Relationship to Student Outcomes****Study Purpose:**

Beginning in 2010, Race to the Top (RTT) was a competitive grant program of the Department that 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.

**Key Question(s) Addressed:**

- Which policies and practices promoted by the RTT program did RTT states report using, and how do they compare to the policies and practices that non-RTT states reported using?
- Was receipt of an RTT grant related to improvement in student outcomes?

**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 examined by comparing state-level trends in NAEP scores before and after the RTT competition, for states that were awarded an RTT grant to states that applied for but were not awarded an RTT grant.

**Actual Completion Date:**

The final report for RTT was released in October 2016.

**Key Findings from the Final Report:**

- 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.

**Link to Additional Information:** <https://ies.ed.gov/ncee/pubs/20174001/>

## **School Improvement Grants (SIG): Implementation and Effectiveness**

### **Study Purpose:**

In FY 2009, \$3.5 billion (\$546 million in regular appropriations and \$3 billion from the *Recovery Act*) were allocated to the SIG program authorized by Title I of the ESEA. SIG intended to support rapid improvement in the nation's persistently lowest-achieving schools, and funds were distributed to states by formula based on Title I allocations. States then competitively awarded funds to districts applying on behalf of their eligible schools. Schools receiving FY 2009 SIG funds were required over the three-year grant period to 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.

### **Key Question(s) Addressed:**

- Did SIG-funded schools use the improvement or turnaround strategies promoted by the four SIG intervention models, and how did they compare to strategies in schools not implementing a SIG-funded intervention model? How did states and districts support such efforts?
- Did receipt of SIG funding to implement a school intervention model have an impact on outcomes for low-performing schools?
- Was implementation of the four school intervention models related to improvement in outcomes for low-performing schools?

### **Design:**

The SIG sample included about 500 schools in 60 districts from 22 states. This sample was purposely 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.

### **Actual Completion Date:**

The final report for SIG was released in January 2017.

### **Key Findings from the Final Report:**

- 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.

**Link to Additional Information:** <https://ies.ed.gov/ncee/pubs/20174013/>

## **Implementation of Title I and Title II-A Program Initiatives: Results from 2013-14**

### **Study Purpose:**

The Title I and Title II-A programs are a key part of the *Elementary and Secondary Education Act* (ESEA). These programs are intended to help provide all students with equal access to education by: providing financial assistance to schools and districts which have a high percentage of students from low-income families (Title I) and improving teacher and principal quality (Title II-A). Prior to the most recent reauthorization in December 2015, states were allowed to apply for waivers to certain *No Child Left Behind Act* requirements. A majority of states sought and received ESEA flexibility beginning in 2012. In exchange for waivers, they agreed to implement various reform principles, such as identifying and supporting schools with achievement gaps among student subgroups and implementing educator evaluation systems based on student achievement and multiple observations.

The first report presents implementation data from states, districts, schools, and teachers prior to ESSA, under the *No Child Left Behind Act* and ESEA flexibility during the 2013–2014 school year. A subsequent report will look at implementation after reauthorization during the 2017-2018 school year using data from states and districts.

### **Key Question(s) Addressed:**

- What content standards and high school graduation requirements are states adopting, and what materials and resources are provided to support implementation?
- What types of assessments do states and districts use, and what materials and resources are provided to support the implementation of assessments and use of assessment data?
- What 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 are provided to improve teacher and principal effectiveness?
- How has student achievement changed over time?

### **Design:**

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–



2014 school year. These data informed the first four research questions. Extant math and reading achievement data from state standardized achievement tests and the NAEP were used to inform the fifth research question.

**Actual Completion Date:**

The report was released in January 2017.

**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 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 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).

**Link to Additional Information:** <https://ies.ed.gov/ncee/pubs/20174014/>

**Evaluation of NAEP Achievement Levels****Study Purpose:**

Under the provisions of P.L. 107-279, the Secretary is required to provide for continuing review of the 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.

### 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.

### 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.

### Actual Completion Date:

The report from this study was released final form in April 2017 and may be downloaded as a PDF or read online at <https://www.nap.edu/catalog/23409/evaluation-of-the-achievement-levels-for-mathematics-and-reading-on-the-national-assessment-of-educational-progress>.

**Link to Additional Information:** [http://ies.ed.gov/ncee/projects/evaluation/other\\_naep.asp](http://ies.ed.gov/ncee/projects/evaluation/other_naep.asp)

## Policy and Program Studies Service

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

#### 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.

**Key Question(s) 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 Question(s) 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?

**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.

**Actual Completion Date:**

The literature review was released in August 2016, and the case study report was released in December 2016.

**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 Randomized Control Trial 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.

**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

### 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.

### Key Question(s) 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?

### 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.

### Actual Completion Date:

The final report was released in November 2016.

### 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.

**Link to Additional Information:**

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

**State Efforts to Promote Equitable Access to Effective Teachers****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.

**Key Question(s) 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?

**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.

**Actual Completion Date:**

The final report was released in January 2017.

**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).

**Link to Additional Information:**

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

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

**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.

**Key Question(s) 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?

**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).

**Actual Completion Date:**

The final report was released in January 2017.

**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.

**Link to Additional Information:**

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

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

**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.

**Key Question(s) 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?

**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 2016. 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.

**Actual Completion Date:**

The report was completed in December 2016.

**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.
- 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.

**Link to Additional Information:**

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

## Summary of Performance Evaluations Expected During FY 2018 and FY 2019

### National Center for Education Evaluation and Regional Assistance

#### Teacher Effectiveness

#### Impact Evaluation of Teacher and Leader Evaluation Systems

**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.

**Key Question(s) Addressed:**

- What is the impact of the performance evaluation system on teachers' classroom practices and on student achievement?
- What are districts' and educators' experiences with implementation?

**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.

**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 was released in December 2017.

**Key Findings from the First Report:**

- 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.

**Link to Additional Information:**

[https://ies.ed.gov/ncee/projects/evaluation/tq\\_performance.asp](https://ies.ed.gov/ncee/projects/evaluation/tq_performance.asp).

**Impact Evaluation of the TIF**

**Study Purpose:**

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.

**Key Question(s) Addressed:**

- What are the characteristics of all TIF grantee districts and their PBCSs? 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?

### **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 included 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.

### **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 updated implementation information and impacts, was released in December 2017.

### **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.

**Link to Additional Information:** [http://ies.ed.gov/ncee/projects/evaluation/tq\\_incentive.asp](http://ies.ed.gov/ncee/projects/evaluation/tq_incentive.asp).

## **Impact Evaluation of Support for Principals**

### **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.

**Key Question(s) 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?

**Design:**

The study team randomly assigned 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 received supports normally offered by the district. Data collection included: 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).

**Estimated or Actual Completion Date:**

The report, which will focus on implementation and intermediate outcomes over two years (2015-16 and 2016-17), is expected in spring 2019.

**Link to Additional Information:** [http://ies.ed.gov/ncee/projects/evaluation/tq\\_principals.asp](http://ies.ed.gov/ncee/projects/evaluation/tq_principals.asp).

**Study of Teacher Preparation Experiences and Early Teacher Effectiveness****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.

**Key Question(s) Addressed:**

- What experiences do novice teachers report receiving as part of their preparation program?
- What are the relationships between teacher-reported preparation experiences and novice teachers' effectiveness in improving student achievement?

**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.

**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 2018.

**Link to Additional Information:**

[http://ies.ed.gov/ncee/projects/evaluation/tq\\_teacherprep\\_early.asp](http://ies.ed.gov/ncee/projects/evaluation/tq_teacherprep_early.asp).

**Impact Evaluation of Professional Development for Teachers on Data-Driven Instruction****Study Purpose:**

Title II, Part A, the Improving Teacher Quality State Formula Grants program, is the primary federal funding under the ESEA to improve teacher quality. The program targets high-poverty districts and funds a broad array of allowable activities including professional development for teachers. Teachers and schools have access to ongoing data from student performance and assessments that provide information about students' academic needs. This study evaluates the effectiveness of professional development for teachers to use such data to guide their classroom instruction.



**Key Question(s) 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?

**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 consists of a teacher survey, a principal survey, and student administrative records, including student state standardized achievement test scores.

**Estimated or Actual Completion Date:**

The report is expected in summer 2018.

**Link to Additional Information:** [http://ies.ed.gov/ncee/projects/evaluation/tq\\_datadriven.asp](http://ies.ed.gov/ncee/projects/evaluation/tq_datadriven.asp).

**School Choice****Evaluation of the DC Opportunity Scholarship Program: Impacts Two Years After Application and Final Report****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), plus a cumulative inflation adjustment, 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.

**Key Question(s) 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?

**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 were collected for three follow-up years for each of the cohorts and, for students in both the scholarship and nonscholarship groups. The contractor administered academic assessments, and conducted 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.

**Estimated or Actual Completion Date:**

The second and final impact reports are planned for early spring 2018 and late fall 2018.

**Link to Additional Information:** [http://ies.ed.gov/ncee/projects/evaluation/choice\\_soar.asp](http://ies.ed.gov/ncee/projects/evaluation/choice_soar.asp).

**Parent Information and School Choice Evaluation****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.

**Key Question(s) Addressed:**

- Which formats make school choice information displays easiest to understand and use? (e.g., Is it better to show school performance data with numbers, graphs, or icons?)
- How does the amount of information displayed affect understanding and use? (e.g., How much information about school performance should be shown? Should displays include district averages or parent survey data?)
- How should school choice information displays be organized? (e.g., How should schools be ordered, when a list of options is shown?)

**Design:**

A low-cost, quick turn-around “lab” based experiment was carried out where about 3,500 low-income parents of school-aged children participated online. Parents were randomly assigned to view one of 72 versions of a school choice information display and then answered survey questions about their understanding of the information, ability to use the information, and which schools they would select based on the information they were provided. Responses to these survey questions will be compared across the strategies tested (e.g., data shown with numbers, graphs, or icons) to determine which ones are most promising.

**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 spring 2018.

**Link to Additional Information:** [http://ies.ed.gov/ncee/projects/evaluation/choice\\_parent.asp](http://ies.ed.gov/ncee/projects/evaluation/choice_parent.asp).

**Students with Disabilities****National Longitudinal Transition Study (NLTS) 2012****Study Purpose:**

Supporting youth’s successful transition to adult life is a priority under the *Individuals with Disabilities Education Act* (IDEA). IDEA provides federal funds to states and through them to school districts to assist in providing special education and related services. States and school districts must make a FAPE available to all eligible children with disabilities. FAPE includes the provision of special education and related services provided in conformity with an Individualized Education Program. IDEA requires that the first IEP to be in effect when a child turns 16 include

postsecondary goals and transition services needed to help youth with disabilities complete high school prepared to achieve appropriate post-school outcomes, such as postsecondary education, jobs, and independent living. The National Longitudinal Transition Study 2012 (NLTS 2012) is the third in a series examining the characteristics, school experiences, and post-high school outcomes 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 an IEP. This study is part of the congressionally mandated National Assessment of the IDEA and is supported with funds authorized under Section 664 of IDEA.

**Key Question(s) Addressed:**

- How do the personal, family, and school characteristics and experiences of youth with disabilities differ from those of youth not served under IDEA? (Volume 1; March 2017)
- How do the characteristics and experiences of youth vary across disability groups? (Volume 2; March 2017)
- How have the characteristics and experiences of youth with disabilities changed over time?
- To what extent do youth with disabilities make progress through high school compared to other youth?
- Are youth with disabilities achieving the post-high school outcomes envisioned by IDEA, and how do their college, training, and employment rates compare to those of other youth?
- How do these high school and postsecondary outcomes vary with student characteristics?

**Design:**

This descriptive study includes a nationally representative sample drawn from 432 school districts and special schools randomly sampled in 2011 and students randomly sampled within those districts. Survey data were collected in 2012-2013 from approximately 12,000 in-school youth and their parents, of which about 10,000 are students with IEPs representing each of the federal disability categories. The surveys asked about the background characteristics of secondary school youth and the schools they attend, their health, functional abilities, and engagement in school, the academic supports they receive, and their expectations for and steps to achieve transitions beyond high school. High school records and postsecondary enrollment information from the National Student Clearinghouse are being collected (from 2017-2019) to follow the sample of students through high school and beyond. This administrative data will be linked with the 2012-2013 survey data to examine high school course-taking and completion, and youth's experiences with college, training, and employment.

**Estimated or Actual Completion Date:**

Two volumes of a report describing the survey results were released in March 2017. The third volume of this report, examining trends over time by comparing the NLTS 2012 survey results with those from two earlier NLTS surveys, is expected in 2018.

**Key Findings (from the March 2017 volumes):**

- Youth with an IEP 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.
- 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.

- 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.
- 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.
- 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.

**Link to Additional Information:**

[https://ies.ed.gov/ncee/projects/evaluation/disabilities\\_nlts2012.asp](https://ies.ed.gov/ncee/projects/evaluation/disabilities_nlts2012.asp).

## **Preschool Special Education Programs and Practices Supporting Children with Disabilities**

**Study Purpose:**

Most recently reauthorized 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.

**Key Question(s) 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?

**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. If feasible to conduct, preparations for the impact study will occur under Phase I.

**Estimated or Actual Completion Date:**

A descriptive report on the survey findings is expected in fall 2018.

**Link to Additional Information:**

[https://ies.ed.gov/ncee/projects/evaluation/disabilities\\_preschool.asp](https://ies.ed.gov/ncee/projects/evaluation/disabilities_preschool.asp).

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

IDEA, which was most recently reauthorized in 2004, provides funds to assist states and local educational agencies in making a free appropriate public education available to all eligible children with disabilities. Funded at \$12.6 billion in FY 2010, IDEA supports early intervention services for infants and toddlers with disabilities (birth through age 2) and special education and related services for children with disabilities (ages 3 through 21). IDEA permits local educational agencies to use a portion of their IDEA funds to develop and implement coordinated early intervening services (CEIS) for students who are not currently identified as needing special education or related services, but who need additional academic and behavioral support to succeed in a general education environment. The use of IDEA funds for CEIS is voluntary, except when an LEA is identified with significant disproportionality. 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.

**Key Question(s) 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?

**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.

**Estimated or Actual Completion Date:**

The final report is expected in early 2018.

**Key Findings from the Interim Report:**

- TA&D centers most commonly reported providing technical assistance on the topics of "parent and family involvement" and "data systems and use of data for improvement." States identified (a) "General Supervision/Monitoring," (b) "early childhood transition," (c) "financing of services/financing for special education" and (d) "Response to Intervention" as the topics for which they had the greatest need for technical assistance in 2010–11.
- Many TA&D centers provide technical assistance on similar topics. For example, 14 states received "high intensity" technical assistance (i.e., frequent training or consultation) on the same topic from 5 different centers.
- State staff rated the majority of technical assistance experiences they had with TA&D centers as "very satisfactory" (71 percent). On average, customers receiving high intensity technical assistance were significantly more satisfied than those receiving lower intensity (i.e., infrequent training and consultation or web-only support). Satisfaction did vary to some degree depending on the special education topic being addressed.

**Link to Additional Information:**

[http://ies.ed.gov/ncee/projects/evaluation/disabilities\\_idea2004.asp](http://ies.ed.gov/ncee/projects/evaluation/disabilities_idea2004.asp).

**Study of Early Intervention and Special Education Services and Personnel****Study Purpose:**

IDEA, which was most recently reauthorized in 2004, provides federal funds to states and through them to school districts to assist in making a free appropriate public education available to all eligible children with disabilities. Funded at \$12.5 billion in FY 2015, IDEA supports early intervention services for infants and toddlers with disabilities (from birth through age 2) (IDEA Part C) and special education and related services to children with disabilities (ages 3 through 21) (IDEA Part B). IDEA permits LEAs to use a portion of their IDEA funds to develop and implement coordinated early intervening services for students not currently identified as needing special education or related services but who need additional academic and behavioral support to succeed in a general education environment. The use of IDEA funds for CEIS is voluntary on the part of the LEA, except when an LEA is identified with significant disproportionality. Under Section 664 of IDEA, 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.



**Key Question(s) Addressed:**

- How has the delivery of early intervention services changed over time, and how do these services differ for subgroups defined by age, race/ethnicity, and state?
- How have special education services changed over time, and how do these services differ for subgroups defined by age, race/ethnicity, disability category, and state?
- How has the distribution of personnel providing special education services changed over time?

**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.

**Estimated or Actual Completion Date:**

The report is expected in early 2018.

**Link to Additional Information:**

[http://ies.ed.gov/ncee/projects/evaluation/disabilities\\_persserv.asp](http://ies.ed.gov/ncee/projects/evaluation/disabilities_persserv.asp).

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

Training school staff in supporting the behavior of all students is becoming increasingly attractive to districts and schools as a vehicle for school improvement. Implementation of multi-tiered systems of support for behavior (MTSS-B) is an approach to improving school and classroom climate as well as student outcomes. MTSS-B is a 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 multi-tiered systems of behavior support at the elementary school level. Recent small-scale studies have shown the promise of MTSS-B. This evaluation occurs under the National Assessment of the *Individuals with Disabilities Education Act* (IDEA), which permits school districts to use a portion of their IDEA funds to provide coordinated early intervening services to students who are not currently identified as needing special education or related services, but who need additional academic and behavioral support to succeed in a general education environment, such as MTSS-B.

**Key Question(s) Addressed:**

- What MTSS-B training and support activities were provided? What MTSS-B activities occurred in the schools receiving MTSS-B Training? How do these MTSS-B activities differ from those in schools that do not receive the training?
- What is the impact on school staff practices, school climate and student outcomes of providing training in the MTSS-B framework plus universal (Tier I) positive behavior supports and a targeted (Tier II) intervention?
- What are the impacts for relevant subgroups (e.g., at-risk students)?

**Design:**

This 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, competitively selected a MTSS-B training provider, the Center for Social Behavior Support, which is a collaboration between the Illinois-Midwest Positive Behavior Interventions and Supports network at the School Association for Special

Education in DuPage, Illinois and the Positive Behavior Interventions and Supports network Regional Training and Technical Assistance Center at Sheppard Pratt, in Maryland. Approximately 90 elementary schools were 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 are receiving 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 a staff survey, teacher ratings of student behavior, classroom observations, site visits, and student records data.

**Estimated or Actual Completion Date:**

The report is expected in 2019.

**Link to Additional Information:**

[http://ies.ed.gov/ncee/projects/evaluation/disabilities\\_MTSSB.asp](http://ies.ed.gov/ncee/projects/evaluation/disabilities_MTSSB.asp).

## Pathways to Career or College

### Evaluation of the Pell Grant Experiments Under the Experimental Sites Initiative

**Study Purpose:**

Federal Pell grants are considered the foundation of higher education financial aid for low-income students. However, under current rules, otherwise income-eligible students who already have a bachelor's degree (BA) or who want to enroll in short-term (less than 15 weeks and 600 hours) programs are restricted from obtaining these grants. Given unemployment rates above 8.5 percent in 2011, and reports of unfilled openings for skilled jobs in some occupations, postsecondary institutions called for expanding Pell grants to help fill the skill training gap for low-income workers. In response, the Office of Federal Student Aid, under the Experimental Sites Initiative authorized by section 487A(b) of the *Higher Education Act* of 1965, is conducting demonstrations to test the impacts of eliminating the BA restriction (Experiment #1) and significantly lowering the minimum clock hours/duration restriction (Experiment #2) for students interested in vocational training in high-demand fields. The IES designed and is overseeing a rigorous evaluation of these experiments.

**Key Question(s) Addressed:**

- Does expanding Pell grant eligibility to include income-eligible students with a bachelor's degree and/or to cover shorter-term programs improve access to job training?
- Does expanding Pell grant eligibility to these groups affect financial aid receipt and/or student debt?
- Do these two Pell grant experiments improve persistence and completion rates?
- Is there any evidence of an impact on employment and earnings?

**Design:**

Close to 50 higher education institutions that chose to participate have identified nearly 3,000 students eligible for the experiments between the 2012-2013 and 2016-2017 financial aid award years. Students were randomly assigned to receive a Pell grant or not to receive a Pell grant in their financial aid package. Student administrative data from participating higher education institutions will be collected in the fall of 2017 and 2018 to allow for the maximum number of study participants to complete their programs. Data collection will also include student administrative records on financial aid receipt from the Office of Federal Student Aid and, potentially, earnings data from the Social Security Administration.

**Estimated or Actual Completion Date:**

The report for the study is expected in fall 2019.

**Link to Additional Information:**

[https://ies.ed.gov/ncee/projects/evaluation/pathways\\_pell.asp](https://ies.ed.gov/ncee/projects/evaluation/pathways_pell.asp).

**Enhancing Advising to Improve College Fit in Upward Bound****Study Purpose:**

Growing concern over college enrollment and completion rates has heightened interest in strategies to improve the outcomes of low-income students, including those in the Department's high-profile college access program Upward Bound. 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. Research suggests that this kind of "undermatching" or lack of college fit can have longer-term consequences for completion and later earnings. This study evaluates the effectiveness 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.

**Key Question(s) 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?

**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 during the study period (the control group). A survey administered in spring 2016 to seniors in both sets of projects collected information about their college planning, including how many and to which colleges they applied. The study will also examine those seniors' later enrollment and persistence in college using administrative records.

**Estimated or Actual Completion Date:**

The first report will examine the impacts of the enhanced advising on early indicators of college going (number of college applications, selectivity of the colleges to which students applied, FAFSA completion by March 15) and is expected to be released in spring 2018. A second report examining impacts on college enrollment and fit is expected in fall 2018.

**Link to Additional Information:**

[http://ies.ed.gov/ncee/projects/evaluation/pathways\\_upward.asp](http://ies.ed.gov/ncee/projects/evaluation/pathways_upward.asp).

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## The Effectiveness of Text Messaging to Support College Transition of GEAR UP Students

### Study Purpose:

The Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) is one of the Department's college access programs, funding states or local partnerships of districts and postsecondary institutions to serve students in high need schools beginning in 7th grade. The 2008 amendments to the *Higher Education Act* 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.

### Key Question(s) 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?

### Design:

Across about 80 GEAR UP high schools, approximately 6,000 seniors in school years 2015–16 or 2016–17 were 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 began at the end of students' high school senior year and continue into the spring of their expected first year of college. The study team administered a survey before students were randomly assigned in order 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.

### Estimated or Actual Completion Date:

The first report examining impacts on initial college enrollment is expected in early 2019.

### Link to Additional Information:

[http://ies.ed.gov/ncee/projects/evaluation/pathways\\_gearup.asp](http://ies.ed.gov/ncee/projects/evaluation/pathways_gearup.asp).

## Other

### Implementation Study of State Supports under Title I for Reducing School Dropouts

#### Study Purpose:

Title I, Part A of the ESSA requires states to support local educational agencies in providing effective transitions of students at all levels of schooling, especially middle grades and high school, to decrease the risk of students dropping out (Section 1111(g)(1)(D)). Title IX, Section 9208 of ESSA requires an evaluation of these efforts. This report will describe the implementation of dropout prevention strategies at the state and district levels and report recent dropout rate trends.

**Key Question(s) Addressed:**

- How do states and districts identify students at risk of dropping out?
- What strategies do districts use to help students transition from elementary to middle school and from middle to high school? What services or options do districts offer to students at risk of dropping out? How do states support these efforts?
- What are recent trends in dropout rates at the national and state levels?

**Design:**

Data will be collected from all 50 states and the District of Columbia, and a nationally representative sample of school districts through surveys during the 2017–18 school year to inform the first two research questions. Extant data in dropout rates will also be collected to inform the third research question.

**Estimated or Actual Completion Date:**

An evaluation brief describing findings is expected in summer 2019.

**Evaluation of Investing in Innovation****Study Purpose:**

The Investing in Innovation (i3) Fund was established by the *American Recovery and Reinvestment Act of 2009* to provide funds to local educational agencies and nonprofits with a record of improving student achievement. The program awards competitive grants to implement and evaluate educational interventions to improve student academic outcomes.

The i3 program awarded three different tiers of grants. The amount of funding awarded was aligned with the strength of the prior evidence supporting the proposed intervention as well as the proposed implementation scale. The smallest, or “Development,” grants supported developing and testing interventions with limited or no prior evidence. Interventions with moderate evidence of effectiveness could receive a larger “Validation” grant, to implement and test the intervention in a broader population or in new contexts. The largest, or “Scale-up,” grants supported interventions with strong prior evidence of effectiveness to be implemented and tested on a much larger scale.

The i3 program funded seven cohorts of grantees from 2010 through 2016. The program has awarded more than \$1.4 billion to 172 grantees across the three tiers. One of the i3 program's key priorities is evaluating the impact of the funded interventions. Each grantee was required to fund an independent evaluation using local evaluators. To maximize what could be learned from these evaluations, the Department is conducting an Evaluation of i3, which (1) provides comprehensive technical assistance to local evaluators for all grantees, and (2) summarizes both the quality of and findings from the evaluations.

**Key Question(s) Addressed:**

- Were the i3 evaluations strong?
- Did the i3 evaluations find the interventions to be implemented with adequate fidelity?
- Did the i3 evaluations find that the interventions improved student academic outcomes?

**Design:**

This study is descriptive and includes technical assistance to support the i3 local evaluators. In addition to providing technical assistance, the contractor will characterize whether or not the evaluations meet several criteria used to define a strong study and provide a report for the program office each year about the number of grantees meeting the i3 evaluation-related

*Government Performance and Results Act* measures. The contractor will also summarize the results of the i3 evaluations.

**Estimated or Actual Completion Date:**

The first report, which will focus on findings for the 67 i3 evaluations completed by May 2017, is expected in spring 2018.

**Link to Additional Information:**

[http://ies.ed.gov/ncee/projects/evaluation/assistance\\_ita.asp](http://ies.ed.gov/ncee/projects/evaluation/assistance_ita.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**

**Study Purpose:**

The Race to the Top–Early Learning Challenge Program (RTT-ELC) aims to improve early learning and development programs so children enter kindergarten ready to succeed. The program awarded \$1 billion in four-year grants to 20 states in three rounds between 2011 and 2013. The program promotes reform in five key areas: (1) state systems; (2) high-quality, accountable programs; (3) early learning and development outcomes for children; (4) workforce; and (5) measurement. The second area focuses on the design and implementation of TQRIS that can provide parents and other stakeholders with information on the quality of early learning programs. To better understand the TQRIS that RTT-ELC grantees developed, this descriptive study will: (1) examine the structure and characteristics of grantee states' TQRIS, (2) analyze state administrative data to examine patterns in the participation and distribution of programs in TQRIS, and (3) synthesize findings from grantee states with completed TQRIS validation studies. This study focuses on the nine Round 1 states, which received over \$500 million in 2011.

**Key Question(s) Addressed:**

- How are TQRIS structured and implemented in the nine Round 1 RTT-ELC states?
- How are TQRIS ratings defined, collected, and generated in the nine Round 1 RTT-ELC states?
- What are the patterns in TQRIS participation, the distribution of programs and children across the rating levels and the movement of programs and children across the rating levels since 2011?
- How do TQRIS characteristics (include structure, policies, and practices) relate to program movement up the rating levels and achievement of the highest rating level?
- What have completed RTT-ELC state validation studies found about the relationship between TQRIS tiers and program quality and the relationship between children's development and TQRIS ratings?

**Design:**

This descriptive study collected various data from the nine Round 1 RTT-ELC grantee states. In fall 2014, the study collected and conducted a targeted review of documents describing the structure of TQRIS, including component measures and the quality indicators used to evaluate preschool programs, and how these are combined to generate overall ratings. In fall 2014 through winter 2015, the study also conducted interviews with state administrators to confirm and clarify the information obtained from documents and gather information that could not be obtained from the document reviews.



To address the third and fourth research questions above, the study collected administrative data from the Round 1 RTT-ELC grantee states. The study will answer the last question by conducting a systematic review of up to nine completed RTT-ELC grantee state validation studies available in 2017.

**Estimated or Actual Completion Date:**

A report addressing the first two questions is expected in fall 2017. Evaluation briefs to address the third, fourth, and fifth questions are expected in fall 2018.

**Link to Additional Information:**

[http://ies.ed.gov/ncee/projects/evaluation/other\\_rtt.asp](http://ies.ed.gov/ncee/projects/evaluation/other_rtt.asp).

**Evaluation of the Comprehensive Technical Assistance Centers, FY 2012 Grantees**

**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.

**Key Question(s) 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?

**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. This approach will yield a diverse set of data that can be analyzed and summarized using qualitative research methods and simple quantitative tabulations. Additionally, a small set of project profiles will be put together using the data to

illustrate in more depth the particular strategies that Centers may use to support capacity building and achieve planned outcomes.

**Estimated or Actual Completion Date:**

A report describing findings is expected in fall 2018.

**Link to Additional Information:**

[http://ies.ed.gov/ncee/projects/evaluation/other\\_techcenters12.asp](http://ies.ed.gov/ncee/projects/evaluation/other_techcenters12.asp).

**Impact Evaluation of Parent Messaging Strategies on Student Attendance****Study Purpose:**

Student attendance is a strong predictor of student success, even in the early school years. In some communities, a quarter of all students in kindergarten through third grade are chronically absent, and this is most prevalent among low-income students. Under the recently reauthorized *Elementary and Secondary Education Act* (ESSA) many states plan to hold schools accountable for reducing chronic absenteeism. One potential low-cost intervention that schools are increasingly trying involves text messaging parents to provide relevant tips and motivation to improve their child's attendance. This evaluation is designed to provide evidence on the effectiveness of such an intervention for students attending low-performing elementary schools. A novel aspect of the intervention is that it is adaptive. Initially, parents will be treated with "light-touch" messaging in the fall, and those that do not appear to be responsive will subsequently receive more intensive messaging in the spring.

**Key Question(s) Addressed:**

- What is the impact on student attendance of using text messaging to provide parents with basic information related to their child's attendance? Does it matter if messages are positively or negatively framed?
- For parents who do not respond to the low-intensity messaging strategies, which intensified strategy works better to improve attendance, one that includes direct outreach from school staff or one that uses automated methods to improve motivation and behavioral skills?
- Do the combinations of fall and spring messaging strategies (i.e., the adaptive interventions) have effects on end-of-year attendance and achievement when compared to each other and to business-as-usual attendance strategies?
- How is the messaging intervention implemented, and what are its costs?

**Design:**

The evaluation will use a variant of a typical random assignment design, called a sequential, multiple assignment, randomized trial. This design will measure the effectiveness of different initial messaging strategies, and examine if there are any benefits to following up with more intensive strategies for parents who do not respond initially. Data will be collected to examine both the implementation of the intervention and the impact of the intervention on student-level outcomes, such as attendance and achievement. Specifically, information gathered from the text-messaging vendor's platform, a brief log that school staff will complete to document their parent outreach activities, interviews with district staff, and a survey of parents will be used to assess how well the intervention was implemented and to examine its costs. Information gathered from extant district records, including student absences and test scores, will be used to examine the impact of different messaging strategies.

**Estimated or Actual Completion Date:**

A report describing findings is expected in 2019.

**Link to Additional Information:**

[https://ies.ed.gov/ncee/projects/evaluation/other\\_messaging.asp](https://ies.ed.gov/ncee/projects/evaluation/other_messaging.asp).

## Policy and Program Studies Service

### Teacher Education Assistance for College and Higher Education Grant (TEACH) Study

**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.

**Key Question(s) 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?

**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.

**Estimated Completion Date:**

The final report is scheduled for completion by the spring of 2018.

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

**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.

**Key Question(s) 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?

**Design:**

The study is conducting a web-based survey of a nationally representative sample of approximately 2,000 high school administrators.

**Estimated Completion Date:**

Issue briefs are scheduled for completion between winter 2016–17 and winter 2017-18.

**Implementation Study of the Turnaround School Leaders Program****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.

**Key Question(s) 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?

**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.

**Estimated Completion Date:**

The final report is scheduled for completion in spring 2018.

**Study of School Climate Transformation Grants****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.

**Key Question(s) Addressed:**

- What does coordination between SCTG and Project AWARE grantees look like?
- What does coordination between SCTG and U.S. Department of Justice grantees look like?
- What did grantees say about the value of coordination?
- What were the challenges and lessons learned?

**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.

**Estimated Completion Date:**

The report is scheduled for completion in spring 2018.

**Study of Title I Schoolwide and Targeted Assistance Programs****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.

**Key Question(s) 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?

**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.

**Estimated Completion Date:**

The report is scheduled for completion in spring 2018.

**Study of Digital Learning Resources for Instructing English Learners****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.

**Key Question(s) 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?

**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.

**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**

**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 the Department's reporting requirements.

**Key Question(s) 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?

**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.

**Estimated Completion Date:**

The report is scheduled for completion in fall 2018.

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

**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.

**Key Question(s) 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?

**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.

**Estimated Completion Date:**

The report is scheduled for completion in spring 2018.

## **Evaluation of the Migrant Education Program**

**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 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 and local operating agencies.

**Key Question(s) Addressed:**

- How do state and local grantees respond to federal requirements for serving migratory children?
- What services are provided to migratory students?
- How do Migrant Education Program 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?

**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.

**Estimated Completion Date:**

The report is scheduled for completion in fall 2018.

## **Evaluation of the Indian Education LEA Grants Program**

**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.

**Key Question(s) 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?

**Design:**

This study will consist of four key components: (1) analysis of extant data including APRs and Electronic Application System for Indian Education 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.

**Estimated Completion Date:**

The report is scheduled for completion in winter 2018-19.

**Study of Weighted Student Funding (WSF) Systems****Study Purpose:**

This study is examining 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.

**Key Question(s) 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?

**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.

**Estimated Completion Date:**

The report is scheduled for completion in winter 2018–19.

## Appendix F: Glossary of Acronyms and Abbreviations

Acronym	Description
AARTS	Audit Accountability and Resolution Tracking System
ACGR	Adjusted Cohort Graduation Rate
AASA	American Association of School Administrators
AP	Advanced Placement
APG	Agency Priority Goal
APP	Annual Performance Plan
APR	Annual Performance Report
AY	Academic Year
BA	Bachelor of Arts
CAMS	Case and Activity Management System
CAP Goals	Cross-Agency Priority Goals
CAR	Consolidated Annual Report
CCD	Common Core of Data
CDQR	Coordinated Data Quality Reviews
CMO	Charter Management Organization
CMS	Case Management System
CoSN	Consortium for School Networking
CPS	Current Population Survey
CRDC	Civil Rights Data Collection
CSAM	Cyber Security Assessment Management
CSP	Charter School Program
CSPR	Consolidated State Performance Reports
CTE	Career and Technical Education
CTS	Case Tracking System
DAP	Digital Analytics Program
DLRs	Digital Learning Resources
DM/RM	Document/Record Management
DQC	Data Quality Campaign
DRT	Data Request Team
DST	Data Strategy Team
ED	U.S. Department of Education
EDGAR	Education Department General Administrative Regulations
EDGB	ED <i>Facts</i> Data Governance Board
ELA	English Language Acquisition
ELC TA	Early Learning Challenge Technical Assistance Program
ERIC	Education Resources Information Center
ERM	Enterprise Risk Management
ESEA	<i>Elementary and Secondary Education Act of 1965</i>
ESH	Education Superhighway
ESSA	<i>Every Student Succeeds Act</i>

<b>Acronym</b>	<b>Description</b>
EVS	Employee Viewpoint Survey
FAC	Federal Audit Clearing House
FDSL	Federal Direct Student Loan
FERPA	<i>Family Educational Rights and Privacy Act</i>
FEVS	Federal Employee Viewpoint Survey
FFEL	Federal Family Education Loan
FISMA	<i>Federal Information Security Modernization Act of 2014</i>
FITARA	<i>Federal Information Technology Acquisition Reform Act</i>
FPCO	Family Policy Compliance Office
FPPS	Federal Personnel/Payroll System
FY	Fiscal Year
GEAR UP	Gaining Early Awareness and Readiness for Undergraduate Programs
GLBA	<i>Gramm-Leach-Bliley Act</i>
GSA	General Services Administration
HBCUs	Historically Black Colleges and Universities
HE	Higher Education
HEA	<i>Higher Education Act of 1965</i>
HEAL	Health Education Assistance Loans
HR	Human Resources
HSI-STEM	Hispanic Serving Institution STEM Articulation Program
i3	Investing in Innovation Program
IDEA	<i>Individuals with Disabilities Education Act</i>
IEP	Individualized Education Program
IES	Institute of Education Sciences
IHE	Institutions of Higher Education
IPEDS	Integrated Postsecondary Education Data System
IT	Information Technology
KEA	Kindergarten Entry Assessment
LEA	Local Educational Agency
LOA	Local Operating Agency
MTSS-B	Multi-tiered Systems of Support for Behavior
NA	Not Applicable
NAEP	National Assessment of Educational Progress
NAM	Native American and Alaska Native Children in Schools Program
NCES	National Center for Educational Statistics
NIEER	National Institute for Early Education Research
NLTS	National Longitudinal Transition Study
NRS	National Reporting System
NSLDS	National Student Loan Data System
NTID	National Technical Institute for the Deaf

<b>Acronym</b>	<b>Description</b>
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
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
P3	Performance Partnership Pilots for Disconnected Youth
PBCS	Performance-Based Compensation System
PBIS	Positive Behavior Interventions and Supports
POC	Principal Operating Component
PPIRS	Past Performance Information Retrieval System
PPSS	Policy and Program Studies Service
PSC	Partner Support Center
PTAC	Procurement Technical Assistance Centers
REAP	Rural Education Achievement Program
RLIS	Rural and Low-Income Schools Program
RSA	Rehabilitation Services Administration
RTT	Race to the Top
RTT-ELC	Race to the Top—Early Learning Challenge Program
SAA	Student Aid Administration
SASS	Schools and Staffing Survey
SBB	School-Based Budgeting
SCTG	School Climate Transformation Grant Program
SEA	State Educational Agency
SECOPS	Security Operations Management
SFA	Student Financial Assistance
SIG	School Improvement Grant
SIP	Strengthening Institutions Program
SLDS	Statewide Longitudinal Data System



<b>Acronym</b>	<b>Description</b>
SRSA	Small, Rural School Achievement Program
STEM	Science, Technology, Engineering, and Mathematics
SY	School Year
TA&D	Technical Assistance and Dissemination
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
TSLP	Turnaround School Leaders Program
USAC	Universal Service Administrative Company
WSF	Weighted Student Funding
WWC	What Works Clearinghouse



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