



U.S. DEPARTMENT OF EDUCATION

# FY 2023 ANNUAL PERFORMANCE PLAN AND FY 2021 ANNUAL PERFORMANCE REPORT





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# MESSAGE FROM THE SECRETARY

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**Miguel A. Cardona, Ed.D.**  
U.S. Secretary of Education

I am pleased to present the U.S. Department of Education’s (the Department’s) *FY 2023 Annual Performance Plan and FY 2021 Annual Performance Report*. I deeply believe that the Department is a service agency, and this report will shape the work we do and the priorities we set for meeting the needs of our nation’s students.

We are in a watershed moment for our country. The evolving COVID-19 pandemic and the inequities it has highlighted—and, in many ways, exacerbated—have revealed how much work we must do as individuals, as communities, and as a nation to ensure equitable access to opportunity. This imperative includes the need to reimagine education in our country.

This last year was challenging for our nation’s students and families, which is why, in fiscal year (FY) 2021, the Biden–Harris Administration took transformative steps toward ensuring that all students receive a high-quality education that supports their growth and development and equips them for success.

In the first year of the Biden–Harris Administration, our top priority was to address the challenges that students faced as a result of the COVID-19 pandemic. We understood how important it was to help schools and institutions quickly and safely reopen for in-person learning so that students would have the social, emotional, mental health, and academic supports and resources needed to thrive.

I spent much of 2021 traveling to states and territories talking to students, families, educators, staff, and faculty. While I have seen firsthand the challenges and opportunities in education, I also have witnessed the resilience of our communities and the immense care our educators, staff, and faculty have for their students. When President Biden took office in January 2021, more than half of kindergarten through grade 12 schools across our country were



closed. Today, nearly 100 percent of schools are fully open, nurturing our children’s social and emotional well-being and their academic growth in the place where we know children learn best—in their classrooms with their peers and teachers.

As educator Horace Mann stated, education has the potential to be the “great equalizer.” This Administration has made equity—ensuring that every child and adult receives what they need to succeed in school—a priority. We understand that going back to how things were before the pandemic would continue to underserve students who most need resources and support, particularly students of color, students from low-income backgrounds, multilingual learners, and students with disabilities.

I am proud that the *American Rescue Plan Act of 2021* (ARP) provides unprecedented resources—\$122 billion for elementary and secondary schools and \$40 billion for colleges and universities—to help all students, but especially our students most in need.

President Biden has also proposed historic investments in education, from preschool through college, through his Build Back Better framework, focusing on educational equity, excellence, and opportunity. The proposal includes free universal prekindergarten and dramatically improved access to childcare so that all children can get a strong start to their education journey. In higher education, increased resources for Historically Black Colleges and Universities, Tribally Controlled Colleges and Universities, Hispanic-Serving Institutions, and other Minority-Serving Institutions would unlock opportunities for students of color and unleash their potential in our communities. The President’s plan expands access to affordable college with larger Pell Grants for millions of students who dream of getting a degree and supports the development of a stronger pipeline to good jobs and the middle class with workforce development resources and career pathways. Build Back Better recognizes what we all know—our real strength lies in our communities, in our families, and in the dreams and talents of our people.

At the Department, we took important steps in FY 2021 to support students amid the COVID-19 pandemic and begin to reimagine our education system.

We hosted the National Safe School Reopening Summit where students, educators, school district leaders, and other partners engaged in productive conversations about the pandemic’s impact, strategies to reopen schools, and ways to rebuild. We embarked on a listening tour to assess the needs of our local communities,



we released three COVID-19 handbooks and launched the Safer Schools and Campuses Best Practices Clearinghouse, and we continued the pause of student loan payments, helping borrowers burdened by debt during the COVID-19 pandemic.

Partnership has been a hallmark of our efforts at the Department. We collaborated with stakeholders to create the Summer Learning and Enrichment Collaborative, which is helping states and school districts use their ARP funds to address lost instructional and extracurricular time. We worked with institutions to expand the Second Chance Pell experiment, which provides Pell Grants to students who are incarcerated so they may pursue postsecondary education and better their lives. Finally, we partnered closely with experts at the federal, state, and local levels in shaping responsive policies and resources; provided continuous assistance and guidance to educators, students, and parents; and engaged thousands of stakeholders in our nationwide efforts.

We also sought to reimagine education in ways that are more innovative, inclusive, and fair. Toward that end, the Department's Office for Civil Rights (OCR) published resource collections designed to assist schools with planning for a successful and equitable return to school. Importantly, OCR reinvigorated the enforcement of civil rights laws in education, making clear that the Department is here to protect students from discrimination in schools and on campuses across America. In addition, the Administration took action to help borrowers receive student loan discharges due to total and permanent disability and provided relief for tens of thousands of student loan borrowers whose postsecondary institutions engaged in misconduct.

The essence of the American Dream is a conviction that everyone in this nation, no matter our background or circumstance, has the right to make of our lives what we will and to go as far as our hopes, heart, and determination will take us. As President Biden has said, building back better, and truly placing that dream of endless possibilities within reach of all Americans, begins with education. My Department team and I, guided by the priorities and measures established through our *U.S. Department of Education Fiscal Years 2022–2026 Strategic Plan* and annual performance indicators, are committed to ensuring that all of our students have access to an education worthy of them: an education that enables them to achieve their dreams.



I have been assured that the performance data included in this *FY 2023 Annual Performance Plan and FY 2021 Annual Performance Report* are complete and reliable in accordance with federal requirements, and I thank you for taking the time to read this important report.

Miguel A. Cardona, Ed.D.  
*Secretary of Education*

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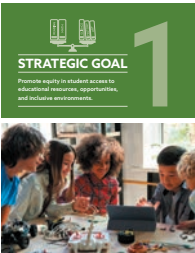
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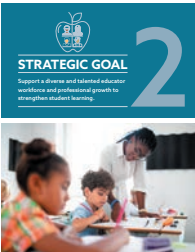


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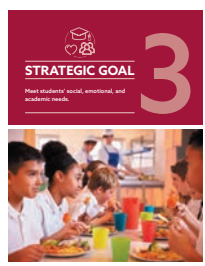


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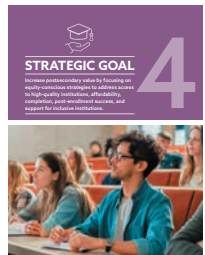
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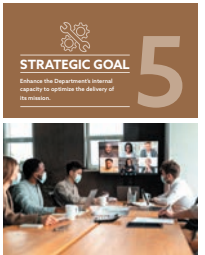
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# HIGHLIGHTS

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# EXECUTIVE SUMMARY

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This document includes the *FY 2023 Annual Performance Plan and FY 2021 Annual Performance Report*. The *FY 2023 Annual Performance Plan* details the Department's planned strategies and activities to achieve the Strategic Goals and objectives in the FY 2022–FY 2026 Strategic Plan as well as the performance indicators that will be used to assess progress on the strategic objectives. The *FY 2021 Annual Performance Report* provides narrative and data on the Department's progress toward its Strategic Goals and objectives in the fiscal year (FY) 2018–FY 2022 Strategic Plan.

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

## **FY 2023 Annual Performance Plan**

The *FY 2023 Annual Performance Plan* supports the *U.S. Department of Education Fiscal Years 2022–2026 Strategic Plan* published in July 2022. The Strategic Plan established five Strategic Goals, each with supporting strategic objectives that span across the Department and address Administration priorities, such as recovering from the COVID-19 pandemic; ensuring high-quality, equitable secondary and postsecondary education; and providing diverse learning environments for all students, especially those who have been underserved. Each supporting strategic objective has corresponding performance indicators to assess the Department's progress on achieving the Strategic Goals and objectives.

Over the next four years, the Department will report on the achievements, challenges, and data related to the FY 2022–FY 2026 Strategic Plan.

## **FY 2021 Annual Performance Report**

In February 2018, the Department issued its *U.S. Department of Education Strategic Plan for Fiscal Years FY 2018–2022*. The Strategic Plan established four strategic goals, each with supporting strategic objectives that stated how the Strategic Goals would be met. Each strategic objective included supporting performance indicators to assess



the Department's progress in achieving the strategic objective. The *FY 2021 Annual Performance Report* presented herein summarizes the fourth and final year of results of the Department executing the FY 2018–FY 2022 Strategic Plan.

At the conclusion of FY 2021, the Department reported on the results of 48 performance indicators against their targets. Of those, 30 targets were met or exceeded (62.5 percent), 1 showed improvement in performance from the prior year but did not meet the established target, and 13 (27 percent) performed below both this year's target and the prior year's performance. Two performance indicators did not have annual targets in FY 2021, given the Department was in the process of gathering data to establish a baseline and targets for future years. Two performance indicators are pending data availability.

Accomplishing the goals of the FY 2018–FY 2022 Strategic Plan was about much more than meeting targets for performance indicators and encompassed a wide array of activities. This report discusses the accomplishments of the Department during FY 2021 as well as the challenges encountered. Also included is the Department's progress on implementing activities to support the priorities of the Biden–Harris Administration during the last eight months of FY 2021, such as returning to safe and in-person instruction in classrooms; promoting equity in education across the nation; and providing adequate resources for students, educators, and faculty as they return to in-person instruction.

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# ABOUT THE DEPARTMENT

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## Mission

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

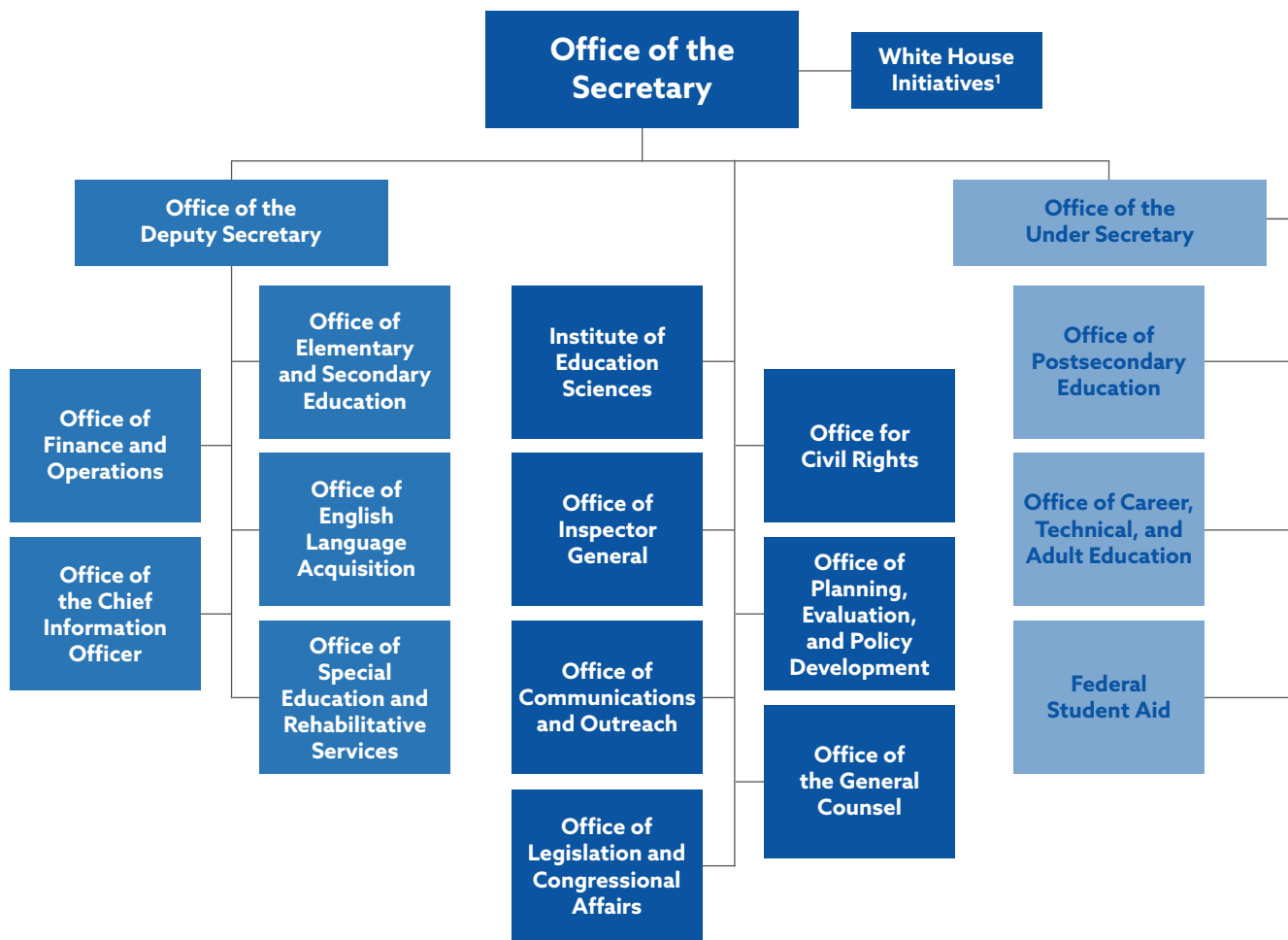
The Department accomplishes its education mission by funding programs (i.e., early intervention services and employment training programs) that provide services to children as early as birth all the way to adult learners.

Many of these programs provide grants to state or local educational agencies and support students and families protected by Federal civil rights laws and other laws, including students with disabilities and those from socio-economically disadvantaged backgrounds. Several programs prepare students, teachers, and the nation's citizenry to engage with and succeed in an increasingly globalized world. Other programs provide grants and loans to postsecondary students and facilitate research that examines ways that states, schools, districts, and postsecondary institutions can improve America's education system. In addition, the Department fulfills its mission through the enforcement of student privacy and of Federal civil rights laws that, among other things, provide equal access for all individuals to the programs funded by the Department.



## FY 2021 Organization Structure

The following shows the Department’s coordinating structure as of July 2022.



<sup>1</sup>The White House Initiatives are: Office of Faith-Based and Neighborhood Partnerships; White House Initiative on Advancing Educational Equity, Excellence, and Economic Opportunity for Native Americans and Strengthening Tribal Colleges and Universities; White House Initiative on Advancing Educational Equity, Excellence, and Economic Opportunity for Hispanics; White House Initiative on Advancing Educational Equity, Excellence, and Economic Opportunity for Black Americans; and White House Initiative on Advancing Educational Equity, Excellence, and Economic Opportunity through Historically Black Colleges and Universities.



# FY 2023 ANNUAL PERFORMANCE PLAN



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# FY 2022–FY 2026 STRATEGIC PLAN OVERVIEW

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The Department is responsible for helping states, school districts, and institutions of higher education provide high-quality education to all the nation’s students, especially those who are the most vulnerable and face the greatest barriers.

The Biden–Harris Administration seeks to lay a strong foundation that will contribute to a better, stronger, and more inclusive nation so that everyone in America has the opportunity to fulfill their potential. This effort will also drive the implementation of policies, programs, and strategies that contribute to improved outcomes for students and ultimately improve national education outcomes. The Department’s planning, Strategic Goals and strategic objectives, performance indicators and metrics, and programmatic implementation are aligned with the *U.S. Department of Education Fiscal Years 2022–2026 Strategic Plan*.

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# STRATEGIC FRAMEWORK

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## Strategic Process Building Blocks

The following graphic illustrates how the Department facilitates strategic planning, goal setting, reporting, and monitoring to improve operations and achieve the agency's mission.





## FY 2022–FY 2026 Strategic Goals and Objectives

The following highlights the Department’s fiscal year (FY) 2022–FY 2026 Strategic Goals and strategic objectives.

|  |  |
|--|--|
| <b>Strategic Goal 1: Promote equity in student access to educational resources, opportunities, and inclusive environments.</b>     |  |
| <b>Strategic Objective 1.1</b>   | Prioritize the equitable and adequate distribution of resources to communities of concentrated poverty, in an effort to provide underserved students with high-quality educational opportunities.  |
| <b>Strategic Objective 1.2</b>   | Ensure all students have access to well-rounded, rigorous, engaging, and diverse learning opportunities and environments to support their success in school.   |
| <b>Strategic Objective 1.3</b>   | Support states, school districts, and institutions of higher education to promote and protect students’ nondiscriminatory and equal access to education, as provided by Federal civil rights laws.   |
| <b>Strategic Objective 1.4</b>   | Promote greater access and supports for youth and adults to engage in learning, succeed in postsecondary education, and increase their employability in high-demand occupations.   |
| <b>Strategic Goal 2: Support a diverse and talented educator workforce and professional growth to strengthen student learning.</b> |  |
| <b>Strategic Objective 2.1</b>   | Strengthen and diversify the educator pipeline and workforce.  |
| <b>Strategic Objective 2.2</b>   | Identify and promote evidence-based practices or strategies that support diverse districts (including rural districts) with high rates of poverty in recruiting, selecting, preparing, and retaining well-qualified (including in-field fully certified) and effective teachers, principals, paraprofessionals, and specialized instructional support personnel. |
| <b>Strategic Objective 2.3</b>   | Support the professional growth, retention, and advancement of talented, experienced educators and other school personnel and their capacity to meet the social, emotional, mental health, and academic needs of underserved students.   |
| <b>Strategic Goal 3: Meet students’ social, emotional, and academic needs.</b>   |  |
| <b>Strategic Objective 3.1</b>   | Support the development and implementation of multitiered systems of supports to increase students’ engagement; social, emotional, and mental health; well-being; and academic success.  |
| <b>Strategic Objective 3.2</b>   | Foster supportive, inclusive, and identity-safe learning environments and ensure the individual needs of underserved students are met through appropriately designed instruction, evidence-based practices, and related supports and services.   |
| <b>Strategic Objective 3.3</b>   | Strengthen learning environments, support professional development, and improve educator credentialing for emergent bilingual students and multilingual learners.  |



| <b>Strategic Goal 4: Increase postsecondary value by focusing on equity-conscious strategies to address access to high-quality institutions, affordability, completion, post-enrollment success, and support for inclusive institutions.</b> |   |
|--|---|
| <b>Strategic Objective 4.1</b>   | Support educational institutions and state systems in efforts to raise academic quality and college completion for all students, especially for underserved students, such as first-generation students, students from low-income backgrounds, students of color, and students with disabilities. |
| <b>Strategic Objective 4.2</b>   | Improve the administration of student aid programs to help eligible students receive aid; support borrowers in successfully repaying their loans, claiming loan forgiveness benefits, and mitigating student loan default; and hold contractors accountable.                                      |
| <b>Strategic Objective 4.3</b>   | Increase equitable access to secondary and postsecondary programs that have clear on-ramps to both high-quality jobs and additional high-quality postsecondary educational opportunities.   |
| <b>Strategic Objective 4.4</b>   | Improve the alignment across secondary, postsecondary, and career and technical education programs, including through transparent and effective transition processes, inclusive pathways, and clear credentialing requirements.   |

| <b>Strategic Goal 5: Enhance the Department's internal capacity to optimize the delivery of its mission.</b> |  |
|--|--|
| <b>Strategic Objective 5.1</b>   | Manage information technology as a strategic resource and driver to promote the advancement of the missions executed by the Department's 21st-century workforce. |
| <b>Strategic Objective 5.2</b>   | Strengthen agency-wide data governance and build capacity to improve data access, data management, and enterprise data analytics in support of agency goals.     |
| <b>Strategic Objective 5.3</b>   | Recruit, retain, and develop the workforce needed to meet the Department's mission now and into the future.  |
| <b>Strategic Objective 5.4</b>   | Deliver mission outcomes and value for taxpayers through efficient acquisition management and proactive industry partnerships while promoting small businesses.  |



## FY 2022–FY 2023 Agency Priority Goals

Agency Priority Goals (APGs) state results to be achieved in a 24-month period. The Department identified three APGs for FY 2022 and FY 2023. These APGs seek to address the impact of the COVID-19 pandemic, effectively manage federal student loans, and reduce disparities in attainment of high-quality degrees and credentials.

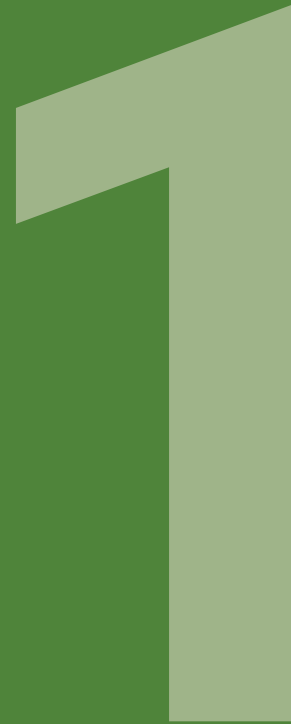
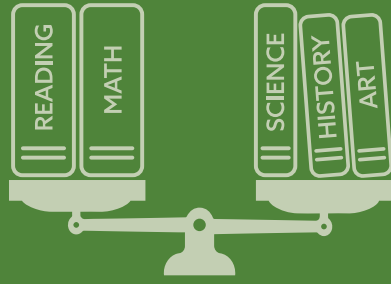
| APG  | Related Strategic Objective  |
|--|--|
| <p><b>APG 1: Address the impact of the COVID-19 pandemic on students, educators, and faculty.</b></p> <p><b>Impact Statement:</b><br/>The Department will be a leader and partner in addressing the impact of the COVID-19 pandemic in educational areas.</p> <p><b>Achievement Statement:</b><br/>By September 30, 2023, the Department will respond to the impact of the COVID-19 pandemic and the need to continuously provide for high-quality educational environments and capabilities by supporting state educational agencies, local educational agencies, and institutions of higher education to:</p> <ul style="list-style-type: none"> <li>• Continue to support schools in maintaining safe, fully in-person instructions for students.</li> <li>• Utilize COVID-19 relief funds on appropriate, effective, and evidence-based activities to reengage students, address lost instructional time, and improve educational opportunities by offering 300+ Department-led technical assistance engagements.</li> </ul> | <p><b>Strategic Objective 1.1:</b><br/>Prioritize the equitable and adequate distribution of resources to communities of concentrated poverty in an effort to provide underserved students with high-quality educational opportunities.</p> <p><b>Strategic Objective 1.2:</b><br/>Ensure all students have access to well-rounded, rigorous, engaging, and diverse learning opportunities and environments to support their success in school.</p> <p><b>Strategic Objective 3.1:</b><br/>Support the development and implementation of multitiered systems of supports to increase students' engagement; social, emotional, and mental health; well-being; and academic success.</p> <p><b>Strategic Objective 3.2:</b><br/>Foster supportive, inclusive, and identity-safe learning environments and ensure the individual needs of underserved students are met through appropriately designed instruction, evidence-based practices, and related supports and services.</p> |
| <p><b>APG 2: Effectively manage federal student loans.</b></p> <p><b>Impact Statement:</b><br/>The Department will provide effective customer service for borrowers to simplify the student loan repayment process.</p> <p><b>Achievement Statement:</b><br/>By September 30, 2023, Federal Student Aid will improve loan servicer quality and accuracy to levels at or above 95 percent, as defined in student loan servicer agreements.</p>  | <p><b>Strategic Objective 4.2:</b><br/>Improve the administration of student aid programs to help eligible students receive aid; support borrowers in successfully repaying their loans, claiming loan forgiveness benefits, and mitigating student loan default; and hold contractors accountable.</p>  |





| APG  | Related Strategic Objective  |
|--|--|
| <p data-bbox="151 390 829 453"><b>APG 3: Reduce disparities in attainment of high-quality degrees and credentials.</b></p> <p data-bbox="151 470 358 495"><b>Impact Statement:</b></p> <p data-bbox="151 497 794 638">The Department will support institutions and states to assist low-income students and students of color to enroll in and complete high-quality postsecondary education programs, including at community colleges and through career and technical training.</p> <p data-bbox="151 655 423 680"><b>Achievement Statement:</b></p> <p data-bbox="151 682 813 884">By September 30, 2023, the Department will increase the number and diversity of higher education grant applicants from community colleges, Historically Black Colleges and Universities, Tribally Controlled Colleges or Universities, Minority-Serving Institutions, and public four-year colleges by 5 percent to support and assist low-income students and students of color in attaining improved educational outcomes.</p> | <p data-bbox="854 390 1110 415"><b>Strategic Objective 4.1:</b></p> <p data-bbox="854 426 1243 680">Support educational institutions and state systems in efforts to raise academic quality and college completion for all students, especially for underserved students, such as first-generation students, students from low-income backgrounds, students of color, and students with disabilities.</p> <p data-bbox="854 697 1110 722"><b>Strategic Objective 4.2:</b></p> <p data-bbox="854 732 1243 961">Improve the administration of student aid programs to help eligible students receive aid; support borrowers in successfully repaying their loans, claiming loan forgiveness benefits, and mitigating student loan default; and hold contractors accountable.</p> |

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# STRATEGIC GOAL

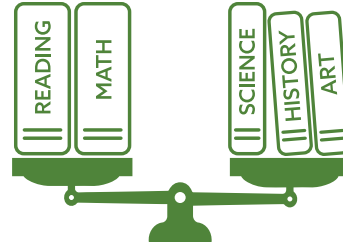
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Promote equity in student access to educational resources, opportunities, and inclusive environments.

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# 1



## STRATEGIC GOAL

Promote equity in student access to educational resources, opportunities, and inclusive environments.

### STRATEGIC GOAL LEADER

Assistant Secretary, Office of Planning, Evaluation, and Policy Development

## GOAL OBJECTIVES

### 1.1

Prioritize the equitable and adequate distribution of resources to communities of concentrated poverty in an effort to provide underserved students with high-quality educational opportunities.

### 1.2

Ensure all students have access to well-rounded, rigorous, engaging, and diverse learning opportunities and environments to support their success in school.

### 1.3

Support states, school districts, and institutions of higher education to promote and protect students' nondiscriminatory and equal access to education, as provided by Federal civil rights laws.

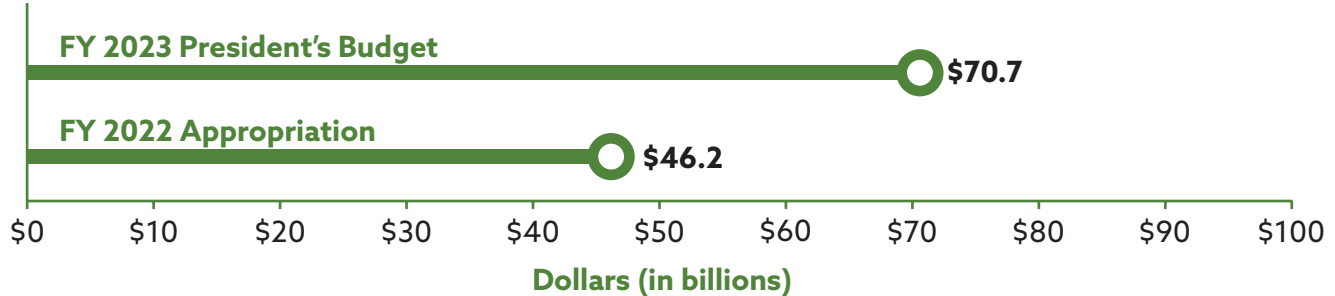
### 1.4

Promote greater access and supports for youth and adults to engage in learning, succeed in postsecondary education, and increase their employability in high-demand occupations.

# Goal 1 Discretionary Resources

The following figure and table show budgetary resources and major programs and activities supporting Goal 1.

## Goal 1 Budgetary Resources



## Major Programs and Activities Supporting Goal 1 (in thousands)

| POC   | Objective     | Major Programs and Activities   | FY 2021 Appropriation | FY 2022 Appropriation | FY 2023 President's Budget |
|-------|---------------|---|-----------------------|-----------------------|----------------------------|
| IES   | All           | Institute of Education Sciences (D)   | \$642,462             | \$609,673             | \$604,016                  |
| OCR   | 1.3           | Office for Civil Rights (D)   | \$131,000             | \$135,500             | \$161,300                  |
| OCTAE | 1.4           | Career, Technical, and Adult Education (D, M)   | \$2,030,936           | \$2,224,436           | \$2,308,980                |
| OESE  | 1.1           | Indian Education (D)  | \$181,239             | \$186,246             | 646,374                    |
| OESE  | 1.1           | Safe Schools and Citizenship Education (D)  | \$111,000             | \$160,000             | 564,000                    |
| OESE  | 1.1, 1.2, 1.3 | Innovation and Improvement (D, M)   | \$829,000             | \$894,500             | 1,557,000                  |
| OESE  | 1.1, 1.4      | Education for the Disadvantaged (D, M)  | \$17,226,790          | \$18,229,790          | \$37,334,551               |
| OESE  | 1.2           | English Language Acquisition (D)  | \$741,841             | \$831,400             | \$1,000,099                |
| OESE  | All           | <i>Coronavirus Response and Relief Supplemental Appropriations Act, 2021 ESSER Fund (D)</i> | \$54,311,004          | \$-                   | \$-                        |
| OESE  | All           | <i>American Rescue Plan Act of 2021 ESSER Fund (D)</i>                                      | \$121,974,800         | \$-                   | \$-                        |
| OESE  | All           | Impact Aid (D)  | \$1,501,112           | \$1,557,112           | 1,541,102                  |
| OESE  | All           | School Improvement Programs (D)   | \$3,301,137           | \$3,425,755           | 3,377,402                  |
| OPE   | 1.4           | Higher Education (D)  | \$10,634              | \$10,634              | \$10,634                   |
| OSERS | 1.1, 1.2, 1.3 | Special Education (D)   | \$13,918,230          | \$14,359,489          | \$17,811,335               |
| OSERS | 1.2           | American Printing House for the Blind (D)   | \$34,431              | \$40,341              | 37,431                     |
| OSERS | 1.3, 1.4      | Rehabilitation Services and Disability Research (D, M)                                      | \$3,820,377           | \$3,701,307           | \$3,923,199                |

**Note:**

(1) Dollar amounts are estimates of program funding aligned to the Strategic Goal (see Appendix B). As programs may support more than one Strategic Goal, amounts included here may be reflected in budget tables for other Strategic Goals. Please see the [Department's Budget Tables](#) for additional information on the fiscal year (FY) 2021 Congressional Action, FY 2022 Congressional Action, and FY 2023 President's Budget Request. (2) Letters following major programs and activities denote discretionary (D) or mandatory (M).

**Acronyms and Definitions:**

POC = Principal Operating Component; FY = Fiscal Year; IES = Institute of Education Sciences; OCR = Office for Civil Rights; OCTAE = Office of Career, Technical, and Adult Education; OESE = Office of Elementary and Secondary Education; ESSER = Elementary and Secondary School Emergency Relief; OPE = Office of Postsecondary Education; and OSERS = Office of Special Education and Rehabilitative Services.

# STRATEGIC OBJECTIVE 1.1



**Prioritize the equitable and adequate distribution of resources to communities of concentrated poverty in an effort to provide underserved students with high-quality educational opportunities.**

## STRATEGIC OBJECTIVE LEADER

Assistant Secretary, Office of Elementary and Secondary Education

## Strategies and Activities

The Department will:

- Work to address educational inequities and target resources and supports to students with the greatest needs.
- Publish guidance documents to support COVID-19 response and recovery efforts, including frequently asked questions on use of the *American Rescue Plan Act of 2021* (ARP) Elementary and Secondary School Emergency Relief Fund, Governor’s Emergency Education Relief Fund, and Maintenance of Equity and Maintenance of Effort provisions.
- Address challenges resulting from the COVID-19 pandemic through the Office of Postsecondary Education’s administration of the Higher Education Emergency Relief Fund programs and implementation of waivers and flexibilities offered to grantees. The COVID-19 pandemic and transition to remote learning have created academic challenges and greatly exacerbated financial and mental health issues for an untold number of students, particularly underserved students. The challenges, including widespread job losses and the transition to virtual learning, have imperiled students’ access to and progress in higher education.
- Highlight actions being taken by states that, in fiscal year (FY) 2020, received either an FY 2019 or FY 2020 supplemental grant award through the Statewide

Longitudinal Data Systems Grant Program. FY 2019 awards were made in March 2020, and FY 2020 supplemental awards were made in September 2020. Efforts during FY 2021 focused on highlighting the data system needs and plans within grant applications. In FY 2022, National Center for Education Statistics will be highlighting equity and opportunity related actions states are taking within these grants. Examples include:

- Connecting data to research and improvement efforts to better identify students in need of supports and implement effective mitigation strategies to reduce inequities in the education pipeline.
- Developing a postsecondary report to support specific strategic needs and assist improvement efforts in assuring that all students leave school ready to succeed in their college or career pursuits.
- Identifying equity-driven policy questions to guide research across the states and supporting evidence-based solutions to data-driven challenges.
- Using education and workforce outcomes to explore equity issues and barriers to sustainable employment while also improving the state’s ability to explore these outcomes by student subpopulations.
- Promoting a focus on students in foster care by creating an educational record exchange platform that can better support and maintain educational stability for children and youth in foster care.
- Exploring equity impacts of the pandemic on college access, including impacts on students who attend tribal colleges.
- Examining how the pandemic impacted student access to learning and learning across demographic groups.
- Monitor states for the implementation of their approved plans for complying with Education Stabilization Fund requirements. Specifically, the Office of Elementary and Secondary Education (OESE) will:
  - Monitor states for compliance with the *Coronavirus Aid, Relief, and Economic Security (CARES) Act*; *Coronavirus Response and Relief Supplemental Appropriations Act, 2021*; and ARP in FY 2022. All states will receive some monitoring activity, with selected states receiving more in-depth monitoring activities based on a risk-management assessment. To support grantees in preparing for the Department’s monitoring activities, OESE will provide Monitoring Office Hours sessions online to engage grantees and field questions. Additional timely information regarding monitoring will be provided to grantees through updates via the Department’s Grants Management System—G5—which supports the Department’s life cycle business process and/or through regular “News Blast” emails to grantees and associated stakeholders.

- Review each grantee’s annual performance report in spring 2022 to evaluate uses of funds and provide technical assistance as needed.
- Determine outcomes associated with OESE’s methods for monitoring compliance and assess whether additional tools, methods, or communications should be explored to support implementation of key ARP requirements in FY 2023.
- Continue to leverage the Department’s statutory authority under the *Every Student Succeeds Act*, Section 8601, to [conduct high-quality evaluations](#) through the Institute of Education Sciences that are relevant to the *Elementary and Secondary Education Act of 1965* programs and can answer questions of strategic importance, offer evidence that can support program improvement, and identify effective strategies for improving student achievement, particularly for historically underserved students.
- Facilitate institutions’ use of CARES Act flexibilities related to the administration of Title VI and *Higher Education Act of 1965* programs as well as flexibilities outlined in the [Federal Student Aid Programs Federal Register Notice](#) using authority of the [Higher Education Relief Opportunities for Students Act of 2003](#) to assist students affected by the COVID-19 pandemic in completing their programs of study.
- Broaden access to and awareness of race and ethnicity data by regularly updating the Office of Special Education Programs’ [Fast Facts](#) and [Hand In Hand](#) companion documents.
- Work collaboratively with 19 other federal agencies that are members of the U.S. Interagency Council on Homelessness to provide technical assistance and information to address the needs of homeless children and youth. The Department awarded additional ARP funding in FY 2021 to support the education of children and youth experiencing homelessness. In addition, the Department plans to provide technical assistance and conduct evaluation activities, particularly on the uses of ARP funds under this program.



## Performance Indicators

| Performance Indicator  | FY 2022 Target | FY 2023 Target |
|--|----------------|----------------|
| 1. Percentage of individual discretionary grant programs that include the Secretary's priority on promoting equity in student access to educational resources and opportunities (including absolute, invitational, or competitive preference priorities).  | 75%            | 80%            |
| 2. Percentage of Promise Neighborhood grantees that attain or exceed the annual goals established for their project indicators, which are designed to measure the overall success of a grantee's Promise Neighborhood strategy to improve individual- and community-level outcomes for students and families from cradle to career.  | Baseline       | TBD            |
| 3. Percentage of states publishing report cards (as of January 15 annually) that include per-pupil expenditures of federal, state, and local funds, including actual personnel expenditures and actual no personnel expenditures of federal, state, and local funds disaggregated by source of funds for each local educational agency and school for either of the prior two years. | 92%            | 94%            |

### Acronyms and Definitions:

FY = Fiscal Year and TBD = To Be Determined.

# STRATEGIC OBJECTIVE 1.2



**Ensure all students have access to well-rounded, rigorous, engaging, and diverse learning opportunities and environments to support their success in school.**

## STRATEGIC OBJECTIVE LEADERS

Deputy Assistant Secretary, Office of Planning, Evaluation, and Policy Development and Assistant Secretary, Office of Elementary and Secondary Education

## Strategies and Activities

The Department will:

- Continue to provide evidence-based supports and resources to the education community as it recovers from the abrupt transition from in-person to virtual and back to in-person learning. Specifically, the Office of Elementary and Secondary Education (OESE), the Office of Special Education and Rehabilitative Services, and the Institute of Education Sciences will continue coordinating across the Department's technical assistance networks via the OESE-led Technical Assistance Coordination Team. The team continues in this coordinating role to leverage resources and expertise to ensure the Department effectively and efficiently provides robust technical assistance to the field.
- Collaborate with internal and external partners to disseminate resources on the use of evidence, including internal trainings and workshops to build staff capacity to support formula and competitive grantees and the broader education community.
- Support state educational agencies to increase their capacity to assist school districts by providing training and technical assistance in the development and implementation of high-quality school emergency operations plans.

- Monitor states for the implementation of their approved plans for complying with the *Elementary and Secondary Education Act of 1965* (ESEA), as amended by the *Every Student Succeeds Act*, including report card requirements. Specifically, OESE will monitor states for compliance with Title I, Part A; Title II, Part A; and Title III, Part A of ESEA in fiscal year 2022. States will be chosen based on a risk assessment.
- Collaborate across offices and federal agencies to identify and broadly disseminate information and resources on supporting all students to address the impact of lost instructional time.

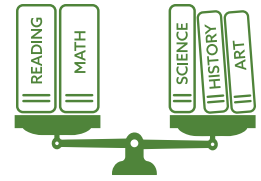
## Performance Indicators

| Performance Indicator   | FY 2022 Target | FY 2023 Target |
|---|----------------|----------------|
| 1. Percentage of magnet schools receiving assistance under the Magnet Schools Assistance Program that are reporting enrollment data demonstrating success in reducing, eliminating, or preventing minority group isolation. | Baseline       | TBD            |
| 2. Number of local educational agencies showing an increase in the number of students identified as homeless.   | Baseline       | TBD            |

### Acronyms and Definitions:

FY = Fiscal Year and TBD = To Be Determined.

# STRATEGIC OBJECTIVE 1.3



**Support states, school districts, and institutions of higher education to promote and protect students' nondiscriminatory and equal access to education, as provided by Federal civil rights laws.**

## **STRATEGIC OBJECTIVE LEADER**

Assistant Secretary, Office for Civil Rights

## **Strategies and Activities**

The Department will:

- Enforce Federal civil rights laws effectively by investigating and resolving complaints of discrimination and conducting compliance reviews and directed investigations consistent with applicable statutes, regulations, case laws, and internal procedures.
- Continue to collect and publish data related to civil rights and equity through the [Civil Rights Data Collection](#).

## Performance Indicators

| Performance Indicator  | FY 2022 Target                | FY 2023 Target                |
|--|-------------------------------|-------------------------------|
| 1. Number of policy guidance publications on the Office for Civil Rights' website that focus on how schools and districts serving students in prekindergarten through grade 12 and institutions of higher education may comply with Federal civil rights laws by avoiding and addressing discrimination based on race, color, national origin, disability, sex, and age. | 4                             | 4                             |
| 2. Number of published civil rights data and user-friendly summaries of key data about the experiences of students, including their access to resources and educational opportunities through the Civil Rights Data Collection.  | 2                             | 2                             |
| 3. Number of proactive investigations that address possible violations of Federal civil rights laws.   | 10                            | 10                            |
| 4. Number of proactive outreach and technical assistance activities that provide stakeholders (e.g., students, parents and guardians, recipient educational institutions, and advocacy groups) with information concerning their rights and responsibilities under Federal civil rights laws.  | 75                            | 80                            |
| 5. Percentage of complaints that are resolved within 180 days.   | 90%                           | 90%                           |
| 6. Percentage of pending systemic and non-systemic investigations that are one year old.   | 20% reduction from prior year | 20% reduction from prior year |
| 7. Number of annual trainings on two substantive areas related to systemic investigations.   | 2                             | 2                             |
| 8. Percentage of students with disabilities who participate in Individualized Educational Programs who graduate from high school with a regular high school diploma.   | 73.6%                         | 74.3%                         |

### Acronyms and Definitions:

FY = Fiscal Year.

# STRATEGIC OBJECTIVE 1.4



**Promote greater access and supports for youth and adults to engage in learning, succeed in postsecondary education, and increase their employability in high-demand occupations.**

## STRATEGIC OBJECTIVE LEADERS

Assistant Secretary, Office of Career, Technical, and Adult Education  
and Assistant Secretary, Office of Postsecondary Education

## Strategies and Activities

The Department will:

- Improve access to quality educational programs available in correctional settings.
- Continue to support states in strengthening educational outcomes for adult learners through the application of evidence-based and equity-focused strategies and policies.
- Identify opportunities to further build and use evidence in the Department's grant programs, both formula and competitive. This includes updating the [Education Department General Administrative Regulations \(EDGAR\) and Other Applicable Grant Regulations](#) to build and use evidence effectively. In addition, this includes developing strategies and sharing resources on evidence building and use in collaboration with the Institute of Education Sciences to identify meaningful opportunities for evidence building consistent with the Department's Fiscal Year (FY) 2022–FY 2026 Learning Agenda.
- Continue to provide grants, outreach, and technical assistance to institutions preparing youth and adult learners for the emerging workforce, with a focus on increasing the number and proportion of students of color, students from low-income backgrounds, students with disabilities, and other underserved students

who enroll in and complete postsecondary education programs. The Department will continue to support multiple pathways to success such as community colleges, technical schools, and four-year institutions.

- Disseminate the *Introduction to Stackable Credentials*. This resource will provide practical steps for enhancing employer engagement, designing programs with stackable credentials, supporting student completion, and sustaining program responsiveness to employer needs.
- Disseminate the *Young Adult Diversion Toolkit* to help state and local governments learn how to provide justice-involved young adults with alternatives to prosecution, incarceration, or both.
- Identify opportunities to create clearer career pathways for students that may potentially reduce the time to complete a degree and the overall cost of college, including dual enrollment or concurrent enrollment, and make transfers of course credits more seamless and transparent.
- Host a national Advancing Equity in Career Connected Education Summit to share data, research, and best practices for ensuring all students, especially those who are members of special populations as defined in Perkins V, achieve their state-determined levels of performance on the Perkins core indicators of performance.
- Host town hall webinars to share aggregate and disaggregated data from *State Consolidated Annual Reports* and highlight states that are experiencing success in meeting their state-determined levels of performance on the Perkins core indicators of performance.

## Performance Indicators

| Performance Indicator   | FY 2022 Target | FY 2023 Target |
|---|----------------|----------------|
| 1. Percentage of adult education participants that achieve measurable skill gains (reporting for Native American and Alaskan Native, Hispanic or Latino, Asian, Black or African American, Native Hawaiian or other Pacific Islander, White, and more than one race).   | 42%            | 42%            |
| 2. Number of disaggregated student categories for which secondary career and technical education concentrators meet 90 percent of the average state-determined performance level for secondary students being placed in postsecondary education; advanced training; military service; national, community service, or peace corps; or employment. | Baseline       | TBD            |
| 3. Number of eligible Minority-Serving Institutions that can apply for competitive grant programs that contribute to student success, including access, support services, retention, and outreach.  | 818            | 828            |

### Acronyms and Definitions:

FY = Fiscal Year and TBD = To Be Determined.

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# STRATEGIC GOAL

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Support a diverse and talented educator workforce and professional growth to strengthen student learning.

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# 2

## STRATEGIC GOAL

Support a diverse and talented educator workforce and professional growth to strengthen student learning.

### STRATEGIC GOAL LEADERS

Senior Advisor, Office of the Deputy Secretary and Assistant Secretary, Office of Planning, Evaluation, and Policy Development

## GOAL OBJECTIVES

### 2.1

Strengthen and diversify the educator pipeline and workforce.

### 2.2

Identify and promote evidence-based practices or strategies that support diverse districts (including rural districts) with high rates of poverty in recruiting, selecting, preparing, and retaining well-qualified (including in-field fully certified) and effective teachers, principals, paraprofessionals, and specialized instructional support personnel.

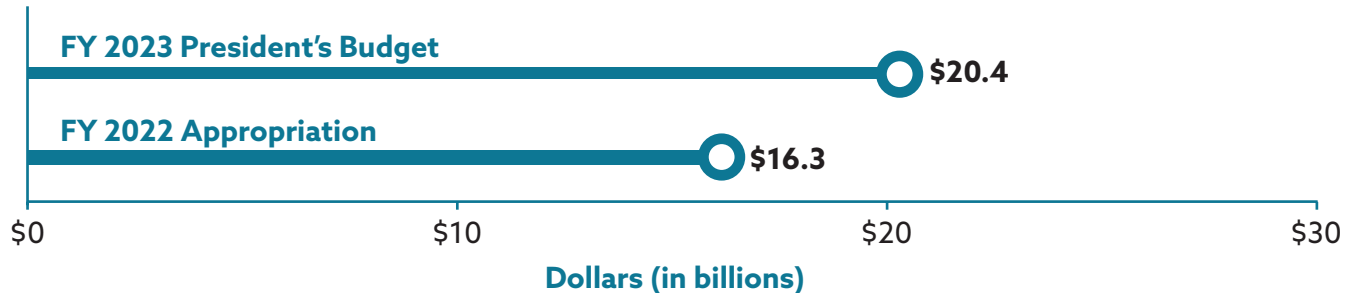
### 2.3

Support the professional growth, retention, and advancement of talented, experienced educators and other school personnel and their capacity to meet the social, emotional, mental health, and academic needs of underserved students.

# Goal 2 Discretionary Resources

The following figure and table show budgetary resources and major programs and activities supporting Goal 2.

## Goal 2 Budgetary Resources



## Major Programs and Activities Supporting Goal 2 (in thousands)

| POC   | Objective     | Major Programs and Activities   | FY 2021 Appropriation | FY 2022 Appropriation | FY 2023 President's Budget |
|-------|---------------|---|-----------------------|-----------------------|----------------------------|
| FSA   | 2.1           | Health Education Assistance Loans Liquidating Account (M)                                   | \$(5,029)             | \$(5,029)             | \$(2,000)                  |
| FSA   | 2.1, 2.3      | Teacher Education Assistance (M)  | \$105,884             | \$82,090              | \$39,114                   |
| IES   | All           | Institute of Education Sciences (D)   | \$126,840             | \$72,051              | \$68,340                   |
| OESE  | All           | <i>Coronavirus Response and Relief Supplemental Appropriations Act, 2021</i> ESSER Fund (D) | \$54,311,004          | \$-                   | \$-                        |
| OESE  | All           | <i>American Rescue Plan Act of 2021</i> ESSER Fund (D)                                      | \$121,974,800         | \$-                   | \$-                        |
| OESE  | 2.2           | English Language Acquisition  | \$55,559              | \$55,599              | \$74,901                   |
| OESE  | 2.2           | Indian Education (D)  | \$67,993              | \$70,000              | \$67,993                   |
| OESE  | 2.1, 2.2, 2.3 | Innovation and Improvement (D, M)   | \$280,000             | \$319,000             | \$270,000                  |
| OESE  | 2.1, 2.2, 2.3 | School Improvement Programs (D, M)  | \$2,159,779           | \$2,189,737           | \$3,173,044                |
| OPE   | 2.1, 2.2      | Higher Education (D, M)   | \$52,092              | \$74,651              | \$173,875                  |
| OSERS | 2.2, 2.3      | Rehabilitation Services and Disability Research (D)   | \$29,388              | \$29,388              | \$29,388                   |
| OSERS | 2.2, 2.3      | Special Education (D, M)  | \$13,066,287          | \$13,477,334          | \$16,547,823               |

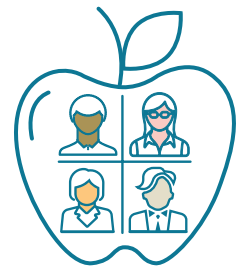
**Note:**

(1) Dollar amounts are estimates of program funding aligned to the Strategic Goal (see Appendix B). As programs may support more than one Strategic Goal, amounts included here may be reflected in budget tables for other Strategic Goals. Please see the [Department's Budget Tables](#) for additional information on fiscal year (FY) 2021 Congressional Action, the FY 2022 Congressional Action, and the FY 2023 President's Budget Request. (2) Negative dollar amounts (indicated by values in parentheses) represent a downward re-estimate for the program. (3) Letters following major programs and activities denote discretionary (D) or mandatory (M).

**Acronyms and Definitions:**

POC = Principal Operating Component; FY = Fiscal Year; FSA = Federal Student Aid; IES = Institute of Education Sciences; OESE = Office of Elementary and Secondary Education; ESSER = Elementary and Secondary School Emergency Relief; OPE = Office of Postsecondary Education; and OSERS = Office of Special Education and Rehabilitative Services.

# STRATEGIC OBJECTIVE 2.1



## Strengthen and diversify the educator pipeline and workforce.

### STRATEGIC OBJECTIVE LEADERS

Assistant Secretary, Office of Postsecondary Education and Assistant Secretary, Office of Elementary and Secondary Education

### Strategies and Activities

The Department will:

- Increase the number of teachers and providers with additional certifications or training in high-demand areas who can effectively prepare students for college and career pathways, including through high-quality career and technical education programs, by designing instruction in ways that are engaging and provide students with opportunities to think critically and solve complex problems; apply their learning in authentic and real-world settings; communicate and collaborate effectively; and develop academic mindsets, including through project-based, work-based, or other experiential learning opportunities and through effective integration of technology.
- Provide technical assistance to current grantees to support their efforts at diversifying the educator workforce, including through dissemination of best practices, webinars featuring successful efforts, and peer sharing.
- Incorporate educator diversity as a priority into relevant discretionary grant competitions.
- Support the use of formula grant funds to diversify the educator pipeline and workforce.
- Provide technical assistance to promote educator professional development that addresses the ongoing challenges that underserved families and communities face as a result of managing through the COVID-19 pandemic.

- Support projects that aim to increase educator diversity in prekindergarten through grade 12 settings, including convenings of discretionary grantees that responded to a priority on increasing educator diversity.

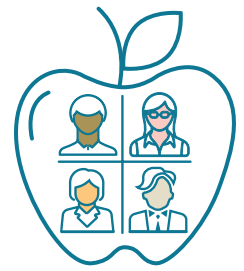
## Performance Indicators

| Performance Indicator  | FY 2022 Target  | FY 2023 Target  |
|--|-----------------|-----------------|
| 1. Percentage of participants in teacher preparation projects funded under the Indian Education Professional Development Grants Program who become teachers in local educational agencies that serve a high proportion of Indian students.   | Prior year + 5% | Prior year + 5% |
| 2. Percentage of individual discretionary grant programs that include a priority (i.e., absolute, competitive, or invitational priority) that advances educator diversity.   | 17%             | 20%             |
| 3. Amount of discretionary funds awarded to projects that advance educator diversity.  | Baseline        | TBD             |
| 4. Percentage of Effective Educator Development Program grantees participating in technical assistance opportunities that focus on the importance of educator diversity.   | 100%            | 100%            |
| 5. Percentage of scholars from diverse backgrounds who graduate from special education, related services, and early intervention preparation programs.   | 30%             | 31%             |
| 6. Percentage of qualified teachers recruited in high-needs districts through programs modeled after a grow-your-own teacher approach (i.e., programs that recruit and train teachers from within communities to bring racial, ethnic, and cultural diversity and skills, such as bilingualism, into schools). | Baseline        | TBD             |

**Acronyms and Definitions:**

FY = Fiscal Year and TBD = To Be Determined.

# STRATEGIC OBJECTIVE 2.2



Identify and promote evidence-based practices or strategies that support diverse districts (including rural districts) with high rates of poverty in recruiting, selecting, preparing, and retaining well-qualified (including in-field fully certified) and effective teachers, principals, paraprofessionals, and specialized instructional support personnel.

## STRATEGIC OBJECTIVE LEADERS

Deputy Assistant Secretary, Office of Planning, Evaluation, and Policy Development and Director, Institute of Education Sciences

## Strategies and Activities

The Department will:

- Identify and disseminate resources on building a pipeline of qualified, diverse educators recruited and retained in high-needs school districts. For example, identify and disseminate research, such as the Institute of Education Sciences' [\*Exploring Early Implementation of Pennsylvania's Innovative Teacher and Principal Residency Grants\*](#).

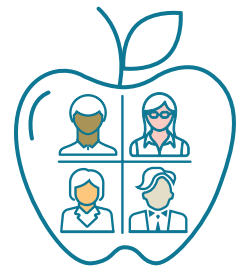
## Performance Indicators

| Performance Indicator   | FY 2022 Target | FY 2023 Target |
|---|----------------|----------------|
| 1. Percentage of candidates in teacher preparation programs who become teachers of record.  | 90%            | 92%            |
| 2. Number of qualified teachers and school leaders retained in high-needs schools, including those who were recruited through teacher residency programs. | 5,500          | 5,750          |

**Acronyms and Definitions:**

FY = Fiscal Year.

# STRATEGIC OBJECTIVE 2.3



Support the professional growth, retention, and advancement of talented, experienced educators and other school personnel and their capacity to meet the social, emotional, mental health, and academic needs of underserved students.

## STRATEGIC OBJECTIVE LEADER

Assistant Secretary, Office of Elementary and Secondary Education

### Strategies and Activities

The Department will:

- Identify and disseminate evidence-based resources and information on addressing the social, emotional, mental health, and academic needs of underserved students.
- Promote evidence-based professional development strategies and approaches for educators and other school personnel to build capacity to address the social, emotional, mental health, and academic needs of all students and student groups, particularly underserved students.
- Support projects that aim to advance effective and experienced educators into leadership positions. Specifically, support grantees in the Office of Elementary and Secondary Education's Effective Educator Development Programs unit by, for example, providing opportunities for grantees to share successes and challenges at project coordinator meetings.



# Performance Indicators

| Performance Indicator   | FY 2022 Target | FY 2023 Target |
|---|----------------|----------------|
| 1. Percentage of educators participating in leadership preparation programs.  | 85%            | 87%            |
| 2. Percentage of local educational agencies indicating that one of their top two uses of Title II, Part A professional development funds is for professional development that is sustained, job-embedded, and/or collaborative. | Baseline       | TBD            |

**Acronyms and Definitions:**

FY = Fiscal Year and TBD = To Be Determined.

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# STRATEGIC GOAL

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Meet students' social, emotional, and academic needs.

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# 3



# 3



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## STRATEGIC GOAL

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Meet students' social, emotional, and academic needs.

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### STRATEGIC GOAL LEADER

Senior Advisor, Office of the Deputy Secretary

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## GOAL OBJECTIVES

### 3.1

Support the development and implementation of multitiered systems of supports to increase students' engagement; social, emotional, and mental health; well-being; and academic success.

### 3.2

Foster supportive, inclusive, and identity-safe learning environments and ensure the individual needs of underserved students are met through appropriately designed instruction, evidence-based practices, and related supports and services.

### 3.3

Strengthen learning environments, support professional development, and improve educator credentialing for emergent bilingual students and multilingual learners.

# Goal 3 Discretionary Resources

The following figure and table show budgetary resources and major programs and activities supporting Goal 3.

## Goal 3 Budgetary Resources



## Major Programs and Activities Supporting Goal 3 (in thousands)

| POC   | Objective | Major Programs and Activities   | FY 2021 Appropriation | FY 2022 Appropriation | FY 2023 President's Budget |
|-------|-----------|---|-----------------------|-----------------------|----------------------------|
| IES   | All       | Institute of Education Sciences (D)   | \$642,462             | \$669,928             | \$662,516                  |
| OELA  | 3.2, 3.3  | English Language Acquisition (D)  | \$797,400             | \$831,400             | \$1,000,099                |
| OESE  | 3.1, 3.2  | Safe Schools and Citizenship Education (D)  | \$217,000             | \$361,000             | \$693,000                  |
| OESE  | 3.2       | Education for the Disadvantaged (D)   | \$643,865             | \$643,865             | \$649,626                  |
| OESE  | 3.2       | Innovation and Improvement (D)  | \$200,250             | \$228,250             | \$248,000                  |
| OESE  | 3.2, 3.3  | Indian Education (D)  | \$181,239             | \$189,246             | \$186,239                  |
| OESE  | All       | <i>Coronavirus Response and Relief Supplemental Appropriations Act, 2021 ESSER Fund (D)</i> | \$54,311,004          | \$-                   | \$-                        |
| OESE  | All       | <i>American Rescue Plan Act of 2021 ESSER Fund (D)</i>                                      | \$121,974,800         | \$-                   | \$-                        |
| OESE  | All       | School Improvement Programs (D)   | \$2,780,180           | \$3,737,987           | \$2,780,180                |
| OSERS | 3.2       | American Print House for the Blind (D)  | \$34,431              | \$40,341              | \$37,431                   |
| OSERS | 3.2       | Rehabilitation Services and Disability Research (D)   | \$17,000              | \$18,000              | \$18,500                   |
| OSERS | 3.2       | Special Education (D)   | \$13,914,502          | \$14,355,337          | \$17,796,388               |

**Note:**

(1) Dollar amounts are estimates of program funding aligned to the Strategic Goal (see Appendix B). As programs may support more than one Strategic Goal, amounts included here may be reflected in budget tables for other Strategic Goals. Please see the [Department's Budget Tables](#) for additional information on fiscal year (FY) 2021 Congressional Action, the FY 2022 Congressional Action, and the FY 2023 President's Budget Request. (2) Letters following major programs and activities denote discretionary (D) or mandatory (M).

**Acronyms and Definitions:**

POC = Principal Operating Component; FY = Fiscal Year; IES = Institute of Education Sciences; OELA = Office of English Language Acquisition; OESE = Office of Elementary and Secondary Education; ESSER = Elementary and Secondary School Emergency Relief; and OSERS = Office of Special Education and Rehabilitative Services.

# STRATEGIC OBJECTIVE 3.1



Support the development and implementation of multitiered systems of supports to increase students' engagement; social, emotional, and mental health; well-being; and academic success.

## STRATEGIC OBJECTIVE LEADER

Deputy Assistant Secretary, Office of Elementary and Secondary Education

## Strategies and Activities

The Department will:

- Scale cross-agency coordination to increase knowledge to potentially eligible students about public benefits available to them in the wake of the COVID-19 pandemic.
- Support states and districts in the implementation of multitiered systems of supports to improve school climate and access to mental health services for students exposed to violence and other traumatic events.
- Support projects that increase school capacity to better address the social, emotional, behavioral, physical, and academic needs of underserved students (e.g., students with disabilities, multilingual learners, students experiencing homelessness or trauma, students without access to technology, and migrant students).
- Support projects that increase the capacity of early childhood programs to support the social, emotional, and behavioral development of young children with and at risk for developmental delay or disability.
- Issue invitational and competitive preference priorities to grantees to provide integrated student support services (i.e., wrap-around services) for students to address challenges, such as mental health, basic needs, and academic support

- due to the COVID-19 pandemic. Grant applicants will be asked to describe ways they will collaborate with partners to provide resources to support students and communities hit hardest by the pandemic and implement evidence-based best practices to address the existing inequities exacerbated by the pandemic.
- Support state educational agencies that implement model programs that enable access to trauma-specific mental health services for students from low-income backgrounds and other underserved students who have experienced trauma or other adverse childhood experiences that may negatively affect their educational engagement and ability.
  - Release products from the Institute of Education Sciences' (IES') [What Works Clearinghouse](#) that support the adoption of evidence-based practices in prekindergarten through grade 12 education, including topics such as promoting social and behavioral success for learning in elementary schools and assisting students struggling with reading in grades 4 through 9.
  - Support projects and programs that improve students' social, emotional, and academic development, such as identifying conditions of the learning environment that contribute to success and engaging with families and community leaders.
  - Support the development, improvement, and expansion of full-service community schools (FSCS) as a strategy to provide wrap-around support for students and families, including through an ongoing evaluation of FSCS led by IES.
  - Monitor FSCS grantees to implement their approved applications, review annual performance reports, and conduct quarterly calls.
  - Build evidence about the implementation and/or efficacy of programs related to public school opportunities or parent engagement, including both new and ongoing work at IES related to [Statewide Family Engagement Centers](#) and [magnet schools](#).
  - Publish guidance documents on key issues related to the equitable and effective use of technology and mental health services for vulnerable populations.
  - Work collaboratively with other agencies to improve the quality of educational programs in juvenile justice facilities.
  - Monitor all States on their general supervision systems and implementation of *Individuals with Disabilities Education Act* (IDEA) requirements to improve outcomes for infants, toddlers, children, and youth with disabilities. Monitoring will occur over a five-year cycle in three phases. Phase 1 is for pre-site work and interviews; Phase 2 is for an on-site visit or virtual activities and issuance of the monitoring report; and Phase 3 is for corrective action or needed technical assistance.

- Provide technical assistance to IDEA Part C programs to enhance their child-find systems that will improve equitable access to Part C services for infants and toddlers with disabilities and their families who have traditionally been underserved by Part C.

## Performance Indicators

| Performance Indicator   | FY 2022 Target  | FY 2023 Target  |
|---|-----------------|-----------------|
| 1. Number of schools implementing full-service community schools' strategies.   | Prior year + 2% | TBD             |
| 2. Number of high-impact activities or services <sup>1</sup> implemented to ensure that parents are trained and can effectively engage in activities that will improve students' social, emotional, and mental health as well as academic development to include an understanding of how they can support learning in the classroom with activities at home or outside the school as well as how they can participate in state and local decision-making processes. | 700             | 800             |
| 3. Percentage of schools that reduce chronic absenteeism for all available subgroups, including American Indian or Alaska Native students, Asian students, Black or African American students, Hispanic/Latino students, Native Hawaiian or other Pacific Islander students, students of two or more races, White students, children with disabilities, English learners, and students experiencing homelessness.   | Baseline        | TBD             |
| 4. Percentage of national chronic absenteeism.  | Baseline        | TBD             |
| 5. Amount of discretionary funds awarded to projects that address students' social, emotional, and mental health as well as academic needs.   | Prior year +10% | TBD             |
| 6. Percentage of discretionary grant programs that include a priority (i.e., absolute, invitational, or competitive preference priority) that addresses student social, emotional, and mental health as well as academic needs.   | 75%             | 80%             |
| 7. Percentage of schools that report annually an improved school climate based on the results of the Department's School Climate Surveys or via a similar tool.   | 75%             | 80%             |
| 8. Number of states with 80 percent or more prekindergarten children with disabilities that show greater-than-expected growth in social-emotional skills by the time they exit Individuals with Disabilities Education Act Part B, Section 619 services.  | 25              | 26              |
| 9. Number of states with 65 percent or more infants and toddlers with disabilities that show greater-than-expected growth in social-emotional skills by the time they exit <i>Individuals with Disabilities Education Act</i> Part C services.  | 27              | 28              |
| 10. Number of successful grant applications that address the Secretary's supplemental priorities related to social, emotional, and academic needs.  | Baseline        | Prior year + 20 |
| 11. Number of schools that report fidelity data on their Positive Behavioral Interventions and Supports (PBIS) implementation efforts via PBIS apps.  | 10,680          | 10,785          |

### Acronyms and Definitions:

FY = Fiscal Year and TBD = To Be Determined.

<sup>1</sup>High-impact activities or services are defined as evidence-based or evidence-informed activities or services that are designed to build the capacity of families and educators to effectively build relationships, engage with schools and educational systems, and/or help build statewide infrastructure.



# STRATEGIC OBJECTIVE 3.2

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**Foster supportive, inclusive, and identity-safe learning environments and ensure the individual needs of underserved students are met through appropriately designed instruction, evidence-based practices, and related supports and services.**

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## **STRATEGIC OBJECTIVE LEADERS**

Assistant Secretary, Office of Elementary and Secondary Education  
and Assistant Secretary, Office of Special Education and  
Rehabilitative Services

## **Strategies and Activities**

The Department will:

- Support programs that connect students and out-of-school youth with disabilities to resources that will assist them in transitioning to adult life, including connecting them to career and technical education and vocational rehabilitation.
- Use the results of a national needs assessment conducted in fiscal year (FY) 2021 to inform improvements to the Office of Elementary and Secondary Education's Office of Migrant Education's Migrant Student Information Exchange (MSIX) and the Department's related technical assistance. The improvements will ensure school staff and other Migrant Education Program stakeholders have access and the capacity to effectively use MSIX data to meet the unique educational needs of migratory students, including students with disabilities and underserved children.
- Support states in developing or strengthening summer, afterschool, and other extended learning and enrichment programs and facilitating robust family and community engagement and input on how to improve access to in-school and out-of-school learning opportunities for underserved students.

- Fund projects to provide technical assistance to states, local educational agencies, early childhood programs, and early intervention programs to support the inclusion of children with disabilities in early childhood programs and schools.
- Fund parent training centers to provide supports to families to enhance their capacity to effectively work with schools and service providers in meeting the needs of their children with disabilities.

## Performance Indicators

| Performance Indicator  | FY 2022 Target   | FY 2023 Target   |
|--|------------------|------------------|
| 1. Percentage of grantees providing culturally responsive activities.  | Baseline         | TBD              |
| 2. Number of state and local educational agencies that the Department engages in technical assistance and other supports to provide safe, inclusive, and healthy learning environments that meet the academic, social, and emotional needs of every student. | Prior year + 15% | Prior year + 10% |
| 3. Percentage of Student Support Service students served who persist into their next year of enrollment or attain a degree.  | 86.0%            | 87.0%            |
| 4. Percentage of prekindergarten children with disabilities attending general early childhood programs and receiving the majority of <i>Individuals with Disabilities Education Act</i> services in that setting.  | Prior year + 1%  | Prior year + 1%  |
| 5. Percentage of parents receiving Special Education Parent Information Centers services who report having enhanced capacity to effectively work with schools and service providers in meeting the needs of their children.                                  | 90.3%            | 90.3%            |
| 6. Percentage of students ages 14 through 21 with disabilities served under <i>Individuals with Disabilities Education Act</i> Part B who exit school by dropping out.   | 16.0%            | 15.5%            |
| 7. Percentage of students with disabilities who spend 80 percent or more of the day inside a regular class.  | 65.1%            | 65.3%            |

### Acronyms and Definitions:

FY = Fiscal Year and TBD = To Be Determined.

# STRATEGIC OBJECTIVE 3.3

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**Strengthen learning environments, support professional development, and improve educator credentialing for emergent bilingual students and multilingual learners.**

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## **STRATEGIC OBJECTIVE LEADER**

Assistant Deputy Secretary, Office of English Language Acquisition

## **Strategies and Activities**

The Department will:

- Support the development and implementation of programs that support preservice programs, teacher in-service programs, (including school leaders), and programs that provide experience working with multilingual students to increase teacher, paraprofessional, and school leadership credential attainment.
- Support state educational agencies and local educational agencies in strengthening learning environments for multilingual learners by curating and disseminating evidence-based practices on key topics, such as native language support, access to bilingual programs, and heritage language development.
- Increase access to high-quality prekindergarten programs for multilingual learners by supporting professional development, credentialing of the educator workforce working in early childhood programs.
- Support parents and communities as core partners to educators through dissemination of parent toolkits and other resources, engaging directly with parents and communities and encouraging dual capacity framework practices in schools.

## Performance Indicators

| Performance Indicator   | FY 2022 Target | FY 2023 Target |
|---|----------------|----------------|
| 1. Percentage of students who attain proficiency in a Native language as determined by each grantee through pre- and post-assessments of Native language proficiency.                             | 5%             | 8%             |
| 2. Number of technical assistance and outreach activities that support (or increase awareness of supports for) the English learners' education community and/or its stakeholders.                 | 10             | 12             |
| 3. Number of National Professional Development grant participants who are enrolled and are making progress toward becoming state-certified, licensed, or endorsed in English learner instruction. | 5,000          | 5,000          |
| 4. Number of National Professional Development grant participants who have become state-certified, licensed, or endorsed in English as a Second Language or bilingual instruction.                | 2,000          | 2,000          |

**Acronyms and Definitions:**

FY = Fiscal Year.



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# STRATEGIC GOAL

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Increase postsecondary value by focusing on equity-conscious strategies to address access to high-quality institutions, affordability, completion, post-enrollment success, and support for inclusive institutions.

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# 4





# 4

## STRATEGIC GOAL

Increase postsecondary value by focusing on equity-conscious strategies to address access to high-quality institutions, affordability, completion, post-enrollment success, and support for inclusive institutions.

### STRATEGIC GOAL LEADER

Under Secretary, Office of the Under Secretary

## GOAL OBJECTIVES

### 4.1

Support educational institutions and state systems in efforts to raise academic quality and college completion for all students, especially for underserved students, such as first-generation students, students from low-income backgrounds, students of color, and students with disabilities.

### 4.2

Improve the administration of student aid programs to help eligible students receive aid; support borrowers in successfully repaying their loans, claiming loan forgiveness benefits, and mitigating student loan default; and hold contractors accountable.

### 4.3

Increase equitable access to secondary and postsecondary programs that have clear on-ramps to both high-quality jobs and additional high-quality postsecondary educational opportunities.

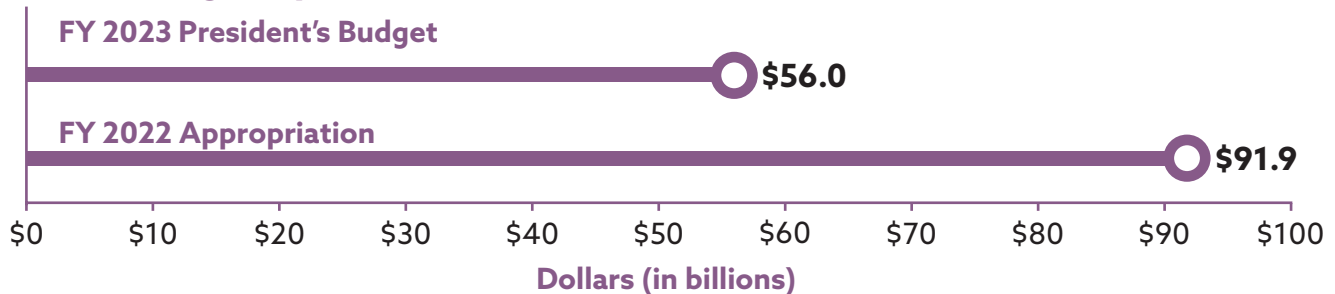
### 4.4

Improve the alignment across secondary, postsecondary, and career and technical education programs, including through transparent and effective transition processes, inclusive pathways, and clear credentialing requirements.

# Goal 4 Discretionary Resources

The following figure and table show budgetary resources and major programs and activities supporting Goal 4.

## Goal 4 Budgetary Resources



## Major Programs and Activities Supporting Goal 4 (in thousands)

| POC   | Objective | Major Programs and Activities  | FY 2021 Appropriation | FY 2022 Appropriation | FY 2023 President's Budget |
|-------|-----------|--|-----------------------|-----------------------|----------------------------|
| FSA   | 4.1, 4.3  | Federal Direct Student Loans Program Account (M)                                       | \$96,431,043          | \$48,440,689          | \$15,313,681               |
| FSA   | 4.1, 4.3  | Federal Family Education Loans Program Account (M)                                     | \$6,402,389           | \$12,357,552          | \$-                        |
| FSA   | 4.1, 4.3  | Student Financial Assistance (D, M)  | \$25,038,749          | \$26,104,773          | \$34,917,335               |
| OCTAE | 4.3, 4.4  | Career, Technical, and Adult Education Institute (D, M)                                | \$1,342,269           | \$1,387,269           | \$1,570,269                |
| OESE  | 4.4       | School Improvement Programs (M)  | N/A                   | \$0                   | \$0                        |
| OPE   | 4.1       | <i>Coronavirus Response and Relief Supplemental Appropriations Act, 2021</i> HEERF (D) | \$81,880,000          | \$-                   | \$-                        |
| OPE   | 4.1       | <i>American Rescue Plan Act of 2021</i> HEERF III (D)                                  | \$39,584,570          | \$-                   | \$-                        |
| OPE   | 4.1, 4.3  | Higher Education (D, M)  | \$3,462,551           | \$3,337,386           | \$4,008,355                |
| OSERS | 4.1       | Gallaudet University (D)   | \$140,361             | \$146,361             | \$143,361                  |
| OSERS | 4.1       | National Technical Institute for the Deaf (D)  | \$81,500              | \$88,500              | \$84,500                   |

**Note:**

(1) Dollar amounts are estimates of program funding aligned to the Strategic Goal (see Appendix B). As programs may support more than one Strategic Goal, amounts included here may be reflected in budget tables for other Strategic Goals. Please see the [Department's Budget Tables](#) for additional information on fiscal year (FY) 2021 Congressional Action, the FY 2022 Congressional Action, and the FY 2023 President's Budget Request. (2) Negative dollar amounts (indicated by values in parentheses) represent a downward re-estimate for the program. (3) Letters following major programs and activities denote discretionary (D) or mandatory (M).

**Acronyms and Definitions:**

POC = Principal Operating Component; FY = Fiscal Year; FSA = Federal Student Aid; OCTAE = Office of Career, Technical, and Adult Education; OESE = Office of Elementary and Secondary Education; N/A= Not Applicable; OPE = Office of Postsecondary Education; HEERF = Higher Education Emergency Relief Fund; and OSERS = Office of Special Education and Rehabilitative Services.

# STRATEGIC OBJECTIVE 4.1

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Support educational institutions and state systems in efforts to raise academic quality, global awareness, and college completion for all students, especially for underserved students such as first-generation students, students from low-income backgrounds, students of color, and students with disabilities.

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## STRATEGIC OBJECTIVE LEADER

Assistant Secretary, Office of Postsecondary Education

## Strategies and Activities

The Department will:

- Support projects that strengthen community colleges, Historically Black Colleges and Universities, Hispanic-serving institutions, Asian American and Native American Pacific Islander-serving institutions, Tribally Controlled Colleges and Universities, and other Minority-Serving Institutions.
- Provide accurate and easy to use data through tools such as the [College Scorecard](#), to help underserved students and families make informed decisions about pursuing postsecondary pathways.
- Use the [Monitoring and Technical Assistance Guide](#) for the Vocational Rehabilitation (VR) Program to conduct monitoring and provide technical assistance to state VR agencies, with a focus on the performance outcomes of individuals served by the VR Program and the Supported Employment Program.



## Performance Indicators

| Performance Indicator   | FY 2022 Target | FY 2023 Target |
|---|----------------|----------------|
| 1. Number of technical assistance activities (e.g., events, trainings, and webinars) or products focused on the use of evidence-based practices to meet the social, emotional, academic, and other learning and developmental needs of students in postsecondary and adult education. | 50             | 75             |
| 2. Percentage of applicants from community colleges, Historically Black Colleges and Universities, Tribally Controlled Colleges and Universities, and Minority-Serving Institutions for higher education grants.  | 48%            | 48%            |
| 3. Number of students with disabilities who receive counseling on enrollment in postsecondary education through the Vocational Rehabilitation Program.  | 86,000         | 87,000         |
| 4. Number of Vocational Rehabilitation Program participants who are enrolled in postsecondary education and training.   | 180,000        | 185,000        |

### Acronyms and Definitions:

FY = Fiscal Year.

# STRATEGIC OBJECTIVE 4.2

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Improve the administration of student aid programs to help eligible students receive aid; support borrowers in successfully repaying their loans, claiming loan forgiveness benefits, and mitigating student loan default; and hold contractors accountable.

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## STRATEGIC OBJECTIVE LEADER

Chief Operating Officer, Federal Student Aid

## Strategies and Activities

The Department will:

- Increase access to federal student aid and improve the customer experience through the services available on the [StudentAid.gov](https://studentaid.gov) website and by simplifying the [Free Application for Federal Student Aid](https://studentaid.gov/apply-for-aid)® (FAFSA®) form. Federal Student Aid (FSA) leads collaboration on the implementation of the *Fostering Undergraduate Talent by Unlocking Resources for Education (FUTURE) Act*, the *FAFSA Simplification Act of 2020*, and the modernization of the FAFSA backend systems.
- Provide enhanced customer support through Business Process Operation vendors, including:
  - More channels for streamlined support (e.g., inbound and outbound phone calls, emails, chat, fax, and mail).
  - Increased bilingual customer service capability in key support areas, including the FAFSA form, aid receipt, and loan management and discharge.
  - Expanded call center days and hours of operation.
- Modernize and improve financial aid products that allow students to understand and access information about college options, associated costs, loan counseling and guidance, support for retention, loan repayment options, and borrower benefits.

- Execute a multichannel communication and engagement plan, which will raise awareness of the resumption of student loan payments and direct all borrowers, particularly those who need assistance, toward available resources.
- Assist borrowers in resuming payments, with a particular focus on those who are at risk of delinquency.
- Implement operational improvements designed to increase participation in Auto-Debit and Income-Driven Repayment programs.
- Assist customers in identifying the appropriate information and financial pathways to meet their educational goals and lessen unaffordable long-term debt associated with financial management decisions. To accomplish this, FSA and the Office of Postsecondary Education will increase collaboration and coordination of Department outreach efforts to further promote information and materials that inform students and parents about federal student loan repayment options, both before and throughout the student aid life cycle.
- Implement data and analytics capabilities to provide meaningful customer insights for improving the quality of service and operational efficiency of entities that directly support federal aid customers (e.g., loan servicers, contractors, and financial institutions).
- Promote institutional awareness of opportunities to support Pell Grant recipients and other underserved groups by collecting and reporting data and best practices on Higher Education Emergency Relief Fund (HEERF) grant aid.
- Use HEERF internal and public reporting on underserved groups to inform decision-making at the Department.
- Use high-quality data for transparency, accountability, and institutional improvement to conduct negotiated rulemaking that supports postsecondary students and loan borrowers.
- Issue new guidance allowing colleges to use emergency funds in more flexible ways, including expanding flexibilities for student and institutional needs; empowering institutions to use their funds to discharge student debts owed to the institution, support student services, and re-engage those students who may have left college due to financial concerns associated with the COVID-19 pandemic; and emphasizing ways to support vulnerable students.
- Work diligently to mitigate risks that posed to students and taxpayers through the management of regulations, including Borrower Defense to Repayment, Closed School Discharge, False Certification Discharge, and *Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act* compliance. FSA will share information publicly about its school oversight activities to increase transparency in its efforts, provide guidance regarding acceptable conduct, and deter misconduct by schools participating in Title IV programs.

## Performance Indicators

| Performance Indicator   | FY 2022 Target | FY 2023 Target |
|---|----------------|----------------|
| 1. Percentage of contractor interactions reviewed that received a passing score.  | Baseline       | ≥95%           |
| 2. Accuracy of contractor tasks.  | Baseline       | ≥95%           |
| 3. Percentage of high school seniors submitting the <i>Free Application for Federal Student Aid</i> ® (FAFSA®) form.      | 60.9%          | 61.1%          |
| 4. Persistence among first-time filing aid recipients.  | 81.1%          | 81.2%          |
| 5. Verification rate of <i>Free Application for Federal Student Aid</i> ® (FAFSA®) filers.                                | 10.6%          | 8.5%           |
| 6. Number of borrowers approved to receive loan forgiveness.  | Baseline       | TBD            |
| 7. Satisfaction survey scores associated with the <i>Free Application for Federal Student Aid</i> ® (FAFSA®) application. | 81             | 82             |
| 8. Number of sessions (as measured by completions) the <a href="#">Loan Simulator</a> tool is used.                       | 2.4 million    | 2.5 million    |
| 9. Number of borrower defense claims resolved.  | Baseline       | TBD            |
| 10. Percentage of income-driven repayment plan enrollees who submit their annual recertification on time.                 | N/A            | Baseline       |
| 11. First-time defaults post-payment pause.   | N/A            | Baseline       |

**Acronyms and Definitions:**

FY = Fiscal Year; TBD = To Be Determined; and N/A = Not Applicable.

# STRATEGIC OBJECTIVE 4.3

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Increase equitable access to secondary and postsecondary programs that have clear on-ramps to both high-quality jobs and additional high-quality postsecondary educational opportunities.

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## STRATEGIC OBJECTIVE LEADER

Assistant Secretary, Office of Career, Technical, and Adult Education

### Strategies and Activities

The Department will:

- Work to expand equitable access to evidence-based policies and programs that support a successful transition from high school to postsecondary education and careers, including:
  - Dual or concurrent enrollment programs and access to accelerated coursework, such as Advanced Placement and International Baccalaureate courses to earn postsecondary credit while still in high school.
  - High-quality science, technology, engineering, and mathematics (STEM) instruction, including computer science.
  - Development of job skills through high-quality career, technical, and adult education programs. These options are critical for students as they prepare for the transition to postsecondary institutions and careers and the quickly changing demands of the technology-driven global economy.
- Share promising practices used by states to encourage local recipients of Perkins funds to prioritize job quality in their comprehensive local needs assessments.
- Hold a convening in June 2022 by the Integrated Education and Training in Corrections Project, which will include a component focused on supporting increased stackability and transferability of postsecondary programs specifically geared toward incarcerated learners.

- Submit presentation proposals for the American Association of Community Colleges’ Spring annual conference to conduct sessions on Stackable Credentials and the Ability to Benefit.
- Support the execution of intensive technical assistance agreements developed by technical assistance centers with state Vocational Rehabilitation agencies to improve program performance.
- Release a [practice guide](#) via the Institute of Education Sciences’(IES’) [What Works Clearinghouse](#) (i.e., the clearinghouse) supporting postsecondary institutions’ adoption of evidence-based practices in holistic advising in an effort to improve rates of college completion.
- Release at least two [intervention reports](#) via IES’ clearinghouse to review the extent of evidence that supports the adoption of common approaches to improving postsecondary success, including but not limited to interventions that seek to promote a growth mindset and improve students’ perceptions of belonging.

### Performance Indicators

| Performance Indicator   | FY 2022 Target | FY 2023 Target |
|---|----------------|----------------|
| 1. Number of states that include job quality measurements in their engagement with localities regarding the creation of comprehensive local needs assessments.  | 20             | 25             |
| 2. Number of technical assistance activities (e.g., events, trainings, convenings, webinars, communications, and products) focused on supporting increased stackability and transferability of postsecondary programs.  | 3              | 3              |
| 3. Number of technical assistance activities (e.g., events, trainings, convenings, webinars, communications, and products) focused on the use of promising or evidence-based practices to connect students in postsecondary and adult education to basic needs support. | 50             | 65             |

**Acronyms and Definitions:**

FY = Fiscal Year.

# STRATEGIC OBJECTIVE 4.4

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Improve the alignment across secondary, postsecondary, and career and technical education programs, including through transparent and effective transition processes, inclusive pathways, and clear credentialing requirements.

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## STRATEGIC OBJECTIVE LEADER

Assistant Secretary, Office of Career, Technical, and Adult Education

## Strategies and Activities

The Department will:

- Provide technical assistance to promote the development and use of stackable credentials by community and technical colleges to improve the attainment of career and technical education (CTE) credentials by their students. By awarding credit for a range of education, training, workplace learning, and skill-building experiences that “stack” toward associate degrees, stackable credential programs are meant to help working students develop the skills they need to simultaneously advance on the job and earn credentials that enable further study. Such programs are designed to accelerate credit attainment and may increase the likelihood of degree completion.
- Provide technical assistance to increase the usage of equity-focused strategies in dual enrollment access.
- Scale technical assistance to states to implement Integrated Education and Training in adult education and correctional education settings.
- Support the development and implementation of student success programs that include multiple interventions such as academic advising, the provision of financial resources, structured pathways, and other student supports to increase credential attainment.
- Support grant recipients of the Pathways to Science, Technology, Engineering, and Mathematics (STEM) Apprenticeship for High School CTE Students

Demonstration Grant Program, which expands pathways and improves the transition of high school CTE students to postsecondary education and employment through apprenticeships in STEM fields, including computer science, that begin during high school.

- Support the grant recipients of the Perkins Innovation and Modernization Program to identify, support, and evaluate evidence-based and innovative strategies and activities to improve and modernize CTE and ensure that workforce skills taught in CTE programs funded under the Perkins statute align with labor market needs.
- Launch the CTE STEM Index Project to support the development of CTE programs by providing a tool to better estimate the demand for STEM jobs and the skills that can be gained in CTE to enter STEM career pathways.

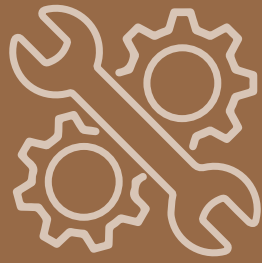
### Performance Indicators

| Performance Indicator   | FY 2022 Target | FY 2023 Target |
|---|----------------|----------------|
| 1. Percentage of Upward Bound and Talent Search high school degree completers who are reported in the Annual Performance Report to have completed a rigorous program of study.  | 79%            | 79%            |
| 2. Number of technical assistance activities (e.g., events, convenings, trainings, webinars, communications, and products) focused on implementing and improving integrated education and training programs, including in correctional and reentry education.   | 41             | 55             |
| 3. Number of technical assistance activities (e.g., events, convenings, trainings, webinars, communications, and products) focused on implementing and improving career pathways and expanding high-quality work-based learning opportunities.  | 62             | 60             |
| 4. Number of technical assistance activities that encourage equity-focused strategies around dual enrollment.   | 3              | 6              |
| 5. Percentage of economically disadvantaged high school graduate career and technical education (CTE) concentrators that attain postsecondary credits in the relevant CTE program or program of study through a dual or concurrent enrollment or another credit transfer agreement in the 12 states that report for the <i>Carl D. Perkins Career and Technical Education Act</i> . | Baseline       | TBD            |

**Acronyms and Definitions:**

FY = Fiscal Year and TBD = To Be Determined.





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# STRATEGIC GOAL

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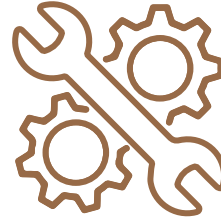
Enhance the Department's internal capacity to optimize the delivery of its mission.

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# 5



# 5



## STRATEGIC GOAL

Enhance the Department’s internal capacity to optimize the delivery of its mission.

### STRATEGIC GOAL LEADER

Assistant Secretary, Office of Finance and Operations

## GOAL OBJECTIVES

### 5.1

Manage information technology as a strategic resource and driver to promote the advancement of the missions executed by the Department’s 21st-century workforce.

### 5.2

Strengthen agency-wide data governance and build capacity to improve data access, data management, and enterprise data analytics in support of agency goals.

### 5.3

Recruit, retain, and develop the workforce needed to meet the Department’s mission now and into the future.

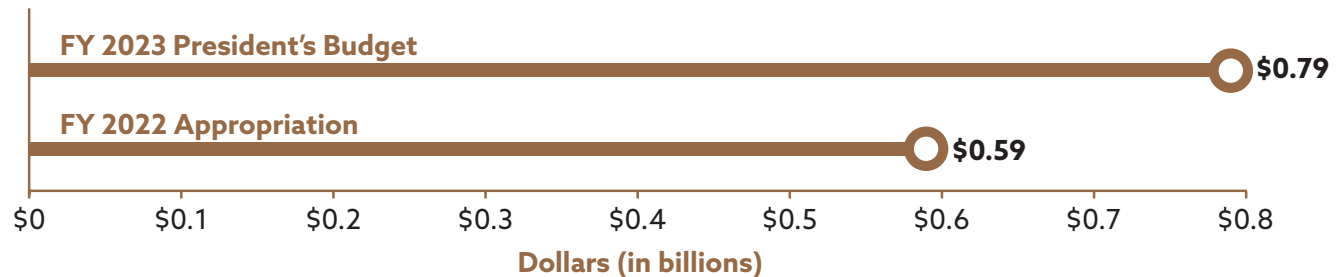
### 5.4

Deliver mission outcomes and value for taxpayers through efficient acquisition management and proactive industry partnerships while promoting small businesses.

## GOAL 5 Discretionary Resources

The following figure and table show budgetary resources and major programs and activities supporting Goal 5.

### Goal 5 Budgetary Resources



### Major Programs and Activities Supporting Goal 5 (in thousands)

| POC | Objective | Major Programs and Activities                          | FY 2021 Appropriation | FY 2022 Appropriation | FY 2023 President's Budget |
|-----|-----------|--|-----------------------|-----------------------|----------------------------|
| All | 5.3       | Departmental Management/Student Aid Administration (D) | \$430,000             | \$394,907             | \$548,000                  |
| OCR | 5.3       | Office for Civil Rights (D)                            | \$131,000             | \$135,500             | \$161,300                  |
| OIG | 5.3       | Office of Inspector General (D)                        | \$63,000              | \$64,000              | \$76,452                   |

**Note:**

(1) Dollar amounts are estimates of program funding aligned to the Strategic Goal (see Appendix B). As programs may support more than one Strategic Goal, amounts included here may be reflected in budget tables for other Strategic Goals. Please see the [Department's Budget Tables](#) for additional information on fiscal year (FY) 2021 Congressional Action, the FY 2022 Congressional Action, and the FY 2023 President's Budget Request. (2) Letters following major programs and activities denote discretionary (D) or mandatory (M).

**Acronyms and Definitions:**

POC = Principal Operating Component; FY = Fiscal Year; OCR = Office for Civil Rights; and OIG = Office of Inspector General.

# STRATEGIC OBJECTIVE 5.1



Manage information technology as a strategic resource and driver to promote the advancement of the missions executed by the Department's 21st-century workforce.

## STRATEGIC OBJECTIVE LEADER

Chief Information Officer, Office of the Chief Information Officer

### Strategies and Activities

The Department will:

- Prioritize the Department's information technology and cybersecurity programs and practices.
- Educate, support, and incentivize institutions of higher education (IHEs) to mature their cybersecurity postures. Specifically:
  - Continue to refine processes and actively engage IHEs to ensure compliance with the *Gramm-Leach-Bliley Act (GLBA)*.
  - Proactively put in place compliance programs to reduce the number of noncompliant GLBA audits over time.
  - Continue engagements with nongovernmental organizations to inform the development of best-practice programmatic improvements and communicate the Department's strategic cybersecurity objectives.
  - Continue to address the requirements to:
    - Educate, support, and incentivize IHEs to mature their cybersecurity postures to protect the Department, Federal Student Aid (FSA), and student data more effectively.
    - Identify and implement cybersecurity requirements and best practices to protect controlled unclassified information that is transmitted, processed, stored, and destroyed by Title IV eligible IHEs.
    - Enhance FSA's existing IHE Title IV data breach notification, threat intelligence, incident response, and remediation processes.

## Performance Indicators

| Performance Indicator   | FY 2022 Target | FY 2023 Target |
|---|----------------|----------------|
| 1. Percentage of modernizing investments reviewed through the information technology governance review process. | 50%            | 60%            |
| 2. The Department's Office of the Chief Information Officer composite information technology security score.    | 80%            | 80%            |
| 3. Percentage increase on the information technology customer feedback scorecard.                               | Baseline       | TBD            |

**Acronyms and Definitions:**

FY = Fiscal Year and TBD = To Be Determined.

# STRATEGIC OBJECTIVE 5.2

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Strengthen agency-wide data governance and build capacity to improve data access, data management, and enterprise data analytics in support of agency goals.

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## STRATEGIC OBJECTIVE LEADER

Chief Data Officer, Office of Planning, Evaluation, and Policy Development

## Strategies and Activities

The Department will:

- Continue to implement the requirements of the *Evidence Act* as outlined in Office of Management and Budget’s Memorandums [M-19-23](#) and [M-20-12](#) as well as additional implementation memorandums and the annually published [Federal Data Strategy](#) Action Plans.
- Continue to convene the Data Governance Board (DGB) to discuss and evaluate high-priority data needs, as detailed in the Department’s inaugural Data Strategy. Offices in the Department will implement goals and objectives under the Data Strategy, such as how best to address data needs in the Department’s Fiscal Year (FY) 2022–FY 2026 Learning Agenda and implement a data investment management process.
- Continue to implement new data governance structure and policies and, throughout FY 2023, improve that structure for agency data governance, developing policies, procedures, and constructs in support of transparent decision-making. These efforts will be led by the Department’s Chief Data Officer in consultation with the Department’s Performance Improvement Officer, Statistical Official, Evaluation Officer, Chief Information Officer, Chief Privacy Officer, and other perspectives also represented on the Department’s DGB.
- Support the data governance program to evolve structures, policies, and procedures and better connect data governance with broader organizational

governance in support of collaborative decision-making that will enable execution across the interconnected governance bodies. As part of these activities, the agency will expand its Data Professionals Community of Practice to facilitate information sharing and capacity building of Department data professionals and support the Data Coordinator Council, with representation from each principal office, to support the DGB in establishing common data management processes and developing collaborative solutions to shared data challenges in principal operation components and to support the annual Data Maturity Assessment.

- Continue utilizing annual data maturity assessments to identify specific data management functions in need of additional support and implement action plans both within offices and across the agency.
- Implement the new process for data-related projects and infrastructure that remediates the burden on principal offices while better aligning expectations for data investments with the goals of Department leadership, the DGB, and needs of the National Center for Education Statistics as the federal principal statistical agency responsible for producing education statistics.
- Continue to implement a cohesive data quality approach for the agency, leveraging best practices, technical assistance, and controls.
- Pilot the first iteration of the Data Quality Playbook with Department data stewards and their grantees and update based on feedback. Continue to make annual updates to the playbook as appropriate and develop and implement a communications plan and technical assistance to support the use of the playbook.
- Continue to implement the new data workforce plan that addresses the workforce gap analysis, building data expertise in principal offices and supported by the Department-wide data literacy program. Promote staff development along career paths to build data management and analytics capacities and skill development.
- Expand the comprehensive data inventory into an enterprise data catalog via the Department's Open Data Platform and codified within its Open Data Plan to enable not just identifying available data assets but understanding how they are encoded and structured and how they can be combined with other data assets for richer analysis.
- Develop a standard set of categories for educational data to facilitate grouping related data assets for analysis regardless of the organization or program that collected or produced it.
- Begin operation of an agency data analytics platform to provide a central access point to raw and curated system data while maintaining appropriate access

controls, identify common data elements across systems, and link data using key entity identifiers put in place across the enterprise.

- Remain committed to protecting student privacy. The Department continues to improve student privacy protections and ensure the inclusion of transparency best practices through administering the *Family Educational Rights and Privacy Act* (FERPA); develop and disseminate privacy and security training; and make technical assistance available to states, districts, and institutions of higher education (IHEs).
- Support the January 2021 [\*Memorandum on Restoring Trust in Government Through Scientific Integrity and Evidence-Based Policymaking\*](#), directing agencies to make evidence-based decisions guided by the best available science and data. To meet this mandate, the Department must continue to develop and implement methods to analyze, interpret, and disseminate education data and support education stakeholders in doing the same. The Department will continue to focus 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 its stakeholders.
- Publish the *Notice of Proposed Rulemaking for FERPA and Protection of Pupil Rights Amendment* (PPRA), with updates and clarifications of policy and technical issues. The proposed regulations are also needed to implement statutory amendments to FERPA contained in the [\*Uninterrupted Scholars Act of 2013\*](#) and the [\*Healthy, Hunger-Free Kids Act of 2010\*](#) to reflect changes related to the enforcement responsibilities of the office concerning FERPA/PPRA and to make a change in the name of the office designated to administer both FERPA and PPRA.
- Enhance and expand the existing transparency portal with data from the [\*Education Stabilization Fund\*](#) grant recipients to further improve program implementation, inform policy decisions, and provide public accountability. The fund was initially established through the *Coronavirus Aid, Relief, and Economic Security Act*, with subsequent investments through the *Coronavirus Response and Relief Supplemental Appropriations Act, 2021* and the *American Rescue Plan of 2021*.



## Performance Indicators

| Performance Indicator  | FY 2022 Target | FY 2023 Target   |
|--|----------------|------------------|
| 1. Percentage of Data Strategy objectives that meet published progress timelines.  | 50%            | 75%              |
| 2. Percentage of principal offices assessed as having higher data maturity scores year over year based on the Department's data maturity assessment tool.            | 15%            | 10%              |
| 3. Percentage of principal offices assessed as having higher average staff data skills scores year over year based on the Department's Data and Evidence Use Survey. | 10%            | 10%              |
| 4. Number of Department data systems connected and accessible through the enterprise data analytics platform.  | Baseline       | Prior year + 20% |
| 5. Number of data assets in the comprehensive data inventory.  | 645            | 745              |

### Acronyms and Definitions:

FY = Fiscal Year.

# STRATEGIC OBJECTIVE 5.3

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Recruit, retain, and develop the workforce needed to meet the Department's mission now and into the future.

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## STRATEGIC OBJECTIVE LEADER

Chief Human Capital Officer, Office of Finance and Operations

## Strategies and Activities

The Department will:

- Continue implementing Department-wide and principal operating component (POC)-level workforce action plans to address short- and long-term workforce needs. Specifically:
  - Expand the Department's Workforce Dashboard to facilitate a better understanding of workforce composition and assist leaders with developing a more strategic, data-driven approach to workforce planning.
  - Improve the utilization and assessment of diversity and inclusion data.
  - Develop and implement succession plans for key/critical career positions to identify and develop a talent pool to ensure organizational continuity and mission-driven accomplishments.
  - Continue developing annual hiring plans to identify staffing needs early in the fiscal year and implementing effective recruitment strategies to support targeted recruitment to a diverse and engaging talent pool.
  - Standardize and automate elements of the recruitment process to decrease workload and reduce hiring timelines.
- Continue implementing the Department-wide National Engagement Strategy (NES) and POC-level employee engagement action plans to improve the Department's employee engagement index score in the Federal Employee Viewpoint Survey (FEVS). Specifically:
  - Issue a pulse survey focusing on NES key focus areas.
  - Assess FEVS results and issue individual POC reports.

- Assess the Department’s NES based on FEVS and pulse survey results and update the strategy as appropriate.
- Sustain the use of engagement action plans and ensure that all participants provide quarterly updates on progress made toward achieving improvement goals.
- Publish scalable best practices after analyzing the results of employee engagement action plans established by POCs.
- Complete and implement competency models to close employees’ job competency gaps across the Department. Specifically:
  - Draft, validate, and implement competency models, including career maps and training plans, for four additional job categories.
  - Conduct a competency assessment to measure and assess gap closures.
  - Prioritize learning and developmental opportunities and share best practices for closing competency gaps.

### Performance Indicators

| Performance Indicator   | FY 2022 Target | FY 2023 Target |
|---|----------------|----------------|
| 1. The Department’s Workforce Planning Maturity Level.  | Level 2        | Level 3        |
| 2. Time to hire.  | 85 days        | 80 days        |
| 3. Department Federal Employee Viewpoint Survey (FEVS) employee engagement index score.       | 67%            | 69%            |
| 4. Percentage of Department employees who achieve required competency proficiency levels.     | Baseline       | TBD            |
| 5. Government-wide score on the Customer Satisfaction Survey: Overall Human Capital Function. | 3.9            | 4.3            |

**Acronyms and Definitions:**

FY = Fiscal Year.

# STRATEGIC OBJECTIVE 5.4

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Deliver mission outcomes and value for taxpayers through efficient acquisition management and proactive industry partnerships while promoting small businesses.

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## STRATEGIC OBJECTIVE LEADER

Deputy Chief Acquisition Officer, Office of Finance and Operations

### Strategies and Activities

The Department will:

- Formalize procedures for acquisition council operations and identify support needs and capacity challenges for effective governance.
- Begin implementation of a new contract for the Department's acquisition management system.
- Implement innovative acquisition practices from the Periodic Table of Acquisition Innovations to reduce lead times and increase program outcomes.
- Pilot robotics process automation and process improvements in targeted areas to reduce manual processes and achieve contracting efficiencies.
- Establish buy-in for and acquisition plans that align with long-term small business contracting growth strategies.
- Facilitate implementation of long-term small business contracting growth strategies that include increased contract opportunities for small, disadvantaged businesses.
- Strengthen vendor competition by partnering across Department offices to increase contracts with no required place of performance.
- Lead development of an engagement plan for the Department's acquisition workforce that includes strengthening training through the annual Acquisition Workforce Conference.

## Performance Indicators

| Performance Indicator  | FY 2022 Target | FY 2023 Target |
|--|----------------|----------------|
| 1. Percentage of prime small business contract obligations.                    | 14%            | 16%            |
| 2. Percentage of contract obligations categorized as “Spend Under Management.” | 68%            | 72%            |
| 3. Number of days of procurement administrative lead time of contract awards.  | Baseline       | TBD            |
| 4. Employee engagement index for the Department’s acquisition workforce.       | 60%            | 63%            |

**Acronyms and Definitions:**

FY = Fiscal Year and TBD = To Be Determined.

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# FY 2023 ANNUAL PERFORMANCE PLAN APPENDICES



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# APPENDIX A

## COVID-19 Pandemic Relief Funding Performance Indicators

Appendix A provides COVID-19 pandemic relief funding performance indicators. The Office of Management and Budget’s memo [M-20-21](#) requires that the Department incorporate performance reporting on COVID-19 pandemic relief funding, to include the *American Rescue Plan Act of 2021* Elementary and Secondary School Emergency Relief Fund and Higher Education Emergency Relief Fund, into the established mission performance plans and reports.

### Performance Indicators

| Performance Indicator  | FY 2022 Target | FY 2023 Target |
|--|----------------|----------------|
| 1. Amount of federal COVID-19 pandemic recovery relief funds that state and local educational agencies spend on implementing evidence-based interventions to address the impact of lost instructional time, including the disproportionate impact of the pandemic on certain student groups. | TBD            | TBD            |
| 2. Number of states reporting the use of Department funds for full-service community schools.  | TBD            | TBD            |
| 3. Number of additional teachers and other school personnel (including school counselors and school nurses) hired with the Elementary and Secondary School Emergency Relief Fund funding.  | TBD            | TBD            |
| 4. Percentage of institutions of higher education that are on enhanced monitoring under high-risk status and monitored for appropriate use of COVID-19 pandemic relief funding.  | 10%            | 10%            |
| 5. Number of technical assistance activities provided to institutions of higher education focused on ensuring proper use and reporting of Higher Education Emergency Relief Fund funding.  | 7              | 9              |
| 6. Percentage of institutions of higher education that report on their annual report that Higher Education Emergency Relief Fund funding enabled them to keep students enrolled who were at risk of dropping out due to pandemic-related factors.  | 75%            | TBD            |

**Acronyms and Definitions:**

FY = Fiscal Year and TBD = To Be Determined.

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# APPENDIX B

## Programs by Goal

Appendix B includes the other discretionary programs and activities and mandatory programs by Strategic Goal.

### Strategic Goal 1: Promote equity in student access to educational resources, opportunities, and inclusive environments.

#### Goal 1 Other Discretionary Programs and Activities

| POC   | Education/<br>Funding<br>Area | Objective             | Program   |
|-------|-------------------------------|-----------------------|---|
| IES   | IES                           | 1.1                   | National Assessment   |
| IES   | IES                           | 1.1                   | National Assessment Governing Board   |
| IES   | IES                           | 1.1, 1.2,<br>1.3, 1.4 | Regional Educational Laboratories   |
| IES   | IES                           | 1.1, 1.2,<br>1.3, 1.4 | Research, Development, and Dissemination  |
| IES   | IES                           | 1.3                   | Special Education Studies and Evaluations   |
| IES   | IES                           | 1.3                   | Research in Special Education   |
| IES   | IES                           | 1.1                   | Statewide Longitudinal Data Systems   |
| IES   | IES                           | All                   | Statistics  |
| OCR   | OCR                           | 1.3                   | Office of Civil Rights  |
| OCTAE | CTAE                          | 1.4                   | Adult Basic and Literacy Education State Grants   |
| OCTAE | CTAE                          | 1.4                   | Adult Education National Leadership Activities  |
| OCTAE | CTAE                          | 1.4                   | Career and Technical Education State Grants   |
| OCTAE | CTAE                          | 1.4                   | Career and Technical National Programs  |
| OCTAE | HE                            | 1.4                   | Tribally Controlled Postsecondary Career and Technical Institutions                     |
| OESE  | ED                            | 1.1                   | Title I Grants to Local Educational Agencies  |
| OESE  | ED                            | 1.1                   | Comprehensive Literacy Development Grants   |
| OESE  | ED                            | 1.1                   | State Agency Programs: Migrant  |
| OESE  | ED                            | 1.1                   | State Agency Programs: Neglected and Delinquent   |
| OESE  | ED                            | 1.4                   | Special Programs for Migrant Students   |
| OESE  | ESSER                         | All                   | <i>Coronavirus Response and Relief Supplemental Appropriations Act, 2021</i> ESSER Fund |
| OESE  | ESSER                         | All                   | <i>American Rescue Plan Act of 2021</i> ESSER Fund                                      |



| POC  | Education/<br>Funding<br>Area | Objective             | Program  |
|------|-------------------------------|-----------------------|--|
| OESE | I&I                           | 1.1, 1.2              | Fostering Diverse Schools (Proposed Legislation)   |
| OESE | I&I                           | 1.2                   | Charter Schools Grants   |
| OESE | I&I                           | 1.2                   | Education Innovation and Research  |
| OESE | I&I                           | 1.1, 1.2,<br>1.3,     | Magnet Schools Assistance  |
| OESE | I&I                           | 1.1                   | Innovative Approaches to Literacy  |
| OESE | I&I                           | 1.1                   | Ready to Learn Programming   |
| OESE | I&I                           | 1.1                   | Arts in Education  |
| OESE | I&I                           | 1.1                   | Javits Gifted and Talented Education   |
| OESE | I&I                           | 1.1                   | Statewide Family Engagement Centers  |
| OESE | IA                            | 1.1, 1.2,<br>1.3, 1.4 | Impact Aid, Payments for Federally Connected Children: Basic Support Payments                  |
| OESE | IA                            | 1.1, 1.2,<br>1.3, 1.4 | Impact Aid, Payments for Federally Connected Children: Payments for Children with Disabilities |
| OESE | IA                            | 1.1, 1.2,<br>1.3, 1.4 | Impact Aid, Facilities Maintenance   |
| OESE | IA                            | 1.1, 1.2,<br>1.3, 1.4 | Impact Aid, Construction   |
| OESE | IA                            | 1.1, 1.2,<br>1.3, 1.4 | Impact Aid, Payments for Federal Property  |
| OESE | IE                            | 1.1, 2.2              | Indian Education: Special Programs for Indian Children   |
| OESE | IE                            | 1.1                   | Indian Education: Grants to Local Educational Agencies   |
| OESE | IE                            | 1.1                   | Indian Education: National Activities  |
| OESE | SIP                           | 1.2                   | State Assessments  |
| OESE | SIP                           | 1.3                   | Training and Advisory Services   |
| OESE | SIP                           | 1.1                   | Rural Education  |
| OESE | SIP                           | 1.1, 1.2,<br>1.3, 1.4 | Supplemental Education Grants  |
| OESE | SIP                           | 1.2                   | Comprehensive Centers  |
| OESE | SIP                           | 1.2                   | 21st Century Community Learning Centers  |
| OESE | SIP                           | 1.1                   | Education for Homeless Children and Youth Education  |
| OESE | SIP                           | 1.1                   | Native Hawaiian Education  |
| OESE | SIP                           | 1.1                   | Alaska Native Education  |
| OESE | SIP                           | 1.2                   | Student Support and Academic Enrichment Grants   |



| POC   | Education/<br>Funding<br>Area | Objective | Program   |
|-------|-------------------------------|-----------|---|
| OESE  | SSCE                          | 1.1       | Full-Service Community Schools                                |
| OESE  | SSCE                          | 1.1       | Promise Neighborhoods   |
| OSERS | APHB                          | 1.2       | American Printing House for the Blind                         |
| OSERS | REHAB                         | 1.3, 1.4  | Client Assistance State Grants                                |
| OSERS | REHAB                         | 1.4       | Demonstration and Training Programs                           |
| OSERS | REHAB                         | 1.3       | Protection and Advocacy of Individual Rights                  |
| OSERS | REHAB                         | 1.4       | Supported Employment State Grants                             |
| OSERS | REHAB                         | 1.4       | Helen Keller National Center for Deaf-Blind Youths and Adults |
| OSERS | SE                            | 1.2, 1.3  | Special Education Grants to States                            |
| OSERS | SE                            | 1.1, 1.3  | Preschool Grants  |
| OSERS | SE                            | 1.1, 1.3  | Grants for Infants and Families                               |
| OSERS | SE                            | 1.1, 1.3  | Technical Assistance and Dissemination                        |
| OSERS | SE                            | 1.2       | Parent Information Centers                                    |
| OSERS | SE                            | 1.1       | Education Technology, Media, and Materials                    |

**Acronyms and Definitions:**

POC = Principal Operating Component; IES = Institute of Education Sciences; OCR = Office for Civil Rights; OCTAE = Office of Career, Technical, and Adult Education; CTAE = Career, Technical, and Adult Education; HE = Higher Education; OESE = Office of Elementary and Secondary Education; ED = Education for the Disadvantaged; ESSER = Elementary and Secondary School Emergency Relief; I&I = Innovation and Improvement; IA = Impact Aid; IE = Indian Education; SIP = Strengthening Institutions Program; SSCE = Safe Schools and Citizenship Education; OSERS = Office of Special Education and Rehabilitative Services; APHB = American Printing House for the Blind; REHAB = Rehabilitation Services and Disability Research; and SE = Special Education.

**Goal 1 Mandatory Programs**

| POC   | Education/<br>Funding<br>Area | Objective | Program  |
|-------|-------------------------------|-----------|--|
| OCTAE | CTAE                          | 1.4       | Expanded Career Pathways for Middle and High School Students |
| OCTAE | CTAE                          | 1.4       | Adult Education State Grants                                 |
| OSERS | REHAB                         | 1.4       | Vocational Rehabilitation, State Grants                      |
| OSERS | REHAB                         | 1.4       | Vocational Rehabilitation, Grants to Indians                 |

**Acronyms and Definitions:**

POC = Principal Operating Component; OCTAE = Office of Career, Technical, and Adult Education; CTAE = Career, Technical, and Adult Education; OSERS = Office of Special Education and Rehabilitative Services; and REHAB = Rehabilitation Services and Disability Research.



## Strategic Goal 2: Support a diverse and talented educator workforce and professional growth to strengthen student learning.

### Goal 2 Other Discretionary Programs and Activities

| POC   | Education/<br>Funding<br>Area | Objective     | Program  |
|-------|-------------------------------|---------------|--|
| IES   | IES                           | 2.1, 2.2, 2.3 | Regional Educational Laboratories  |
| IES   | IES                           | 2.3           | Special Education Studies and Evaluations  |
| IES   | IES                           | 2.3           | Research in Special Education  |
| OESE  | ESSER                         | 2.1, 2.2, 2.3 | <i>Coronavirus Response and Relief Supplemental Appropriations Act, 2021</i> ESSER Fund        |
| OESE  | ESSER                         | 2.1, 2.2, 2.3 | <i>American Rescue Plan Act of 2021</i> ESSER Fund   |
| OESE  | I&I                           | 2.1, 2.2      | Teacher and School Leader Incentive Grants   |
| OESE  | I&I                           | 2.1, 2.2      | School Leader Recruitment and Support  |
| OESE  | I&I                           | 2.1, 2.2, 2.3 | Supporting Effective Educator Development  |
| OESE  | IA                            | 2.1, 2.2, 2.3 | Impact Aid, Payments for Federally Connected Children: Basic Support Payments                  |
| OESE  | IA                            | 2.1, 2.2, 2.3 | Impact Aid, Payments for Federally Connected Children: Payments for Children with Disabilities |
| OESE  | IA                            | 2.1, 2.2, 2.3 | Impact Aid, Facilities Maintenance   |
| OESE  | IA                            | 2.1, 2.2, 2.3 | Impact Aid, Construction   |
| OESE  | IA                            | 2.1, 2.2, 2.3 | Impact Aid, Payments for Federal Property  |
| OESE  | IE                            | 2.2           | Indian Education: Special Programs for Indian Children   |
| OESE  | SIP                           | 2.1, 2.2, 2.3 | Supporting Effective Instruction State Grants  |
| OESE  | SIP                           | 2.3           | School-Based Health Professionals (Proposed Legislation)                                       |
| OESE  | SIP                           | 2.1, 2.2, 2.3 | Supplemental Education Grants  |
| OPE   | HE                            | 2.1, 2.2      | Teacher Quality Partnership  |
| OSERS | REHAB                         | 2.2, 2.3      | Vocational Rehabilitation Training   |
| OSERS | SE                            | 2.2, 2.3      | Personnel Preparation  |
| OSERS | SE                            | 2.2, 3.2      | Special Education Grants to States   |
| OSERS | SE                            | 2.2, 2.3      | State Personnel Development  |

#### Acronyms and Definitions:

POC = Principal Operating Component; IES = Institute of Education Sciences; OESE = Office of Elementary and Secondary Education; ESSER = Elementary and Secondary School Emergency Relief; I&I = Innovation and Improvement; IA = Impact Aid; IE = Indian Education; SIP = Strengthening Institutions Program; OPE = Office of Postsecondary Education; HE = Higher Education; OSERS = Office of Special Education and Rehabilitative Services; REHAB = Rehabilitation Services and Disability Research; and SE = Special Education.



## Goal 2 Mandatory Programs

| POC   | Education/<br>Funding<br>Area | Objective     | Program   |
|-------|-------------------------------|---------------|---|
| OESE  | I&I                           | 2.1, 2.2      | Teacher and School Leader Incentive Grants  |
| OESE  | I&I                           | 2.1, 2.2      | School Leader Recruitment and Support   |
| OESE  | I&I                           | 2.1, 2.2, 2.3 | Supporting Effective Educator Development   |
| OESE  | I&I                           | 2.2           | Expanding Opportunities for Teacher Leadership and Development (Proposed Legislation) |
| OESE  | I&I                           | 2.3           | Supporting In-demand Credentials for Teachers (Proposed Legislation)                  |
| OPE   | HE                            | 2.1, 2.2      | Teacher Quality Partnerships  |
| OPE   | HE                            | 2.1           | Hawkins Centers of Excellence   |
| OSERS | SE                            | 2.2           | Personnel Preparation   |

### Acronyms and Definitions:

POC = Principal Operating Component; OESE = Office of Elementary and Secondary Education; I&I = Innovation and Improvement; OPE = Office of Postsecondary Education; HE = Higher Education; OSERS = Office of Special Education and Rehabilitative Services; and SE = Special Education.



## Strategic Goal 3: Meet students' social, emotional, and academic needs.

### Goal 3 Other Discretionary Programs and Activities

| POC  | Education/<br>Funding<br>Area | Objective     | Program  |
|------|-------------------------------|---------------|--|
| IES  | IES                           | 3.1, 3.2, 3.3 | Research, Development, and Dissemination   |
| IES  | IES                           | 3.1, 3.2, 3.3 | Statistics   |
| IES  | IES                           | 3.1, 3.2, 3.3 | National Assessment  |
| IES  | IES                           | 3.1, 3.2, 3.3 | National Assessment Governing Board  |
| IES  | IES                           | 3.2           | Research in Special Education  |
| IES  | IES                           | 3.1, 3.2, 3.3 | Statewide Longitudinal Data Systems  |
| IES  | IES                           | 3.2           | Special Education Studies and Evaluations  |
| IES  | IES                           | 3.1, 3.2, 3.3 | Regional Educational Laboratories  |
| OESE | ED                            | 3.2           | Comprehensive Literacy Development Grants  |
| OESE | ED                            | 3.2           | State Agency Programs: Migrant   |
| OESE | ED                            | 3.2           | State Agency Programs: Neglected and Delinquent  |
| OESE | ESSER                         | All           | <i>Coronavirus Response and Relief Supplemental Appropriations Act, 2021</i> ESSER Fund        |
| OESE | ESSER                         | All           | <i>American Rescue Plan Act of 2021</i> ESSER Fund   |
| OESE | I&I                           | 3.2           | American History and Civics Education  |
| OESE | I&I                           | 3.2           | Magnet Schools Assistance  |
| OESE | I&I                           | 3.2           | Innovative Approaches to Literacy  |
| OESE | I&I                           | 3.2           | Ready to Learn Programming   |
| OESE | I&I                           | 3.2           | Arts in Education  |
| OESE | I&I                           | 3.2           | Javits Gifted and Talented Education   |
| OESE | I&I                           | 3.2           | Statewide Family Engagement Centers  |
| OESE | IA                            | 3.1, 3.2, 3.3 | Impact Aid, Payments for Federally Connected Children: Basic Support Payments                  |
| OESE | IA                            | 3.1, 3.2, 3.3 | Impact Aid, Payments for Federally Connected Children: Payments for Children with Disabilities |
| OESE | IA                            | 3.1, 3.2, 3.3 | Impact Aid, Facilities Maintenance   |
| OESE | IA                            | 3.1, 3.2, 3.3 | Impact Aid, Construction   |
| OESE | IA                            | 3.1, 3.2, 3.3 | Impact Aid, Payments for Federal Property  |
| OESE | IE                            | 3.2, 3.3      | Indian Education: Special Programs for Indian Children   |
| OESE | IE                            | 3.2, 3.3      | Indian Education: Grants to Local Educational Agencies   |
| OESE | IE                            | 3.2, 3.3      | Indian Education: National Activities  |





| POC           | Education/<br>Funding<br>Area | Objective     | Program   |
|---------------|-------------------------------|---------------|---|
| OESE          | SIP                           | 3.2           | Education for Homeless Children and Youth Education           |
| OESE          | SIP                           | 3.2, 3.3      | Native Hawaiian Education                                     |
| OESE          | SIP                           | 3.2, 3.3      | Alaska Native Education                                       |
| OESE          | SIP                           | 3.1           | School-Based Health Professionals (Proposed Legislation)      |
| OESE          | SIP                           | 3.1, 3.2, 3.3 | Supplemental Education Grants                                 |
| OESE          | SSCE                          | 3.1, 3.2      | Full-Service Community Schools                                |
| OESE          | SSCE                          | 3.2           | Promise Neighborhoods   |
| OESE          | SSCE                          | 3.1           | School Safety National Activities                             |
| OESE/<br>OLEA | ELA                           | 3.2, 3.3      | English Language Acquisition                                  |
| OSERS         | APBH                          | 3.2           | American Printing House for the Blind                         |
| OSERS         | REHAB                         | 3.2           | Helen Keller National Center for Deaf-Blind Youths and Adults |
| OSERS         | SE                            | 3.2           | Special Olympics Education Programs                           |
| OSERS         | SE                            | 3.2           | Special Education Grants to States                            |
| OSERS         | SE                            | 3.2           | Preschool Grants  |
| OSERS         | SE                            | 3.2           | Grants for Infants and Families                               |
| OSERS         | SE                            | 3.2           | Technical Assistance and Dissemination                        |
| OSERS         | SE                            | 3.2           | Education Technology, Media, and Materials                    |

**Acronyms and Definitions:**

POC = Principal Operating Component; IES = Institute of Education Sciences; OESE = Office of Elementary and Secondary Education; ED = Education for the Disadvantaged; ESSER = Elementary and Secondary School Emergency Relief; I&I = Innovation and Improvement; IA = Impact Aid; IE = Indian Education; SIP = Strengthening Institutions Program; SSCE = Safe Schools and Citizenship Education; OELA = Office of English Language Acquisition; ELA = English Language Acquisition; OSERS = Office of Special Education and Rehabilitative Services; APBH = American Printing House for the Blind; REHAB = Rehabilitation Services and Disability Research; and SE = Special Education.

**Goal 3 Mandatory Programs**

No additional mandatory programs.



**Strategic Goal 4: Increase postsecondary value by focusing on equity-conscious strategies to address access to high-quality institutions, affordability, completion, post-enrollment success, and support for inclusive institutions.**

**Goal 4 Other Discretionary Programs and Activities**

| POC   | Education/<br>Funding<br>Area | Objective | Program  |
|-------|-------------------------------|-----------|--|
| FSA   | SFA                           | 4.1, 4.3  | Federal Pell Grants: Discretionary   |
| FSA   | SFA                           | 4.1, 4.3  | Federal Supplemental Educational Opportunity Grants  |
| FSA   | SFA                           | 4.1, 4.3  | Federal Work-Study   |
| FSA   | DM/SAA                        | 4.2       | Student Aid Administration: Salaries and Expenses  |
| FSA   | DM/SAA                        | 4.2       | Student Aid Administration: Servicing Activities   |
| OCTAE | CTAE                          | 4.3, 4.4  | Career and Technical Education State Grants  |
| OCTAE | CTAE                          | 4.3, 4.4  | Career and Technical National Programs   |
| OCTAE | HE                            | 4.3, 4.4  | Tribally Controlled Postsecondary Career and Technical Institutions                                      |
| OPE   | HE                            | 4.1, 4.3  | Fund for the Improvement of Postsecondary Education  |
| OPE   | HE                            | 4.1, 4.3  | Aid for Institutional Development: Strengthening Tribally Controlled Colleges and Universities           |
| OPE   | HE                            | 4.1, 4.3  | Strengthening Alaska Native and Native Hawaiian-Serving Institutions                                     |
| OPE   | HE                            | 4.1, 4.3  | Strengthening Historically Black Colleges and Universities   |
| OPE   | HE                            | 4.1, 4.3  | Strengthening Historically Black Graduate Institutions   |
| OPE   | HE                            | 4.1, 4.3  | Strengthening Historically Black Colleges and Universities Master's Program                              |
| OPE   | HE                            | 4.1, 4.3  | Strengthening Predominantly Black Institutions   |
| OPE   | HE                            | 4.1, 4.3  | Strengthening Asian American- and Native American/Pacific Islander-Serving Institutions                  |
| OPE   | HE                            | 4.1, 4.3  | Strengthening Native American-Serving Nontribal Institutions   |
| OPE   | HE                            | 4.1, 4.3  | Minority Science and Engineering Improvement   |
| OPE   | HE                            | 4.1, 4.3  | Aid for Hispanic-Serving Institutions: Developing Hispanic-Serving Institutions                          |
| OPE   | HE                            | 4.1, 4.3  | Aid for Hispanic-Serving Institutions: Promoting Post-Baccalaureate Opportunities for Hispanic Americans |
| OPE   | HE                            | 4.1       | <i>Coronavirus Response and Relief Supplemental Appropriations Act, 2021 HEERF</i>                       |
| OPE   | HE                            | 4.1       | <i>Coronavirus Response and Relief Supplemental Appropriations Act, 2021 HEERF II</i>                    |
| OPE   | HE                            | 4.1       | <i>American Rescue Plan of 2021 HEERF III</i>  |
| OPE   | HE                            | 4.3       | International Education and Foreign Language Studies: Domestic Programs                                  |



| POC   | Education/<br>Funding<br>Area | Objective | Program   |
|-------|-------------------------------|-----------|---|
| OPE   | HE                            | 4.3       | International Education and Foreign Language Studies: Overseas Programs                     |
| OPE   | HE                            | 4.1, 4.3  | Model Transition Programs for Students with Intellectual Disabilities into Higher Education |
| OPE   | HE                            | 4.1, 4.3  | Federal TRIO Programs   |
| OPE   | HE                            | 4.1, 4.3  | Gaining Early Awareness and Readiness for Undergraduate Programs                            |
| OPE   | HE                            | 4.3       | Graduate Assistance in Areas of National Need   |
| OPE   | HE                            | 4.1, 4.3  | Child Care Access Means Parents in School   |
| OPE   | HE                            | 4.1, 4.3  | Howard University: General Support  |
| OPE   | HE                            | 4.1, 4.3  | Howard University Hospital  |
| OSERS | GU                            | 4.1       | Gallaudet University  |
| OSERS | NTID                          | 4.1       | National Technical Institute for the Deaf   |

**Acronyms and Definitions:**

POC = Principal Operating Component; FSA = Federal Student Aid; SFA = Student Financial Assistance; DM = Departmental Management; SAA = Student Aid Administration; OCTAE = Office of Career, Technical, and Adult Education; CTAE = Career, Technical, and Adult Education; HE = Higher Education; OPE = Office of Postsecondary Education; HEERF = Higher Education Emergency Relief Fund; OSERS = Office of Special Education and Rehabilitative Services; GU = Gallaudet University; and NTID = National Technical Institute for the Deaf.

**Goal 4 Mandatory Programs**

| POC | Education/<br>Funding<br>Area | Objective | Program   |
|-----|-------------------------------|-----------|---|
| FSA | FDSL                          | 4.1, 4.3  | Federal Direct Student Loans Program Account: New Loan Subsidies                                |
| FSA | FDSL                          | 4.1, 4.3  | Federal Direct Student Loans Program Account: New Net Loan Subsidy (Non-add)                    |
| FSA | FDSL                          | 4.1, 4.3  | Federal Direct Student Loans Program Account: Upward Reestimate of Existing Loans               |
| FSA | FDSL                          | 4.1, 4.3  | Federal Direct Student Loans Program Account: Downward Reestimate of Existing Loans (Non-add)   |
| FSA | FDSL                          | 4.1, 4.3  | Federal Direct Student Loans Program Account: Net Reestimate of Existing Loans (Non-add)        |
| FSA | FDSL                          | 4.1, 4.3  | Federal Direct Student Loans Program Account: Upward Modification of Existing Loans             |
| FSA | FFEL                          | 4.1, 4.3  | Federal Family Education Loans Program Account: Upward Reestimate of Existing Loans             |
| FSA | FFEL                          | 4.1, 4.3  | Federal Family Education Loans Program Account: Downward Reestimate of Existing Loans (Non-add) |



| POC   | Education/<br>Funding Area | Objective | Program  |
|-------|----------------------------|-----------|--|
| FSA   | FFEL                       | 4.1, 4.3  | Federal Family Education Loans Program Account: Net Reestimate of Existing Loans (Non-add)   |
| FSA   | FFEL                       | 4.1, 4.3  | Federal Family Education Loans Program Account: Upward Modification of Existing Loans  |
| FSA   | FFEL                       | 4.1, 4.3  | Federal Family Education Loans Program Account: Downward Modification of Existing Loans (Non-add)  |
| FSA   | FFEL                       | 4.1, 4.3  | Federal Family Education Loans Program Account: Net Modification of Existing Loans (Non-add)   |
| FSA   | FFEL                       | 4.1, 4.3  | Federal Family Education Loans Liquidating Account: Pre-1992 Student Loans   |
| FSA   | SFA                        | 4.1, 4.3  | Federal Pell Grants: Mandatory   |
| FSA   | SFA                        | 4.1, 4.3  | Federal Pell Grants: Mandatory Funding for Discretionary Program Costs   |
| FSA   | SFA                        | 4.1, 4.3  | Iraq and Afghanistan Service Grants  |
| FSA   | SFA                        | 4.1, 4.3  | Perkins Loan Repayments  |
| INF   | Infrastructure             | 4.1       | Community College Infrastructure (Proposed Legislation)  |
| OCTAE | CTAE                       | 4.4       | Expanded Career Pathways for Middle and High School Students   |
| OESE  | SIP                        | 4.4       | School-Based Health Professionals of the Future  |
| OPE   | HE                         | 4.1, 4.3  | Aid for Institutional Development: Mandatory Strengthening Tribally Controlled Colleges and Universities   |
| OPE   | HE                         | 4.1, 4.3  | Mandatory Strengthening Alaska Native and Native Hawaiian-Serving Institutions   |
| OPE   | HE                         | 4.1, 4.3  | Mandatory Strengthening Historically Black Colleges and Universities   |
| OPE   | HE                         | 4.1, 4.3  | Mandatory Strengthening Predominantly Black Institutions   |
| OPE   | HE                         | 4.1, 4.3  | Mandatory Strengthening Asian American- and Native American Pacific Islander-Serving Institutions  |
| OPE   | HE                         | 4.1, 4.3  | Mandatory Strengthening Native American-Serving Nontribal Institutions   |
| OPE   | HE                         | 4.1, 4.3  | Aid for Hispanic-Serving Institutions: Mandatory Developing HSI STEM and Articulation Programs   |
| OPE   | HE                         | 4.1       | <i>Higher Education Act of 1965</i> Title III/V Programs for Historically Black Colleges and Universities, Tribally Controlled Colleges and Universities, Hispanic-Serving Institutions, and Minority-Serving Institutions |
| OPE   | HE                         | 4.1       | Completion Grants  |

**Acronyms and Definitions:**

POC = Principal Operating Component; FSA = Federal Student Aid; FDSL = Federal Direct Student Loan; FFEL = Federal Family Education Loan; SFA = Student Financial Assistance; INF = Infrastructure; OCTAE = Office of Career, Technical, and Adult Education; CTAE = Career, Technical, and Adult Education; OESE = Office of Elementary and Secondary Education; SIP = Strengthening Institutions Program; OPE = Office of Postsecondary Education; HE = Higher Education; and HSI STEM = Hispanic Service Institution Science, Technology, Engineering, and Mathematics Articulation Program.



## Strategic Goal 5: Enhance the Department's internal capacity to optimize the delivery of its mission.

### Goal 5 Other Discretionary Programs and Activities

| POC | Education/<br>Funding<br>Area | Objective | Program  |
|-----|-------------------------------|-----------|--|
| All | DM/PA                         | 5.3       | Program Administration: Salaries and Expenses  |
| All | DM/PA                         | 5.3       | Program Administration: Building Modernization |
| OCR | OCR                           | 5.3       | Office for Civil Rights                        |
| OIG | OIG                           | 5.3       | Office of Inspector General                    |

#### Acronyms and Definitions:

POC = Principal Operating Component; DM = Departmental Management; PA = Program Administration; OCR = Office for Civil Rights; and OIG = Office of Inspector General.

### Goal 5 Mandatory Programs

No additional mandatory programs.

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# APPENDIX C

## Glossary of Acronyms and Abbreviations

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| Acronym   | Definition  |
|-----------|---|
| APG       | Agency Priority Goal  |
| APHB      | American Printing House for the Blind   |
| ARP       | <i>American Rescue Plan Act of 2021</i>   |
| CARES Act | <i>Coronavirus Aid, Relief, and Economic Security Act</i>   |
| CTAE      | Career, Technical, and Adult Education  |
| CTE       | Career and Technical Education  |
| DGB       | Data Governance Board   |
| DM        | Departmental Management   |
| ED        | Education for the Disadvantaged   |
| ELA       | English Language Acquisition  |
| ESEA      | <i>Elementary and Secondary Education Act of 1965</i>   |
| ESSER     | Elementary and Secondary School Emergency Relief  |
| FAFSA®    | <i>Free Application for Federal Student Aid®</i>  |
| FDSL      | Federal Direct Student Loan   |
| FERPA     | <i>Family Educational Rights and Privacy Act</i>  |
| FEVS      | Federal Employee Viewpoint Survey   |
| FFEL      | Federal Family Education Loan   |
| FSA       | Federal Student Aid   |
| FSCS      | Full-Service Community Schools  |
| FY        | Fiscal Year   |
| GLBA      | <i>Gramm-Leach-Bliley Act</i>   |
| GU        | Gallaudet University  |
| HBCU      | Historically Black College and University   |
| HE        | Higher Education  |
| HEAL      | Health Education Assistance Loan  |
| HEERF     | Higher Education Emergency Relief Fund  |
| HSI STEM  | Hispanic Service Institution Science, Technology, Engineering, and Mathematics Articulation Program |
| I&I       | Innovation and Improvement  |
| IA        | Impact Aid  |
| IDEA      | <i>Individuals with Disabilities Education Act</i>  |



| Acronym | Definition  |
|---------|---|
| IE      | Indian Education  |
| IES     | Institute of Education Sciences                         |
| IHE     | Institution of Higher Education                         |
| INF     | Infrastructure  |
| K-12    | Kindergarten Through Grade 12                           |
| MSI     | Minority-Serving Institution                            |
| MSIX    | Migrant Student Information Exchange                    |
| N/A     | Not Applicable  |
| NES     | National Engagement Strategy                            |
| NTID    | National Technical Institute for the Deaf               |
| 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            |
| OIG     | Office of Inspector General                             |
| OPE     | Office of Postsecondary Education                       |
| OSERS   | Office of Special Education and Rehabilitative Services |
| PA      | Program Administration                                  |
| POC     | Principal Operating Component                           |
| PPRA    | Protection of Pupil Rights Amendment                    |
| REHAB   | Rehabilitation Services and Disability Research         |
| SAA     | Student Aid Administration                              |
| SE      | Special Education                                       |
| SFA     | Student Financial Assistance                            |
| SIP     | School Improvement Programs                             |
| SSCE    | Safe Schools and Citizenship Education                  |
| STEM    | Science, Technology, Engineering, and Mathematics       |
| VR      | Vocational Rehabilitation                               |



# FY 2021 ANNUAL PERFORMANCE REPORT



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# Strategic Framework





## Strategic Process Building Blocks

The following graphic illustrates how the Department facilitates strategic planning, goal setting, reporting, and monitoring to improve operations and achieve the agency's mission.



## FY 2018–2022 Strategic Goals and Objectives

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

|   |  |
|---|--|
|    | <b>Strategic Goal 1: Support state and local efforts to improve learning outcomes for all P–12 students in every community.</b>  |
|   | <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: Expand postsecondary educational opportunities; improve outcomes to foster economic opportunity; and promote an informed, thoughtful, and productive citizenry.</b>   |
|   | <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: Strengthen the quality, accessibility, and use of education data through better management, increased privacy protections, and transparency.</b>  |
|   | <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: Reform the effectiveness, efficiency and accountability of the Department.</b>  |
|   | <b>Strategic Objective 4.1<sup>1</sup></b> Improve regulatory processes.   |
|   | <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.  |

<sup>1</sup>Strategic objective 4.1 was revised in FY 2021. On January 20, 2021, President Biden issued Executive Order (EO) 13992 (86 FR 7049), which revokes several prior EOs, including EOs 13771 and 13777. EOs 13771 and 13777 served as the basis for the original language of strategic objective 4.1.

## FY 2020 and FY 2021 Agency Priority Goals

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

|   |   |
|---|---|
| <p><b>APG: Education Freedom: Improve awareness of and access to high-quality K–12 education opportunities for students and families.</b></p>   | <p><b>Related Strategic Objective: 1.1</b></p>  |
| <p>By September 30, 2021, the Department will increase both the number and percentage of total charter school students and total scholarship students nationwide:</p> <ul style="list-style-type: none"> <li>• Charter school student enrollment will increase from 3.29 million to 3.51 million (6.90 percent of all students in public schools).</li> <li>• The number of scholarship students, including participants in state-based vouchers, tax-credit scholarships, and education savings accounts programs, will increase from 482,000 to 579,250 (1.10 percent of the total school-age population).</li> <li>• The number of parents who receive support and engagement through technical assistance and other resources will increase by 5 percent per year.</li> </ul> | <p>Increase high-quality educational options and empower students and parents to choose an education that meets their needs.</p>  |
| <p><b>APG: Multiple Pathways to Success: Improve nationwide awareness of and access to career pathways that support job skills development and career readiness.</b></p>  | <p><b>Related Strategic Objectives: 1.3 and 2.3</b></p>   |
| <p>By September 30, 2021, the Department will, through programs such as the Career and Technical Education and Adult Education State Grants:</p> <ul style="list-style-type: none"> <li>• Support the creation and expansion of integrated education and training (IET) programs in all 50 states, Puerto Rico, and the District of Columbia.</li> <li>• Increase enrollment of participants in IET programs to 56,000.</li> <li>• Support the enrollment of Career and Technical Education concentrators in science, technology, engineering and mathematics (STEM) fields.</li> <li>• Increase by 25,000 the number of federal financial aid recipients who earn a postsecondary credential in STEM.</li> </ul>   | <p>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).</p> <p>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.</p> |

|   |  |
|---|--|
| <p><b>APG: Federal Student Aid Customer Service: Leverage the Next Generation Financial Services Environment (Next Gen FSA) to improve and personalize customers' experience with Federal Student Aid (FSA).</b></p>  | <p><b>Related Strategic Objective: 2.4</b></p>   |
| <p>By September 30, 2021, FSA will transform its relationship with prospective and current customers through deployment of significant components of the Next Gen FSA that result in a personalized experience:</p> <ul style="list-style-type: none"> <li>• The number of individuals submitting a <i>Free Application for Federal Student Aid</i><sup>®</sup> (FAFSA<sup>®</sup>) through a mobile device will increase to 2.6 million.</li> <li>• The overall customer satisfaction level throughout the student aid life cycle, as measured by the FSA Customer Satisfaction score<sup>1</sup>, will increase.</li> </ul> | <p>Improve quality of service for customers across the entire student aid life cycle.</p>  |
| <p><b>APG: Student Privacy and Cybersecurity: Improve student privacy and cybersecurity at institutions of higher education (IHEs) through outreach and compliance efforts.</b></p>   | <p><b>Related Strategic Objective: 3.2</b></p>   |
| <p>By September 30, 2021, the Department will participate in 12 engagements with sector-related non-governmental organizations to inform the development of five best practice programmatic improvements.</p>   | <p>Improve privacy protections for, and transparency of, education data both at the Department and in the education community.</p> |
| <p><b>APG: Regulatory Reform: Provide regulatory relief to education stakeholders as necessary and appropriate.</b></p>   | <p><b>Related Strategic Objective: 4.1</b></p>   |
| <p>By September 2021, the Department will provide regulatory relief for education stakeholders by taking no fewer than eight deregulatory actions, which includes reduction in paperwork burden.</p>  | <p>Improve regulatory processes.</p>   |

<sup>1</sup>The Federal Student Aid Customer Satisfaction Score is an annual composite metric that measures the overall customer satisfaction level throughout the student aid life cycle for FAFSA applicants (mobile and [fafsa.gov](https://fafsa.gov)), Title IV aid recipients in school, and borrowers in repayment. The score is based on the American Customer Satisfaction Index surveys.

## Cross-Agency Priority Goals

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

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

The Department co-led efforts on CAP Goal 8 (Results-Oriented Accountability for Grants) and CAP Goal 10 (Improving Outcomes Through Federal IT Spending Transparency). The Department supported CAP Goal 8 through its participation in working groups. For example, the Single Audit Workgroup sought a unified solution for audit work across all federal agencies, with a focus on documenting the specific steps in the process (from intake through audit resolution and closure). The Department also worked with OMB and the American Institute of Certified Public Accountants to develop Single Audit guidance for independent certified public accountants who performed audits of state and local educational agencies and select school districts and provided instructions for the audit of the education stabilization funding made available by Congress. That funding was provided through the *Coronavirus Aid, Relief, and Economic Security Act*; the *Coronavirus Response and Relief Supplemental Appropriations Act, 2021*; and the *American Rescue Plan Act of 2021*. The Office of Federal Financial Management [published](#) the relevant guidance in § 84.425 in its July 2021 edition. Those funds were also given a designation of “high-risk” programs for Single Audit purposes. Additionally, the Department’s Technology Business Management Solution initiative directly supported CAP Goal 10.

By understanding the total costs to run an application or business service, leadership continues to gain a better understanding of the costs and value received as the Department modernizes its IT through FY 2022. Using industry best practices, the federal government can leverage data decisions and analyze trade-offs between costs, quality, and value as it strategically modernizes its IT portfolio. In addition to supporting the CAP Goals it co-led, the Department contributed to other goals of the PMA. For example, the Department supported CAP Goal 2 by contributing leadership and staff for working groups developing the Federal Data Strategy, which articulated a vision for leveraging federal data as a strategic asset to better deliver on mission, served the public, and stewarded resources.

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# Performance Assessment



## STRATEGIC GOALS

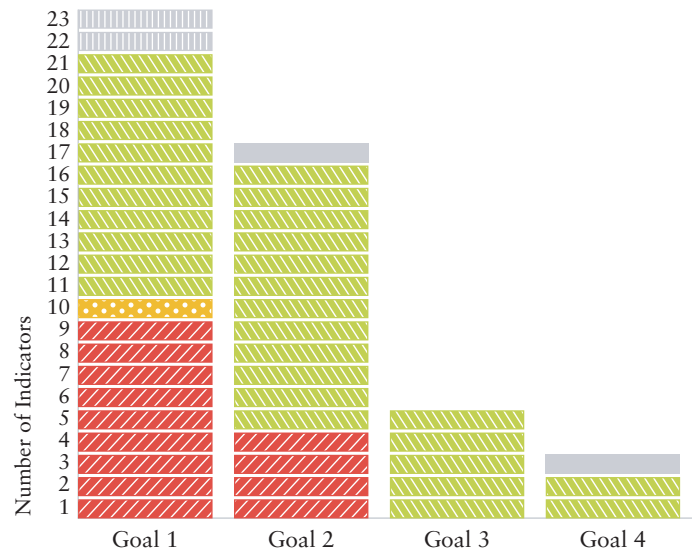
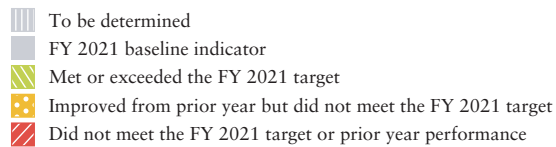
1. Support state and local efforts to improve learning outcomes for all P–12 students in every community.
2. Expand postsecondary educational opportunities; improve outcomes to foster economic opportunity; and promote an informed, thoughtful, and productive citizenry.
3. Strengthen the quality, accessibility,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

## Performance Assessment Overview

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

## Performance Indicator Overview

In fiscal year (FY) 2021, the Department assessed 48 performance indicators. Of those, 30 targets were met or exceeded, 1 showed improvement in performance from the prior year but did not meet the established targets, and 13 performed below both this year’s target and the prior year’s performance. Two performance indicators did not have an established target and baselined in FY 2021, and two are pending data.

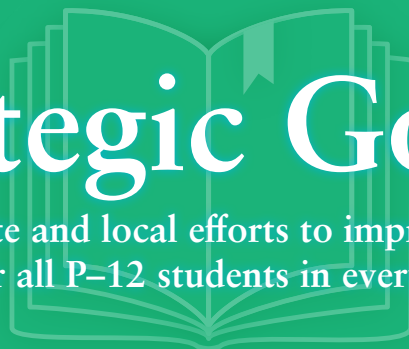


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# Strategic Goal 1

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



# Goal 1 Spotlight



## GOAL LEADER:

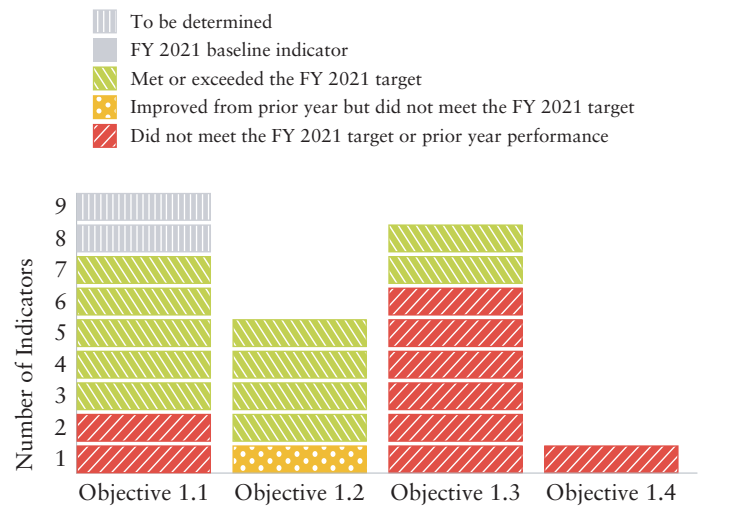
Assistant Secretary, Office of  
Elementary and Secondary  
Education

## GOAL 1 OBJECTIVES:

- 1.1** Increase high-quality educational options and empower students and parents to choose an education that meets their needs.
- 1.2** Provide all P–12 students with equal access to high-quality educational opportunities.
- 1.3** Prepare all students for successful transitions to college and careers by supporting access to dual enrollment; job skills development; and high-quality science, technology, engineering, and mathematics (STEM).
- 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.

## Performance Indicator Overview

In fiscal year (FY) 2021, the Department assessed 23 performance indicators for this Strategic Goal. Of those, 11 targets were met or exceeded, 1 showed improvement in performance from the prior year but did not meet the established targets, and 9 performed below this year's target and the prior year's performance. Two performance indicators are pending data.

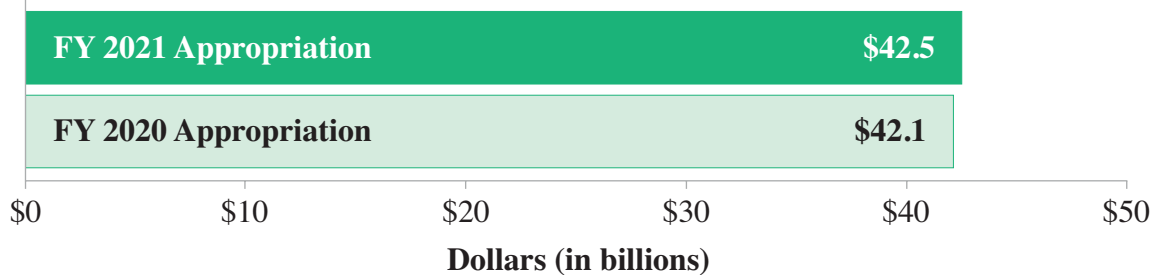




## Goal 1 Discretionary Resources

The following figure and table show total budgetary resources and select major discretionary programs and activities supporting Goal 1, respectively.

### Goal 1 Budgetary Resources



### Major Discretionary Programs and Activities Supporting Goal 1 (in thousands)

| POC           | ACCT | Objective     | Program   | FY 2020<br>Appropriation | FY 2021<br>Appropriation |
|---------------|------|---------------|---|--------------------------|--------------------------|
| OCTAE         | CTAE | 1.3, 2.2      | Career and Technical Education (Perkins V)      | \$1,282,598              | \$1,334,848              |
| OCTAE         | CTAE | 1.4           | Adult Basic and Literacy Education State Grants | \$656,955                | \$674,955                |
| OESE          | I&I  | 1.3, 1.4      | Education Innovation and Research               | \$190,000                | \$194,000                |
| OESE          | I&I  | 1.2, 1.4      | Teacher and School Leader Incentive Grants      | \$200,000                | \$200,000                |
| OESE          | I&I  | 1.2, 1.4      | School Leader Recruitment and Support           | N/A                      | N/A                      |
| OESE          | ED   | 1.2, 1.3, 1.4 | Title I Grants to Local Educational Agencies    | \$16,309,802             | \$16,536,802             |
| OESE          | SIP  | 1.2, 1.4      | State Assessments                               | \$378,000                | \$378,000                |
| OESE          | SSCE | 1.2           | School Safety National Activities               | \$105,000                | \$106,000                |
| OESE          | SSCE | 1.2, 1.4      | Full-Service Community Schools                  | \$25,000                 | \$30,000                 |
| OESE/<br>OELA | ELA  | 1.2, 1.4      | English Language Acquisition                    | \$787,400                | \$797,400                |
| OSERS         | SE   | 1.1, 1.2, 1.4 | Special Education Grants to States              | \$12,764,392             | \$12,937,457             |
| Other         | N/A  | N/A           | All Other Programs                              | \$9,432,726              | \$9,534,361              |

**Note:**

Discretionary resources listed here include Department programs that may contribute to multiple Strategic Goals.

**Acronyms and Definitions:**

POC = Principal Operating Component; ACCT = Account; FY = Fiscal Year; OCTAE = Office of Career, Technical, and Adult Education; CTAE = Career, Technical, and Adult Education; OESE = Office of Elementary and Secondary Education; I&I = Innovation and Improvement; ED = Education for the Disadvantaged; SIP = Strengthening Institutions Program; SSCE = Safe Schools and Citizenship Education; OELA = Office of English Language Acquisition; ELA = English Language Acquisition; OSERS = Office of Special Education and Rehabilitative Services; SE = Special Education; and N/A = Not Applicable.

# 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:

Deputy Assistant Secretary for Policy and Programs, Office of Elementary and Secondary Education

## Overview

In fiscal year (FY) 2021, the Department continued to support greater state and local flexibility in elementary and secondary education and encouraged state educational agencies (SEAs) and local educational agencies (LEAs) (school districts) to provide students and families with educational options that fit individual students' needs. However, the persistence of the COVID-19 pandemic had a significantly adverse impact on many states, SEAs, LEAs, and related school districts. In-person instruction was severely disrupted, and virtual instruction was inconsistent across the nation.

Before the onset of the COVID-19 pandemic and the March 2020 enactment of the *Coronavirus Aid, Relief, and Economic Security (CARES) Act*, the Department supported efforts to improve learning outcomes for prekindergarten through grade 12 students by awarding approximately \$40 billion annually in formula and discretionary grants (through a competitive process) to states, school districts, and nonprofit organizations. States can support increased educational options through a variety of ways, including open enrollment policies, virtual schools, homeschooling, customized learning, and dual enrollment.

Several offices across the Department supported this strategic objective, including the Office of Elementary and Secondary Education; the Office of Special Education and Rehabilitative Services; the Office for Civil Rights; the Office of Career, Technical, and Adult Education; and the Institute of Education Sciences (IES).

## Performance Analysis

There are nine performance indicators in this strategic objective. Of the nine, five met or exceeded their annual target. These included performance indicators 1.1.A and 1.1.B, which gauge the number of operating charter schools supported by the Charter Schools Program (CSP) and the number of students enrolled in those charter schools, respectively.

Also included is performance indicator 1.1.C, which gauges the number of evidence-based resources on school choice that the Department releases each year. Performance indicators 1.1.E and 1.1.F, which gauge the number of operating public charter schools and the number of students enrolled, also met or exceeded their annual targets. Two performance indicators did not meet their targets. These included performance indicators 1.1.D and 1.1.I, which gauge the number of students enrolled in schools supported by the Department’s federal program for magnet schools and the number of parents receiving support and engagement on school options through technical assistance and other resources, respectively. Two performance indicators did not have data available at the time of publishing.

## Key Successes and Opportunities

### Charter Schools

In FY 2021, CSP and its National Charter School Resource Center continued to provide grantees and the broader charter school sectors with valuable tools and resources to realize their respective goals. Because physically meeting was not practical due to the COVID-19 pandemic, CSP hosted a virtual Project Directors’ Meeting for nearly 300 grantee representatives from February 17–25, 2021. The meeting offered content based on the individual needs of each grant program, supported grantees in being effective stewards of federal funding, and fostered peer-to-peer collaboration. Additionally, to support peer-to-peer collaboration and share regular updates on resources for grantees responding to and recovering from changes in the charter school sector during COVID-19, an online community of practice for state entity grantees was established.

One goal of the *Every Student Succeeds Act* is to expand opportunities for students with disabilities to attend charter schools and meet challenging state academic standards. To assist CSP grantees in complying with laws applicable to serving students with disabilities as well as providing oversight related to admissions, recruitment, enrollment, and retention, in March 2021, the National Charter School Resource Center hosted a webinar that provided participants with an understanding of CSP grantee responsibilities for serving students with disabilities and ideas for addressing challenges. Additionally, an introductory primer was released for charter school stakeholders to help support them in serving students with disabilities. The primer includes an overview of the responsibilities of charter schools for the provision of a free appropriate public education for students with disabilities and resources for providing services for students with disabilities in charter schools.

In April 2021, the National Charter School Resource Center released [Logic Model Toolkit: A Resource for Current and Prospective Grantees of Charter School Programs](#). The toolkit is designed to help prospective and current CSP grantees develop and revise logic models to guide project implementation and monitor progress. The toolkit also includes numerous

examples from CSP-funded grantees, including state entities, SEAs, charter management organizations, and developers.

To encourage charter schools to develop and maintain community partnerships, which can strengthen charter schools' capacity to serve the needs of students, families, and staff, in June 2021, the National Charter School Resource Center released [\*How Charter Schools Can Leverage Community Assets Through Partnerships\*](#), a resource that summarizes the partnership-building efforts of four charter school organizations, identifies seven factors that can help build successful partnerships, and provides a four-step guide, *Getting Started: How to Turn Your Community Partnerships Vision Into Reality*.

## Magnet Schools

The Department's Magnet Schools Assistance Program (MSAP) provides grants to eligible LEAs to establish and operate magnet schools that are operated under a court-ordered or federally approved voluntary desegregation plan. On April 14, 2021, MSAP awarded nine new grants based on an FY 2020 competition. The new awardees are creating or revitalizing 33 magnet schools across 7 states in a variety of settings. The group includes one consortium project across three community school districts in New York City and Brooklyn. The magnet schools will focus on a variety of themes, including science, technology, engineering, and mathematics (STEM); career and technical programs with a focus on the health sciences; language immersion programs; and the arts.

Magnet schools are an important part of state and local efforts to eliminate, reduce, and prevent racial and socio-economic segregation and isolation. Some districts use magnet schools to improve achievement and diversity in their schools by aiming to attract students from outside their neighborhood or those from the neighborhood who would likely attend other schools. IES published [\*Drawing Across School Boundaries: How Federally Funded Magnet Schools Recruit and Admit Students\*](#) as part of its impact study on MSAP. Some of the findings of the study include that MSAP-funded schools report using a variety of strategies to recruit students, perceived stigma of low academic quality and lack of diversity are top reported obstacles to recruiting students, and preference in admissions are likely given to students from affiliated families or communities.

## Outreach and Technical Assistance

To promote the use of technology to empower learning, engage and motivate students, and help make learning more interactive, in March 2021, the Department released the [\*Parent and Family Digital Learning Guide\*](#), a resource to help parents and guardians understand how digital tools can provide tailored learning opportunities, engage students with course materials, encourage creative expression, and enrich the educational experience. The guide includes advice and best practices about topics, such as how to leverage flexibilities and



innovations of technologies, and digital tools, such as accessibility options to meet the unique needs of every learner; steps parents can take to keep their children safe online and foster safe digital behavior, such as accessing security features on a child’s device, tracking log-on information, and monitoring videoconferencing; how competency-based learning, which measures a student’s knowledge of a subject rather than time spent on the subject, can harness technology for the benefit of students; and simple primers on major federal laws governing student privacy and safety.

The CARES Act and the *Coronavirus Response and Relief Supplemental Appropriations Act, 2021* provided funding for the Education Stabilization Fund. The Education Stabilization Fund-Rethink K–12 Education Model (ESF-REM) grants provide support to SEAs in states with the highest COVID-19 burden to address specific educational needs of students and their parents and teachers in public and nonpublic elementary and secondary schools. A community of practice was established for ESF-REM grantees, and the first meeting was held in January 2021, which included a discussion of statewide virtual learning and course access programs along with demonstrations of Rhode Island’s and North Carolina’s course access platforms. In January and February 2021, the Department conducted technical assistance calls with grantees to finalize project budgets, performance indicators, and management plans. The Department also developed a protocol for quarterly update calls to monitor program compliance and assess grant progress.

# Strategic Objective 1.2

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



## STRATEGIC OBJECTIVE LEADER:

Assistant Secretary, Office of Special Education and Rehabilitative Services

## Overview

Every child, regardless of ZIP code or family income, should have access to a high-quality education. With schools closed due to the COVID-19 pandemic, access to a high-quality education often requires that students have access to high-speed internet and that schools use technology accessible to all students. The National Center for Education Statistics (NCES) [reported](#) that in 2018, 88 percent of 3- to 18-year-olds had home internet access through a computer, an additional 6 percent had home internet access only through a smart-phone, and the remaining 6 percent had no internet access at home. Access varied by race and family income. The Department is committed to improving access to high-quality prekindergarten through grade 12 educational opportunities for every student, and it will support educational institutions, parents, and communities in developing such opportunities as well as their capacity to improve the outcomes for every student.

Access to internet and computers significantly affected the ability of students to access online instruction during the COVID-19 pandemic and affected the Department's ability to track and monitor state assessments. The modes and quality of educational instruction were constantly changing, making assessment of progress against planned targets and grade-level benchmarks challenging. According to NCES' National Assessment of Educational Progress 2021 Monthly School Survey, the percentage of public school fourth and eighth graders enrolled for full-time in-person instruction ranged from 33 percent in January 2021 to 50 percent in May 2021 and varied considerably across the nation. As a result, the Department granted one-time waivers of state assessments and collection requirements deemed impractical to either gather or rely on in such an extraordinary and incomparable school year. An immediate impact on the strategic plan was that certain indicators, which highlight three school year trends in the percentage of students that are deemed proficient on reading and mathematics assessments, respectively, could not be reported given the waiving of the school year (SY) 2019–2020 state assessments.

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

## Performance Analysis

Five performance indicators in this strategic objective were assessed in fiscal year (FY) 2021. Of those, four met or exceeded their annual target. Those included 1.2.D, which gauges the availability of high-speed internet in kindergarten through grade 12 schools; 1.2.E, which gauges rural schools connected to broadband infrastructure that are capable of scaling to 10 gigabits per second; 1.2.F, which gauges the percentage of states publishing report cards on the preceding school year in a timely manner; and 1.2.G, which gauges the percentage of monitored states publicly reporting information on each indicator in the state’s accountability system, including the list of schools identified for comprehensive or targeted support and improvement. One performance indicator in this strategic objective (1.2.C), which gauges the percentage of states with 80 percent or more of preschoolers with disabilities that show greater than expected growth in social-emotional skills by the time they exit certain disability services, did not meet its annual target.

As a result of the COVID-19 pandemic, on March 20, 2020, the Department issued an invitation to states to request a waiver for state assessments conducted for SY 2019–2020. All states and entities requested and were granted waivers following that time. As a result, the Department will not provide FY 2021 results for performance indicators 1.2.A and 1.2.B, which are related to states improving proficiency in reading and mathematics, respectively, and are based on state-administered tests. The Department did not provide state assessment waivers for SY 2020–2021 or SY 2021–2022.

## Key Successes and Opportunities

### Reopening Schools

Throughout the COVID-19 pandemic, the nation has considered how and when to safely return students to in-person learning. The Department launched the [Safer Schools and Campuses Best Practices Clearinghouse](#) on April 30, 2021, to highlight best practices in safely continuing to reopen schools, early childhood centers, and institutions of higher education (IHEs). Through a notice in the *Federal Register*, the Department solicited submissions, reviewed and vetted the submissions, and made the submissions publicly available via a searchable resource library. In addition to submissions from stakeholders, the Department curated and included in the site’s resource library evidence-based resources from the Department’s technical assistance centers, including the Regional Educational Laboratories

administered by IES and the centers administered by OSERS and OESE. The clearinghouse includes evidence-based resources from federal partners, including the Centers for Disease Control and Prevention (CDC), the Department of Health and Human Services, and the Environmental Protection Agency. Through the resources on the clearinghouse, the Department continues to support in-person instruction that ensures student and staff physical safety; addresses the social, emotional, and mental health needs of students and staff; and works to mitigate the impact of lost instructional time for all students and particularly those students most impacted by the COVID-19 pandemic.

In February 2021, the Department released Volume 1 of the [\*ED COVID-19 Handbook: Strategies for Safely Reopening Elementary and Secondary Schools\*](#). The handbook supports the education community with implementation guidance, strategies, and considerations to help reopen schools safely. Volume 2 of the handbook, [\*ED COVID-19 Handbook: Roadmap to Reopening Safely and Meeting All Students' Needs\*](#), was released in April 2021. It provides strategies to address the extraordinary disruption created by COVID-19 pandemic for students, educators, and parents—especially for historically underserved students and communities that preliminary data suggest have been hit hardest by the pandemic. Volume 3 of the handbook, [\*ED COVID-19 Handbook: Strategies for Safe Operation and Addressing the Impact of COVID-19 on Higher Education Students, Faculty, and Staff\*](#), was released in June 2021. It provides additional strategies for IHEs and communities as they work to reopen for in-person instruction safely and equitably.

States received access to two-thirds of their *American Rescue Plan Act of 2021* Elementary and Secondary School Emergency Relief (ARP ESSER) funds (approximately \$81 billion) in April 2021, which have been made available to districts, to support efforts to reopen schools safely for in-person learning, keep schools safely open once students return, and address the needs of students. The remaining \$41 billion became available upon Department review and approval of state plans describing how states will use the funds. The state plan review is completed, and all approved plans are now available for review on the [ARP ESSER website](#).

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*“We’re thrilled to see that states are directing the unprecedented resources from the American Rescue Plan toward addressing student needs and quickly and safely reopening our schools, so we can give every student the opportunity to learn full-time, in-person.”*

*U.S. Secretary of Education  
Miguel A. Cardona*

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OESE, in collaboration with the CDC and the federally funded National Center on Safe Supportive Learning Environments, hosts a regular webinar series, [Lessons from](#)

[the Field Webinar Series](#), focused on providing information and much-needed resources to educators and staff on strategies for safely reopening schools and sustaining in-person instruction in schools, early childhood programs, and IHEs.

In alignment with the Administration’s priorities and the [Executive Order on Supporting the Reopening and Continuing Operation of Schools and Early Childhood Education Providers](#), OSERS has modified its approach to Differentiated Monitoring and Support (DMS) 2.0. DMS, which is focused on grantee compliance and improving results for children with disabilities, is used to fulfill the Department’s responsibility to monitor grantees, address state-specific needs, and allocate resources. The updated approach to DMS, known as “DMS Pivot,” is focused on providing universal and targeted support to states regarding reopening schools and resuming early intervention services for children with disabilities. Additionally, OSERS released [return to school guidance](#) that is focused on the rights of children with disabilities under the *Individuals with Disabilities Education Act*. The guidance includes multiple documents that address state obligations related to ensuring that, regardless of the COVID-19 pandemic or the mode of instruction, children with disabilities receive a free appropriate public education and that infants and toddlers with disabilities and their families receive early intervention services.

## Responding to the Impacts of COVID-19

As the nation’s schools reopened, the Department provided resources to address the impacts of COVID-19 on the education community and to share best practices and strategies of reopening and keeping schools open. OESE launched the [Responding to the COVID-19 Pandemic](#) webpage, which contains resources for grantees, states, districts, schools, IHEs, and communities focused on improving school climate and conditions for learning, including mental health support, due to COVID-19. Topics on the website include supporting students’ mental, emotional, and behavioral health; addressing the COVID-19 pandemic in higher education; and supporting the well-being of educators and professional staff.

In March 2021, the Department hosted a National Safe School Reopening Summit and initiated the [Summer Learning & Enrichment Collaborative](#). The collaborative is a partnership among the Department, the Comprehensive Center Network, and national partners representing states, local school systems, educators, and community-based organizations. The collaborative supports states in using *American Rescue Plan Act of 2021* (ARP) funding for effective summer programs that can help to address lost instructional and extracurricular time during the pandemic. The national convening included sessions on using evidence to inform summer programs and using federal funding to promote equity through summer enrichment opportunities that support social, emotional, and academic development.

In May 2021, OCR published [\*Questions and Answers on Civil Rights and School Reopening in the COVID-19 Environment\*](#), which offers answers to common questions about operating safe schools free from discrimination and harassment during the COVID-19 pandemic. OCR also released a fact sheet with the U.S. Department of Justice, [\*Confronting COVID-19-Related Harassment in Schools\*](#), to help families understand the types of incidents OCR can investigate and the process OCR follows to resolve complaints of unlawful discrimination and harassment.

In July 2021, OCR and OSERS issued [\*Long COVID under Section 504 and the IDEA: A Resource to Support Children, Students, Educators, Schools, Service Providers, and Families\*](#). This resource includes information about the obligations of elementary and secondary schools, public agencies, and postsecondary institutions to children and students with long COVID.

To provide guidance and assistance related to the use of ARP funds, in July 2021, the Department published [\*Frequently Asked Questions: Using American Rescue Plan Funding to Support Full-Service Community Schools & Related Strategies\*](#). In August 2021, the Department published [\*Strategies for Using American Rescue Plan Funding to Address the Impact of Lost Instructional Time\*](#), which includes topics focused on reengaging students, supporting parents and caregivers, and using high-quality assessments to support student learning.

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*“The approval of these plans enables states to receive vital additional American Rescue Plan funds to quickly and safely reopen schools for full-time, in-person learning; meet students’ academic, social, emotional, and mental health needs; and address disparities in access to educational opportunity that were exacerbated by the coronavirus pandemic.”*

*U.S. Secretary of Education  
Miguel A. Cardona*

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## **Increasing Access to Technology**

Recognizing the importance of access to internet service, especially during the COVID-19 pandemic when many schools transitioned to online or hybrid (online and in-person) learning formats, the Department collaborated with the Federal Communications Commission on the development of the [\*Emergency Broadband Benefit Program\*](#). The Department also participated in the development and dissemination of outreach materials to inform communities of the program, which provided discounts on access to broadband service for eligible households.

To further support access to the internet to keep students connected and learning, in June 2021, the Department’s Office of Educational Technology (OET) released [\*Keeping Students\*](#)

*Connected and Learning*, which provides strategies for deploying school district wireless networks as a sustainable solution to connect students at home. Lack of high-speed broadband access is disproportionately common in low-income, rural, tribal, and other under-resourced communities. The lack of access, which is often required for learning, results in significant consequences for students, such as lack of digital skills and lower academic achievement. The OET brief shows examples of how some school districts have taken diverse approaches to build off-campus networks. Additionally, in July 2021, OET released the *Home Access Playbook*, which outlines strategies that state leaders are taking to address issues of home internet and device access for students.

# Strategic Objective 1.3



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).

## STRATEGIC OBJECTIVE LEADER:

Assistant Secretary, Office of Career, Technical, and Adult Education

## Overview

In May 2021, the National Center for Education Statistics' [data on graduation rates](#) from school year (SY) 2018–2019 indicated that 86 percent of public high school students graduated within four years of starting high school. To take full advantage of the growing universe of opportunities available to them following graduation, the nation's elementary and secondary school students need stronger preparation in science, technology, engineering, and mathematics (STEM) and more options, such as youth apprenticeship and dual enrollment, to get a head start on achieving their goals.

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

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

## Performance Analysis

There are eight performance indicators in this strategic objective. Of those, two met or exceeded their annual targets, including 1.3.H, which gauges the number of *Workforce*



*Innovation and Opportunity Act* adult education participants who advance one educational functioning level in mathematics, and 1.3.J, which gauges the number of secondary career and technical education (CTE) concentrators enrolling in STEM. The remaining six performance indicators in this strategic objective did not meet their annual targets. Of those, one gauges the number of discretionary grant notices with STEM (1.3.A); two gauge the participation of high school students taking AP exams in STEM courses (1.3.B and 1.3.C); and the remaining three performance indicators gauge adult participants achieving skill gains (1.3.D), adult education participants receiving diplomas (1.3.E), and adult education participants enrolled in integrated education and training (1.3.G).

## Key Successes and Opportunities

### Improving Instruction in Adult Education

Fiscal year (FY) 2021 continued to present challenges in the delivery of adult instruction. Many adult learners faced employment and housing uncertainty in addition to the challenges of continuing education. The Department supported and encouraged programs to continue engagement and provide flexibilities for adult learners. Continuing its work that began in FY 2020, OCTAE worked with 10 adult education programs in 4 states on a technology-based coaching project through June 2021. OCTAE conducted three webinars and periodic check-in meetings with each of the programs to prepare staff to implement technology-based coaching in the form of text messaging with adult learners. Each state continues to use technology-based coaching strategies to support student retention and outcomes while programs operate remotely and in-person during the COVID-19 pandemic.

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*“We must deploy every resource to bear to make sure all higher education students can reengage with their school communities, continue their education, and graduate ready to pursue their dreams.”*

*U.S. Secretary of Education  
Miguel A. Cardona*

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Efforts continued in the development of new training materials and an online version of the redesigned Adult Numeracy Initiative training for adult education teachers to begin pilot testing in October 2021. Through this \$2.4 million technical assistance investment, OCTAE seeks to assist states in improving the quality of mathematics instruction in adult education. This redesign work builds on available evidence on high-quality professional development and mathematics instruction.

Additionally, in July 2021, the Department [announced](#) the expansion of Second Chance Pell experiment for the 2022–2023 award year, which will provide education opportunities for thousands of justice-involved individuals who previously have been unable to access federal need-based financial aid. The expansion will allow up to 200 colleges and universities to offer their prison education programs with support from the Pell Grant Program.

## Other College and Career Readiness Activities

The COVID-19 pandemic affected the preparation of students for postsecondary education. IES' Regional Educational Laboratory Program works with educational stakeholders to use data and research to improve academic outcomes for students. The program published more than a dozen studies related to high school CTE, dual enrollment programs, and the use of data to predict college readiness. One study published in April 2021, [Advanced Placement Participation, Staffing, and Staff Training in the District of Columbia Public Schools](#), examined students' AP exam taking and passing rates in schools that mandate AP course enrollment and in schools that do not. The study found that three of the four high schools that adopted a mandate on AP course enrollment during the study period had higher AP exam taking and passing rates after their mandate went into place. Many colleges and universities grant credits to high school students who score well on AP exams, giving students a head start in their postsecondary education. The number of students taking an AP exam increased every year until SY 2019–2020, when the participation rate for AP exams dropped to below the SY 2015–2016 level.

IES' Regional Educational Laboratory Program also published [Examining High School Career and Technical Education Programs and the Postsecondary Outcomes of Career and Technical Education Students in the Round Rock Independent School District](#), a study on the alignment of CTE programs with high-wage, in-demand career pathways and the percentages of graduates who completed programs of study aligned with those pathways. The study found that more than 80 percent of graduates enrolled in two- or four-year colleges or were employed within one year of high school graduation. This study can be used to encourage participation in CTE by all student groups and encourage other education communities to adopt similar programs.

In FY 2021, IES' National Center for Education Research invested more than \$11.5 million in seven new awards to build knowledge about successful strategies in [CTE](#). Two of the grants were in the category of using State Longitudinal Data Systems to support state policymaking, and five of the grants were under the topic of the Education Research Grants Program.

# 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:

Assistant Secretary, Office of Planning, Evaluation, and Policy Development

## Overview

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

Several offices across the Department supported this strategic objective, including the Office of Planning, Evaluation, and Policy Development; the Office of Special Education and Rehabilitative Services; the Office of Elementary and Secondary Education; the Office of English Language Acquisition; and the Institute of Education Sciences (IES).

## Performance Analysis

There is only one performance indicator for this strategic objective (1.4.A), which gauges the number of technical assistance engagements, events or related activities, or products focused on grantees' use of evidence in P–12 education. This performance indicator did not meet its annual target.

## Key Successes and Opportunities

### Providing Resources to Enhance Outcomes

As students and educators return to in-person instruction, it is important to create learning environments in which students feel safe and academic success is encouraged. The Department developed the [National Center on Safe Supportive Learning Environments](#), a collection of resources to support teachers and school and district leaders as they welcome students back into classrooms and provide support to meet students' needs. Although initially created more than 10 years ago and continuously funded by the Office of Safe and

Supportive Schools, this website and its plentiful resources were intentionally repurposed in September 2021 to add and leverage more value for those currently grappling with reopening schools safely and provide technical assistance during the ongoing COVID-19 pandemic.

Numerous relevant topics are presented on the site, including strategies for reengaging P–12 students upon reopening; supporting COVID-19 vaccination efforts; supporting staff; and supporting mental health, physical safety, emotional safety, and emergency management and readiness. The popular [Lessons from the Field Webinar Series](#) is also archived on the site as a ready trove of best practices for educators and administrators to learn from peers and colleagues who are also undertaking the important work of reopening and reentry. Finally, those resources also include [School Climate Improvement Action Guides](#), which provide information on how the education community can support school climate improvements, and [Creating a Safe and Respectful Environment in Our Nation’s Classrooms](#), which provides information on reducing bullying behavior and other materials and links to multi-tiered systems of supports to help address students’ emotional and behavioral needs during the COVID-19 pandemic.

IES’ Regional Educational Laboratory Program also produced a [series](#) of evidence-based resources and guidance about teaching and learning in a remote environment, as well as other considerations brought about by the COVID-19 pandemic. Resources include information on topics such as accountability and assessments, equitable learning opportunities, returning to school, social and emotional learning and mental health, and students with disabilities.

## Using Data to Assess Activities

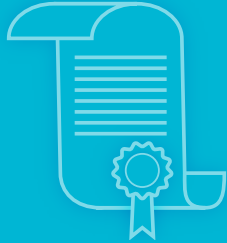
IES’ National Center for Education Statistics launched the National Assessment of Educational Progress 2021 Monthly School Survey and the School Pulse Panel to capture information about the operating status of kindergarten through grade 12 (K–12) schools nationwide. Data include information on the “instructional mode” (i.e., fully in-person, hybrid, or remote only) offered by schools, the instructional mode that students enrolled in, and the policies and programs schools are providing to support students in response to the pandemic. IES also launched [Implementation of Key Federal Policies in the Wake of the Coronavirus Pandemic](#), which will provide a national portrait of practices employed by states and districts to respond to COVID-19. Taken together, these studies will provide useful information to stakeholders across the Department about the types of evidence-based support that states, districts, and school leaders need to address the varied impacts of the pandemic on the nation’s K–12 students.



# Strategic Goal 2

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

# Goal 2 Spotlight



## GOAL LEADER:

Assistant Secretary, Office of Postsecondary Education

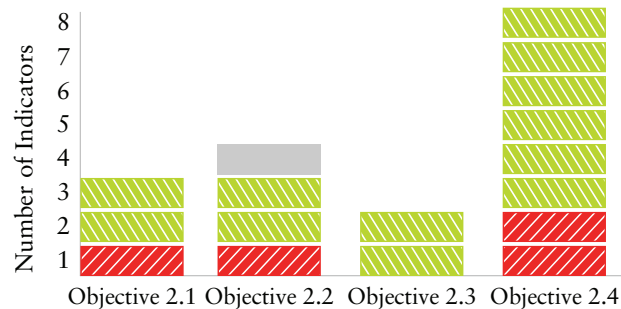
## GOAL 2 OBJECTIVES:

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

## Performance Indicator Overview

In fiscal year (FY) 2021, the Department assessed 17 performance indicators for this Strategic Goal. Of those, 12 targets were met or exceeded, and 4 performed below this year's target and the prior year's performance. One performance indicator did not have an established target and was baselined in FY 2021.

- FY 2021 baseline indicator
- Met or exceeded the FY 2021 target
- Improved from prior year but did not meet the FY 2021 target
- Did not meet the FY 2021 target or prior year performance





## Goal 2 Discretionary Resources

The following figure and table show total budgetary resources and select major discretionary programs and activities supporting Goal 2, respectively.

### Goal 2 Budgetary Resources



### Major Discretionary Programs and Activities Supporting Goal 2 (in thousands)

| POC   | ACCT | Objective     | Program  | FY 2020<br>Appropriation | FY 2021<br>Appropriation |
|-------|------|---------------|--|--------------------------|--------------------------|
| FSA   | SFA  | 2.1, 2.3      | Federal Pell Grants: Discretionary                 | \$22,475,352             | \$22,475,352             |
| OCTAE | CTAE | 2.1, 2.3      | Career and Technical Education<br>State Grants     | \$1,282,598              | \$1,334,848              |
| OCTAE | CTAE | 2.1, 2.3      | Adult Basic and Literacy Education<br>State Grants | \$656,955                | \$674,955                |
| OPE   | HE   | 2.1           | Aid for Institutional Development                  | \$616,270                | \$639,847                |
| OPE   | HE   | 2.1, 2.2, 2.3 | Federal TRIO Programs                              | \$1,090,000              | \$1,097,000              |
| Other | N/A  | N/A           | All Other Programs                                 | \$6,467,752              | \$6,665,794              |

**Note:**

Discretionary resources listed here include Department programs that may contribute to multiple Strategic Goals.

**Acronyms and Definitions:**

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

# 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:

Assistant Secretary, Office of Postsecondary Education

## Overview

The Department continues to recognize that effective grant-making is in the best interests of the students the grants serve, is critical to responsible stewardship of public dollars, and can yield measurable returns to society in the long term. In fiscal year (FY) 2021, the Office of Postsecondary Education (OPE) issued more than 6,000 discretionary grants designed to strengthen the capacity of colleges and universities to promote reform, innovation, and improvement in postsecondary education; promote and expand access to postsecondary education; and increase college completion rates for America's students. These grants also supported programs that broadened global competencies that drive the economic success and competitiveness of the nation.

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

## Performance Analysis

There are three performance indicators in this strategic objective. Of these, two met their targets, including 2.1.A, which gauges the percentage of Gaining Early Awareness and Readiness for Undergraduate Programs participants who obtain a secondary school diploma or its equivalent and, within one year, are enrolled in postsecondary education, and 2.1.C, which gauges the persistence among first-time filing aid recipients. The third performance indicator, 2.1.B, which gauges the percentage of first-time *Free Application for Federal Student Aid*<sup>®</sup> (FAFSA<sup>®</sup>) filers among high school seniors, did not meet its target.



## Key Successes and Opportunities

### Regulatory Activities

The Administration and the Department continue to take steps to support students and borrowers such as by extending the pause on student loan repayment, interest, and collections and expanding it to include additional borrowers. This action helped more than 42 million borrowers save billions of dollars per month. As of the end of FY 2021, the Biden–Harris Administration also approved more than \$13 billion in student loan discharges.

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*“As our nation’s economy continues to recover from a deep hole, this final extension will give students and borrowers the time they need to plan for restart and ensure a smooth pathway back to repayment.”*

*U.S. Secretary of Education  
Miguel A. Cardona*

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In August 2021, the Department [announced](#) a new regulation that allows borrowers who have a total and permanent disability to have their student loans discharged. The regulation allows the Department to provide automatic total and permanent disability discharges for borrowers who are identified through administrative data matching with the Social Security Administration. This regulation resulted in 360,000 borrowers receiving \$6.5 billion in automatic discharges, with additional discharges expected each quarter. In conjunction with the new regulation, the Department announced it indefinitely extended the policy to stop asking these borrowers to provide information on their earnings—a process that resulted in the reinstatement of loans if and when borrowers did not respond—beyond the end of the national emergency. Additionally, the Department engaged stakeholders in a negotiated rulemaking panel to discuss regulations related to total and permanent disability discharges in fall 2021, which resulted in consensus on several improvements, including eliminating the three-year monitoring period and expanding the categories used by the Social Security Administration that would qualify a borrower for a discharge.

OPE continues to develop federal postsecondary education policy and regulations that support students through the economic challenges of the COVID-19 pandemic and ensure their basic needs are met; help colleges take necessary precautions to reduce the risk of COVID-19 transmission; mitigate the negative consequences on learning and educational attainment; and support colleges’ fiscal stability and role as major employers. For example, in May 2021, the Department [announced](#) a final regulation that ensured all students who are

or were enrolled in an institution of higher education during the COVID-19 pandemic are eligible for emergency financial aid grants from the Higher Education Emergency Relief Fund (HEERF) regardless of whether they completed a FAFSA or are eligible for Title IV. Ensuring colleges can prioritize emergency funds to all students with the greatest need helped further support an equitable recovery. Additionally, the Department acted quickly to correct a technical oversight in the *Coronavirus Response and Relief Supplemental Appropriations Act, 2021*, which authorizes additional assistance for eligible Historically Black Colleges and Universities (HBCUs) under two programs authorized by the *Higher Education Act of 1965*, as amended: the Strengthening HBCUs Program and the HBCU Master's Program. The [\*Calculation of the Endowment Factor for Allocations to Historically Black Colleges and Universities Under Section 314\(a\)\(2\)\(A\) of the Coronavirus Response and Relief Supplemental Appropriations Act, 2021\*](#) specifies the formula used to determine how funds are allocated to each HBCU and allowed funds to quickly flow to colleges. The regulation was published in the *Federal Register* in April 2021.

The Policy, Planning, and Innovation division in OPE also developed a rule reflecting the repeal of the subsidized usage limit restriction pursuant to the *Consolidated Appropriations Act, 2021*, and the [\*Repeal of the William D. Ford Federal Direct Loan Program Subsidized Usage Limit Restriction\*](#) was published in the *Federal Register* in June 2021. The regulation removes the subsidized usage loan limit restriction for any borrower who receives a Federal Direct Stafford Subsidized Loan first disbursed on or after July 1, 2021, regardless of the award year associated with the loan. Additionally, subsidy benefits will be reinstated retroactively to the date on which the loss of subsidy was applied.

## Outreach

Many students use some form of financial aid to fund their postsecondary education. Enhancing the education community's knowledge of available financing options can contribute to more students having access to postsecondary education. In October 2020, FSA hosted virtual Financial Aid Bootcamps designed for students, parents, guidance counselors, college access professionals, and other members of the financial aid community to enhance their familiarity with the financial aid process. The bootcamps provided information about the financial aid process and how to complete the 2021–2022 FAFSA form as well as how to use the [\*College Scorecard\*](#) and [\*Loan Simulator\*](#) tools. Participants also received tips and best practices to resolve unique circumstances during the COVID-19 pandemic.

FSA also partnered with multiple states to host virtual partner summits for invited student support organizations to increase awareness of resources that support FAFSA form completion and postsecondary success. The summits included presentations on financial aid changes by FSA outreach staff and information on best practices from state and local community organizations. The summits laid the foundation for establishing greater collaboration among participants within federal, state, and local networks.

Additionally, FSA took many steps to increase FAFSA filing among high school seniors, including engaging more than 500 media outlets, conducting outreach to specific states that are struggling the most with high school senior FAFSA filing, posting more than 250 social media posts, and conducting email campaigns that reached more than 41 million customers who previously completed the FAFSA. These strategies enhanced outreach to local media outlets and to key states about the importance of FAFSA filing, which contributed to increases in the filing results in these areas. Social media outreach continued to be a promising method for raising awareness as well. For much of the cycle, FAFSA submissions by returning filers exceeded rates of filing for this population when compared to the previous year.

Through Project Success, FSA worked to improve student retention, graduation, and cohort default rates at more than 247 minority-serving institutions. These services, which are provided by guaranty agencies without additional charge to participating schools, include tools, programs, and other resources that seek to help students increase their financial literacy and achieve their postsecondary education goals. FSA is also committed to continuing its work beyond Project Success to provide robust regulatory training and technical assistance to minority-serving institutions.

The Department's team responsible for management and implementation of the HEERF III, as authorized by section 2003 of the *American Rescue Plan Act of 2021*, used outreach activities to support goals of this objective, which include (1) prioritizing institutions with the greatest need, (2) ensuring equitable access to emergency aid for students, (3) addressing systemic barriers to retention and completion exacerbated by the COVID-19 pandemic, and (4) ensuring that funds were dispersed to students and institutions expeditiously.

The Department worked hard to provide clear, comprehensive guidance to institutions; actively engage with key stakeholders, particularly from institutions themselves; and strengthen internal controls in monitoring the program. The Department continues to monitor spending patterns closely, work with grantees to identify impediments to the effective use of funds, and clarify allowable uses of funds whenever necessary. The Department has conducted dozens of listening sessions with institutions of higher education and college associations representing

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*“One of my first priorities is to ensure that institutions of higher education have the financial support and resources needed to support their students and mitigate the challenges brought on by the COVID-19 emergency. Our latest actions will help campuses address those challenges.”*

*U.S. Secretary of Education  
Miguel A. Cardona*

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thousands of institutions. Additionally, the Department hosted webinars and published new guidance and frequently asked questions documents. The Department also facilitated more than 60 partnerships between community colleges and the Department of Health and Human Services to create vaccination sites for students, faculty, staff, and community members, and providers, and the Federal Retail Pharmacy Program provided many more on-site clinics for colleges and universities across the nation.

# 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:

Assistant Secretary, Office of Planning, Evaluation, and Policy Development

## Overview

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

To increase the likelihood that these programs achieved their goals, the Department supported the use of evidence across multiple programs that addressed postsecondary education and workforce outcomes.

Several offices across the Department supported this strategic objective, including the Office of Postsecondary Education; the Office of Planning, Evaluation, and Policy Development; the Institute of Education Sciences (IES); the Office of Special Education and Rehabilitative Services; the Office of English Language Acquisition; and the Office of Career, Technical, and Adult Education (OCTAE).

## Performance Analysis

There are four performance indicators in this strategic objective. Of those, two met their targets, including 2.2.B, which gauges the percentage of WIOA adult education program participants who are in unsubsidized employment during the second quarter after exit from the program, and 2.2.D, which gauges the percentage of Vocational Rehabilitation (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) toward such a credential or employment. The third performance indicator, 2.2.A, which gauges the 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, did not meet its target. The last performance indicator, 2.2.C, which gauges the percentage of VR Program participants who were in unsubsidized employment during the second quarter after exiting the program, was baselined in fiscal year (FY) 2021.

## Key Successes and Opportunities

### Outreach and Technical Assistance or Providing Evidence of What Works

OCTAE's [National Reporting System for Adult Education](#) (NRS) is the accountability system for the federally funded adult education program and provides outcome-based reporting. In FY 2021, the NRS Evaluation Learning Community concluded a year-long professional development activity designed to promote understanding of evaluation methods and provide state participants the opportunity to conduct their own evaluation research on specific topics. An [NRS Evaluation Learning Community webinar](#) highlighted four states (Illinois, Pennsylvania, Texas, and Virginia) that spent the year conducting research on two key topics: (1) professional development for implementing standards-based or integrated education and training programming and (2) comprehensive intake strategies. The webinar allowed states to learn about the research designs, methods, and findings from these four states and allowed other states to share their experiences on the study topics.

IES' [Career & Technical Education Research Network](#) (CTERN), in its efforts to improve awareness of evidence-based practices that improve outcomes for career and technical education (CTE) students, is increasing the number of CTE impact studies and promoting the use of CTE research, such as a two-year study, [Exploring the Role and Effects of High School Advising on CTE Students' Transitions to Postsecondary Education and the Workforce](#). Additional resources include webinars, studies, and trainings that provide beneficial information to CTE practitioners. For example, because many hands-on and team-based CTE programs were heavily impacted by the COVID-19 pandemic, in September 2021, CTERN published a report, [CTE Programs and the COVID-19 Pandemic: Responses, Innovations, and Implications for Future Research](#), that identified challenges, lessons learned, and innovations developed to help other CTE teachers, administrators, and curriculum developers.

IES' [What Works Clearinghouse](#) continued to focus on high-quality research to answer the question, "What works in education?" The clearinghouse highlighted seven postsecondary-focused studies through its *Postsecondary Studies of the Month* email newsletter. Focal topics included early college high schools; dual enrollment and CTE programs; light-tough

supports for college-going, grant, and scholarship programs; and summer enrollment. In March 2021, the clearinghouse also released a new postsecondary-focused practice guide, [\*Designing and Delivering Career Pathways at Community Colleges\*](#), that includes specific recommendations for supporting occupational skills training through career pathways. Additionally, a webinar and supporting videos were released supporting the practice guide's use.

# 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, Office of Career, Technical, and Adult Education

## Overview

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

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

## Performance Analysis

There are two performance indicators in this strategic objective; both met their targets. Performance indicator 2.3.A gauges the 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, and 2.3.C gauges the number of postsecondary science, technology, engineering, and mathematics (STEM) degrees and certificates conferred.

## Key Successes and Opportunities

### Job Skills Development or Expanding Career Pathways

The Department continues its support for multiple pathways to high-demand careers for students. In late fiscal year (FY) 2020, OCTAE launched its REthink Adult Ed Challenge,



a \$2.1 million technical assistance investment that includes a \$750,000 prize pool. Response to the launch exceeded expectations, with more than 720 interested parties registered for an informational webinar, resulting in 203 application submissions covering a range of industries, including manufacturing, health care, and technology. The challenge targeted the development of 100 or more new pre-apprenticeship programs involving partnerships between adult education

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*“The Rethink Adult Ed Challenge proved the demand for training opportunities that are responsive to the evolving needs of American businesses—and our adult learners.”*

*U.S. Secretary of Education  
Miguel A. Cardona*

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providers, sponsoring apprenticeship organizations, and employers. In January 2021, the Department announced 95 finalists for the challenge following a competitive panel review process. The finalists came from a variety of institutions, including IHEs, local educational agencies, community or faith-based organizations, and correctional facilities. The finalists participated in and completed the virtual accelerator technical assistance, during which they received access to a range of digital resources, such as case studies, activities, and three webinars with subject matter experts, to help them develop detailed program proposals. In addition to the 95 finalists receiving intensive technical assistance, the 108 Stage 1 applicants who were not selected to move on to Stage 2 received technical assistance and were provided with selected materials and evidence-based resources to access in further development of their pre-apprenticeship programs. At the conclusion of the challenge in September 2021, one grand prize and four runner-up awards between \$100,000 and \$250,000 were awarded to fund model implementation.

OCTAE’s Literacy Information and Communication System (LINCS) continued to support the adult education and literacy field of practitioners by providing and conducting virtual trainings during the COVID-19 pandemic aligned to the goal of workforce development preparation. These trainings supported teachers in delivering online instruction that builds adult learner digital literacy and technology skills, employability skills, and/or English language skills. Enrollment in and completion of LINCS’s five self-paced online courses directly related to the integration of workforce preparation activities doubled from Quarter 4 of FY 2020 to Quarter 1 of FY 2021. LINCS continues to make the integration of workforce preparation activities into academic instruction a priority in adult education. LINCS also launched Integrated Education and Training (IET) in Corrections Technical Assistance, a two-year project with the goal of identifying and developing models for IET programs in corrections agencies and documenting and disseminating these models for replication across the country to scale opportunities for students who are incarcerated to improve their education, obtain employment, reconnect with family, and reengage with their communities. This project targets the 2 million people currently incarcerated in state and federal

correctional facilities and the 11 million people who cycle in and out of local jail facilities every year. This project aims to enhance and accelerate learning opportunities for incarcerated individuals and is particularly important for learners in jails, as they may be released prior to completing linear programming (i.e., adult basic education to high school/school equivalency to workforce training). The project also seeks to provide career pathways that are aligned with programs in the community, improve post-release employment opportunities, and reduce recidivism. The project began with a virtual learning series for interested correctional educational stakeholders. In June 2021, six project participant sites (Indiana, Maryland, Minnesota, Mississippi, Texas, and West Virginia) were selected and announced. The participants represented six jurisdictions and included local jails and state prisons. Project participants had four virtual technical assistance sessions, looking at researching and assessing IET programs as well as designing and planning an IET program. The project will conduct technical assistance activities aligned to the goal of workforce development preparation through September 30, 2022.

[CTE CyberNet](#) is a national professional development initiative for high school cybersecurity teachers funded by Perkins Act national activities funds and administered by OCTAE. It addresses the urgent and growing demand for qualified high school cybersecurity teachers that are pivotal to the security of our nation's critical infrastructure and prosperity. Through a local academy model, the initiative provided intensive professional development to an initial cohort of 30 high school career and technical education (CTE) teachers across three locations. The 2020–2021 CTE CyberNet Academies provided teachers with an 80-hour summer intensive session during June 2020 and a technical assistance accelerator period from September 2020 to June 2021. The three CTE CyberNet sites were led by Center of Academic Excellence (CAE) Regional Resource Centers designated by the National Security Agency (NSA) and the Department of Homeland Security to teach postsecondary cybersecurity aligned with NSA, CAE, and National Initiative for Cybersecurity Education frameworks. On June 3, 2021, OCTAE recognized the completion of the first CTE CyberNet Academy cohort of 30 teachers as Distinguished Cybersecurity Educators.

OCTAE launched the CTE CyberNet Expansion Accelerator in September 2021 to expand the models to five sites for providing intensive professional development that were developed collaboratively by the three CTE CyberNet sites. The locally developed programs are specifically designed to provide intensive professional development for high school CTE teachers during summer 2022 and ongoing support throughout the year.

Additionally, in FY 2021, OCTAE supported Year 2 of projects under the [Perkins Innovation and Modernization Program](#) (Perkins I&M), which is intended to identify, support, and rigorously evaluate evidence-based and innovative strategies and activities to improve and modernize CTE and to ensure workforce skills taught in CTE programs funded

under the *Carl D. Perkins Career and Technical Education Act of 2006*, as amended by the *Strengthening Career and Technical Education for the 21st Century Act (Perkins V)*, are in alignment with labor market needs. Each of the nine Perkins I&M grant recipients successfully completed Year 2 of the three-year project period; funding for Year 3 was effective October 1, 2021.

# 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

## Overview

The Department’s Federal Student Aid (FSA) manages one of the largest loan portfolios in the nation and delivers more than \$120 billion in financial aid each year to students and their families. FSA also has the responsibility for oversight of approximately 5,600 postsecondary institutions that receive Title IV aid. Over the past year, FSA has worked diligently to modernize its systems and operations to deliver world-class customer experiences and partner engagement. This effort is not only to improve the quality of service for customers but also to be the most trusted and reliable source of student financial aid information and services in the nation.

FSA led the effort for this strategic objective with support from several offices across the Department, including the Office of the Under Secretary and the Office of Postsecondary Education.

## Performance Analysis

There are eight performance indicators in this strategic objective. Of those, six met their targets. These include 2.4.A, which gauges the average speed to answer incoming calls to FSA’s call center; 2.4.B, which gauges the average abandon rate for incoming calls to FSA’s call centers; 2.4.D, which gauges the number of downloads of the myStudentAid mobile app; 2.4.E, which gauges the number of customers checking loan balances via the myStudentAid mobile app; 2.4.G, which gauges the number of visits (sessions) demonstrating adoption of the updated [StudentAid.gov](https://studentaid.gov) site; and 2.4.H, which gauges the number of users of “Aidan®,” the [StudentAid.gov](https://studentaid.gov) virtual assistant. Two performance indicators did not meet their targets: 2.4.C, which gauges composite score of the American Customer Satisfaction Index Aid Life Cycle Surveys; and 2.4.F, which gauges the number of customers submitting a *Free Application for Federal Student Aid*® (FAFSA®) via a mobile platform.

## Key Successes and Opportunities

### Enhancing Customer Service

FSA conducts monthly customer listening sessions to gather, analyze, and report on customer behavior, issues, and feedback to inform and make improvements. The sessions cover web analytics, complaints, social media, and customer experience surveys. As a result, FSA has made enhancements to information on its digital platforms, redesigned email templates, and identified process improvements.

Customer service to students and borrowers has also been enhanced by adopting a more service-oriented and streamlined approach at contact and loan servicing centers. To provide customers with clear information that resolves requests, questions, and issues quickly and accurately, FSA consolidated contact center activities to five Business Process Operation vendors. This achievement advances FSA’s vision to provide an enterprise-wide contact center operating solution, which will provide more robust customer support and improve outcomes.

### Call Servicers Who Answer Customer Telephone Calls and Inquiries

The average speed to answer incoming calls to FSA’s call centers has been heavily influenced by the COVID-19 emergency relief flexibilities that have significantly lowered call volumes to call centers. Call volume is expected to increase as millions of borrowers prepare to return to repaying their student loans when the payment pause expires. Throughout fiscal year 2021, some call centers improved capability, adding features such as interactive voice response callback and chat bots to handle inbound calls.

### Digital Enhancements to Improve Customer Service

FSA has continued to enhance customers’ experiences with the myStudentAid mobile app, making the platform more user-friendly and adding features to provide more information to borrowers. Enhancements included the addition of a personalized dashboard for customers, where they can view a summary of their current aid, loan balances, and additional details about their loans and complete key tasks on the device of their choosing. The Public Service Loan Forgiveness Help Tool redesign, integration of the borrower defense application, and addition of the “borrow more” simulation to the [student loan simulator](#) tool were also completed based on customer feedback and user experience best practices. In May 2021, “Aidan®,” the virtual assistant that can answer common questions about federal student aid, became available to all [StudentAid.gov](#) website visitors and on the myStudentAid mobile app. Previously, the tool was only available to logged-in website visitors. FSA will continue to improve the user experience by adding new content, developing new capabilities, and refining the artificial intelligence model.

The myStudentAid mobile app now provides greater access for families to complete the FAFSA on a mobile device or tablet. This was beneficial during the COVID-19 pandemic when the availability of public computers was limited. FSA's social media team spread awareness of the added functionality and provided content that promoted the completion of the FAFSA via the mobile app.

In September 2021, FSA launched the [Federal Student Aid Estimator](#) on [StudentAid.gov](#). This free online tool, which is also available in Spanish, helps students calculate an estimated nonbinding Expected Family Contribution and an estimated eligibility for Federal Pell Grants, work-study funds, and federal student loans. The tool also links to the College Scorecard to help students find the college or career school that is the best fit.

# 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, Federal Student Aid

## Overview

In fiscal year (FY) 2021, the Department continued to execute its comprehensive framework for student aid management that allows students to understand and access information about college options and associated costs, loan counseling and guidance, loan repayment options, and borrower benefits.

Through increased collaboration and collective action, the Department enhanced information and materials that inform students and parents about federal student loan repayment options, both before and throughout the student aid life cycle.

Federal Student Aid (FSA) led the effort for this strategic objective with support from several offices across the Department, including the Office of the Under Secretary and the Office of Postsecondary Education.

## Performance Analysis

There are two performance indicators in this strategic objective, 2.5.A and 2.5.B, which gauge the percentage of borrowers who are more than 30 days and 90 days delinquent, respectively. Due to the COVID-19 emergency relief student loan payment suspension, these performance indicators were not assessed in FY 2021.

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*“Helping more students afford college is a top priority, and effective collaboration among the states and federal government is the best way to ensure that student loan borrowers get the best possible service.”*

*U.S. Secretary of Education  
Miguel A. Cardona*

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## Key Successes and Opportunities

### Mitigating Delinquency

FSA uses data analytics to track customer trends and offer proactive support and

interventions to help improve overall student loan repayment. FSA developed an “always-on” continuous email campaign to mitigate delinquency when borrowers in forbearance return to repayment. The emails will communicate with borrowers when they miss payments and will send positive feedback to high-risk borrowers when they make payments as well.





# Strategic Goal 3

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

# Goal 3 Spotlight



## GOAL LEADER:

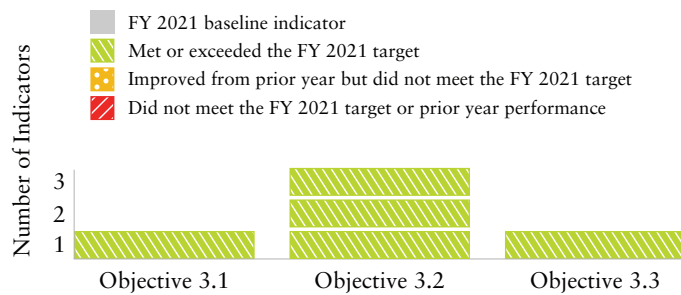
Chief Data Officer

## GOAL 3 STRATEGIC OBJECTIVES:

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

## Performance Indicator Overview

In fiscal year (FY) 2021, the Department assessed five performance indicators for this Strategic Goal. Of those, all targets were met or exceeded.

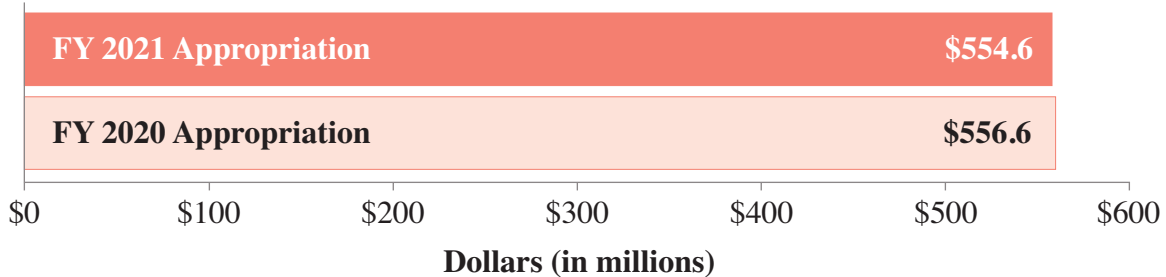




## Goal 3 Discretionary Resources

The following figure and table show total budgetary resources and select major discretionary programs and activities supporting Goal 3, respectively.

### Goal 3 Budgetary Resources



### Major Discretionary Programs and Activities Supporting Goal 3 (in thousands)<sup>1</sup>

| POC   | ACCT | Objective     | Program                                  | FY 2020<br>Appropriation | FY 2021<br>Appropriation |
|-------|------|---------------|--|--------------------------|--------------------------|
| IES   | IES  | 3.3           | Research, Development, and Dissemination | \$195,877                | \$197,877                |
| IES   | IES  | 3.1, 3.2, 3.3 | Statistics                               | \$110,500                | \$111,500                |
| IES   | IES  | 3.1, 3.2, 3.3 | National Assessment                      | \$153,000                | \$165,000                |
| Other | N/A  | N/A           | All Other Programs                       | \$97,245                 | \$99,745                 |

**Note:**

Discretionary resources listed here include Department programs that may contribute to multiple Strategic Goals.

**Acronyms and Definitions:**

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

<sup>1</sup>In addition to the resources noted in the table, the *Coronavirus Response and Relief Supplemental Appropriations Act, 2021* provided the Institute of Education Sciences (IES) with \$28 million in supplemental discretionary resources to mitigate the additional expenses caused by the COVID-19 pandemic for administering the National Assessment of Educational Progress, and the *American Rescue Plan Act of 2021* provided IES with \$100 million in supplemental mandatory resources to support research related to learning loss due to the COVID-19 pandemic.

# 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' Institution of Education Sciences

## Overview

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

Although this strategic objective is supported by all principal offices across the Department, two offices steer the efforts: the National Center for Education Statistics (NCES) within the Institute of Education Sciences and the Office of the Chief Data Officer (OCDO) within the Office of Planning, Evaluation, and Policy Development.

## Performance Analysis

There is only one performance indicator in this strategic objective, 3.1.A, which gauges the percentage of principal offices assessed as having higher data maturity year over year based on the Department's data maturity assessment tool. It was baselined in fiscal year (FY) 2020, and it met its FY 2021 performance target. The FY 2021 Data Maturity score was the first point at which improvement over baseline could be measured. The year-over-year improvement target was pursued by way of principal operating component action plans developed in coordination with OCDO, supporting the implementation of the Department's Data Strategy Goal 1 to strengthen agency-wide data governance.

## Key Successes and Opportunities

### Enhancing Data Governance

In December 2020, the Department completed and published its inaugural [Data Strategy](#), which provides a roadmap for the agency to improve education outcomes and lead the

nation through evidence-based policy and data-driven decisions. The Data Strategy also recognizes that the Department can, should, and will do more to improve student outcomes through more strategic use of data. The Department’s Data Governance Board (DGB) guided the development of four interdependent goals within the Data Strategy: (1) strengthening agency-wide data governance; (2) building human capacity to leverage data; (3) advancing the strategic use of data; (4) and improving data access, transparency, and privacy. The goals are supported by 19 cross-cutting objectives that require collaborative effort across the Department.

In support of Goal 1 in the Data Strategy (strengthen agency-wide data governance), OCDO and DGB worked to implement the new data governance policies that evolve and align structures, policies, and procedures. The work included the creation of the Data Coordinator Council, which is tasked with developing common solutions to data management problems and facilitating execution of the Data Strategy, support for data maturity improvements, and tactical challenges assigned by DGB.

OCDO used results from the data maturity assessment conducted in FY 2020 to formalize data management functions and advance the maturity of the functions through implementation activities. This resulted in a new data governance policy on offices’ data management functions tailored for office and enterprise functions. In FY 2021, the second annual data maturity assessment was conducted, with 93 percent of offices demonstrating improved data maturity, with the most improvement in the areas of data management strategy, data management function, and business cases.

DGB approved a data governance policy that formalized the data management life cycle and developed a holistic agency-wide framework with established data governance structures, functions, roles, policies, and procedures. DGB collaborated with the Department’s Office of Human Resources to circulate the first version of the Department’s data workforce plan and data competency framework and developed position descriptions for data coordinators. These efforts have advanced the Data Strategy’s Goal 2 (build human capacity to leverage data) and helped make progress in developing the data workforce plan.

To further demonstrate that improving data quality is a priority for the Department, OCDO continued working with principal offices to review systems and identify needs important to analysis of program data. OCDO worked with agency data experts to form working groups to develop a common data standards glossary and a data quality playbook outlining authorities, tools, and resources for grant program managers. OCDO also began to develop a framework for reviewing existing *Government Performance Reporting Modernization Act* indicators, create a data quality checklist, identify indicators that may be used across programs, and revise the information collection request process to include data quality planning as a key component as identified in the Data Strategy’s Goal 3 and Goal 4.

## Enhancing Data Collection

In an effort to provide clear and transparent reporting on the implementation of the *Coronavirus Aid, Relief, and Economic Security (CARES) Act* and the *Coronavirus Response and Relief Supplemental Appropriations Act, 2021*, the [Education Stabilization Fund \(ESF\) Transparency Portal](#) was launched. The portal allows the Department to track performance, hold grantees accountable, and provide transparency to taxpayers and oversight bodies. The portal builds on work from NCES to meet data reporting requirements for the primary ESF programs, including the Higher Education Emergency Relief Fund (HEERF), Elementary and Secondary School Emergency Relief (ESSER) funds, Governor’s Emergency Education Relief (GEER) funds, and equivalent Outlying Area funds.

OCDO completed its first collection of annual performance reports (APRs) from organizations that received CARES Act grants, using capabilities within the ESF Transparency Portal to enable grantees to submit APRs on funding authorized through HEERF, ESSER funds, and GEER funds. Working in partnership with the Office of Postsecondary Education and the Office of Elementary and Secondary Education, OCDO was able to achieve a 99.7 percent response rate from almost 4,900 HEERF grantees and a 100 percent response rate from ESSER and GEER fund grantees, ensuring comprehensive data on the use of funds to support student learning during the pandemic. In summer 2021, the 2020 APRs for HEERF, GEER funds, ESSER funds, and equivalent Outlying Area funds grantees were made publicly accessible on the portal.

# 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 Information Officer

## Overview

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

All Department offices have a role in supporting this strategic objective. Primary stakeholder offices include the Office of the Chief Information Officer; the Office of Planning, Evaluation, and Policy Development, specifically the Student Privacy Policy Office (SPPO) and the Office of the Chief Data Officer; Federal Student Aid (FSA); the Institute of Education Sciences; and the Office of the General Counsel.

## Performance Analysis

All of three performance indicators in this strategic objective met their targets. These include performance indicator 3.2.A, which gauges the number of IHEs that have an audit of *Gramm-Leach-Bliley Act* (GLBA)-related information security safeguards that result in no significant findings; performance indicator 3.2.B, which gauges the number of outreach activities targeting data privacy and information technology security requirements of IHEs, and performance indicator 3.2.C, which gauges the percentage of local educational agency (LEA) websites from a statistically representative sample reviewed for inclusion of transparency best practices.

## Key Successes and Opportunities

### Student Privacy and Information Disclosures at K–12 Schools

SPPO continued progress on its goal to review 1,504 LEA websites to assess their inclusion of transparency best practices by the end of fiscal year (FY) 2022. By the end of FY 2021, 85 percent of reviews had been completed, which reflects a cumulative total of 1,278. The goal represents approximately 10 percent of operational LEA websites in the country. Throughout the reviews and during the development of year-end annual reports, SPPO identifies trends to facilitate the delivery of targeted technical assistance. In completing the review of the statistically representative sample, SPPO will use the results to generate an overall summary report and consider the need for additional guidance or best practices in terms of transparency. Annual and overall summary reports are available on the [SPPO website](#).

### Cybersecurity Issues at Institutions of Higher Education

The Department continues to collaborate with IHEs to prevent unauthorized access of sensitive student information. In FY 2021, FSA engaged with nearly 1,000 schools to share information, collaborate, and improve the security of student financial and privacy data. This engagement has led to improvements in outcomes, reduction of risks, and impacted cybersecurity and student data privacy. FSA also held its annual training conference in December 2020, during which more than 4,500 individuals participated in two sessions on cybersecurity and National Institute of Standards and Technology Special Publication 800-171, [\*Protecting Controlled Unclassified Information in Nonfederal Systems and Organizations\*](#).

FSA's postsecondary cybersecurity team, which can disable an institution's access to Department systems if there is a substantial risk to the security of student information, conducted more than 70 outreach activities in response to breach incidents and to improve compliance with cybersecurity safeguards. FSA also conducted an outreach initiative to more than 500 IHEs in response to Microsoft Exchange Vulnerability to ensure that IHEs were aware of the vulnerability and took appropriate actions to remediate or prevent potential exposure. FSA initialized the GLBA cybersecurity workstream and performed an outreach initiative to address IHE GLBA noncompliance. As part of this effort, FSA sent initial contact letters to IHEs with GLBA findings informing them of the need to establish a corrective action plan to address the findings.

Further activities to protect student data include SPPO's Privacy Technical Assistance Center, providing several outreach activities targeting IHEs. In February 2021, technical assistance was presented at the Southern Association of Student Financial Aid Administrators (SASFAA) Conference. The virtual presentation provided in-depth *Family Educational Rights and Privacy Act* and data security training to more than 800 members of SASFAA.



In March 2021, FSA posted an electronic announcement, [Technology Security Alert—Threat Actors Exploiting On-Premises Microsoft Exchange Vulnerabilities \(EA ID: GENERAL-21-16\)](#). Also in March 2021, FSA held a meeting with EDUCAUSE to discuss the December 2020 electronic announcement, [Protecting Student Information—Compliance with CUI and GLBA](#) and to renew discussions about cybersecurity collaboration. Additionally, presentations were made to the Alabama Association of Student Financial Aid Administrators, the Virginia Association of Student Financial Aid Administrators, and the Future Privacy Forum Privacy Panel. FSA also shared information on privacy concepts and trends impacting colleges and universities.

# 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:

Deputy Chief Data Officer for Governance and Strategy, Office of the Chief Data Officer

## Overview

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

Several principal offices across the Department supported this strategic objective, including the Institute of Education Sciences (IES); the Office of Planning, Evaluation, and Policy Development (OPEPD); OPEPD's Office of the Chief Data Officer and Office of Educational Technology; IES' National Center for Education Statistics (NCES); the Office for Civil Rights; and the Office of Special Education and Rehabilitative Services.

## Performance Analysis

The only performance indicator for this strategic objective, 3.3.A, which gauges the number of data assets listed in a comprehensive data inventory that are made available to the Federal Data Catalogue with official determinations regarding “open-by-default” requirements, met its annual target.

## Key Successes and Opportunities

### Data at the Department

The [Open Data Platform](#) continues to grow and operationalize the Department's comprehensive data inventory while progressing on open data requirements of the [Open, Public, Electronic, and Necessary Government Data Act](#) and the Department's Data Strategy Goal 4 to improve data access, transparency, and privacy. The platform provides the Department's public data in an accessible and user-friendly manner and also defines what

data are maintained but are not publicly available. Several improvements were made to the Open Data Platform to simplify maintaining the data inventory. Data files uploaded to the system are now automatically translated into an open format, if needed, promoting compliance with provisions of the *OPEN Government Data Act* without adding burden to data stewards. The abilities to copy data profiles, organize data profiles hierarchically, and designate other relationships between data profiles were implemented, both reducing the burden on data stewards to create new inventory entries and enabling a richer description of the underlying data. By the end of fiscal year (FY) 2021, the Open Data Platform, with 619 public datasets, continued to grow and operationalize the Department’s comprehensive data inventory, incorporating hundreds of data profiles and thousands of individual datasets into the Federal Data Catalogue.

### Data in the Education Community

In December 2020, NCES published [\*Trends in International Mathematics and Science Study \(TIMSS\) 2019 U.S. Results\*](#). TIMSS is administered every four years and is used to compare the mathematics and science knowledge and skills of fourth and eighth graders over time. The focus of the report is on the mathematics and science achievement of U.S. students relative to their peers in other education systems in 2019. As 2019 TIMSS results show, the United States had higher average scores than most participating countries in both mathematics and science in both grades 4 and 8. However, in 2019, the United States had relatively large score gaps between the top- and bottom-performing students in both TIMSS subjects and grades. Moreover, except in grade 4 science, the U.S. score gaps increased from most prior administrations of TIMSS, related, in part, to drops in the 2019 performance of the bottom performers from the prior two administrations.

In May 2021, NCES published results from the National Assessment of Educational Progress (NAEP) grades 4, 8, and 12 science assessments administered in 2019. These assessments are administered every four to six years. The average science score for fourth graders in the nation declined from 2015 to 2019, whereas scores for eighth graders and 12th graders did not change. As seen on other large-scale assessments in recent years, the score trends diverged between lower-performing and higher-performing fourth and eighth graders: scores declined for lower-achieving students and held steady for their higher-achieving peers.

NCES developed a new survey collection of data on schools’ approaches to learning during the pandemic, as directed by [\*Executive Order 14000, Supporting the Reopening and Continuing Operation of Schools and Early Childhood Education Providers\*](#), and to help safely reopen America’s schools and promote educational equity. From January through May 2021, IES surveyed approximately 3,500 schools with grades 4 and 8 about school operations and provided data on the [\*NCES NAEP 2021 Monthly School Survey Dashboard\*](#). The

data included information on the mode of instructional delivery, enrollment, and attendance rates and will be used to add contextual factors to the FY 2022 NAEP data.

Several improvements were made to the process for releasing and making available components of the Common Core of Data, the Department's primary database for public elementary and secondary education. Final files for school year (SY) 2019–2020 were posted on the [NCES website](#), and the information was loaded into NCES online data tools. SY 2019–2020 data were posted earlier in FY 2021 than SY 2018–2019 data in FY 2020. [Preliminary files](#) documenting the directory of schools and districts for SY 2020–2021 and information on student enrollment at the state level also were posted. Information was also added to the [data files](#) page, including anticipated release dates to improve transparency for external users.

The [College Scorecard](#) team improved the functionality of the tool to allow users to find, compare, and contrast different fields of study more easily; access expanded data on the typical earnings of graduates two years post-graduation; view median parent PLUS loan debt at specific institutions; and learn about the typical amount of federal debt taken on by students who transfer. OCDO facilitated reconsideration of Internal Revenue Service risk assumptions to enhance data coverage and utility while still protecting privacy. The FY 2021 College Scorecard enhancement further discloses for prospective students how well borrowers from specific institutions are meeting their federal student loan repayment obligations and how borrower cohorts are faring at certain intervals in the repayment process.

The *Evidence Act* requires federal agencies to engage the public in using public data assets of the agency and encourage collaboration. In March 2021, OCDO represented the Department as the only federal agency to participate in International Open Data Day and joined the international community in a conversation on open data through a public live chat on the use of education data and efforts to improve the transparency, accessibility, and privacy of public data.



# Strategic Goal 4

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

# Goal 4 Spotlight



## GOAL LEADER:

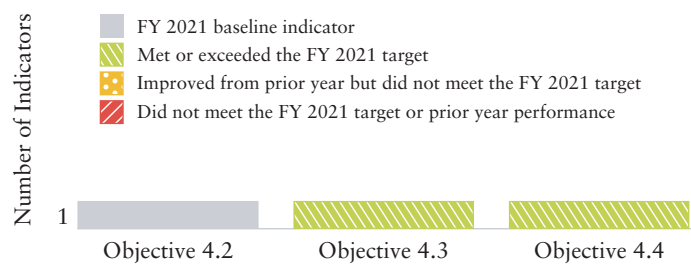
Assistant Secretary, Office of  
Finance and Operations

## GOAL 4 OBJECTIVES:

- 4.1 Improve regulatory processes.
- 4.2 Identify, assess, monitor,  
and manage enterprise risks.
- 4.3 Strengthen the Department's  
cybersecurity by enhancing  
protections for its information  
technology infrastructure,  
systems, and data.
- 4.4 Improve the engagement and  
preparation of the Department's  
workforce using professional  
development and accountability  
measures.

## Performance Indicator Overview

In fiscal year (FY) 2021, the Department assessed three performance indicators for this Strategic Goal. Of those, two targets were met or exceeded, and one did not have an established target and was baselined in FY 2021.

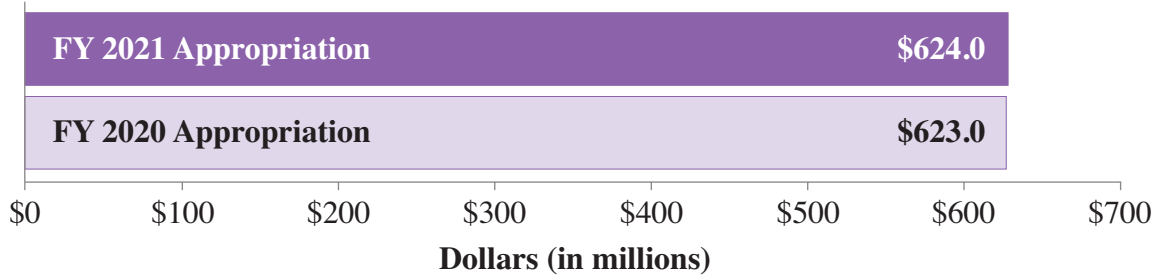




## Goal 4 Discretionary Resources

The following figure and table show total budgetary resources and select major discretionary programs and activities supporting Goal 4, respectively.

### Goal 4 Budgetary Resources



### Major Discretionary Programs and Activities Supporting Goal 4 (in thousands)

| POC   | ACCT  | Objective | Program                                       | FY 2020<br>Appropriation | FY 2021<br>Appropriation |
|-------|-------|-----------|---|--------------------------|--------------------------|
| All   | DM/PA | N/A       | Program Administration: Salaries and Expenses | \$430,000                | \$430,000                |
| OCR   | OCR   | N/A       | Office for Civil Rights                       | \$130,000                | \$131,000                |
| Other | N/A   | N/A       | All Other Programs                            | \$63,000                 | \$63,000                 |

**Note:**

Discretionary resources listed here include Department programs that may contribute to multiple Strategic Goals.

**Acronyms and Definitions:**

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

# Strategic Objective 4.1

Improve regulatory processes.



## STRATEGIC OBJECTIVE LEADERS:

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

## Overview

On January 20, 2021, President Biden issued [\*Executive Order \(EO\) 13992, Revocation of Certain Executive Orders Concerning Federal Regulation\*](#), which calls for agencies to confront urgent challenges facing the nation, including the COVID-19 pandemic, economic recovery, and racial justice, through robust regulatory tools and action. In response, the Office of the General Counsel worked with offices in the Department to determine how best to effectuate these priorities. The EO also revoked several prior EOs, including EOs 13771 and 13777, which served as the basis for this strategic objective.

All Department offices supported this strategic objective.

## Performance Analysis

With the revocation of several prior EOs, including EOs 13771 and 13777, the previously associated performance indicators of this strategic objective became obsolete. Additionally, the Department's Regulatory Reform Task Force, which was established pursuant to EO 13777, was also disbanded.

In support of EO 13992, through final regulations published in September 2021, the Department rescinded its interim final rule on Rulemaking and Guidance Procedures, which was enacted, in part, to implement now-revoked EO 13891.



# Strategic Objective 4.2

Identify, assess, monitor, and manage enterprise risks.



## STRATEGIC OBJECTIVE LEADER:

Principal Deputy Assistant Secretary, Office of Finance and Operation

## Overview

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

Due to the inherent cross-cutting nature of ERM, all Department offices supported this strategic objective.

## Performance Analysis

The only performance indicator for this strategic objective, 4.2.A, which gauges improvement in the maturity level of ERM, was baselined in fiscal year (FY) 2021.

## Key Successes and Opportunities

### Enterprise Risk Management

The Office of Enterprise Data Analytics and Risk Management (OEDARM) within the Office of Finance and Operations (OFO) and the ERM Working Group completed the development of quantitative metrics for all five functional areas of the Federal ERM Maturity Model as part of the Office of Management and Budget’s (OMB’s) pilot. OEDARM also furthered alignment of internal controls and ERM programs through partnership with the Financial Data Integrity and Controls Division to address persistent or evolving

programmatic, financial, and operational risks/challenges through coordinated, standardized risk assessment processes.

The Department made progress toward the five areas of risk that continue to pose the most significant challenges for the Department, as identified in the [\*FY 2021 Management Challenges Facing the U.S. Department of Education\*](#) report. This report, issued in November 2020 by the Department’s Office of Inspector General (OIG), identified the same four areas of risk as the [\*FY 2020 Management Challenges Facing the U.S. Department of Education\*](#) report by OIG with the addition of implementing the *Coronavirus Aid, Relief, and Economic Security (CARES) Act*. The five areas of risk identified were:

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

The following information identifies some of the Department’s notable accomplishments in these five areas.

### **Management Challenge 1—CARES Act**

When the CARES Act was passed in March 2020, the Department took comprehensive steps to ensure appropriate interpretation of the legislation’s requirements and subsequent policy and operational implications.

OFO implemented preventive funds controls at the onset by establishing the necessary account structures and funds control indicators to maintain segregation from other grant funding to ensure ease of tracking and reporting the status of CARES Act funds in real time from the General Ledger.

Despite the extraordinary number and size of CARES Act awards and expedited grant-making timeline, which was undertaken on top of the ongoing administration of the Department’s \$70 billion annual portfolio of existing programs, Department staff collaborated successfully to provide effective and timely support to eligible participants, grantees, and stakeholders. This support included written guidance, blog posts, webinars with stakeholders, direct technical assistance to new grantees, post-award calls, “office hours” on reporting requirements, and a dedicated shared mailbox to handle inquiries.

Recognizing the compliance risks associated with a new grant program and thousands of grantees, many of whom were new to federal grants, the Department adopted a primarily risk- based approach in administering the program and working with recipients.

At the program level, the Department designated that Higher Education Emergency Relief Fund (HEERF) and other emergency grant programs as higher risk for Single Audit purposes to ensure that emergency funds are prioritized by independent auditors in annual Single Audits that institutions submit to the federal government. Additionally, the Department worked with staff in the Inspector General’s Non-Federal Audit team to introduce new audit requirements to proprietary colleges not subject to Single Audits. At the grantee level, the Department has prioritized grantees that are riskier than others, including new grantees that might not be familiar with the process and pose a higher level of compliance issues. This involves working across the Department to monitor annual reporting compliance, closing and closed schools, college mergers, and whether an institution is on Heightened Cash Monitoring status from Federal Student Aid (FSA).

In response to the COVID-19 pandemic and unprecedented levels of funding for states and districts and to ensure transparency and accountability for the taxpayer investment, the Department launched an [Education Stabilization Fund \(ESF\) Public Transparency Portal](#) in November 2020 for key data collections associated with HEERF, the Governor’s Emergency Education Relief (GEER) funds, Elementary and Secondary School Emergency Relief (ESSER) funds, and equivalent Outlying Area funds.

Lessons learned from the initial ESF grantee data collection significantly informed the processes for the Year 2 annual collection, including ensuring that requirements and definitions are clear, articulating that reported data are unique and that the timeline enables the collection, and stating potential sanctions for noncompliance. Through these collections, the Department will be better able to track equity with the new reporting instrument and granularity in the use of FY 2021 funds by ESSER and GEER fund grantees and calendar year 2021 HEERF grantees. This collection will give visibility into the equitable recovery of schools and students and grantees’ capacity to promote learning recovery.

### **Management Challenge 2—Oversight and Monitoring**

The Department must provide effective oversight and monitoring of participants in the student financial assistance programs under the *Higher Education Act of 1965* (HEA) to ensure that the programs are not subject to fraud, waste, abuse, and mismanagement. Such monitoring and oversight are also essential for ensuring that grantees meet grant requirements and achieve program goals and objectives.

#### *Student Financial Assistance Programs*

FSA is working toward strengthening consumer protections and implementing a robust quality assurance framework that ensures that FSA, its contractors, and institutions of higher education (IHEs) are successfully administering financial assistance programs under HEA (e.g., Pell Grants, Public Service Loan Forgiveness (PSLF), and Borrower Defense).

In September 2021, FSA implemented an improved model for verification selection and evaluation of data elements from the *Free Application for Federal Student Aid*<sup>®</sup> (FAFSA<sup>®</sup>) application that allows the Department to better identify applicants for whom errors will result in a change in their federal aid award, potentially reducing improper payments.

The *Fostering Undergraduate Talent by Unlocking Resources for Education (FUTURE) Act* will help ensure the accuracy of income information used for determining Pell Grant eligibility. One of the primary causes of improper payments in the Pell Grant Program is failure to accurately verify financial data. The FUTURE Act provides an exception for the Department from restrictions of Section 6103 of the Internal Revenue Code to allow the Department to receive income tax data more easily from the Internal Revenue Service, thereby simplifying and improving the accuracy of FAFSA filing by prepopulating certain fields.

In FY 2021, FSA renewed relationships with federal and state partners (e.g., the Consumer Financial Protection Bureau and State Attorneys General) and conducted joint examinations of FSA's loan servicers and private collection agencies. FSA issued new [guidance](#) that ensures that states can resume their integral role in overseeing higher education.

FSA also fulfilled its Title IV oversight responsibilities by resolving more than 1,700 deficient audits and flagged financial statements and processing more than 5,000 Title IV eligibility-related actions, including recertification applications. Additionally, FSA issued more than 320 Program Review Reports and Final Program Review Determinations to institutions and third-party servicers subject to a program review.

In FY 2021, FSA conducted more than 10 vendor examinations and program reviews. These exams and reviews ensure that loans are being successfully transferred between loans servicers, that PSLF applicants are getting the accurate amount of credit toward forgiveness, and that borrowers approved for borrower defense are getting their loans discharged. FSA is also strengthening the performance standards and accountability provisions in its contracts with FSA loan servicers to ensure that borrowers get timely and accurate advice.

### *Grantees*

In response to the COVID-19 pandemic, the Department prioritized grant oversight and monitoring to support implementation of relief funds as well as all programs. Key areas of progress included:

- Assessing the standard grant-making process to improve operational efficiency and increase program effectiveness through cross-office coordination and information sharing.
- Implementing targeted training to Department staff and the grantee community to improve program implementation, grantee reporting, and grant closeouts.

- Increasing and innovating virtual monitoring and approaches for providing oversight as well as assistance to grantees.

The Department recently revised its handbook for the discretionary grant process—an administrative communications system directive—to provide a more robust, comprehensive guide for administering grants in a standardized manner across program offices.

The Department has continued to enhance its Entity Risk Review (ERR) capabilities to conduct risk assessments for grant applicants recommended for initial or continuation funding, in accordance with 2 CFR 200.205. The ERR application supports Department staff in assessing applicant and/or grantee risks by providing administrative, financial, and internal controls information by linking disparate datasets and applying business logic to the data. The data are used to inform the Department’s grant administration, oversight, and monitoring through the use of a standardized set of risk indicators; facilitate program offices’ efforts to analyze grantee risk prior to making awards and during the life of a grant project; make Single Audit findings and other information about organizations’ fiscal health available and accessible to program staff; and facilitate data sharing across grant programs and among Department offices.

### **Challenge 3—Data Quality and Reporting**

The Department, its grantees, and subrecipients must have effective controls to ensure that reported data are accurate, reliable, and accessible to improve the use of those data at the Department and in the education community.

In response to additional authorities granted to manage education data as a strategic asset, the Department is developing a coherent and coordinated approach to data governance, data management, and data quality to ensure that education data provide high value for internal decision-makers and external stakeholders. To specifically improve the quality and accuracy of data collected from grantees, the Department has taken comprehensive steps to promote cohesive data governance initiatives, build staff capacity around data, and improve data management practices and systems.

Throughout FY 2021, the Department made significant progress toward developing a comprehensive data workforce plan. Through this effort, the Department seeks to better align its workforce with its data needs by ascertaining appropriate staffing levels, identifying training needs, and making succession planning a top priority.

The Department is developing a Data Quality Playbook that outlines authorities, tools, and resources for grant program managers. The playbook will provide guidance for strengthening the Department’s data quality standards to reduce data quality issues, improve data interoperability, build common language for discussing data quality with internal and external stakeholders, and provide recommendations for handling common irregularities.

Beginning in February 2021, the Department allocated additional resources to identify challenges that CARES Act grantees experienced in accurately reporting its executive compensation and subaward reporting through the [Federal Funding Accountability and Transparency Act Subaward Reporting System](#), a data collection managed by the General Services Administration. Department staff provided technical assistance to CARES Act grantees and compiled challenges to accurate and timely reporting. Additionally, technical assistance workshops were conducted for CARES Act grantees, and online tutorials were produced for Department grantees responsible for reporting under the *Federal Funding Accountability and Transparency Act*.

#### **Management Challenge 4—Improper Payments**

The Department provides billions of dollars to support students and must work with states and schools to ensure that funds reach the intended recipients in the right amounts.

Most of the assistance the federal government provides to students is through its student loan programs and the Federal Pell Grant Program. The Federal Pell Grant and William D. Ford Federal Direct Loan (Direct Loan) programs continue to be susceptible to significant improper payments and remain high-priority programs. The underlying root causes of improper payments in the Pell Grant and Direct Loan programs include the failure to verify financial data, administrative or process errors made by other parties, and insufficient documentation.

FSA implemented a daily prepayment interface with the [Department of the Treasury's Do Not Pay](#) web service that matches intended recipients with multiple data sources to identify potential improper payments.

FSA has continued to refine the statistically valid methodology it implemented in FY 2019 to estimate improper payments, including random sampling from a population of more than 5,700 schools. For randomly sampled schools, FSA used improper payment data identified in independent compliance audits conducted under the *Single Audit Act of 1984*, as amended. FSA worked with OMB to gain increased support for using compliance audit data for improper payment estimation by adding requirements for compliance auditors to provide FSA with population and sample information necessary to estimate improper payments. FSA continues to collaborate with OMB and the independent audit community through the American Institute of Certified Public Accountants to recommend and advocate for changes to the OMB Compliance Supplement (2 CFR Part 200, Appendix XI) to strengthen the quality of data used in the improper payment estimates. FSA also collaborated with OMB to revise and clarify the requirements in OMB Circular A-123 Appendix C for statistically valid improper payment estimation methodologies. Additionally, FSA clarified the procedures it performs to ensure the accuracy and completeness of supplemental questioned cost data received from independent auditors and implemented enhanced quality control procedures

over its improper payment estimation process to increase validation of compliance audit data and calculations and ensure that only sustained questioned costs, rather than questioned costs, identified in compliance audits are used in improper payment estimates.

In FY 2021, OIG completed an audit of the Department’s compliance with improper payment reporting requirements for FY 2020. It found that the Department did not comply with the *Payment Integrity and Information Act of 2019* for the FY 2020 reporting period due to reported improper payment rates exceeding the 10 percent threshold for the Emergency Impact Aid for Displaced Students Program and Immediate Aid to Restart School Operations Program. The audit also found that the Department’s improper payment risk assessments need strengthening and that its sampling and estimation plans and estimate for the Emergency Impact Aid, Immediate Aid to Restart School Operations, and Emergency Assistance to IHE programs were not reliable. In FY 2021, the Department addressed issues by implementing documented procedures to increase and strengthen quality assurance and contractor oversight controls and to conduct more frequent technical assistance meetings with entities who receive and distribute funds under disaster relief programs.

### Management Challenge 5—IT Security

Department systems contain data that must remain accessible to the Department’s partners while protected from threats. The Department has made significant progress in addressing the ongoing challenge of IT security and findings relating to previous *Federal Information Security Modernization Act of 2014* (FISMA) audits. The Department focused its efforts in bolstering its risk reporting and continuous monitoring reporting capabilities, identity and access management, and configuration management capabilities. Additionally, the Department focused on establishing new program capabilities, including a formal Information and Communications Technology Supply Chain Risk Management program, Assessment Evaluation and Standardization High Value Asset assessment methodologies, and the strategic implementation of a Zero Trust Architecture in accordance with [Executive Order 14028, Improving the Nation’s Cybersecurity](#). The Inspector General’s FISMA report for FY 2020 indicated Department improvements in every subcategory of the maturity framework.

In FY 2021, the Department established an improved methodology for quarterly cybersecurity performance improvement metric scoring and dashboarding capabilities leveraging the *Federal Information Technology Acquisition Reform Act’s* cyber scoring methodology (i.e., Department’s FISMA Risk Management Assessment/Inspector General’s FISMA maturity score). This methodology provides a more accurate, thorough, and timely approach for measuring the Department’s progress in strengthening cybersecurity capabilities by enhancing protections for its IT, infrastructure, systems, people, and data.

In FY 2021, the Department established a Zero Trust strategic implementation plan addressing current issues with access, including unauthorized and siloed single point

solutions for data protection. This plan establishes an architectural plan, solution design, and accompanying process and implements a secure framework to address access, verification, and integration issues across all information systems hosted at multiple independent data centers and within numerous cloud service providers.

To mitigate impacts of the COVID-19 pandemic on remote stakeholders, the Department identified, analyzed, and recommended a cloud-based solution to provide rapid expansion of the Department's virtual private network capacity to support extensive teleworking capabilities.

Notable progress has been documented in the development of an enterprise Identity, Credential, and Access Management solution in FY 2021. This solution is expected to provide the ability to manage enterprise identity, user accounts, and user roles centrally and securely within and across Department systems and applications. This effort will continue in FY 2022 with additional systems.

The Department also provided targeted outreach to proactively address threats to teleworking employees (e.g., warning them of increased phishing attempts and other cyber criminal scams that target largely at-home workers). In recognition for its innovation, dedication, and impact in moving the Department's cybersecurity training program forward, the program was awarded the FY 2021 Federal Information Systems Security Educator's Association Cybersecurity Awareness and Training Innovator Award.



# 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

## Overview

Improving cybersecurity is a key contributor to ensuring that the Department's systems and data are protected, which provide a strong foundation for the Department's information technology (IT) infrastructure. As such, the Office of the Chief Information Officer (OCIO) provided proactive cybersecurity services, monitored and enhanced threat intelligence capabilities, explored shared services and cloud capabilities, and improved the Department's cybersecurity workforce.

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

## Performance Analysis

The only performance indicator for this strategic objective, 4.3.A, which gauges the percentage of the Department's IT security functions that improved at least one maturity level, met its annual target.

## Key Successes and Opportunities

### Strengthening Security Controls

Furthering progress to identify and reduce potential risks associated with third-party vendor relationships, OCIO established an interagency agreement with the Department of Energy to use its enterprise Supply Chain Risk Management (SCRM) Program. Through this shared service, the Department began to receive High Value Assets and vendor/supplier impact assessments, rapid assessments, risk treatment/recommendations/residual risk reports, and due diligence/deep-dive assessments.

Additionally, the Department of Homeland Security (DHS) provided proactive testing and assessment services in support of High Value Asset systems. DHS' assessment evaluation and standardization also qualifies candidates to independently conduct assessments that

follow the High Value Asset Program's standards and methodologies. The Department's Risk Assessment team participated in the beta course (ahead of public release), which featured instruction modules and a final presentation capstone and exam that will allow the Department to perform self-assessments on non-tier 1 High Value Asset systems.

## Cybersecurity Risk Management Enhancements

OCIO continued to mature the Department's risk management processes by enhancing the Cybersecurity Risk Scorecard, including implementation of an Authorizing Official Dashboard, which provides near real-time aggregated risk information within the daily Cybersecurity Framework Risk Scorecard report releases and enhanced training materials, including updates to the existing standard operating procedure and a newly developed comprehensive job aid.

In September 2020, DHS issued [Binding Operational Directive 20-01](#), which required agencies to develop and publish a vulnerability disclosure policy to facilitate awareness of otherwise unknown vulnerabilities and commit to research and respond to vulnerability reports. In March 2021, OCIO published the Department's [Vulnerability Disclosure Policy \(VDP\)](#), which enables the Department to identify and remediate vulnerabilities before they can be exploited by an adversary. In June 2021, VDP was updated to cover all internet-accessible systems or services. Through this update, the Department satisfied the directive's requirements 15 months ahead of the September 2, 2022, deadline.

OCIO established a roadmap for migrating the Department's policies and security control implementation from [National Institute of Standards and Technology's SP 800-53, Security and Privacy Controls for Information Systems and Organizations](#) revision 4 to revision 5. This roadmap will allow the Department to better understand, plan, and prepare as it updates key security controls in accordance with revision 5 guidance. Revision 5 presents a modernized view of security in addressing diverse requirements derived from mission and business needs, laws, executive orders, directives, regulations, policies, standards, and guidelines.

OCIO documented the Information and Communications Technologies (ICT) SCRM Roadmap, Strategy, and Standard, which are designed to provide a vision and action plan for the planning, preparation, implementation, and execution of the Department's ICT SCRM Program.

To protect against unauthorized access to the Department's sensitive data, OCIO continued to use Microsoft Office 365's email Data Loss Prevention (DLP) capabilities to help secure, detect, and protect against data breaches. More than 3,600 DLP notifications were received, triaged, and reported as appropriate. Additionally, OCIO implemented an Administrative Communications System Directive, Cybersecurity Awareness Simulated Phishing Exercise Behavioral Based Escalations, which establishes the Department's standards for acceptable behaviors in response to an authorized simulated phishing exercise and

behavioral-based escalations for federal employees and contractors based on identification of a pattern of unacceptable behaviors (e.g., repeat-risk email users) that put the network and data at risk. This standard also documents actions required to reduce Departmental risk from end users. In FY 2021, the average phishing exercise reporting rate for the Department was 34.1 percent. The top reporting rate achieved in FY 2021 was 51.4 percent, which is the highest reporting rate achieved to date.

The Department's Cybersecurity Training Program Manager was nominated and awarded the FY 2021 Federal Information Systems Security Educator's Association Cybersecurity Awareness and Training Innovator Award in recognition of innovation, dedication, and impact in moving the Department's cybersecurity training program forward.

# Strategic Objective 4.4



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

**STRATEGIC OBJECTIVE LEADER:**  
Chief Human Capital Officer

## Overview

In fiscal year (FY) 2021, the Department implemented a data-driven human capital strategy focused on improving employee engagement, performance, and competency development. The Department-wide National Engagement Strategy (NES) was established in October 2020 to improve Federal Employee Viewpoint Survey (FEVS) scores, particularly the Employee Engagement Index. The FY 2020 results were received in Quarter 2 of FY 2021 and showed an 8 percent increase (from 62 percent in FY 2019 to 70 percent in FY 2020). Additionally, in FY 2021, the Department implemented a systematic workforce planning process, published an internal FY 2021–FY 2022 Department Workforce Plan, established an annual agency hiring plan, and developed four additional competency models with career maps and training plans.

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

## Performance Analysis

The only performance indicator for this strategic objective, 4.4.A, which gauges the Department's performance in raising its FEVS Employee Engagement Index score, exceeded the established target.

## Key Successes and Opportunities

### Employee Engagement

The Department is taking action to improve the annual FEVS results related to employee engagement. In an effort to enhance engagement of the Department's workforce and create a streamlined approach for soliciting feedback and ideas, the Office of Human Resources established NES. An NES team was also developed to partner in the development of the strategy and serve as an advisory council. The team identified four key areas that have the

greatest impact for improving employee engagement, and action plans were developed to address each focus area. The focus areas are Leaders Lead, Collaborative Management, Merit Systems Principles, and Training and Development. Engagement activities throughout the Department included meetings to implement the NES framework and focus areas and assessing FY 2020 survey results to identify trends and develop improvement plans. The Employee Engagement Action Plan tool was also implemented, which allows offices to create action plans and report quarterly progress. Additional actions included conducting professional development series programs for employees and implementing a peer-to-peer mentorship program.

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# FY 2021 ANNUAL PERFORMANCE REPORT APPENDICES



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# Appendix D

## FY 2021 Performance Indicators

### How to Read Performance Data

Performance indicators are presented for each strategic objective in standardized tabular and graphic format. This graphic explains the design elements on the following pages. The performance indicators presented in this appendix supported the Department’s fiscal year (FY) 2018–FY 2022 Strategic Plan.

**Title**  
Identifies the performance elements being measured.

**Note:**  
Identifies trends and data availability.

**Data Source:**  
Indicates the source for the data.

**FY 2021 Period of Performance:**  
Indicates the time period the data reference.

**Icon:**  
Provides a quick visual assessment of performance against the established target for FY 2021.

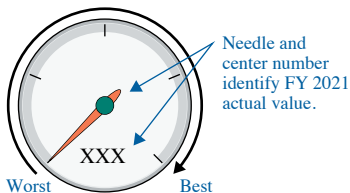
**Odometer:**  
Provides graphical representation of the FY 2021 target and actual performance.

| 2016   | 2017 | 2018 | 2019      | 2020      | 2021      | 2021      |
|--------|------|------|-----------|-----------|-----------|-----------|
| Actual |      |      |           |           | Actual    | Target    |
| N/A    | NA   | N/A  | 1,226,234 | 1,657,608 | 2,011,512 | 1,400,000 |

Note: Data are not available prior to fiscal year (FY) 2019.  
Data Source: Federal Student Aid’s online platform analytics.  
FY 2021 Period of Performance: October 2020 through September 2021.

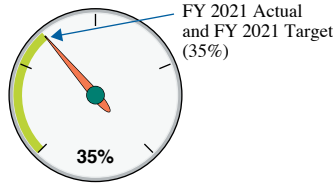
### Odometers and Icon Examples

#### B Baseline measure



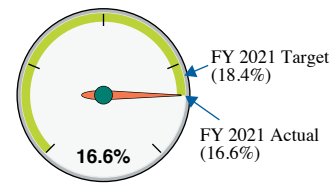
Odometers are oriented to show performance from worst to best, left to right.

#### Met or exceeded target



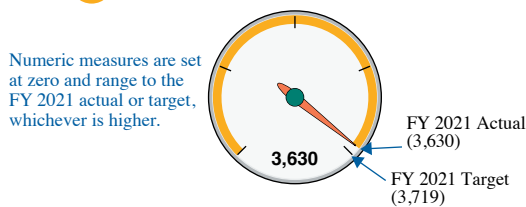
Percentages are shown on a 0 to 100 percent scale.

#### Met or exceeded target

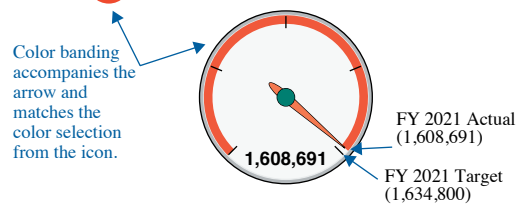


Ranges are inverted for metrics where lower numbers show improved performance.

#### Not met, improved from previous year



#### No or negative improvement



### Acronyms and Abbreviations

The following acronyms and abbreviations are regularly used throughout the performance indicators:

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



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

**Table 1.1.A. Number of open and operating charter schools supported by the Charter Schools Program.**

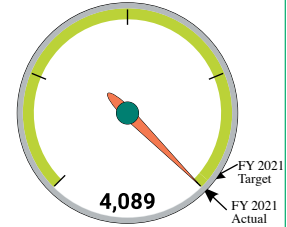


| 2016   | 2017  | 2018  | 2019  | 2020  | 2021   | 2021   |
|--------|-------|-------|-------|-------|--------|--------|
| Actual |       |       |       |       | Actual | Target |
| —      | 3,599 | 3,595 | 3,670 | 3,862 | 4,089  | 4,012  |

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

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

FY 2021 Period of Performance: School year 2019–2020.



**Table 1.1.B. Number of students enrolled in charter schools supported by the Charter Schools Program.**

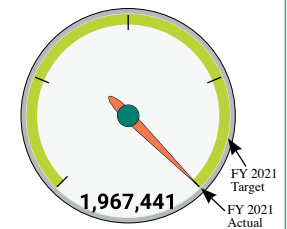


| 2016   | 2017      | 2018      | 2019      | 2020      | 2021      | 2021      |
|--------|-----------|-----------|-----------|-----------|-----------|-----------|
| Actual |           |           |           |           | Actual    | Target    |
| —      | 1,556,017 | 1,609,880 | 1,624,564 | 1,733,365 | 1,967,441 | 1,743,365 |

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

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

FY 2021 Period of Performance: School year 2019–2020.



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

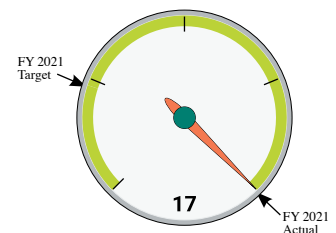


| 2016   | 2017 | 2018 | 2019 | 2020 | 2021   | 2021   |
|--------|------|------|------|------|--------|--------|
| Actual |      |      |      |      | Actual | Target |
| 0      | 3    | 5    | 3    | 4    | 17     | 4      |

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

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

FY 2021 Period of Performance: October 2020 through September 2021.

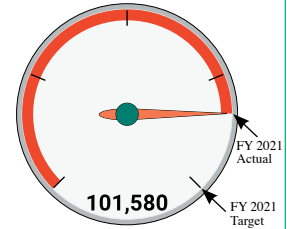


**Table 1.1.D. Number of students enrolled in federally funded magnet schools.**



| 2016   | 2017   | 2018   | 2019   | 2020    | 2021    | 2021    |
|--------|--------|--------|--------|---------|---------|---------|
| Actual |        |        |        |         | Actual  | Target  |
| —      | 81,963 | 81,342 | 84,296 | 120,925 | 101,580 | 122,134 |

**Note:** Data are not available prior to fiscal year (FY) 2017.  
**Data Source:** Magnet Schools Assistance Program grantee annual performance reports.  
**FY 2021 Period of Performance:** School year 2019–2020.

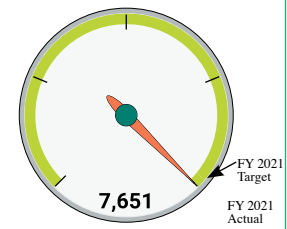


**Table 1.1.E. Number of open and operating public charter schools.**



| 2016   | 2017  | 2018  | 2019  | 2020  | 2021   | 2021   |
|--------|-------|-------|-------|-------|--------|--------|
| Actual |       |       |       |       | Actual | Target |
| 7,288  | 7,137 | 7,335 | 7,393 | 7,434 | 7,651  | 7,493  |

**Note:** The number of public charter schools in operation includes the number of Charter Schools Program-funded schools in operation.  
**Data Source:** National Center for Education Statistics' Common Core of Data.  
**FY 2021 Period of Performance:** School year 2019–2020.

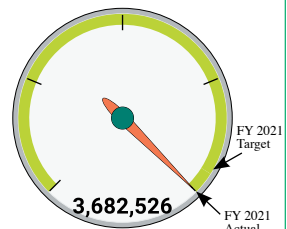


**Table 1.1.F. Number of students enrolled in public charter schools.**



| 2016      | 2017      | 2018      | 2019      | 2020      | 2021      | 2021      |
|-----------|-----------|-----------|-----------|-----------|-----------|-----------|
| Actual    |           |           |           |           | Actual    | Target    |
| 2,722,013 | 2,844,654 | 3,010,152 | 3,144,229 | 3,291,403 | 3,682,526 | 3,510,000 |

**Note:** The number of students enrolled in public charter schools includes the number of students enrolled in Charter Schools Program-funded schools.  
**Data Source:** National Center for Education Statistics' Common Core of Data.  
**FY 2021 Period of Performance:** School year 2019–2020.



**Table 1.1.G. Number of students enrolled in public magnet schools.**

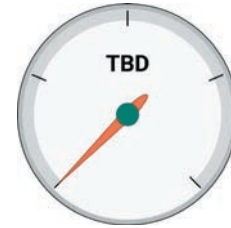


| 2016      | 2017      | 2018      | 2019      | 2020      | 2021   | 2021      |
|-----------|-----------|-----------|-----------|-----------|--------|-----------|
| Actual    |           |           |           |           | Actual | Target    |
| 2,610,228 | 2,605,134 | 2,538,036 | 2,666,691 | 2,673,408 | TBD    | 2,698,408 |

**Notes:** (1) Fiscal year (FY) 2021 data were not available at the time of publishing. (2) The definition of “magnet school” from the National Center for Education Statistics’ (NCES’) Common Core of Data (CCD) is more expansive than those eligible for assistance through the Magnet Schools Assistance Program.

**Data Source:** NCES’ CCD.

**FY 2021 Period of Performance:** School year 2019–2020.



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



| 2016    | 2017    | 2018    | 2019    | 2020    | 2021   | 2021    |
|---------|---------|---------|---------|---------|--------|---------|
| Actual  |         |         |         |         | Actual | Target  |
| 399,280 | 446,000 | 466,000 | 482,000 | 539,000 | TBD    | 579,250 |

**Note:** Fiscal year (FY) 2021 data were not available at the time of publishing.

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

**FY 2021 Period of Performance:** School year 2020–2021.



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

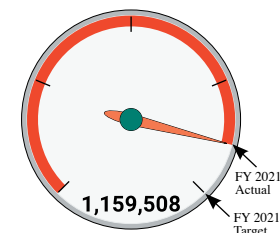


| 2016   | 2017 | 2018 | 2019 | 2020      | 2021      | 2021      |
|--------|------|------|------|-----------|-----------|-----------|
| Actual |      |      |      |           | Actual    | Target    |
| —      | —    | —    | —    | 1,296,336 | 1,159,508 | 1,309,299 |

**Note:** Data are not available prior to fiscal year (FY) 2020.

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

**FY 2021 Period of Performance:** October 2019 through September 2020.



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



| 2016   | 2017 | 2018 | 2019 | 2020 | 2021   | 2021   |
|--------|------|------|------|------|--------|--------|
| Actual |      |      |      |      | Actual | Target |
| —      | 24%  | 20%  | 17%  | 16%  | N/A    | N/A    |

**Note:** Due to a waiver of school year (SY) 2019–2020 testing, no data were reported for SY 2019–2020, which is the performance period for fiscal year (FY) 2021.

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

**FY 2021 Period of Performance:** SY 2019–2020.

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



| 2016   | 2017 | 2018 | 2019 | 2020 | 2021   | 2021   |
|--------|------|------|------|------|--------|--------|
| Actual |      |      |      |      | Actual | Target |
| —      | 37%  | 24%  | 17%  | 12%  | N/A    | N/A    |

**Note:** Due to a waiver of school year (SY) 2019–2020 testing, no data were reported for SY 2019–2020, which is the performance period for fiscal year (FY) 2021.

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

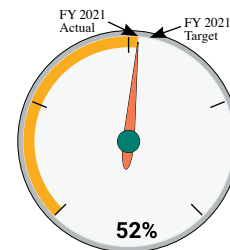
**FY 2021 Period of Performance:** SY 2019–2020.

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



| 2016   | 2017 | 2018 | 2019 | 2020 | 2021   | 2021   |
|--------|------|------|------|------|--------|--------|
| Actual |      |      |      |      | Actual | Target |
| —      | 55%  | 55%  | 60%  | 51%  | 52%    | 55%    |

**Note:** Data are not available prior to fiscal year (FY) 2017.  
**Data Source:** IDEA Part B state annual performance reports.  
**FY 2021 Period of Performance:** School year 2019–2020.

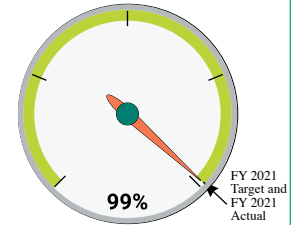


**Table 1.2.D. Percentage of students in the country who have internet bandwidth at school of at least 100 kbps per student.**



| 2016   | 2017 | 2018 | 2019 | 2020 | 2021   | 2021   |
|--------|------|------|------|------|--------|--------|
| Actual |      |      |      |      | Actual | Target |
| —      | 88%  | 96%  | 98%  | 99%  | 99%    | 99%    |

Note: Data are not available prior to fiscal year (FY) 2017.  
 Data Source: EducationSuperHighway.  
 FY 2021 Period of Performance: October 2020 through September 2021.

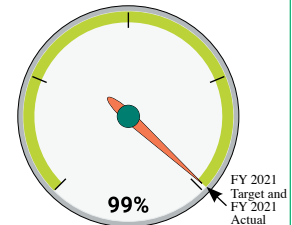


**Table 1.2.E. Percentage of rural schools connected to a broadband infrastructure capable of scaling to 10 gigabits per second.**



| 2016   | 2017 | 2018 | 2019 | 2020 | 2021   | 2021   |
|--------|------|------|------|------|--------|--------|
| Actual |      |      |      |      | Actual | Target |
| —      | 94%  | 97%  | 98%  | 99%  | 99%    | 99%    |

Note: Data are not available prior to fiscal year (FY) 2017.  
 Data Source: EducationSuperHighway.  
 FY 2021 Period of Performance: October 2020 through September 2021.

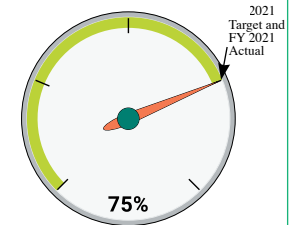


**Table 1.2.F. Percentage of states publishing report cards on the preceding school year in a timely manner (i.e., by January 15th of the year following the reporting year).**



| 2016   | 2017 | 2018 | 2019 | 2020 | 2021   | 2021   |
|--------|------|------|------|------|--------|--------|
| Actual |      |      |      |      | Actual | Target |
| —      | —    | 68%  | 75%  | 68%  | 75%    | ≥75%   |

Data Source: Consolidated State Performance Report.  
 FY 2021 Period of Performance: School year 2020–2021.



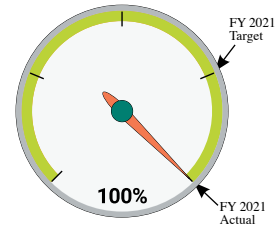
**Table 1.2.G. Percentage of monitored states publicly reporting information on each indicator in the state’s accountability system, including the list of schools identified for comprehensive or targeted support and improvement.**



| 2016   | 2017 | 2018 | 2019 | 2020 | 2021   | 2021   |
|--------|------|------|------|------|--------|--------|
| Actual |      |      |      |      | Actual | Target |
| —      | —    | —    | 100% | 100% | 100%   | ≥75%   |

**Data Source:** The Office of Elementary and Secondary Education’s Office of School Support and Accountability monitors state compliance with Title I requirements, including the requirement to publish state and local report cards.

**FY 2021 Period of Performance:** School year 2020–2021.



**Table 1.3.A. Number of discretionary grant notices with science, technology, engineering, and mathematics (STEM) as a priority.**

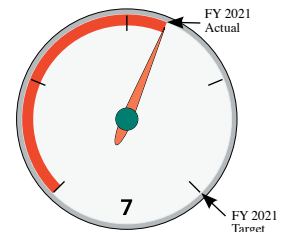


| 2016   | 2017 | 2018 | 2019 | 2020 | 2021   | 2021   |
|--------|------|------|------|------|--------|--------|
| Actual |      |      |      |      | Actual | Target |
| —      | 3    | 12   | 15   | 13   | 7      | 12     |

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

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

**FY 2021 Period of Performance:** October 2020 through September 2021.



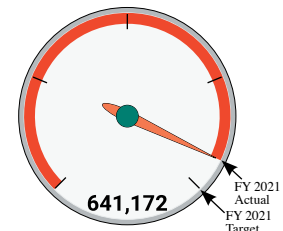
**Table 1.3.B. Number of public high school students by graduating cohort who have taken at least one Advanced Placement science, technology, engineering, and mathematics (STEM) exam while in high school.**



| 2016    | 2017    | 2018    | 2019    | 2020    | 2021    | 2021    |
|---------|---------|---------|---------|---------|---------|---------|
| Actual  |         |         |         |         | Actual  | Target  |
| 592,410 | 622,553 | 644,485 | 677,702 | 677,859 | 641,172 | 691,416 |

**Data Source:** College Board.

**FY 2021 Period of Performance:** School year 2019–2020.

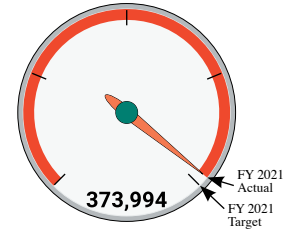


**Table 1.3.C. Number of public high school students by graduating cohort who have taken at least one Advanced Placement science, technology, engineering, and mathematics (STEM) exam while in high school and scored a 3 or better.**



| 2016    | 2017    | 2018    | 2019    | 2020    | 2021    | 2021    |
|---------|---------|---------|---------|---------|---------|---------|
| Actual  |         |         |         |         | Actual  | Target  |
| 325,329 | 339,784 | 348,322 | 370,231 | 375,017 | 373,994 | 382,517 |

Data Source: College Board.  
 FY 2021 Period of Performance: School year 2019–2020.

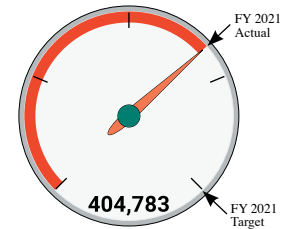


**Table 1.3.D. Number of adult education participants who achieved a measurable skill gain.**



| 2016   | 2017 | 2018    | 2019    | 2020    | 2021    | 2021    |
|--------|------|---------|---------|---------|---------|---------|
| Actual |      |         |         |         | Actual  | Target  |
| —      | —    | 676,178 | 654,853 | 590,851 | 404,783 | 596,760 |

Notes: (1) The number of adult education participants refers to participants in *Workforce Innovation and Opportunity Act* Title II programs. (2) Data are not available prior to fiscal year (FY) 2018.  
 Data Source: National Reporting System for Adult Education.  
 FY 2021 Period of Performance: July 2019 through June 2020.

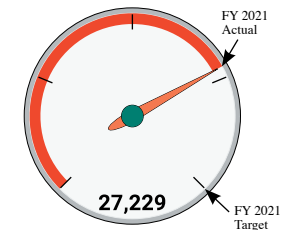


**Table 1.3.E. Number of adult education participants who obtained a secondary school diploma or its equivalent and are employed or enrolled in an education or training program within one year following exit.**



| 2016   | 2017 | 2018         | 2019   | 2020   | 2021   | 2021   |
|--------|------|--------------|--------|--------|--------|--------|
| Actual |      |              |        |        | Actual | Target |
| —      | —    | Pre-baseline | 37,365 | 37,192 | 27,229 | 37,509 |

Notes: (1) The number of adult education participants refers to participants in *Workforce Innovation and Opportunity Act* Title II programs. (2) Data are not available prior to fiscal year (FY) 2019.  
 Data Source: National Reporting System for Adult Education.  
 FY 2021 Period of Performance: July 2019 through June 2020.



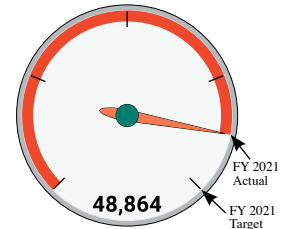


**Table 1.3.G. Number of adult education participants enrolled in an integrated education and training program.**



| 2016   | 2017 | 2018   | 2019   | 2020   | 2021   | 2021   |
|--------|------|--------|--------|--------|--------|--------|
| Actual |      |        |        |        | Actual | Target |
| —      | —    | 23,307 | 43,904 | 51,915 | 48,864 | 56,000 |

Notes: (1) The number of adult education participants refers to participants in *Workforce Innovation and Opportunity Act* Title II programs. (2) Data are not available prior to fiscal year (FY) 2018.  
 Data Source: National Reporting System for Adult Education.  
 FY 2021 Period of Performance: July 2019 through June 2020.

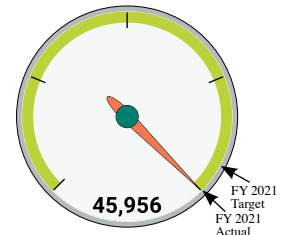


**Table 1.3.H. Number of adult education participants who advanced one educational functioning level in mathematics.**



| 2016   | 2017 | 2018 | 2019    | 2020   | 2021   | 2021   |
|--------|------|------|---------|--------|--------|--------|
| Actual |      |      |         |        | Actual | Target |
| —      | —    | —    | 114,473 | 66,427 | 45,956 | 43,064 |

Note: The number of adult education participants refers to participants in *Workforce Innovation and Opportunity Act* Title II programs.  
 Data Source: National Reporting System for Adult Education.  
 FY 2021 Period of Performance: July 2019 through June 2020.

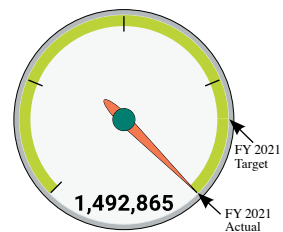


**Table 1.3.J. Number of secondary career and technical education concentrators enrolling in science, technology, engineering, and mathematics (STEM).**



| 2016      | 2017      | 2018      | 2019      | 2020      | 2021      | 2021      |
|-----------|-----------|-----------|-----------|-----------|-----------|-----------|
| Actual    |           |           |           |           | Actual    | Target    |
| 1,020,914 | 1,154,916 | 1,251,886 | 1,409,668 | 1,293,673 | 1,492,865 | 1,240,508 |

Data Source: *State Consolidated Annual Reports for the Strengthening Career and Technical Education for the 21st Century Act* (Perkins V).  
 FY 2021 Period of Performance: School year 2019–2020.

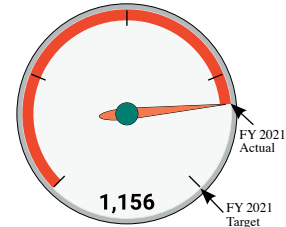


**Table 1.4.A. Number of technical assistance engagements, events or related activities, or products focused on grantees' use of evidence in prekindergarten through grade 12 education.**



| 2016   | 2017 | 2018 | 2019  | 2020  | 2021   | 2021   |
|--------|------|------|-------|-------|--------|--------|
| Actual |      |      |       |       | Actual | Target |
| —      | —    | 672  | 1,008 | 1,355 | 1,156  | 1,422  |

Note: Data are not available prior to fiscal year (FY) 2018.  
 Data Source: Department offices that deliver technical assistance.  
 FY 2021 Period of Performance: October 2020 through September 2021.



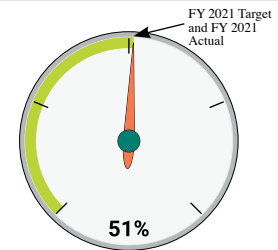
## Strategic Goal 2: Expand postsecondary educational opportunities; improve outcomes to foster economic opportunity; and promote an informed, thoughtful, and productive citizenry.

**Table 2.1.A. Percentage of Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) participants who obtain a secondary school diploma or its equivalent and, within 18 months, are enrolled in postsecondary education.**



| 2016   | 2017 | 2018 | 2019 | 2020 | 2021   | 2021   |
|--------|------|------|------|------|--------|--------|
| Actual |      |      |      |      | Actual | Target |
| —      | —    | —    | —    | 50%  | 51%    | 51%    |

Note: Data are not available prior to fiscal year (FY) 2020.  
 Data Source: GEAR UP annual performance reports.  
 FY 2021 Period of Performance: August 2019 through August 2020.

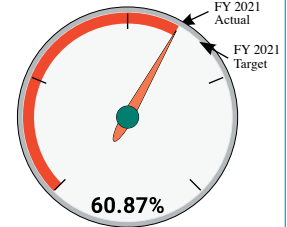


**Table 2.1.B. Percentage of first-time *Free Application for Federal Student Aid*® filers among high school seniors.**



| 2016   | 2017  | 2018  | 2019  | 2020  | 2021   | 2021   |
|--------|-------|-------|-------|-------|--------|--------|
| Actual |       |       |       |       | Actual | Target |
| 57.5%  | 60.2% | 67.4% | 65.9% | 63.8% | 60.87% | 66.25% |

Data Source: Federal Student Aid's Central Processing System.  
 FY 2021 Period of Performance: October 2020 through September 2021.

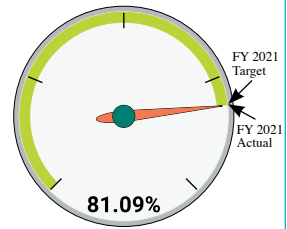


**Table 2.1.C. Persistence among first-time filing aid recipients.**



| 2016   | 2017  | 2018  | 2019  | 2020  | 2021   | 2021   |
|--------|-------|-------|-------|-------|--------|--------|
| Actual |       |       |       |       | Actual | Target |
| 79.7%  | 82.6% | 82.5% | 82.8% | 81.0% | 81.09% | 81.0%  |

Data Source: Federal Student Aid's Common Origination and Distribution System.  
 FY 2021 Period of Performance: October 2020 through September 2021.

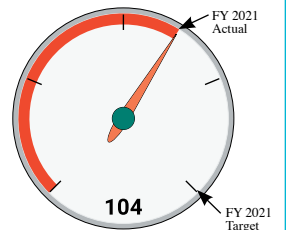


**Table 2.2.A. Number of technical assistance events or activities and products focused on the use of evidence in federal programs that promote educational opportunities, training, and support services for the workforce.**



| 2016   | 2017 | 2018 | 2019 | 2020 | 2021   | 2021   |
|--------|------|------|------|------|--------|--------|
| Actual |      |      |      |      | Actual | Target |
| —      | —    | 77   | 188  | 160  | 104    | 168    |

Note: Data are not available prior to fiscal year (FY) 2018.  
 Data Source: Department offices that deliver technical assistance.  
 FY 2021 Period of Performance: October 2020 through September 2021.

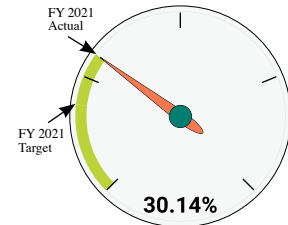


**Table 2.2.B. Percentage of adult education program participants who were in unsubsidized employment during the second quarter after exiting the program.**



| 2016   | 2017 | 2018 | 2019  | 2020  | 2021   | 2021   |
|--------|------|------|-------|-------|--------|--------|
| Actual |      |      |       |       | Actual | Target |
| —      | —    | —    | 25.6% | 27.5% | 30.14% | 19.1%  |

**Notes:** (1) The number of adult education participants refers to participants in *Workforce Innovation and Opportunity Act* Title II programs. (2) Data are not available prior to fiscal year (FY) 2019.  
**Data Source:** National Reporting System annual state reports.  
**FY 2021 Period of Performance:** July 2019 through June 2020.

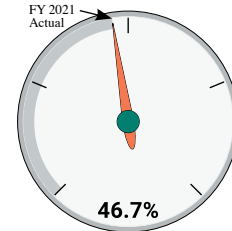


**Table 2.2.C. Percentage of Vocational Rehabilitation Program participants who were in unsubsidized employment during the second quarter after exiting the program.**



| 2016   | 2017 | 2018 | 2019  | 2020  | 2021   | 2021   |
|--------|------|------|-------|-------|--------|--------|
| Actual |      |      |       |       | Actual | Target |
| —      | —    | —    | 50.4% | 51.3% | 46.7%  | N/A    |

**Note:** Data are not available prior to fiscal year (FY) 2019.  
**Data Source:** Rehabilitation Services Administration's *Case Service Report* (RSA-911).  
**FY 2021 Period of Performance:** Program year 2020.

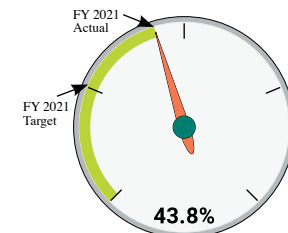


**Table 2.2.D. Percentage of Vocational Rehabilitation Program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational,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



| 2016   | 2017 | 2018  | 2019  | 2020  | 2021   | 2021   |
|--------|------|-------|-------|-------|--------|--------|
| Actual |      |       |       |       | Actual | Target |
| —      | —    | 21.1% | 23.4% | 31.4% | 43.8%  | 25.1%  |

**Note:** Data are not available prior to fiscal year (FY) 2018.  
**Data Source:** Rehabilitation Services Administration's *Case Service Report* (RSA-911).  
**FY 2021 Period of Performance:** Program year 2020.

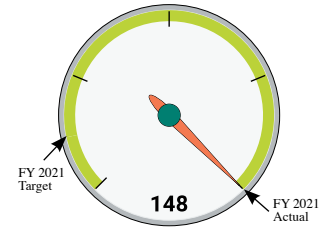


**Table 2.3.A. Number of technical assistance activities sponsored by the Department intended to expand or enhance the integration of workforce preparation activities within academic instruction in adult education classrooms.**



| 2016   | 2017 | 2018 | 2019 | 2020 | 2021   | 2021   |
|--------|------|------|------|------|--------|--------|
| Actual |      |      |      |      | Actual | Target |
| —      | 3    | 23   | 24   | 53   | 148    | 18     |

**Note:** Data are not available prior to fiscal year (FY) 2017.  
**Data Source:** Contractor quarterly progress reports.  
**FY 2021 Period of Performance:** October 2020 through September 2021.

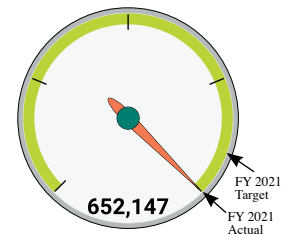


**Table 2.3.C. Number of postsecondary science, technology, engineering, and mathematics (STEM) degrees and certificates conferred.**



| 2016    | 2017    | 2018    | 2019    | 2020    | 2021    | 2021    |
|---------|---------|---------|---------|---------|---------|---------|
| Actual  |         |         |         |         | Actual  | Target  |
| 668,091 | 704,580 | 586,992 | 612,589 | 638,866 | 652,147 | 589,600 |

**Data Source:** The National Center for Education Statistics' Integrated Postsecondary Education Data System Completions component.  
**FY 2021 Period of Performance:** School year 2019–2020.

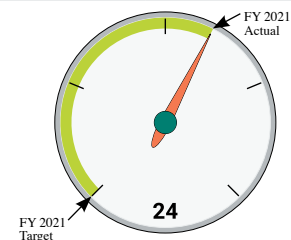


**Table 2.4.A. Average speed to answer incoming calls to Federal Student Aid's call centers.**



| 2016   | 2017       | 2018       | 2019        | 2020       | 2021       | 2021        |
|--------|------------|------------|-------------|------------|------------|-------------|
| Actual |            |            |             |            | Actual     | Target      |
| —      | 77 seconds | 66 seconds | 139 seconds | 59 seconds | 24 seconds | ≤60 seconds |

**Note:** Data are not available prior to fiscal year (FY) 2017.  
**Data Source:** Federal servicers' quarterly reports.  
**FY 2021 Period of Performance:** October 2020 through September 2021.

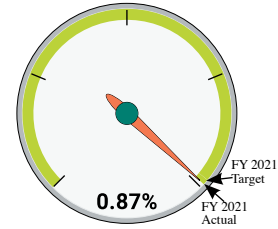


**Table 2.4.B. Average abandon rate for incoming calls to Federal Student Aid’s call centers.**



| 2016   | 2017 | 2018 | 2019 | 2020 | 2021   | 2021   |
|--------|------|------|------|------|--------|--------|
| Actual |      |      |      |      | Actual | Target |
| —      | 3.8% | 3.9% | 6.5% | 3.6% | 0.87%  | ≤2.0%  |

**Note:** Data are not available prior to fiscal year (FY) 2017.  
**Data Source:** Federal servicers’ quarterly reports.  
**FY 2021 Period of Performance:** October 2020 through September 2021.

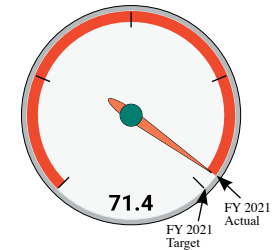


**Table 2.4.C. American Consumer Satisfaction Index (ACSI) Surveys.**



| 2016   | 2017 | 2018 | 2019 | 2020 | 2021   | 2021   |
|--------|------|------|------|------|--------|--------|
| Actual |      |      |      |      | Actual | Target |
| —      | 70   | 71   | 70   | 73.5 | 71.4   | 74     |

**Note:** Data are not available prior to fiscal year (FY) 2017.  
**Data Source:** ACSI.  
**FY 2021 Period of Performance:** October 2020 through September 2021.

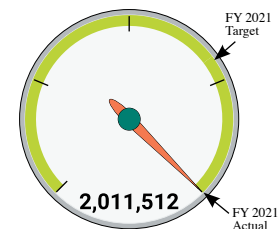


**Table 2.4.D. Number of downloads of the myStudentAid mobile app.**



| 2016   | 2017 | 2018 | 2019      | 2020      | 2021      | 2021      |
|--------|------|------|-----------|-----------|-----------|-----------|
| Actual |      |      |           |           | Actual    | Target    |
| N/A    | N/A  | N/A  | 1,226,234 | 1,657,608 | 2,011,512 | 1,400,000 |

**Note:** Data are not available prior to fiscal year (FY) 2019.  
**Data Source:** Federal Student Aid’s online platform analytics.  
**FY 2021 Period of Performance:** October 2020 through September 2021.

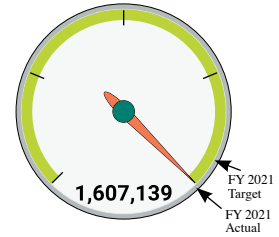


**Table 2.4.E. Number of customers checking loan balances via the myStudentAid mobile app.**



| 2016   | 2017 | 2018 | 2019   | 2020    | 2021      | 2021      |
|--------|------|------|--------|---------|-----------|-----------|
| Actual |      |      |        |         | Actual    | Target    |
| N/A    | N/A  | N/A  | 65,718 | 133,417 | 1,607,139 | 1,500,000 |

Note: Data are not available prior to fiscal year (FY) 2019.  
 Data Source: Federal Student Aid’s online platform analytics.  
 FY 2021 Period of Performance: October 2020 through September 2021.

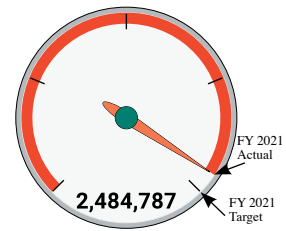


**Table 2.4.F. Number of customers submitting a *Free Application for Federal Student Aid*® via a mobile platform—the myStudentAid mobile app or [fafsa.gov](https://fafsa.gov).**



| 2016   | 2017 | 2018 | 2019      | 2020      | 2021      | 2021      |
|--------|------|------|-----------|-----------|-----------|-----------|
| Actual |      |      |           |           | Actual    | Target    |
| —      | —    | 0    | 2,201,000 | 2,505,293 | 2,484,787 | 2,600,000 |

Note: Data are not available prior to fiscal year (FY) 2019.  
 Data Source: Federal Student Aid’s online platform analytics.  
 FY 2021 Period of Performance: October 2020 through September 2021.

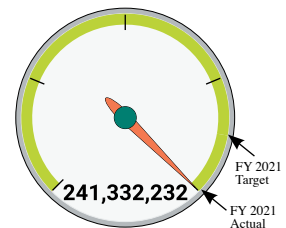


**Table 2.4.G. Number of visits (sessions) demonstrating adoption of the updated [StudentAid.gov](https://studentaid.gov) site.**



| 2016   | 2017 | 2018       | 2019        | 2020        | 2021        | 2021        |
|--------|------|------------|-------------|-------------|-------------|-------------|
| Actual |      |            |             |             | Actual      | Target      |
| —      | —    | 44,500,000 | 183,700,000 | 217,299,306 | 241,332,232 | 210,000,000 |

Note: Data are not available prior to fiscal year (FY) 2018.  
 Data Source: Federal Student Aid’s online platform analytics.  
 FY 2021 Period of Performance: October 2020 through September 2021.

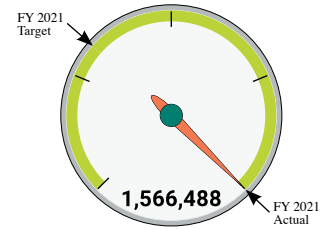


**Table 2.4.H. Number of users of “Aidan®,” the StudentAid.gov virtual assistant.**



| 2016   | 2017 | 2018 | 2019 | 2020    | 2021      | 2021    |
|--------|------|------|------|---------|-----------|---------|
| Actual |      |      |      |         | Actual    | Target  |
| N/A    | N/A  | N/A  | N/A  | 545,763 | 1,556,488 | 500,000 |

**Note:** Data are not available prior to fiscal year (FY) 2020.  
**Data Source:** Federal Student Aid’s online platform analytics.  
**FY 2021 Period of Performance:** October 2020 through September 2021.



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



| 2016   | 2017  | 2018  | 2019  | 2020 | 2021   | 2021   |
|--------|-------|-------|-------|------|--------|--------|
| Actual |       |       |       |      | Actual | Target |
| 19.0%  | 18.4% | 17.2% | 16.6% | 7.6% | N/A    | 17.1%  |

**Note:** Fiscal year (FY) 2021 data not available due to the COVID-19 emergency relief student loan payment suspension.  
**Data Source:** Federal Student Aid’s data warehouse.  
**FY 2021 Period of Performance:** October 2020 through September 2021.

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



| 2016   | 2017  | 2018  | 2019 | 2020 | 2021   | 2021   |
|--------|-------|-------|------|------|--------|--------|
| Actual |       |       |      |      | Actual | Target |
| 11.2%  | 10.9% | 10.1% | 9.8% | 4.8% | N/A    | 10.1%  |

**Note:** Fiscal year (FY) 2021 data not available due to the COVID-19 emergency relief student loan payment suspension.  
**Data Source:** Federal Student Aid’s data warehouse.  
**FY 2021 Period of Performance:** October 2020 through September 2021.





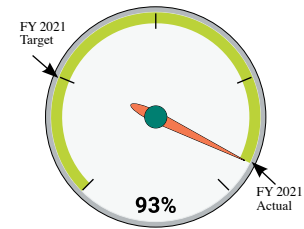
### Strategic Goal 3: Strengthen the quality, accessibility, and use of education data through better management, increased privacy protections, and transparency.

**Table 3.1.A. Percentage of principal offices assessed as having higher data maturity year over year based on the Department’s data maturity assessment tool.**



| 2016   | 2017 | 2018 | 2019 | 2020 | 2021   | 2021   |
|--------|------|------|------|------|--------|--------|
| Actual |      |      |      |      | Actual | Target |
| —      | —    | —    | —    | —    | 93%    | 25%    |

**Note:** Data are not available prior to fiscal year (FY) 2021.  
**Data Source:** The Department’s Annual Data Maturity Assessment.  
**FY 2021 Period of Performance:** October 2020 through September 2021.

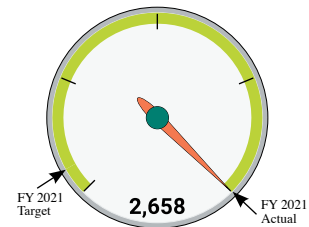


**Table 3.2.A. Number of institutions of higher education (IHEs) that have an audit of Gramm-Leach-Bliley Act-related information security safeguards that result in no significant findings.**



| 2016   | 2017 | 2018 | 2019 | 2020  | 2021   | 2021   |
|--------|------|------|------|-------|--------|--------|
| Actual |      |      |      |       | Actual | Target |
| N/A    | N/A  | N/A  | N/A  | 1,541 | 2,658  | 154    |

**Note:** Data are not available prior to fiscal year (FY) 2020.  
**Data Source:** IHE-provided auditor reports.  
**FY 2021 Period of Performance:** October 2020 through September 2021.



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

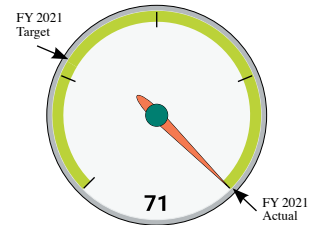


| 2016   | 2017 | 2018 | 2019 | 2020 | 2021   | 2021   |
|--------|------|------|------|------|--------|--------|
| Actual |      |      |      |      | Actual | Target |
| —      | 12   | 63   | 40   | 56   | 71     | 20     |

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

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

FY 2021 Period of Performance: October 2020 through September 2021.



**Table 3.2.C. Percentage of local educational agency (LEA) websites from a statistically representative sample reviewed for inclusion of transparency best practices.**

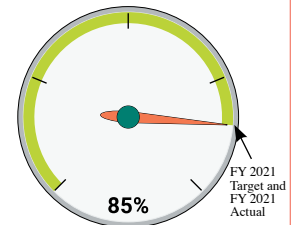


| 2016   | 2017 | 2018 | 2019 | 2020 | 2021   | 2021   |
|--------|------|------|------|------|--------|--------|
| Actual |      |      |      |      | Actual | Target |
| N/A    | N/A  | N/A  | 35%  | 60%  | 85%    | 85%    |

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

Data Source: Selected LEA public websites.

FY 2021 Period of Performance: October 2020 through September 2021.



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

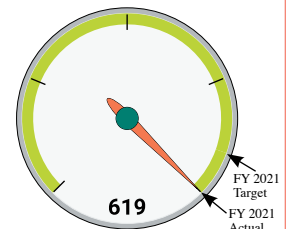


| 2016   | 2017 | 2018 | 2019 | 2020 | 2021   | 2021   |
|--------|------|------|------|------|--------|--------|
| Actual |      |      |      |      | Actual | Target |
| —      | —    | —    | —    | 487  | 619    | 560    |

Note: Data are not available prior to fiscal year (FY) 2020.

Data Source: The Department’s comprehensive data inventory.

FY 2021 Period of Performance: October 2020 through September 2021.





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

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

B

This performance indicator was baselined in fiscal year (FY) 2021. The Department continues to work on measuring ERM.

**Note:** This performance indicator was baselined in FY 2021.

**Data Source:** Office of Finance and Operations, Office of Enterprise Data Analytics, and risk management calculations.

**FY 2021 Period of Performance:** October 2020 through September 2021.

**Table 4.3.A. Percentage of the Department's information technology security functions that improved at least one maturity level.**

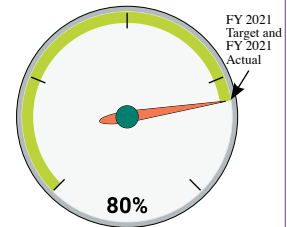


| 2016   | 2017 | 2018 | 2019 | 2020  | 2021   | 2021   |
|--------|------|------|------|-------|--------|--------|
| Actual |      |      |      |       | Actual | Target |
| —      | —    | —    | —    | 84.5% | 80%    | 80%    |

**Note:** Data from previous years are not included, as the methodology and target for this performance indicator were revised in fiscal year (FY) 2020.

**Data Source:** Department of Homeland Security's (DHS') CyberScope quarterly risk management assessment, the Department's Cybersecurity Framework Risk Scorecard, the previous year's Office of the Inspector General *Federal Information Security Modernization Act of 2014* maturity score, and DHS Cyber Hygiene reports.

**FY 2021 Period of Performance:** October 2020 through September 2021.



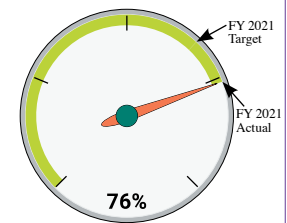
**Table 4.4.A. Federal Employee Viewpoint Survey (FEVS) employee engagement index score.**



| 2016   | 2017 | 2018 | 2019 | 2020 | 2021   | 2021   |
|--------|------|------|------|------|--------|--------|
| Actual |      |      |      |      | Actual | Target |
| 67%    | 67%  | 63%  | 62%  | 70%  | 76%    | 66%    |

**Data Source:** Office of Personnel Management's FEVS.

**FY 2021 Period of Performance:** October 2020 through September 2021.



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# Appendix E

## Data Validation and Verification

Appendix E provides data validation and verification information for performance indicators in the *FY 2021 Annual Performance Report*.



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

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

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

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

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

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

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

| 1.1.D. Number of students enrolled in federally funded magnet schools. |   |
|--|---|
| <b>Data Source:</b>  | Magnet Schools Assistance Program (MSAP) grantee annual performance reports.  |
| <b>Data Validation and Verification:</b>                               | The MSAP contractor conducts data reviews of grantee performance data. The contractor is responsible for locating, assessing, and recording annual performance data. Review protocols include checking and documenting the presence and completeness of performance indicator data for analysis. The contractor’s research staff discuss anomalous data with grantees, who verify or correct submissions. Valid anomalies are documented. The Parental Options and Improvement Programs Director is responsible for certifying the data are accurate. |

| 1.1.E. Number of open and operating public charter schools. |   |
|---|---|
| <b>Data Source:</b>   | National Center for Education Statistics’ (NCES’) Common Core of Data (CCD).  |
| <b>Data Validation and Verification:</b>                    | NCES’ CCD undergoes a rigorous and well-documented review process. More information can be found at <a href="https://nces.ed.gov/ccd">https://nces.ed.gov/ccd</a> . |

| 1.1.F. Number of students enrolled in public charter schools. |   |
|---|---|
| <b>Data Source:</b>   | National Center for Education Statistics’ (NCES’) Common Core of Data (CCD).  |
| <b>Data Validation and Verification:</b>                      | NCES’ CCD undergoes a rigorous and well-documented review process. More information can be found at <a href="https://nces.ed.gov/ccd">https://nces.ed.gov/ccd</a> . |

| 1.1.G. Number of students enrolled in public magnet schools. |   |
|--|---|
| <b>Data Source:</b>  | National Center for Education Statistics’ (NCES’) Common Core of Data (CCD).  |
| <b>Data Validation and Verification:</b>                     | NCES’ CCD undergoes a rigorous and well-documented review process. More information can be found at <a href="https://nces.ed.gov/ccd">https://nces.ed.gov/ccd</a> . |

| 1.1.H. Number of scholarships provided through state-based vouchers, tax credit scholarships, and education savings account programs. |   |
|---|---|
| <b>Data Source:</b>   | EdChoice, <i>The ABCs of School Choice</i> . The targets for fiscal year (FY) 2020 and FY 2021 are imputed by the Office of Elementary and Secondary Education based on EdChoice reported data for the last three years.  |
| <b>Data Validation and Verification:</b>  | EdChoice addresses data quality issues for its annual publications. Imputations and projections are based on EdChoice historic data. Qualifying scholarships include education savings accounts, vouchers, tax-credit scholarships, and individual tax credits and deductions as defined by EdChoice. |

| 1.1.I. Number of parents receiving support and engagement on school choice options through technical assistance and other resources. |  |
|--|--|
| <b>Data Source:</b>  | Internal Department outreach data and performance reports from Department-funded technical assistance centers.   |
| <b>Data Validation and Verification:</b>   | The Office of Elementary and Secondary Education (OESE) and the Office of Special Education Programs (OSEP) staff conduct data reviews of grantee data from the Statewide Family Engagement Centers Program and the Parent Training and Information Program. OESE and OSEP staff are responsible for locating, assessing, and recording annual performance data. Review protocols include checking and documenting the presence and completeness of performance indicator data for analysis. OESE and OSEP staff discuss anomalous data with grantees, who verify or correct submissions. Valid anomalies are documented. Data are reviewed by OESE and OSEP prior to being submitted. |

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

|  |   |
|--|---|
| <b>Data Source:</b>                      | The Department’s annual Assessment Data File that includes state-reported data pulled from ED <i>Facts</i> files C175, C178, C185, and C188.  |
| <b>Data Validation and Verification:</b> | The Office of Elementary and Secondary Education (OESE), Office of Special Education Programs (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 to ensure compliance with the <i>Individuals with Disabilities Education Act</i> Section 618, and OESE reviews this set of assessment data files for the <i>Consolidated State Performance Report</i> (CSPR). Reviews focus on three areas: timeliness, completeness, and accuracy. OESE, OSEP, and ED <i>Facts</i> conduct two data quality reviews of states’ assessment data submissions. The first data quality review results in data quality inquiries, comments, and questions for state respondents. States may respond through resubmission, written response, or data notes. The second data quality review is conducted to ensure published data meet established data quality criteria. OESE, OSEP, and ED <i>Facts</i> hold conference calls with states to gain a better understanding of identified anomalies and provide technical assistance to empower states to submit higher-quality assessment data. Data quality reviews are conducted following each due date/resubmission date. Outstanding questions regarding accuracy may result in data suppression. Note that this indicator is impacted by changes to state assessment systems. If states change assessments, performance levels, or cut scores, among others, it will invalidate the year-to-year analysis to identify states that showed improvements in the percentage of proficient students. Because statewide assessment systems have been in flux for the last few years, it is challenging to establish baselines and set targets. States sign a certification when submitting their CSPR. If questions remain upon completion of the Department’s data quality review process regarding whether the data submitted by a state are accurate, the Department may decide not to publish or use the data. |

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

|  |  |
|--|--|
| <b>Data Source:</b>                      | The Department’s annual Assessment Data File that includes state-reported data pulled from ED <i>Facts</i> files CI75, CI78, CI85, and CI88.   |
| <b>Data Validation and Verification:</b> | The Office of Elementary and Secondary Education (OESE), Office of Special Education Programs (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 to ensure compliance with <i>Individuals with Disabilities Education Act</i> Section 618, and OESE reviews this set of assessment data files for the <i>Consolidated State Performance Report (CSPR)</i> . Reviews focus on three areas: timeliness, completeness, and accuracy. OESE, OSEP, and ED <i>Facts</i> conduct two data quality reviews of states’ assessment data submissions. The first data quality review results in data quality inquiries, comments, and questions for state respondents. States may respond through resubmission, written response, or data notes. The second data quality review is conducted to ensure published data meet established data quality criteria. OESE, OSEP, and ED <i>Facts</i> hold conference calls with states to gain a better understanding of identified anomalies and provide technical assistance to empower states to submit higher-quality assessment data. Data quality reviews are conducted following each due date/resubmission date. Outstanding questions regarding accuracy may result in data suppression. Note that this indicator is impacted by changes to state assessment systems. If states change assessments, performance levels, or cut scores, among others, it will invalidate the year-to-year analysis to identify states that showed improvements in the percentage of proficient students. Because statewide assessment systems have been in flux for the last few years, it is challenging to establish baselines and set targets. States sign a certification when submitting their CSPR. If questions remain upon completion of the Department’s data quality review process regarding whether the data submitted by a state are accurate, the Department may decide not to publish or use the data. |

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

|  |  |
|--|--|
| <b>Data Source:</b>                      | IDEA Part B state annual performance reports.  |
| <b>Data Validation and Verification:</b> | The Office of Special Education Programs’ (OSEP’s) state leads review each state’s annual performance report for data quality. The Monitoring and State Improvement Planning Division Data Implementation Team and OSEP’s Early Childhood Technical Assistance Center, which has expertise in early childhood outcome measurement systems, review the full set of data for anomalies and other data quality concerns. The number of states collecting high-quality data has increased over time as states continue to build their capacity to collect valid and reliable data. These efforts are supported by the Technical Assistance Center, which helps states build and improve their outcome measurement systems, collect and analyze data, and use data to make program improvements. States certify that the data they turn in to OSEP are accurate. The OSEP Director signs the determination letter for each state. |



**1.2.D. Percentage of students in the country who have internet bandwidth at school of at least 100 kbps per student.**

|  |  |
|--|--|
| <b>Data Source:</b>                      | EducationSuperHighway.   |
| <b>Data Validation and Verification:</b> | Verification and validation of data are managed by EducationSuperHighway. The process for checking for anomalous data is managed by EducationSuperHighway. The Office of Educational Technology is responsible for certifying the data are accurate. |

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

|  |  |
|--|--|
| <b>Data Source:</b>                      | EducationSuperHighway.   |
| <b>Data Validation and Verification:</b> | Verification and validation of data are managed by EducationSuperHighway. The process for checking for anomalous data is managed by EducationSuperHighway. The Office of Educational Technology is responsible for certifying the data are accurate. |

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

|  |  |
|--|--|
| <b>Data Source:</b>                      | <i>Consolidated State Performance Report (CSPR).</i>   |
| <b>Data Validation and Verification:</b> | The <i>Every Student Succeeds Act</i> report card data metrics are new to states, beginning with report cards published in school year (SY) 2018–2019 based on data from SY 2017–2018. Some states may be working through the programming necessary to report them and therefore may be delayed for the first couple of years of implementation in the release of their data. Office of Elementary and Secondary Education (OESE) staff are reviewing state educational agency websites to determine if the report cards have been published by January 15 with data from the previous school year. Going forward, states will include in the CSPR the link where the report cards are located. There is a formal, extensive process for the verification and validation of any information submitted through <i>EDFacts/CSPR</i> that occurs annually, beginning immediately following the submission due date in a series of review windows between December and May. Data are reviewed by staff. Due to the scope and complexity of the process, most data included in the CSPR are not considered final and available for use until May. However, because the review of the report cards' links will only involve navigating to the web locations and confirming that the current report cards are posted, OESE staff are able to use preliminary data, which are available earlier in the year, to produce this indicator. Data will be reviewed by OESE prior to being submitted. Anomalous data will be checked and verified by OESE or other supporting offices. |

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

|  |   |
|--|---|
| <b>Data Source:</b>                      | The Office of Elementary and Secondary Education's (OESE's) Office of School Support and Accountability monitors state compliance with Title I requirements, including the requirement to publish state and local report cards.   |
| <b>Data Validation and Verification:</b> | Data are collected during Title I monitoring by OESE. Monitoring reports are reviewed internally by OESE staff and submitted to states as part of the monitoring process. Program officers doing the monitoring are trained for consistent and standard application of monitoring protocols. Anomalous data will be checked and verified by OESE or other supporting offices. OESE is responsible for monitoring the Title I program and follows the protocols necessary to ensure the data are accurate. |

**1.3.A. Number of discretionary grant notices with science, technology, engineering, and mathematics (STEM) as a priority.**

|  |  |
|--|--|
| <b>Data Source:</b>                      | Program offices holding discretionary grant competitions each year, including the Office of Elementary and Secondary Education; the Office of Innovation and Improvement; the Office of Special Education and Rehabilitative Services; the Office of Postsecondary Education; the Office of Career, Technical, and Adult Education; the Institute of Education Sciences; and the Office of English Language Acquisition. |
| <b>Data Validation and Verification:</b> | Reports can be checked against the Notice Inviting Applications for each competition. Each program office listed in the data source is responsible for certifying the data are accurate.   |

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

|  |   |
|--|---|
| <b>Data Source:</b>                      | College Board.  |
| <b>Data Validation and Verification:</b> | College Board addresses all data quality issues and is responsible for certifying that all data are accurate. |

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

|  |   |
|--|---|
| <b>Data Source:</b>                      | College Board.  |
| <b>Data Validation and Verification:</b> | College Board addresses all data quality issues and is responsible for certifying that all data are accurate. |

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

|  |  |
|--|--|
| <b>Data Source:</b>                      | National Reporting System for Adult Education.   |
| <b>Data Validation and Verification:</b> | Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance. |

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

|  |  |
|--|--|
| <b>Data Source:</b>                      | National Reporting System for Adult Education.   |
| <b>Data Validation and Verification:</b> | Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance. |

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

|  |  |
|--|--|
| <b>Data Source:</b>                      | National Reporting System for Adult Education.   |
| <b>Data Validation and Verification:</b> | Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance. |

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

|  |  |
|--|--|
| <b>Data Source:</b>                      | National Reporting System for Adult Education.   |
| <b>Data Validation and Verification:</b> | Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance. |

**1.3.J. Number of secondary career and technical education concentrators enrolling in science, technology, engineering, and mathematics (STEM).**

|  |  |
|--|--|
| <b>Data Source:</b>                      | <i>State Consolidated Annual Reports</i> for the <a href="#"><i>Strengthening Career and Technical Education for the 21st Century Act</i></a> (Perkins V). |
| <b>Data Validation and Verification:</b> | Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance.                         |

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

|  |   |
|--|---|
| <b>Data Source:</b>                      | Department offices that deliver technical assistance.   |
| <b>Data Validation and Verification:</b> | Program offices review activities and apply established qualification criteria. The Office of Planning, Evaluation, and Policy Development's Grants Policy Office reviews submissions and follows up with offices to address any anomalous data. Each program office identifies the point of contact responsible for certifying accuracy of the data. |



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

**2.1.A. Percentage of Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) participants who obtain a secondary school diploma or its equivalent and, within 18 months, are enrolled in postsecondary education.**

|  |  |
|--|--|
| <b>Data Source:</b>                      | GEAR UP annual performance reports.  |
| <b>Data Validation and Verification:</b> | Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance. |

### 2.1.B. Percentage of first-time *Free Application for Federal Student Aid*<sup>®</sup> (FAFSA<sup>®</sup>) filers among high school seniors.

|  |  |
|--|--|
| <b>Data Source:</b>                      | Federal Student Aid's (FSA's) Central Processing System.   |
| <b>Data Validation and Verification:</b> | FSA operational systems have procedures in place to address potential data quality issues. The process for querying system data is consistent and disciplined. A separate data analyst from a different office within FSA validates the accuracy of the query and the resulting data and validates any anomalous data. Queries and calculations are simultaneously conducted on data from previous years by FSA's Business Intelligence Team to ensure technical definitions remain consistent. The Customer Analytics Group is responsible for the primary calculation of the metric as well as the technical validation of the metric, which is done by reviewing for accuracy the query used to pull the data and all calculations made with the data. Finally, the Financial Reporting and Analysis Branch is responsible for ensuring that documentation is complete and archived. These calculations also restrict the application period to the first 9 months of the application cycle (through the close of the fiscal year) rather than the entire 18 months. Because most applicants, including high school seniors, file their FAFSA prior to the start of the upcoming academic year (usually before fiscal year end), this decision better aligns the performance indicator with the fiscal year where most of the performance occurred. |

### 2.1.C. Persistence among first-time filing aid recipients.

|  |  |
|--|--|
| <b>Data Source:</b>                      | Federal Student Aid's Common Origination and Distribution System.  |
| <b>Data Validation and Verification:</b> | Data results are ascertained through standardized system queries. These queries are used to rerun and match calculations for earlier cycles as part of the verification and validity assessment. |

### 2.2.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.

|  |   |
|--|---|
| <b>Data Source:</b>                      | Department offices that deliver technical assistance.   |
| <b>Data Validation and Verification:</b> | Criteria for and examples of technical assistance events/activities and products are provided to program office representatives. The criteria are flexible to accommodate different technical assistance offerings provided across the Department. The Office of Planning, Evaluation, and Policy Development's Grants Policy Office reviews program offices' submission to address any anomalous data. The Department conducts level-setting meetings with staff charged with reporting from each program office to support the collection of standard and meaningful data. Contacts in each program office are responsible for certifying accuracy of the data. |

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

|  |  |
|--|--|
| <b>Data Source:</b>                      | National Reporting System annual state reports.  |
| <b>Data Validation and Verification:</b> | Data are verified through federal review of state data submissions that includes desk monitoring, on-site reviews, and technical assistance. |

**2.2.C. Percentage of Vocational Rehabilitation (VR) Program participants who were in unsubsidized employment during the second quarter after exiting the program.**

|  |  |
|--|--|
| <b>Data Source:</b>                      | Rehabilitation Services Administration’s (RSA’s) <i>Case Service Report</i> (RSA-911).   |
| <b>Data Validation and Verification:</b> | Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance. In accordance with Section 506(b) of the <i>Workforce Innovation and Opportunity Act</i> (WIOA), the performance accountability system requirements of Section 116 of WIOA took effect on July 1, 2016. However, the Office of Special Education and Rehabilitative Services (OSERS) and RSA recognized that state VR agencies may have difficulty implementing the new data requirements quickly enough to submit reports containing the new data elements for program year (PY) 2016. Therefore, the Department exercised its transition authority under Section 503 of WIOA to ensure the orderly transition from the requirements under the <i>Rehabilitation Act of 1973</i> , as amended by the <i>Workforce Investment Act of 1998</i> , to the requirements of WIOA. With the issuance of RSA-PD-16-04 on June 14, 2017, OSERS/RSA revised RSA-911 to begin collecting WIOA data for the VR Program effective in PY 2017, which began July 1, 2017. Data related to the percentage of VR Program participants who were in unsubsidized employment during the second quarter after exit for PY 2018 reflect those participants who exited the VR Program in PY 2017. |

**2.2.D. Percentage of Vocational Rehabilitation (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, toward such a credential or employment.**

|  |  |
|--|--|
| <b>Data Source:</b>                      | Rehabilitation Services Administration’s (RSA’s) <i>Case Service Report</i> (RSA-911).   |
| <b>Data Validation and Verification:</b> | Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance. In accordance with Section 506(b) of the <i>Workforce Innovation and Opportunity Act</i> (WIOA), the performance accountability system requirements of Section 116 of WIOA took effect on July 1, 2016. However, the Office of Special Education and Rehabilitative Services (OSERS) and RSA recognized that state VR agencies may have difficulty implementing the new data requirements quickly enough to submit reports containing the new data elements for program year (PY) 2016. Therefore, the Department exercised its transition authority under Section 503 of WIOA to ensure the orderly transition from the requirements under the <i>Rehabilitation Act of 1973</i> , as amended by the <i>Workforce Investment Act of 1998</i> , to the requirements of WIOA. With the issuance of RSA-PD-16-04 on June 14, 2017, OSERS/RSA revised RSA-911 to begin collecting WIOA data for the VR Program effective in PY 2017, which began July 1, 2017. Data related to the percentage of VR Program participants who were in unsubsidized employment during the second quarter after exit for PY 2018 reflect those participants who exited the VR Program in PY 2017. |

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

|  |   |
|--|---|
| <b>Data Source:</b>                      | Contractor quarterly progress reports.  |
| <b>Data Validation and Verification:</b> | Office of Career, Technical, and Adult Education (OCTAE) staff vet all event materials prior to actual events. For virtual events, the contractor provides relevant analytics as supporting documentation. For face-to-face events, the contractor collects sign-in sheets and event evaluation forms. OCTAE staff review contractor documentation for anomalous or unclear submissions and follow up with the appropriate contractor(s). The Deputy Director of the Division of Adult Education and Literacy within OCTAE is responsible for certifying the data are accurate. |

**2.3.C. Number of postsecondary science, technology, engineering, and mathematics (STEM) degrees and certificates conferred.**

|  |   |
|--|---|
| <b>Data Source:</b>                      | The National Center for Education Statistics' (NCES') Integrated Postsecondary Education Data System (IPEDS) Completions component.   |
| <b>Data Validation and Verification:</b> | NCES' IPEDS undergoes a rigorous and well-documented review process. More information on that process can be found at <a href="https://nces.ed.gov/ipeds">https://nces.ed.gov/ipeds</a> . |

**2.4.A. Average speed to answer incoming calls to Federal Student Aid's (FSA's) call centers.**

|  |   |
|--|---|
| <b>Data Source:</b>                      | Federal servicers' quarterly reports.   |
| <b>Data Validation and Verification:</b> | The verification and validation of performance by the nondefault federal student loan servicers will be conducted by FSA and will include (but not be limited to) (1) review and validation of federal servicer reports, (2) ongoing/recurring quality assurance discussion with federal servicers, (3) site visits to federal servicer call center sites, and (4) documented on-phone ("mystery caller") evaluations of services. Because the agency directive is succinct and builds on current contractor operational capabilities, FSA does not anticipate anomalous data or issues with implementation. However, in cases where verification and validation detect anomalies that suggest less-than-complete information, FSA will address any deficiencies through direct contact with federal servicers, requests for information, audits, site visits, and/or other assessment indicators of performance, as applicable. FSA's Business Operations Officer, who oversees all of FSA's nondefault federal student loan servicers, is responsible for certifying the data are accurate. |

**2.4.B. Average abandon rate for incoming calls to Federal Student Aid's (FSA's) call centers.**

|  |   |
|--|---|
| <b>Data Source:</b>                      | Federal servicers' quarterly reports.   |
| <b>Data Validation and Verification:</b> | The verification and validation of performance by the nondefault federal student loan servicers will be conducted by FSA and will include (but not be limited to) (1) review and validation of federal servicer reports, (2) ongoing/recurring quality assurance discussion with federal servicers, (3) site visits to federal servicer call center sites, and (4) documented on-phone ("mystery caller") evaluations of services. Because the agency directive is succinct and builds on current contractor operational capabilities, FSA does not anticipate anomalous data or issues with implementation. However, in cases where verification and validation detect anomalies that suggest less-than-complete information, FSA will address any deficiencies through direct contact with federal servicers, requests for information, audits, site visits, and/or other assessment indicators of performance, as applicable. FSA's Business Operations Officer, who oversees all of FSA's nondefault federal student loan servicers, is responsible for certifying the data are accurate. |

#### 2.4.C. American Customer Satisfaction Index (ACSI) Surveys.

|  |   |
|--|---|
| <b>Data Source:</b>                      | ACSI.   |
| <b>Data Validation and Verification:</b> | This indicator is a direct reflection of the data collected through the ACSI Aid Life Cycle Survey. Federal Student Aid monitors to ensure the system is secure and the query results are consistent. |

#### 2.4.D. Number of downloads of the myStudentAid mobile app.

|  |   |
|--|---|
| <b>Data Source:</b>                      | Federal Student Aid’s (FSA’s) online platform analytics.  |
| <b>Data Validation and Verification:</b> | This indicator is a direct reflection of the data platform analytics. FSA monitors to ensure the system is secure and the query results are consistent. |

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

|  |   |
|--|---|
| <b>Data Source:</b>                      | Federal Student Aid’s (FSA’s) online platform analytics.  |
| <b>Data Validation and Verification:</b> | This indicator is a direct reflection of the data platform analytics. FSA monitors to ensure the system is secure and the query results are consistent. |

#### 2.4.F. Number of customers submitting a *Free Application for Federal Student Aid*® via a mobile platform—the myStudentAid mobile app or [fafsa.gov](https://fafsa.gov).

|  |   |
|--|---|
| <b>Data Source:</b>                      | Federal Student Aid’s (FSA’s) online platform analytics.  |
| <b>Data Validation and Verification:</b> | This indicator is a direct reflection of the data platform analytics. FSA monitors to ensure the system is secure and the query results are consistent. |

#### 2.4.G. Number of visits (sessions) demonstrating adoption of the updated [StudentAid.gov](https://StudentAid.gov) site.

|  |   |
|--|---|
| <b>Data Source:</b>                      | Federal Student Aid’s (FSA’s) online platform analytics.  |
| <b>Data Validation and Verification:</b> | This indicator is a direct reflection of the data platform analytics. FSA monitors to ensure the system is secure and the query results are consistent. |

#### 2.4.H. Number of users of “Aidan®,” the [StudentAid.gov](https://StudentAid.gov) virtual assistant.

|  |   |
|--|---|
| <b>Data Source:</b>                      | Federal Student Aid’s (FSA’s) online platform analytics.  |
| <b>Data Validation and Verification:</b> | This indicator is a direct reflection of the data platform analytics. FSA will monitor to ensure the system is secure and the query results are consistent. |

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

|  |  |
|--|--|
| <b>Data Source:</b>                      | Federal Student Aid’s (FSA’s) data warehouse.  |
| <b>Data Validation and Verification:</b> | Data are collected on a quarterly basis from FSA’s data warehouse. Verification and validation of the rate(s) of delinquency are conducted by FSA’s Office of Performance Management. FSA does not anticipate anomalous data or issues with interpretation; however, in cases when verification and validation detect anomalies that suggest less-than-complete information, FSA addresses any deficiencies through collaboration with subject-matter experts within the Office of Performance Management. No limitations, other than macro-economic situations (i.e., economic downturn), have been identified. FSA’s Deputy Chief Operating Officer is responsible for certifying the data are accurate. |

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

|  |  |
|--|--|
| <b>Data Source:</b>                      | Federal Student Aid's (FSA's) data warehouse.  |
| <b>Data Validation and Verification:</b> | Data are collected on a quarterly basis from FSA's data warehouse. Verification and validation of the rate(s) of delinquency are conducted by FSA's Office of Performance Management. FSA does not anticipate anomalous data or issues with interpretation; however, in cases when verification and validation detect anomalies that suggest less-than-complete information, FSA addresses any deficiencies through collaboration with subject-matter experts within the Office of Performance Management. No limitations, other than macro-economic situations (i.e., economic downturn), have been identified. FSA's Deputy Chief Operating Officer is responsible for certifying the data are accurate. |



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

### 3.1.A. Percentage of principal offices assessed as having higher data maturity year over year based on the Department's data maturity assessment tool.

|  |   |
|--|---|
| <b>Data Source:</b>                      | The Department's Annual Data Maturity Assessment.   |
| <b>Data Validation and Verification:</b> | The Department's Annual Data Maturity Assessment is administered by the Data Governance Board's (DGB's) support contractor. Meeting minutes from DGB meetings, held every two months or as needed, are developed by DGB's support contractor. Information presented in support of this performance indicator will be reviewed and accepted by DGB's Program Management Office. Interactions between DGB's support contractor and its Program Management Office occur regularly between DGB meetings, providing both the support contractor and program management office with an opportunity to review and finalize documentation of the meeting in a timely fashion and before a subsequent meeting is held. Any data identified by the Program Management Office as anomalous are discussed by the support contractor and Program Management Office. Anomalous data are researched using the original meeting notes from the monthly meeting in question and followed up with calls from the Program Management Office and to any office points of contact whose data are in question. The Program Management Office is responsible for certifying the data are accurate. |

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

|  |  |
|--|--|
| <b>Data Source:</b>                      | IHE-provided auditor reports.  |
| <b>Data Validation and Verification:</b> | The data are verified and validated by Federal Student Aid's (FSA's) Senior Advisor for Cybersecurity in collaboration with the Department's Chief Privacy Officer on at least a quarterly basis and compared to report data, FSA records, and ongoing compliance and investigations regarding data breaches. FSA's Deputy Chief Operating Officer certifies that all data are accurate. |



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

|  |   |
|--|---|
| <b>Data Source:</b>                      | Outreach activity records maintained by the Privacy Technical Assistance Center.  |
| <b>Data Validation and Verification:</b> | The data are verified and validated by Federal Student Aid’s (FSA’s) Senior Advisor for Cybersecurity in collaboration with the Department’s Chief Privacy Officer on at least a quarterly basis and are compared to report data, FSA records, and ongoing compliance and investigations regarding data breaches. There are no identified nuances or limitations to the data. FSA’s Deputy Chief Operating Officer certifies all data are accurate. |

### 3.2.C. Percentage of local educational agency (LEA) websites from a statistically representative sample reviewed for inclusion of transparency best practices.

|  |  |
|--|--|
| <b>Data Source:</b>                      | Selected LEA public websites.  |
| <b>Data Validation and Verification:</b> | The data are verified and validated by the Director of the Student Privacy Policy Office (SPPO) on at least a quarterly basis. Anomalous data are noted in the comments field, and staff and contractors are questioned to ensure that district website reviews are accurate and complete. No limitations are anticipated. The Director of SPPO is responsible for certifying the data are accurate. |

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

|  |  |
|--|--|
| <b>Data Source:</b>                      | The Department’s comprehensive data inventory.   |
| <b>Data Validation and Verification:</b> | The Chief Data Officer is responsible for establishing the Department’s comprehensive data inventory. The Department’s Office of the Chief Data Officer (OCDO) has established an Open Data Platform that will meet the needs of the statutorily required comprehensive data inventory and be capable of tracking new and existing data assets. OCDO will be responsible for calculating these numbers and establishing an independent validation process. |



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

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

|  |  |
|--|--|
| <b>Data Source:</b>                      | Office of Finance and Operations, Office of Enterprise Data Analytics, and risk management calculations.   |
| <b>Data Validation and Verification:</b> | The maturity of the Department’s ERM Program is assessed against the federal ERM maturity model through participation in the Office of Management and Budget’s Federal ERM Maturity Model Pilot during fiscal year (FY) 2020 and FY 2021. The model has five distinct levels and five functional categories for each level. The Office of Enterprise Data Analytics and Risk Management (OEDARM) is leading the development of specific performance indicators to ensure consistently repeatable data collection and trend analysis over time. With quantitative indicators in place, the Department’s maturity can be reliably assessed using a standard methodology. OEDARM is responsible for certifying the data are accurate for the Department and will work directly with Federal Student Aid’s ERM Office to certify any applicable data, accordingly. |

**4.3.A. Percentage of the Department’s information technology (IT) security functions that improved at least one maturity level.**

|  |   |
|--|---|
| <b>Data Source:</b>                      | Department of Homeland Security’s (DHS’) CyberScope quarterly risk management assessment (RMA), the Department’s Cybersecurity Framework (CSF) Risk Scorecard, the previous fiscal year’s Office of the Inspector General (OIG) <i>Federal Information Security Modernization Act of 2014</i> (FISMA) maturity score, and DHS Cyber Hygiene reports.  |
| <b>Data Validation and Verification:</b> | <p>Information derived from the data sources follows a formalized review process to ensure accuracy and timeliness of the information for the purposes of measuring the Department’s progress across these areas. Specifically:</p> <ul style="list-style-type: none"> <li>• <b>DHS quarterly RMA:</b> The Department receives and reviews the draft RMA report. Department approvals are then submitted through CyberScope. The RMA factor is calculated by averaging the security domain completion percentage results within each CSF function to determine the overall percentage of completion at the CSF function level. Peer reviews are conducted to ensure mathematical accuracy prior to finalizing this factor.</li> <li>• <b>The Department’s CSF Risk Scorecard:</b> Department risk scores are compiled via Microsoft Power BI and verified based on the CSF Risk Scorecard standard operating procedure. Scores are continuously reviewed for accuracy prior to releases.</li> <li>• <b>The previous fiscal year’s OIG FISMA maturity score:</b> The current FISMA capability maturity levels (1–5) correlate to a percentage of completion toward the desired goal of achieving level 5—optimized or 100% of the achievable outcomes. Peer reviews are conducted to ensure mathematical accuracy prior to finalizing this factor.</li> <li>• <b>DHS Cyber Hygiene reports:</b> The Department receives and reviews the DHS reports. After Department confirmation, percentages are averaged to determine the overall scoring percentage for the Cyber Hygiene factor. Peer reviews are also conducted to ensure mathematical accuracy prior to finalizing the reports.</li> </ul> |

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

|  |  |
|--|--|
| <b>Data Source:</b>                      | Office of Personnel Management’s (OPM’s) FEVS.   |
| <b>Data Validation and Verification:</b> | Data verification and validation processes are integrated into OPM’s FEVS results validation process. Any questionable or anomalous FEVS results identified are brought to the attention of OPM. The Department then works with the OPM point of contact to obtain clarity or resolve the results. There are no known data limitations. OPM is responsible for certifying the data are accurate. |

# Appendix F

## Performance Indicator Changes

Appendix F includes performance indicators that were added, removed, or changed since the publications of the *FY 2020 Annual Performance Report* and the *FY 2022 Annual Performance Plan*.



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

There were no performance indicators removed, changed, or added for fiscal year (FY) 2021 in Goal 1.



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

There were no performance indicators removed, changed, or added for FY 2021 in Goal 2.



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

There were no performance indicators removed, changed, or added for FY 2021 in Goal 3.



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

### Indicator 4.1.A Status: Removed

|                        |  |
|------------------------|--|
| <b>Type of Change:</b> | Removed for fiscal year 2021 forward.  |
| <b>Original Title:</b> | Number of evaluations to identify potential Executive Order (EO) 13771 deregulatory actions that included opportunity for public input and/or peer review.   |
| <b>Justification:</b>  | On January 20, 2021, President Biden issued EO 13992 (86 FR 7049). This EO revokes several prior EOs, including EOs 13771 and 13777. EOs 13771 and 13777 served as the basis for strategic objective 4.1. Therefore, strategic objective 4.1 and its associated performance indicators can no longer be implemented. |

### Indicator 4.1.B Status: Removed

|                        |  |
|------------------------|--|
| <b>Type of Change:</b> | Removed for fiscal year 2021 forward.  |
| <b>Original Title:</b> | Number of Executive Order (EO) 13771 deregulatory actions recommended by the Regulatory Reform Task Force to the agency head consistent with applicable law.   |
| <b>Justification:</b>  | On January 20, 2021, President Biden issued EO 13992 (86 FR 7049). This EO revokes several prior EOs, including EOs 13771 and 13777. EOs 13771 and 13777 served as the basis for strategic objective 4.1. Therefore, strategic objective 4.1 and its associated performance indicators can no longer be implemented. |

### Indicator 4.1.C Status: Removed

|                        |  |
|------------------------|--|
| <b>Type of Change:</b> | Removed for fiscal year 2021 forward.  |
| <b>Original Title:</b> | Number of Executive Order (EO) 13771 deregulatory actions issued that address recommendations by the Regulatory Reform Task Force.   |
| <b>Justification:</b>  | On January 20, 2021, President Biden issued EO 13992 (86 FR 7049). This EO revokes several prior EOs, including EOs 13771 and 13777. EOs 13771 and 13777 served as the basis for strategic objective 4.1. Therefore, strategic objective 4.1 and its associated performance indicators can no longer be implemented. |

### Indicator 4.1.D Status: Removed

|                        |  |
|------------------------|--|
| <b>Type of Change:</b> | Removed for fiscal year 2021 forward.  |
| <b>Original Title:</b> | Number of Executive Order (EO) 13771 regulatory actions and, separately, EO 13771 deregulatory actions issued.   |
| <b>Justification:</b>  | On January 20, 2021, President Biden issued EO 13992 (86 FR 7049). This EO revokes several prior EOs, including EOs 13771 and 13777. EOs 13771 and 13777 served as the basis for strategic objective 4.1. Therefore, strategic objective 4.1 and its associated performance indicators can no longer be implemented. |

### Indicator 4.1.F Status: Removed

|                        |  |
|------------------------|--|
| <b>Type of Change:</b> | Removed for fiscal year 2021 forward.  |
| <b>Original Title:</b> | Number of deregulatory actions submitted to the Office of Management and Budget.   |
| <b>Justification:</b>  | On January 20, 2021, President Biden issued Executive Order (EO) 13992 (86 FR 7049). This EO revokes several prior EOs, including EOs 13771 and 13777. EOs 13771 and 13777 served as the basis for strategic objective 4.1. Therefore, strategic objective 4.1 and its associated performance indicators can no longer be implemented. |

**Indicator 4.4.C Status: Removed**

|                        |   |
|------------------------|---|
| <b>Type of Change:</b> | Removed for fiscal year (FY) 2021 forward.  |
| <b>Original Title:</b> | Percentage of supervisors and managers with a performance plan critical element related to employee engagement.                     |
| <b>Justification:</b>  | The Department achieved 100 percent on this performance indicator in FY 2020. Therefore, additional tracking is no longer required. |

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# Appendix G

## Programs by Goal

Appendix G includes the other discretionary programs and activities and mandatory programs by Strategic Goal.



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

#### Goal 1 Other Discretionary Programs and Activities

| POC   | ACCT | Objective | Program  |
|-------|------|-----------|--|
| IES   | IES  | 1.4, 2.2  | Regional Educational Laboratories  |
| IES   | IES  | 1.2, 2.2  | Special Education Studies and Evaluations  |
| OCTAE | CTAE | 1.3, 2.1  | Adult Basic and Literacy Education State Grants  |
| OCTAE | CTAE | 1.3, 2.1  | Adult Education National Leadership Activities   |
| OESE  | ED   | 1.2, 1.4  | Comprehensive Literacy Development Grants  |
| OESE  | ED   | 1.2       | State Agency Programs: Migrant   |
| OESE  | ED   | 1.2       | State Agency Programs: Neglected and Delinquent  |
| OESE  | ED   | 1.2, 2.1  | Special Programs for Migrant Students  |
| OESE  | IA   | 1.2       | Impact Aid, Payments for Federally Connected Children: Basic Support Payments                  |
| OESE  | IA   | 1.2       | Impact Aid, Payments for Federally Connected Children: Payments for Children With Disabilities |
| OESE  | IA   | 1.2       | Impact Aid, Facilities Maintenance   |
| OESE  | IA   | 1.2       | Impact Aid, Construction   |
| OESE  | IA   | 1.2       | Impact Aid, Payments for Federal Property  |
| OESE  | IE   | 1.2       | Indian Education: Grants to Local Educational Agencies   |
| OESE  | IE   | 1.2       | Indian Education: Special Programs for Indian Children   |
| OESE  | IE   | 1.2       | Indian Education: National Activities  |
| OESE  | I&I  | 1.2, 1.4  | Innovative Approaches to Literacy  |
| OESE  | I&I  | 1.1, 1.2  | Charter Schools Grants   |
| OESE  | I&I  | 1.1, 1.2  | Magnet Schools Assistance  |
| OESE  | I&I  | 1.2       | American History and Civics Education  |
| OESE  | I&I  | 1.2, 1.4  | Supporting Effective Educator Development  |
| OESE  | I&I  | 1.2       | Ready to Learn Programming   |
| OESE  | I&I  | 1.2       | Arts in Education  |
| OESE  | I&I  | 1.2       | Javits Gifted and Talented Education   |

| POC   | ACCT | Objective     | Program  |
|-------|------|---------------|--|
| OESE  | I&I  | 1.2, 1.4      | Statewide Family Engagement Centers                      |
| OESE  | I&I  | 1.2           | Fostering Diverse Schools (Proposed Legislation)         |
| OESE  | I&I  | 1.2, 2.3      | Teacher Quality Partnership                              |
| OESE  | SIP  | 1.2, 1.4      | Supporting Effective Instruction State Grants            |
| OESE  | SIP  | 1.2, 1.4      | 21st Century Community Learning Centers                  |
| OESE  | SIP  | 1.2           | Education for Homeless Children and Youth Education      |
| OESE  | SIP  | 1.2           | Native Hawaiian Education                                |
| OESE  | SIP  | 1.2           | Alaska Native Education                                  |
| OESE  | SIP  | 1.2           | Training and Advisory Services                           |
| OESE  | SIP  | 1.2           | Rural Education  |
| OESE  | SIP  | 1.2           | Supplemental Education Grants                            |
| OESE  | SIP  | 1.2           | Comprehensive Centers                                    |
| OESE  | SIP  | 1.2           | Student Support and Academic Enrichment Grants           |
| OESE  | SIP  | 1.2           | School-Based Health Professionals (Proposed Legislation) |
| OESE  | SIP  | 1.2           | Climate Resilient Schools (Proposed Legislation)         |
| OESE  | SSCE | 1.2           | Promise Neighborhoods                                    |
| OSERS | SE   | 1.1, 1.2      | Preschool Grants   |
| OSERS | SE   | 1.1           | Grants for Infants and Families                          |
| OSERS | SE   | 1.1, 1.2, 1.4 | Technical Assistance and Dissemination                   |
| OSERS | SE   | 1.2           | Parent Information Centers                               |
| OSERS | SE   | 1.2           | Personnel Preparation                                    |
| OSERS | SE   | 1.3           | Education Technology, Media, and Materials               |
| OSERS | SE   | 1.2           | Special Olympics Education Programs                      |

**Acronyms and Definitions:**

POC = Principal Operating Component; ACCT = Account; IES = Institute of Education Sciences; OCTAE = Office of Career, Technical, and Adult Education; CTAE = Career, Technical, and Adult Education; OESE = Office of Elementary and Secondary Education; ED = Education for the Disadvantaged; IA = Impact Aid; IE = Indian Education; I&I = Innovation and Improvement; SIP = Strengthening Institutions Program; SSCE = Safe Schools and Citizenship Education; OSERS = Office of Special Education and Rehabilitative Services; and SE = Special Education.



## Goal 1 Mandatory Programs

| POC   | ACCT | Objective     | Program   |
|-------|------|---------------|---|
| OCTAE | CTAE | 1.3, 2.1, 2.3 | Expanded Career Pathways for Middle and High School Students                          |
| OESE  | —    | 1.2           | K–12 School Infrastructure  |
| OESE  | I&I  | 1.2, 1.4      | Expanding Opportunities for Teacher Leadership and Development (Proposed Legislation) |
| OESE  | I&I  | 1.2, 1.4      | Supporting In-Demand Credentials for Teachers (Proposed Legislation)                  |
| OPE   | HE   | 1.4           | Teacher Quality Partnerships  |
| OPE   | HE   | 1.4, 2.3      | Hawkins Centers of Excellence   |
| OSERS | SE   | 1.4           | Personnel Preparation   |

### Acronyms and Definitions:

POC = Principal Operating Component; ACCT = Account; OCTAE = Office of Career, Technical, and Adult Education; CTAE = Career, Technical, and Adult Education; OESE = Office of Elementary and Secondary Education; — = Not Available; K–12 = Kindergarten Through Grade 12; I&I = Innovation and Improvement; OPE = Office of Postsecondary Education; HE = Higher Education; OSERS = Office of Special Education and Rehabilitative Services; and SE = Special Education.



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

### Goal 2 Other Discretionary Programs and Activities

| POC   | ACCT   | Objective | Program   |
|-------|--------|-----------|---|
| FSA   | DM/SAA | N/A       | Student Aid Administration: Salaries and Expenses   |
| FSA   | DM/SAA | N/A       | Student Aid Administration: Servicing Activities  |
| FSA   | SFA    | 2.1, 2.3  | Federal Supplemental Educational Opportunity Grants   |
| FSA   | SFA    | 2.1, 2.3  | Federal Work-Study  |
| IES   | IES    | 1.4, 2.2  | Regional Educational Laboratories   |
| IES   | IES    | 1.2, 2.2  | Special Education Studies and Evaluations   |
| OCTAE | CTAE   | 2.1, 2.4  | Career and Technical National Programs  |
| OCTAE | CTAE   | 1.3, 2.1  | Adult Basic and Literacy Education State Grants   |
| OCTAE | CTAE   | 1.3, 2.1  | Adult Education National Leadership Activities  |
| OCTAE | CTAE   | 2.1       | Tribally Controlled Postsecondary Career and Technical Institutions                                     |
| OESE  | ED     | 1.2, 2.1  | Special Programs for Migrant Students   |
| OESE  | I&I    | 1.2, 2.3  | Teacher Quality Partnership   |
| OPE   | HE     | 2.1, 2.2  | Aid for Institutional Development: Strengthening Institutions   |
| OPE   | HE     | 2.1       | Aid for Institutional Development: Strengthening Tribally Controlled Colleges and Universities          |
| OPE   | HE     | 2.1       | Strengthening Alaska Native and Native Hawaiian-Serving Institutions                                    |
| OPE   | HE     | 2.1       | Strengthening Historically Black Graduate Institutions  |
| OPE   | HE     | 2.1       | Strengthening Historically Black College and University Master's Program                                |
| OPE   | HE     | 2.1       | Strengthening Predominantly Black Institutions  |
| OPE   | HE     | 2.1       | Strengthening Asian American- and Native American Pacific Islander- Serving Institutions                |
| OPE   | HE     | 2.1       | Strengthening Native American-Serving Nontribal Institutions  |
| OPE   | HE     | 2.2, 2.3  | Minority Science and Engineering Improvement  |
| OPE   | HE     | 2.1       | Aid for Hispanic-Serving Institutions: Developing Hispanic-Serving Institutions                         |
| OPE   | HE     | 2.1       | Aid for Hispanic-Serving Institutions: Promoting Postbaccalaureate Opportunities for Hispanic Americans |
| OPE   | HE     | 2.1, 2.2  | Consolidated MSI Grant (Proposed Legislation): Consolidated Minority-Serving Institution Grant          |
| OPE   | HE     | 2.1       | International Education and Foreign Language Studies: Domestic Programs                                 |

| POC   | ACCT  | Objective     | Program  |
|-------|-------|---------------|--|
| OPE   | HE    | 2.1           | International Education and Foreign Language Studies: Overseas Programs  |
| OPE   | HE    | 2.1           | Model Transition Programs for Students With Intellectual Disabilities Into Higher Education                          |
| OPE   | HE    | 2.1, 2.2, 2.4 | Gaining Early Awareness and Readiness for Undergraduate Programs   |
| OPE   | HE    | 2.3           | Graduate Assistance in Areas of National Need  |
| OPE   | HE    | 2.1           | Child Care Access Means Parents in School  |
| OPE   | HE    | 2.1, 2.3      | Fund for the Improvement of Postsecondary Education  |
| OPE   | HE    | 2.1           | Howard University: General Support   |
| OPE   | HE    | 2.1           | Howard University Hospital   |
| OPE   | HE    | N/A           | College Housing and Academic Facilities Loans Program Account: Federal Administration                                |
| OPE   | HE    | N/A           | Historically Black College and University Capital Financing Program Account: Federal Administration                  |
| OPE   | HE    | N/A           | Historically Black College and University Capital Financing Program Account: Loan Subsidies                          |
| OPE   | HE    | N/A           | Historically Black College and University Capital Financing Program Account: Modification of Existing Loan Subsidies |
| OSERS | APHB  | 2.1, 2.3      | American Printing House for the Blind  |
| OSERS | GU    | 2.1, 2.3      | Gallaudet University   |
| OSERS | NTID  | 2.1, 2.2      | National Technical Institute for the Deaf  |
| OSERS | REHAB | 2.1           | Client Assistance State Grants   |
| OSERS | REHAB | 2.1, 2.2      | Vocational Rehabilitation Training   |
| OSERS | REHAB | 2.1, 2.2      | Demonstration and Training Programs  |
| OSERS | REHAB | 2.1           | Protection and Advocacy of Individual Rights   |
| OSERS | REHAB | 2.1, 2.3      | Supported Employment State Grants  |
| OSERS | REHAB | 2.2           | Independent Living Services for Older Blind Individuals  |
| OSERS | REHAB | 2.2           | Helen Keller National Center for Deaf-Blind Youths and Adults  |

**Acronyms and Definitions:**

POC = Principal Operating Component; ACCT = Account; FSA = Federal Student Aid; DM = Departmental Management; SAA = Student Aid Administration; N/A = Not Applicable; SFA = Student Financial Assistance; IES = Institute of Education Sciences; OCTAE = Office of Career, Technical, and Adult Education; CTAE = Career, Technical, and Adult Education; OESE = Office of Elementary and Secondary Education; ED = Education for the Disadvantaged; I&I = Innovation and Improvement; OPE = Office of Postsecondary Education; HE = Higher Education; OSERS = Office of Special Education and Rehabilitative Services; APHB = American Printing House for the Blind; GU = Gallaudet University; NTID = National Technical Institute for the Deaf; and REHAB = Rehabilitation Services and Disability Research.

## Goal 2 Mandatory Programs

| POC   | ACCT  | Objective | Program  |
|-------|-------|-----------|--|
| FSA   | FDSL  | 2.1, 2.3  | Federal Direct Student Loans Program Account: New Loan Subsidies   |
| FSA   | FDSL  | 2.1, 2.3  | Federal Direct Student Loans Program Account: Upward Reestimate of Existing Loans  |
| FSA   | FDSL  | 2.1, 2.3  | Federal Direct Student Loans Program Account: Upward Modification of Existing Loans  |
| FSA   | FFEL  | 2.1       | Federal Family Education Loans Program Account: Upward Reestimate of Existing Loans  |
| FSA   | FFEL  | 2.1       | Federal Family Education Loans Program Account: Upward Modification of Existing Loans  |
| FSA   | FFEL  | 2.1       | Federal Family Education Loans Liquidating Account: Pre-1992 Student Loans   |
| FSA   | HEAL  | 2.1       | Health Education Assistance Loans Liquidating Account  |
| FSA   | SFA   | 2.1, 2.3  | Federal Pell Grants: Mandatory   |
| FSA   | SFA   | 2.1, 2.3  | Federal Pell Grants: Mandatory Funding for Discretionary Program Costs   |
| FSA   | SFA   | 2.1, 2.3  | Iraq and Afghanistan Service Grants  |
| FSA   | TEACH | 2.1, 2.3  | TEACH Grants: New Loan Subsidy   |
| FSA   | TEACH | 2.1, 2.3  | TEACH Grants: Upward Reestimate of Existing Loans  |
| OCTAE | —     | 2.1       | Community College Infrastructure   |
| OCTAE | CTAE  | 2.1       | Adult Education State Grants   |
| OESE  | SIP   | 2.3       | School-Based Health Professionals of the Future  |
| OPE   | HE    | 2.1       | HEA Title III/V Programs for Historically Black Colleges and Universities, Tribally Controlled Colleges and Universities, Hispanic-Serving Institutions, and Minority-Serving Institutions |
| OPE   | HE    | 2.1       | Completion Grants  |
| OPE   | HE    | 2.1       | Aid for Institutional Development: Mandatory Strengthening Tribally Controlled Colleges and Universities   |
| OPE   | HE    | 2.1       | Mandatory Strengthening Alaska Native- and Native Hawaiian-Serving Institutions  |
| OPE   | HE    | 2.1       | Mandatory Strengthening Historically Black Colleges and Universities   |
| OPE   | HE    | 2.1       | Mandatory Strengthening Predominantly Black Institutions   |
| OPE   | HE    | 2.1       | Mandatory Strengthening Asian American- and Native American Pacific Islander-Serving Institutions  |
| OPE   | HE    | 2.1       | Mandatory Strengthening Native American-Serving Nontribal Institutions   |
| OPE   | HE    | 2.1, 2.2  | Aid for Hispanic-Serving Institutions: Mandatory Developing HSI STEM and Articulation Programs   |
| OPE   | HE    | 2.1, 2.2  | Consolidated Minority-Serving Intuition Grant (Proposed Legislation): Mandatory Consolidated Minority-Serving Institution Grant  |

| POC   | ACCT  | Objective     | Program  |
|-------|-------|---------------|--|
| OPE   | HE    | N/A           | College Housing and Academic Facilities Loans Program Account: Reestimate of Existing Loan Subsidies               |
| OPE   | HE    | N/A           | College Housing and Academic Facilities Loans Liquidating Account  |
| OPE   | HE    | N/A           | Historically Black College and University Capital Financing Program Account: Reestimate of Existing Loan Subsidies |
| OPE   | HE    | N/A           | Higher Education Facilities Loans Liquidating Account  |
| OPE   | HE    | N/A           | College Housing Loans Liquidating Account  |
| OSERS | REHAB | 2.1, 2.2, 2.3 | Vocational Rehabilitation, State Grants  |
| OSERS | REHAB | 2.1           | Vocational Rehabilitation, Grants to Indians   |
| SFA   | —     | 2.1           | Perkins Loan Repayments  |
| SFA   | —     | N/A           | FDSL Downward Reestimate of Loan Subsidies   |
| SFA   | —     | N/A           | FDSL Downward Modification/Negative Loan Subsidies   |
| SFA   | —     | N/A           | FFEL Downward Reestimate of Loan Subsidies   |
| SFA   | —     | N/A           | FFEL Downward Modification/Negative Loan Subsidies   |
| SFA   | —     | N/A           | Historically Black College and University Capital Financing Downward Reestimate of Loan Subsidies                  |
| SFA   | —     | N/A           | Student Financial Assistance Debt Collection   |

**Acronyms and Definitions:**

POC = Principal Operating Component; ACCT = Account; FSA = Federal Student Aid; FDSL = Federal Direct Student Loan; FFEL = Federal Family Education Loan; HEAL = Health Education Assistance Loan; SFA = Student Financial Assistance; TEACH = Teacher Education Assistance for College and Higher Education; OCTAE = Office of Career, Technical, and Adult Education; — = Not Available; CTAE = Career, Technical, and Adult Education; OESE = Office of Elementary and Secondary Education; SIP = Strengthening Institutions Program; OPE = Office of Postsecondary Education; HE = Higher Education; HEA = Higher Education Act of 1965; HSI STEM = Hispanic-Serving Institution Science, Technology, Engineering, and Mathematics; N/A = Not Applicable; OSERS = Office of Special Education and Rehabilitative Services; and REHAB = Rehabilitation Services and Disability Research.



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

### Goal 3 Other Discretionary Programs and Activities

| POC | ACCT | Objective     | Program                             |
|-----|------|---------------|-------------------------------------|
| IES | IES  | 3.1, 3.2, 3.3 | National Assessment Governing Board |
| IES | IES  | 3.3           | Research in Special Education       |
| IES | IES  | 3.1, 3.2, 3.3 | Statewide Longitudinal Data Systems |

**Acronyms and Definitions:**

POC = Principal Operating Component; ACCT = Account; and IES = Institute of Education Sciences.

### Goal 3 Mandatory Programs

No additional programs.



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

### Goal 4 Other Discretionary Programs and Activities

| POC | ACCT  | Objective | Program  |
|-----|-------|-----------|--|
| All | DM/PA | N/A       | Program Administration: Building Modernization |
| OIG | OIG   | N/A       | Office of Inspector General                    |

**Acronyms and Definitions:**

POC = Principal Operating Component; ACCT = Account; DM = Departmental Management; PA = Program Administration; N/A = Not Applicable; and OIG = Office of Inspector General.

### Goal 4 Mandatory Programs

No additional programs.

# Appendix H

## Summary of Performance Evaluations Completed During FY 2021

Appendix H summarizes findings from all evaluations conducted for the Institute of Education Sciences’ National Center for Education Evaluation and Regional Assistance that have had publications released by the Department during fiscal year (FY) 2021. Ongoing evaluations have been included in the Department’s *Annual Evaluation and Evidence-Building Plan*, as required under the *Foundations for Evidence-Based Policymaking Act of 2018*.

In addition, the evaluations presented here align with the *U.S. Department of Education Strategic Plan Fiscal Years 2022–2026*, Agency Priority Goals, and the corresponding FY 2022–FY 2026 Learning Agenda (found in Appendix A of the FY 2022–FY 2026 Strategic Plan). In the Learning Agenda, the Department identifies the following six focus areas for evidence building that are critical to strengthening the nation’s education system, helping ensure it can provide every student with access to high-quality learning opportunities that meet their unique needs:

|  |   |
|--|---|
| <b>Focus Area 1—COVID-19:</b>              | Address the impact of COVID-19 on students, educators, and faculty.                                   |
| <b>Focus Area 2—Equity:</b>                | Promote equity in student access to educational resources, opportunities, and welcoming environments. |
| <b>Focus Area 3—Educators:</b>             | Support a diverse educator workforce and professional growth to strengthen student learning.          |
| <b>Focus Area 4—Meeting Student Needs:</b> | Meet students’ social, emotional, and academic needs.   |
| <b>Focus Area 5—Postsecondary:</b>         | Increase postsecondary education access, affordability, completion, and post-credential success.      |
| <b>Focus Area 6—Federal Financial Aid:</b> | Manage federal student aid programs.  |

For each evaluation presented, the following information is provided:

- Whether it is aligned to one or more of the evidence-building focus areas above, its current status, its expected or final start and end date, and a link to access.
- Background on the issues, contexts, and problems that motivate the evaluation activity.
- Research questions the evaluation seeks to answer.
- Evaluation design and analytical considerations.

- Publications and products expected from the evaluation, including those released in FY 2021.
- Key findings from the FY 2021 publications.

## Impact Study of Magnet Schools

### Overview

|                        |   |
|------------------------|---|
| <b>Focus Area:</b>     | Focus Area 2—Equity   |
| <b>Current Status:</b> | Study is ongoing; interim publication was released in FY 2021   |
| <b>Duration:</b>       | September 2017–May 2024   |
| <b>Link:</b>           | <a href="https://ies.ed.gov/ncee/projects/evaluation/choice_impactmagnet.asp">https://ies.ed.gov/ncee/projects/evaluation/choice_impactmagnet.asp</a> |

### Background

Decades after the Supreme Court declared racial segregation in public schools to be unconstitutional, concentration in schools by race, ethnicity, and poverty persists. The federal Magnet Schools Assistance Program (MSAP) supports districts and schools in their efforts to reduce group isolation and improve student achievement through increased school choice options for families. MSAP schools seek to attract a diverse set of students and provide high-quality academic programs, typically by organizing recruitment and instruction around one or more themes. With growth in school choice more broadly and specifically in magnet schools since 2000, it is important to understand how well these federally funded schools achieve their goals and how they work. This evaluation takes advantage of new opportunities to rigorously assess MSAP schools but with low burden. It draws on lotteries most MSAP districts now use to admit students to their magnet schools. By comparing the achievement and school characteristics of applicants who were and were not given a seat by chance, the study will determine the impact of the MSAP and examine how specific school features relate to effectiveness.

### Research Questions

- What is the impact of MSAP on student achievement and/or other relevant indicators of student success, such as persistence in school or graduation?
- What is the impact of MSAP on the characteristics of the schools that the students attend, including whether they are higher performing or more diverse?
- Are particular features of magnet schools associated with greater success?

### Design and Analytic Considerations

This impact evaluation includes more than 14,500 students who entered MSAP admissions lotteries in calendar year 2018 or 2019 in 11 districts. Data are being collected for both students who were and were not offered placement, including district records containing student characteristics, enrollment, test scores, and other information. Also included is a survey of students' school principals about school organization and instruction. The



academic progress and experiences of students in the two groups will be compared for the four years following their admissions lottery, through school year (SY) 2023.

### Publications and Products

A snapshot titled [\*Drawing Across School Boundaries: How Federally Funded Magnet Schools Recruit and Admit Students\*](#) was released in January 2021. The next report, on school diversity, is expected in calendar year 2023 and will be announced on <http://ies.ed.gov/ncee/>.

### FY 2021 Publication Key Findings

- MSAP-funded schools report using a variety of strategies to recruit students, targeting those the schools believe are likely to exercise choice. Priorities for recruiting students reflect efforts to diversify. However, fewer than one in four schools offered resource-intensive accommodations that might be particularly attractive to high-needs families.
- Perceived stigma of low academic quality and lack of diversity are top reported obstacles to recruiting students.
- MSAP-funded schools are most likely to give preference in admissions to students from affiliated families or communities. For example, about 70 percent of schools give preference to siblings of students already enrolled in the magnet, and 59 percent of schools give preference to students in nearby neighborhoods or schools.
- The key findings will be updated when the next report is released.

## Assessing Evidence of Effectiveness in Adult Education: Study of Training for Career Navigators

### Overview

|                        |   |
|------------------------|---|
| <b>Focus Area:</b>     | Focus Area 2—Equity and Focus Area 5—Postsecondary  |
| <b>Current Status:</b> | Study is ongoing; interim publication was released in FY 2021   |
| <b>Duration:</b>       | September 2018–December 2027  |
| <b>Link:</b>           | <a href="https://ies.ed.gov/ncee/projects/evaluation/pathways_evidence.asp">https://ies.ed.gov/ncee/projects/evaluation/pathways_evidence.asp</a> |

### Background

Nearly 43 million U.S. adults lack the basic literacy, numeracy, or English language skills required to succeed in the workforce and achieve economic self-sufficiency. Title II of the *Workforce Innovation and Opportunity Act* (WIOA) of 2014 is the key federal effort to help adults acquire these and other important skills as well as to earn a high school equivalency credential. WIOA encourages adult education programs to use evidence-based strategies to improve services and learners’ success, yet few strategies have rigorous research supporting them. To fix this knowledge gap, WIOA requires the Department to carry out

an independent evaluation of adult education programs and services that includes identifying effective practices. As one part of the Department’s overall National Assessment of Adult Education, this study examines evidence from existing research on adult education strategies and designs new potential studies to expand the effectiveness evidence base. This study also includes conducting an impact evaluation of training for career navigators—key staff at many local adult education sites who are expected to advise learners on career and college planning and to help them address any challenges in pursuing their plans.

### Research Questions

- What is known about the effectiveness of adult education strategies?
- Can providing training to career navigators improve adult learners’ college enrollment and credential attainment rates?
- Can it improve learners’ employment rates and earnings?

### Design and Analytic Considerations

Approximately 65 adult education sites will be recruited by fall 2022 to participate in a study of the effectiveness of training for career navigators. About half of the sites will be assigned by lottery to a group in which the site’s career navigators will receive training provided by the study in fall 2022. Career navigators in the remaining sites will not receive the study’s training. Using administrative records, participants’ college enrollment, credential attainment, employment status, and earnings will be assessed approximately 18 and 30 months following the participants’ enrollment in the study. The study will also survey career navigators at the start of the study and collect service logs from throughout the study to describe the types of navigation services typically provided and to whom those services are typically targeted.

### Publications and Products

A snapshot titled *Adult Education Strategies: Identifying and Building Evidence of Effectiveness* was released in April 2021. A descriptive report on the navigation services typically provided at sites in the career navigator training study is expected in 2024 and will be announced on <https://ies.ed.gov/ncee/>.

### FY 2021 Publication Key Findings

- There has been little rigorous research on whether particular strategies in adult education improve learner outcomes.
- The rigorous research that has been conducted does not address the full set of outcome areas that federal policy emphasizes. Studies measuring basic skills such as literacy did not measure longer-term outcomes such as credential attainment and earnings. Studies that investigated longer-term outcomes did not measure basic skills.
- The available evidence provides limited support for the use of particular adult education strategies over others, although bridge classes and integrated education and training programs offer some promise.

# Effectiveness of Promising Strategies in Federal College Access Programs: Study of College Transition Text Messaging in GEAR UP

## Overview

|                        |   |
|------------------------|---|
| <b>Focus Area:</b>     | Focus Area 5—Postsecondary  |
| <b>Current Status:</b> | Study is completed  |
| <b>Duration:</b>       | September 2012–February 2023  |
| <b>Link:</b>           | <a href="https://ies.ed.gov/ncee/projects/evaluation/pathways_gearup.asp">https://ies.ed.gov/ncee/projects/evaluation/pathways_gearup.asp</a> |

## Background

The complex process of applying to, enrolling in, and staying in college is one of the many barriers to postsecondary success that low-income students face. Emerging research suggests that customized text message reminders that also connect students to advisors could help. This demonstration evaluated a promising text messaging strategy that addressed hurdles that are both procedural—registration, course selection, tuition payments, office hours, *Free Application for Federal Student Aid*<sup>®</sup> (FAFSA<sup>®</sup>) refiling—and psychological, such as concerns about fitting in and doing well. The strategy was offered to seniors in a group of high schools participating in Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP), a Department college access program that serves students in high-need schools beginning in grade 7. The messaging helped schools take advantage of a new opportunity introduced in the 2008 amendments to the *Higher Education Act of 1965* (HEA) for GEAR UP grantees to support the transition to college.

## Research Questions

- Does the text messaging and advisor support improve students’ rates of college enrollment and persistence?
- For which types of students is the strategy more or less beneficial?

## Design and Analytic Considerations

The demonstration recruited high schools in GEAR UP that were the first eligible to support a year of post-high school services. Across about 80 schools, almost 5,000 seniors in SY 2015–2016 or SY 2016–2017 were randomly assigned to receive the college transition services grantees originally proposed in their applications or those services plus the personalized reminders and advisor support through text messages. Reminders and support began at the end of students’ high school senior year and continued into the spring of their expected first year of college. The study team administered a survey before the reminder messaging began to collect information on students’ experiences with college advising and their intended college (so that the messages could be tailored to individual schools’ deadlines and requirements). College enrollment and persistence, as well as FAFSA renewal, were tracked into students’ expected second year of college using administrative records.

## Publications and Products

A report titled *Study of College Transition Messaging in GEAR UP: Impacts on Enrolling and Staying in College* was released in February 2021.

### FY 2021 Publication Key Findings

- Students who were sent text messages were no more likely to enroll or persist in college than other students. The messaging did not increase college enrollment in the fall after high school or through the first year and into a second year of college. The messages also did not affect whether students completed the FAFSA.
- Messaging went as planned, but the information students and advisors had may have been among the factors that limited its effectiveness. Students and their mostly high school-based GEAR UP advisors communicated back and forth via texting. But each advisor supported an average of 40 students dispersed to 8 colleges; providing college-specific information for that caseload may have been challenging. Also, the students might have had more college advising and knowledge in high school than students in other texting studies where transition messaging showed some benefits.

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

### Overview

|                        |   |
|------------------------|---|
| <b>Focus Area:</b>     | Focus Area 5—Postsecondary and Focus Area 6: Federal Financial Aid  |
| <b>Current Status:</b> | Study is completed  |
| <b>Duration:</b>       | September 2012–December 2020  |
| <b>Link:</b>           | <a href="https://ies.ed.gov/ncee/projects/evaluation/pathways_pell.asp">https://ies.ed.gov/ncee/projects/evaluation/pathways_pell.asp</a> |

### Background

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 (i.e., less than 15 weeks and 600 hours) programs are restricted from obtaining these grants. Given unemployment rates above 8.5 percent in 2011 and reports of unfilled openings for skilled jobs in some occupations, postsecondary institutions called for expanding Pell Grants to help fill the skill training gap for low-income workers. In response, Federal Student Aid (FSA), under the Experimental Sites Initiative authorized by Section 487A(b) of HEA, conducted 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 occupational training in high-demand fields. The Institute of Education Sciences designed and is overseeing a rigorous evaluation of these experiments.

## Research Questions

- Does expanding Pell Grant eligibility to include income-eligible students with a BA (Experiment 1) and/or to cover shorter-term programs (Experiment 2) increase enrollment in and completion of postsecondary programs?
- Did offering experimental Pell Grants affect the types of programs that students enrolled in or completed?
- Does expanding Pell Grant eligibility to these groups affect federal financial aid receipt? Does offering experimental Pell Grants affect students' use of federal student loans? What percentage of students who were offered experimental Pell Grants used them?

## Design and Analytic Considerations

Between the 2012 and 2017 award years, 46 postsecondary institutions volunteered to participate and identified nearly 3,000 students eligible for the experiments. Students were randomly assigned to be offered or not offered experimental Pell Grant funds in their financial aid package. Student administrative data on program enrollment and completion were collected from participating postsecondary institutions between 2016 and 2018. Data collection also included student administrative records on financial aid receipt from FSA. These data will be analyzed to address the research questions.

## Publications and Products

A report titled *[The Effects of Expanding Pell Grant Eligibility for Short Occupational Training Programs: Results From the Experimental Sites Initiative](#)* was released in December 2020.

## FY 2021 Publication Key Findings

- Offering Pell Grants for short occupational programs to low-income students with a BA (Experiment 1) increased program enrollment and completion by about 20 percentage points. Students were 26 percentage points more likely to enroll in additional education and 17 percentage points more likely to complete a program at the study schools if they were offered an experimental Pell Grant. The offer also affected completion of high-demand programs—defined as those associated with occupations in a new and emerging field, projected to grow rapidly, or having a large number of openings in the student's state. Completion of these programs increased by 11 percentage points.
- Offering Pell Grants for very short-term occupational training programs (Experiment 2) increased program enrollment and completion by about 10 percentage points. Students were 15 percentage points more likely to enroll in additional education and 9 percentage points more likely to complete a program at the study schools if they were offered an experimental Pell Grant for very short-term occupational programs. The offer increased completion of programs associated with high-demand occupations in a student's state by 8 percentage points.

# Impact Evaluation of Support for Principals

## Overview

|                        |   |
|------------------------|---|
| <b>Focus Area:</b>     | Focus Area 3—Educators  |
| <b>Current Status:</b> | Study is completed  |
| <b>Duration:</b>       | July 2014–June 2021   |
| <b>Link:</b>           | <a href="https://ies.ed.gov/ncee/projects/evaluation/tq_principals.asp">https://ies.ed.gov/ncee/projects/evaluation/tq_principals.asp</a> |

## Background

Principals are increasingly required to be instructional leaders, not just managers, as schools seek to improve their academic climate and performance. States and districts can provide professional development to help principals become more effective in this role, with new opportunities to use funds from the federal Title II, Part A program of the updated *Elementary and Secondary Education Act*. Given this recent shift in federal policy and the limited information about how to help principals improve, this evaluation assessed the effects of one promising, intensive professional development and coaching approach. It primarily helps principals conduct structured observations of teachers' classroom instruction and provide targeted feedback based on those observations. Providing this type of support is expected to boost teacher effectiveness and, in turn, student achievement. The principal professional development also encouraged creating more supports and a more supportive environment for teachers overall, which was intended to improve school climate and reduce both teacher and principal turnover.

## Research Questions

- What are the impacts of intensive principal professional development on the practices used by principals to provide or arrange supports for their teachers? Does it improve school climate and reduce teacher and principal turnover?
- What are the impacts on student achievement?
- What are the professional development experiences of principals?

## Design and Analytic Considerations

Within 10 districts, the study team randomly assigned a total of 100 elementary schools whose principals either received the professional development program or did not. All principals continued to have access to any regular district-provided professional development. The University of Washington's Center for Educational Leadership was selected to provide the professional development program during SY 2015–2016 and SY 2016–2017.

Data collection in both years of implementation included information about the professional development delivered and experienced by the principals participating in the intervention; 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 address teacher retention and student achievement, behavior, and attendance.

### **Publications and Products**

The most recent publication, *[Time to Lead: An Illustrative Look at How Elementary School Principals Spend Their Workweek](#)*, was released in June 2021. This is a study snapshot that provides information from 100 principals about the extent and nature of instructional support to improve teacher practice.

Other study publications include the study report titled *[The Effects of a Principal Professional Development Program Focused on Instructional Leadership](#)* was released in October 2019.

### **FY 2021 Publication Key Findings**

- Principals spent more time on tasks other than providing instructional support.
- Principals with elementary school teaching experience reported providing more extensive direct instructional support. According to teachers, they provided more helpful and actionable direct instructional support in some cases.
- Time principals spent providing instructional support was similar regardless of other principal, teacher, and school characteristics.

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# Appendix I

## Glossary of Acronyms and Abbreviations

| Acronym   | Definition   |
|-----------|--|
| —         | Not Available  |
| ACCT      | Account  |
| ACSI      | American Consumer Satisfaction Index   |
| AP        | Advanced Placement   |
| APG       | Agency Priority Goal   |
| APHB      | American Printing House for the Blind  |
| APR       | Annual Performance Report  |
| ARP       | <i>American Rescue Plan Act of 2021</i>  |
| ARP ESSER | <i>American Rescue Plan Act of 2021</i> Elementary and Secondary School Emergency Relief |
| BA        | Bachelor's Degree  |
| CAE       | Center of Academic Excellence  |
| CAP       | Cross-Agency Priority  |
| CARES Act | <i>Coronavirus Aid, Relief, and Economic Security Act</i>                                |
| CCD       | Common Core of Data  |
| CDC       | Centers for Disease Control and Prevention   |
| CSF       | Cybersecurity Framework  |
| CSP       | Charter Schools Program  |
| CSPR      | <i>Consolidated State Performance Report</i>   |
| CTAE      | Career, Technical, and Adult Education   |
| CTE       | Career and Technical Education   |
| CTERN     | Career & Technical Education Research Network  |
| DGB       | Data Governance Board  |
| DHS       | Department of Homeland Security  |
| DLP       | Data Loss Prevention   |
| DM        | Departmental Management  |
| DMS       | Differentiated Monitoring and Support  |
| ED        | Education for the Disadvantaged  |
| ELA       | English Language Acquisition   |
| EO        | Executive Order  |
| ERM       | Enterprise Risk Management   |

| Acronym    | Definition   |
|------------|--|
| ERR        | Entity Risk Review   |
| ESF        | Education Stabilization Fund   |
| ESF-REM    | Education Stabilization Fund-Rethink K–12 Education Model                      |
| ESSER      | Elementary and Secondary School Emergency Relief                               |
| FAFSA®     | <i>Free Application for Federal Student Aid®</i>                               |
| FDSL       | Federal Direct Student Loan  |
| FEVS       | Federal Employee Viewpoint Survey  |
| FFEL       | Federal Family Education Loan  |
| FISMA      | <i>Federal Information Security Management Act</i>                             |
| FSA        | Federal Student Aid  |
| FUTURE Act | <i>Fostering Undergraduate Talent by Unlocking Resources for Education Act</i> |
| FY         | Fiscal Year  |
| GEAR UP    | Gaining Early Awareness and Readiness for Undergraduate Programs               |
| GEER       | Governor’s Emergency Education Relief  |
| GLBA       | <i>Gramm-Leach-Bliley Act</i>  |
| GPR        | <i>Government Performance and Results Act of 1993</i>                          |
| GPRAMA     | <i>Government Performance and Results Act Modernization Act of 2010</i>        |
| GU         | Gallaudet University   |
| HBCU       | Historically Black College and University                                      |
| HE         | Higher Education   |
| HEA        | <i>Higher Education Act of 1965</i>  |
| HEAL       | Health Education Assistance Loan   |
| HEERF      | Higher Education Emergency Relief Fund   |
| HSI STEM   | Hispanic Serving Institution Science, Technology, Engineering, and Mathematics |
| I&I        | Innovation and Improvement   |
| I&M        | Innovation and Modernization   |
| IA         | Impact Aid   |
| ICT        | Information and Communications Technologies                                    |
| IDEA       | <i>Individuals with Disabilities Education Act</i>                             |
| IE         | Indian Education   |
| IES        | Institute of Education Sciences  |
| IET        | Integrated Education and Training  |

| Acronym      | Definition  |
|--------------|---|
| IHE          | Institution of Higher Education                         |
| IPEDS        | Integrated Postsecondary Education Data System          |
| IT           | Information Technology                                  |
| K–12         | Kindergarten Through Grade 12                           |
| LEA          | Local Educational Agency                                |
| LINCS        | Literacy Information and Communication System           |
| MSAP         | Magnet Schools Assistance Program                       |
| N/A          | Not Applicable  |
| NAEP         | National Assessment of Educational Progress             |
| NCES         | National Center for Education Statistics                |
| NES          | National Engagement Strategy                            |
| Next Gen FSA | Next Generation Financial Services Environment          |
| NTID         | National Technical Institute for the Deaf               |
| NRS          | National Reporting System for Adult Education           |
| NSA          | National Security Agency                                |
| OCDO         | Office of the Chief Data Officer                        |
| OCIO         | Office of the Chief Information Officer                 |
| OCR          | Office for Civil Rights                                 |
| OCTAE        | Office of Career, Technical, and Adult Education        |
| OEDARM       | Office of Enterprise Data Analytics and Risk Management |
| OELA         | Office of English Language Acquisition                  |
| OESE         | Office of Elementary and Secondary Education            |
| OET          | Office of Educational Technology                        |
| OFO          | Office of Finance and Operations                        |
| OIG          | Office of Inspector General                             |
| OMB          | Office of Management and Budget                         |
| OPE          | Office of Postsecondary Education                       |
| OPEPD        | Office of Planning, Evaluation, and Policy Development  |
| OPM          | Office of Personnel Management                          |
| OSEP         | Office of Special Education Programs                    |
| OSERS        | Office of Special Education and Rehabilitative Services |
| PA           | Program Administration                                  |
| PMA          | <i>President’s Management Agenda</i>                    |
| POC          | Principal Operating Component                           |
| P–12         | Prekindergarten Through Grade 12                        |
| PSLF         | Public Service Loan Forgiveness                         |
| PY           | Program Year  |

| Acronym | Definition  |
|---------|---|
| REHAB   | Rehabilitation Services and Disability Research               |
| RMA     | Risk Management Assessment                                    |
| RSA     | Rehabilitation Services Administration                        |
| SAA     | Student Aid Administration                                    |
| SASFAA  | Southern Association of Student Financial Aid Administrators  |
| SCRM    | Supply Chain Risk Management                                  |
| SE      | Special Education   |
| SEA     | State Educational Agency                                      |
| SFA     | Student Financial Assistance                                  |
| SIP     | Strengthening Institutions Program                            |
| SPPO    | Student Privacy Policy Office                                 |
| SSCE    | Safe Schools and Citizenship Education                        |
| STEM    | Science, Technology, Engineering, and Mathematics             |
| SY      | School Year   |
| TBD     | To Be Determined  |
| TEACH   | Teacher Education Assistance for College and Higher Education |
| TIMSS   | Trends in International Mathematics and Science Study         |
| VDP     | Vulnerability Disclosure Policy                               |
| VR      | Vocational Rehabilitation                                     |
| WIOA    | <i>Workforce Innovation and Opportunity Act</i>               |

U.S. Department of Education  
Miguel A. Cardona, Ed.D.  
**Secretary**

August 2, 2022

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