

U.S. Department of Education



FY 2020 Annual Performance Report



Message from the Secretary



President Donald Trump, former Secretary Betsy DeVos, and I are fighting for more learning options for every student, every family, and every teacher in America. Now, more than ever, parents need the freedom to decide which education setting best serves the unique needs of each of their children. The future of our students—and, ultimately, of our nation—depends on education freedom. The *U.S. Department of Education’s Strategic Plan for Fiscal Years [FY] 2018–22* reflects this Administration’s commitment to students, families, and teachers. I have been assured that the performance data included in this *FY 2020 Annual Performance Report* are complete and reliable in accordance with federal requirements.

During the COVID-19 pandemic under the leadership of then-Secretary DeVos, we

redoubled our efforts to help students of all ages by promoting digital learning; putting out extra guidance to help K-12 schools, colleges, and universities; and helping students with disabilities get the services they need. Former Secretary DeVos also pursued effective governance for the Department itself by lifting burdensome regulations and rightsizing the federal role in education because education is—and always has been—a fundamentally local concern.

In response to the pandemic, the Department promptly made available emergency taxpayer funds authorized by the *Coronavirus Aid, Relief, and Economic Security (CARES) Act*, provided a streamlined process for states to submit waivers to opt out of federal testing requirements for the 2019–2020 school year, and took steps to continue learning for all students. We delivered timely information to support states, school districts, K–12 schools, colleges, and universities so that they could provide much-needed assistance to educators, students, and families.

The CARES Act provided almost \$31 billion for this effort. In addition to the Governor’s Emergency Education Relief Fund (almost \$3 billion), the Elementary and Secondary Emergency Relief Fund (more than \$13 billion), and the Higher Education Emergency Relief Fund (\$14 billion), this

law also provided relief for federal student loan borrowers and allowed K–12 schools to repurpose funds for technology infrastructure and training in distance education.

The President’s FY 2021 budget boldly proposed that Congress consolidate nearly all federal K–12 programs into a single block grant with fewer federal strings so that states could target funds where needed the most. The budget proposal included a request for a \$5 billion annual federal tax credit for voluntary donations to state-based scholarship programs. Education Freedom Scholarships would empower K–12 students and their families to choose the educational setting that works best for them regardless of where they live, who they know, how much they earn, or how they best learn.

We also worked closely with states as they implemented the *Strengthening Career and Technical Education Act for the 21st Century Act* (Perkins V). These efforts included offering flexibilities for career and technical education (CTE) leaders who were required to submit their state CTE plan for FY 2020–2023, enabling them to focus on serving students during the COVID-19 pandemic with high-quality, career-focused education.

To strengthen America’s competitiveness, we launched a series of prize competitions to expand the capacity of CTE and adult education. For example, the Rethink Adult Ed Challenge invited adult education providers to design programs that better prepare learners for apprenticeships and beyond. Additionally, CTE Mission: CubeSat invited high schools to bring

space missions to students by designing and building CubeSat prototypes, while our Rural Tech Project invited high schools and school districts to propose technology education programs that use competency-based distance learning.

The Department’s Institute of Education Sciences (IES) promoted strong, evidence-based learning approaches for students from preschool to postsecondary. This year, IES offered educators proven strategies for both in-person and remote teaching and learning.

The Department has continued to give priority to further modernizing Federal Student Aid (FSA). Next Gen FSA provides a centralized hub to retrieve student aid information and improves the means by which students, parents, and borrowers interact with and access benefits administered by FSA. [StudentAid.gov](https://studentaid.gov) provides information about available types of student aid and payment plans, offers loan counseling, and provides access to the *Free Application for Federal Student Aid*® form. We also updated and improved the College Scorecard to help students find personalized, accessible, and relevant data about the debt one might incur attending certain schools and the anticipated earnings based on fields of study.

The Department invited a new cohort of 67 schools to participate in our Second Chance Pell experiment in April 2020, providing need-based Federal Pell Grants to individuals incarcerated in federal and state prisons. More than 4,000 credentials—including postsecondary certificates, associate degrees,

and bachelor's degrees—have been awarded to Second Chance Pell students over the past three years. We appreciate the opportunity to have worked with Congress on this issue and the historic step taken in the *Consolidated Appropriations Act, 2021*, to authorize Pell Grants for incarcerated individuals; it is no longer an experimental program.

To ensure that we manage our programs effectively, we also focused on improving our internal operations. Every office within the Department is expected to use the best available evidence in conducting its work, with grantees and contractors conducting or commissioning rigorous evaluations of their activities and reporting their findings to the Department and the public. To that end, we released our Evaluation Policy in August 2020. We remain committed to ensuring that student privacy is protected in all of our data collection activities.

Mitchell M. Zais, Ph.D.
Acting Secretary of Education

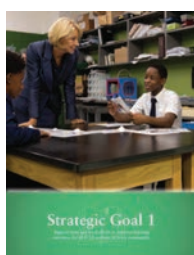
We continue to rewrite, replace, and remove burdensome rules and regulations as part of this Administration's commitment to regulatory reform. We have also reviewed and removed outdated requirements that place undue burdens on students and teachers.

Finally, we improved our cybersecurity operations at the Department to ensure uninterrupted services during the pandemic. Through these challenging times, our employees have continued to work effectively to provide services to states, school districts, K–12 schools, colleges, universities, educators, and students and their families.

Students—their needs and their unlimited potential—are central to everything we do. We will continue to empower states, communities, and families to transform learning in order to meet the realities of a global economy. If students are free to pursue the education that fits them, they will be prepared to meet any challenge and seize any opportunity.

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Highlights

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Executive Summary



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

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

This year’s annual report, the *FY 2020 Annual Performance Report*, summarizes the results of the Department’s third year executing its Strategic Plan.

As shown in this report, the Department made significant strides on several

fronts—proposing a new initiative to promote education freedom for students and families, encouraging students and families to rethink the traditional American education model to consider a variety of postsecondary options, modernizing Federal Student Aid’s (FSA’s) infrastructure to improve the ways FSA connects with students throughout their time in higher education and throughout the full life of their student loan payments, helping states and school districts comply with recent federal laws, making the Department’s data more transparent and available for the public, and reorganizing the Department to make its corporate structure more efficient to better respond to current needs.

Using the standards it set for itself—that is, the set of 54 measures with annual targets that gauge the Department’s performance in FY 2020, the Department met its targets for 37 measures (68.5 percent). The Department did not meet its targets for 17 of the 54 measures (31.5 percent). There were 10 measures in FY 2020 that did not have annual targets given the Department used that time to gather data to set a baseline and establish targets for future years. One measure was still pending data availability as of the date of publication of this report.

Accomplishing the goals of the Strategic Plan is about much more than meeting

targets for measures, encompassing a wide array of activities. This report discusses the accomplishments of the Department during FY 2020 as well as the challenges encountered.

About the Department



Mission

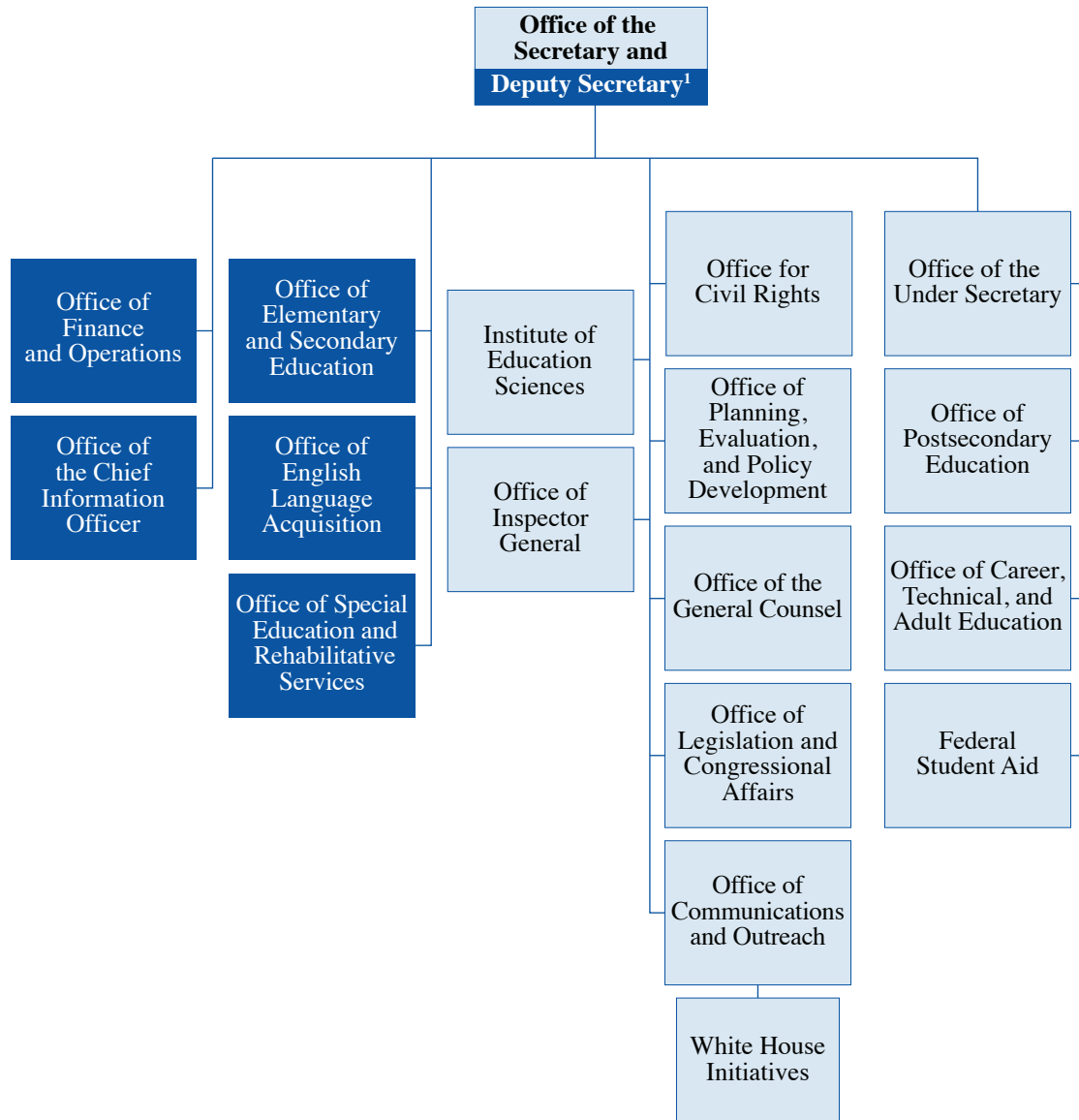
The U.S. Department of Education's mission is to promote student achievement and preparation for global competitiveness by fostering educational excellence and ensuring equal access.

The Department accomplishes its mission by administering programs that provide services from early intervention services to employment training programs. Many of these programs provide grants to states or local educational agencies and support students and families from vulnerable

populations, including children with disabilities and those from disadvantaged backgrounds. These programs also provide grants and loans to postsecondary students and facilitate research that examines ways that states, schools, districts, and postsecondary institutions can improve America's education system. In addition, the Department fulfills its mission through the enforcement of civil rights laws that provide equal access to Department programs for all individuals.

FY 2020 Organization Structure

The following shows the coordinating structure used in fiscal year (FY) 2020.



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

National Landscape



Meeting the COVID-19 Challenge: Spurring Personalization and Innovation in Education

Education in the United States changed irrevocably in 2020. Now, more than ever, parents and families are much more aware of what their children are—and are not—learning. And while the nationwide pivot from in-person to remote instruction has worked for a few, for too many, it has produced frustration and failure.

The cause of this profound change in the nation’s education landscape is, of course, COVID-19. On January 22, 2020, the first laboratory-confirmed case of the disease in the United States was reported to the [Centers for Disease Control and Prevention](#). Between March 12 and March 24, governors in 50 states [announced plans](#) to shutter school buildings. In the weeks that followed, parents, educators, and policy-makers faced an unparalleled challenge: how to safely educate learners in the midst of a pandemic that upended modern life.

While the country is still gleaning important lessons, much of what COVID-19 has already taught Americans about education is not pleasant. Too many students do not have access to [broadband internet](#), thereby limiting their ability to learn remotely or otherwise benefit from the wealth of resources made available via the internet. Too many teachers, even those

who are otherwise enthusiastic adopters of technology in their classrooms, do not have the training or supports needed to [pivot to a mostly \(or fully\) online environment](#). Also, too many parents, attempting to meet the needs of their children while making ends meet for their entire families, have been at the mercy of special interests that are not focused on doing what is right for students. The [consequences of these frailties](#), although not yet fully known, are likely to be severe: by some estimates, up to half a year of learning in mathematics and nearly two-thirds of a year of learning in reading could have been wiped away.

Despite all of this, the response to COVID-19 has stood as a reminder of the determination and resilience of Americans everywhere. Community-based organizations have opened their doors to support the continuity of learning and services to students who could not otherwise attend school in person. Parents and families—students’ first teachers—have found ways to continue learning at home in ways that only months before would have been virtually unimaginable. And the pandemic has demonstrated just how critical it is to empower families

to choose the learning environments that meet the needs of their children. COVID-19 has made it clear to families that not only do they have more choice in when, where, and how their children are educated than they might have otherwise realized but also how essential personalizing that education truly is to students' success.

After a difficult year, many are eager to put COVID-19 in the rearview mirror and see schools and institutions return to normal. However, if Americans want education in the United States to change for the better, new approaches will need to be embraced. The country must innovate by bringing imagination, ingenuity, and resolve to the challenge of doing right by students of all ages.

State and local leaders and families will meet this challenge head on. The Department can come alongside those closest to students to support what they need. Some examples of Department support from this past school year include the following:

- **Reimagining K–12 Education:** This Administration proposed the most transformative K–12 policy ever: Education Freedom Scholarships. A bipartisan bill was approved by a majority in the U.S. Senate to directly fund students and their families as they pursue the education that is right for them. The Department also awarded more than \$180 million in [new grant funds](#) to 11 states willing to rethink how to better serve students and families. Awardees will undertake work in one of three areas including:

(1) microgrants that ensure families have access to technology and services needed to take full advantage of remote learning; (2) statewide course access and virtual learning programs that increase students' access to subjects that might not be available at their home school; and (3) remote education models that better prepare students for successful careers and lives.

- **Expanding Career Pathways, Career Training, and Opportunities for Entrepreneurship:** The Department awarded more than \$126 million in [new grant funds](#) to eight states through their workforce boards who, in the face of the COVID-19 pandemic, reimagined workforce preparation and supported entrepreneurship. Activities include new short-term training programs to support dislocated workers; the design of state-wide systems of micro-credentialing, badging, and licensing; business incubators and entrepreneurship bootcamps; and innovative technologies, including augmented and virtual reality, to provide in-demand training to remote learners.
- **Supporting Innovative Schools:** The Department invested more than \$131 million in [new grant funds](#) to support the creation and expansion of high-quality public charter schools. [Analyses published by the National Alliance for Public Charter Schools](#) suggest that public charter schools were more likely than traditional districts to establish and maintain high expectations for learning despite

the challenges of the pandemic, including expecting teachers to continue instruction during COVID-19 closures (74 percent versus 47 percent), to provide real-time instruction (37 percent versus 22 percent), and require that teachers check in with students (54 percent versus 37 percent). Notably, 90 percent of [grant funds](#) support projects located in [Opportunity Zones](#), which are economically distressed areas that may especially benefit from federal education investments.

- **Investing in Discovery:** The Department's Institute of Education Sciences (IES) announced more than \$278 million in new grant awards to support discovery leading to the next generation of innovative education practices, programs, and policies that will improve access to high-quality education and the academic achievement of all learners from early childhood through adulthood, particularly those who are at risk of failure. Of these funds, \$77 million support research focused on students with or at risk of disabilities, and \$10 million support the Department's Small Business Innovation Research Program. As a whole, the Department made [\\$578 million](#) in new and continuing investments that support science, technology, engineering, and mathematics (STEM).

- **Supporting Evidence-based Practices in Continuity of Learning and School Reopening:** Offices across the Department, including the Office of Elementary and Secondary Education (OESE); the Office of Special Education and Rehabilitative Services (OSERS); the Office of Postsecondary Education; the Office of Career, Technical, and Adult Education; IES; and the Office for Civil Rights, were among the first to respond to the needs of families and educators who, almost overnight, were forced to pivot to remote learning. Since mid-March, more than 120 resources for families and educators have been developed by the Department to support providers, including OESE's Comprehensive Centers, IES' Regional Educational Laboratories, and OSERS' technical assistance centers, filling critical resource gaps for parents and teachers alike.

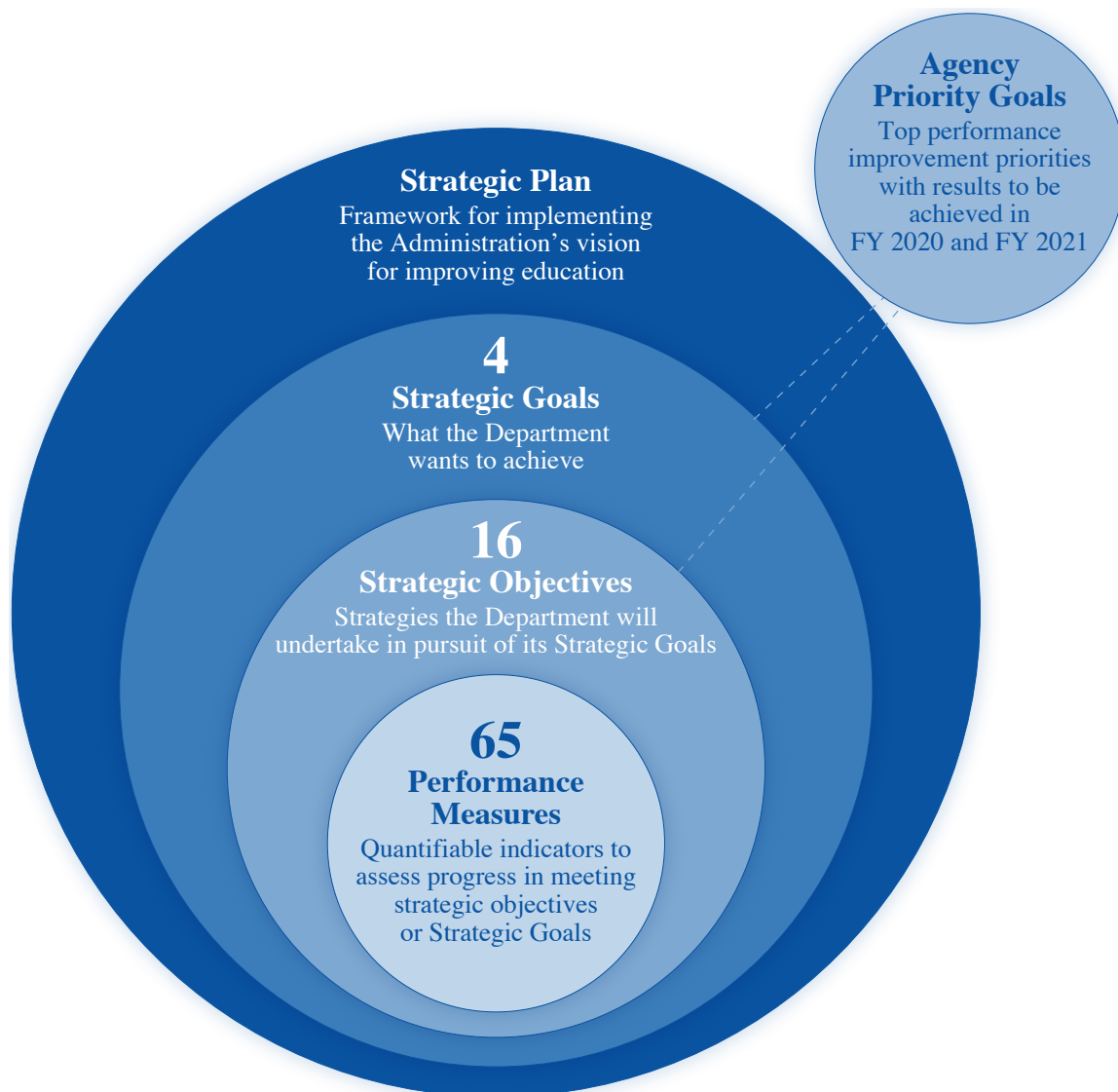
The COVID-19 pandemic has demonstrated that families need more education options. The Department must continue to remove regulatory barriers to parental choice and empower those closest to students and students themselves. Critically, this work depends on strong partnerships with state and local leaders committed to putting the needs of students and families first.

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About the Report

Strategic Process Building Blocks

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



How to Read Performance Data

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

Title
Identifies the performance elements being measured.

Note:
Identifies trends and data availability.

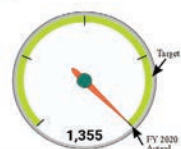
Data Source:
Indicates the source for the data.

FY 2020 Period of Performance:
Indicates the time period the data reference.

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

2015	2016	2017	2018	2019	2020		2021	2022
Actual					Actual	Target	Target	
—	—	—	672	1,008	1,355	1,109	1,422	1,493

Note: Data are not available prior to fiscal year (FY) 2018.
Data Source: Department offices that deliver technical assistance.
FY 2020 Period of Performance: October 2019 through September 2020.

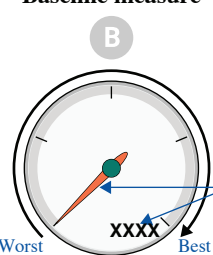


Odometer:
Provides graphical representation of the FY 2020 target and actual performance.

Icon:
Provides a quick visual assessment of performance against the established target for FY 2020.

Odometers and Icon Examples

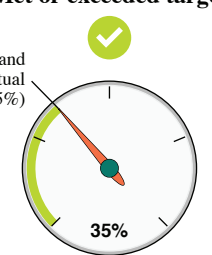
Baseline measure



Needle and center number identify FY 2020 actual value.

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

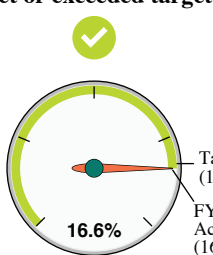
Met or exceeded target



Target and FY 2020 Actual (35%)

Percentages are shown on a 0 to 100 percent scale.

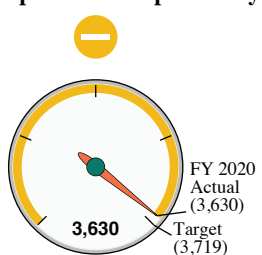
Met or exceeded target



Target (18.4%)
FY 2020 Actual (16.6%)

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

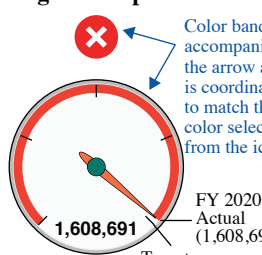
Not met, improved from previous year



FY 2020 Actual (3,630)
Target (3,719)

Numeric measures are set at zero and range to the FY 2020 actual or target, whichever is higher.

No or negative improvement



FY 2020 Actual (1,608,691)
Target (1,634,800)

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

Acronyms and Abbreviations

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

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

Strategic Framework

FY 2018–2022 Strategic Goals and Objectives

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

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

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

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

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

FY 2020 and FY 2021 Agency Priority Goals

Agency Priority Goals (APGs) state results to be achieved in a 24-month period. The Department identified five APGs for fiscal year (FY) 2020 and FY 2021. These goals seek to increase education choices, enhance multiple pathways for student success in

career and job-ready skills, improve the Department's Federal Student Aid customer service, improve student privacy protection and cybersecurity at institutions of higher education, and provide regulatory relief and burden reduction to stakeholders.

<p>APG: Education Freedom: Improve awareness of and access to high-quality K–12 education opportunities for students and families.</p>	<p>Related Strategic Objective: 1.1</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"> • Charter school student enrollment will increase from 3.29 million to 3.51 million (6.90 percent of all students in public schools). • The number of scholarship students, including participants in state-based vouchers, tax-credit scholarships, and education savings accounts programs, will increase from 482,000 to 579,250 (1.10 percent of the total school-age population). • The number of parents who receive support and engagement through technical assistance and other resources will increase by 5 percent per year. 	<p>Increase high-quality educational options and empower students and parents to choose an education that meets their needs.</p>
<p>APG: Multiple Pathways to Success: Improve nationwide awareness of and access to career pathways that support job skills development and career readiness.</p>	<p>Related Strategic Objectives: 1.3 and 2.3</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"> • Support the creation and expansion of integrated education and training (IET) programs in all 50 states, Puerto Rico, and the District of Columbia. • Increase enrollment of participants in IET programs to 56,000. • Support the enrollment of Career and Technical Education concentrators in science, technology, engineering and mathematics (STEM) fields. • Increase by 25,000 the number of federal financial aid recipients who earn a postsecondary credential in STEM. 	<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). 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>

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).		Related Strategic Objective: 2.4
<p>By September 30, 2021, FSA will transform its relationship with prospective and current customers through deployment of significant components of the Next Gen FSA that result in a personalized experience:</p> <ul style="list-style-type: none"> • The number of individuals submitting a <i>Free Application for Federal Student Aid</i>® (FAFSA®) through a mobile device will increase to 2.6 million. • The overall customer satisfaction level throughout the student aid life cycle, as measured by the FSA Customer Satisfaction score¹, will increase. 	<p>Improve quality of service for customers across the entire student aid life cycle.</p>	
APG: Student Privacy and Cybersecurity: Improve student privacy and cybersecurity at institutions of higher education (IHEs) through outreach and compliance efforts.		Related Strategic Objective: 3.2
<p>By September 30, 2021, the Department will participate in 12 engagements with sector-related non-governmental organizations to inform the development of five best practice programmatic improvements.</p>	<p>Improve privacy protections for, and transparency of, education data both at the Department and in the education community.</p>	
APG: Regulatory Reform: Provide regulatory relief to education stakeholders as necessary and appropriate.		Related Strategic Objective: 4.1
<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>Provide regulatory relief to educational institutions and reduce burden by identifying time-consuming regulations, processes and policies and working to improve or eliminate them, while continuing to protect taxpayers from waste and abuse.</p>	

¹The Federal Student Aid Customer Satisfaction Score is an annual composite metric that measures the overall customer satisfaction level throughout the student aid life cycle for *Free Application for Federal Student Aid*® applicants (mobile and fafsa.gov), Title IV aid recipients in school, and borrowers in repayment. The score is based on the American Customer Satisfaction Index surveys.

Cross-Agency Priority Goals

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

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

The Department co-leads efforts on CAP Goal 8 (Results-Oriented Accountability for Grants) and CAP Goal 10 (Improving Outcomes Through Federal IT Spending Transparency). It supports CAP Goal 8 through its participation in working groups, such as OMB's Performance Management Workgroup. The workgroup researched, analyzed, and collected performance management practices employed by grant programs across the federal government, including 36 of the Department's programs. From the inventory, best practices were selected to serve as examples in version 1 of [Managing for Results: The Performance Management Playbook for Federal Awarding Agencies](#) (i.e., The Playbook). The Playbook represents an important milestone in bringing federal grant-awarding agencies one step closer to the achievement of CAP

Goal 8 (Results-Oriented Accountability for Grants). Additionally, the Department's Technology Business Management (TBM) Solution initiative directly supports CAP Goal 10. The Department intends to leverage TBM beyond the minimum reporting requirements to encompass the full implementation of the cost accounting framework. The Department is refining the TBM efforts to assist with cost analysis and accounting, specifically as they relate to providing information to improve tracking and reporting of operations and services costs to help mitigate cost variances on IT spending. The Department also supports CAP Goal 2 through its active participation on the federal Chief Data Officer Council and other initiatives codified in the Federal Data Strategy. The Department's Chief Data Officer regularly shares effective implementation strategies on Federal Data Strategy's 2020 Action Plan milestones, including the Department's agency-wide data maturity assessment and staff data skills survey with other federal Chief Data Officers. This informs government-wide best practices and advances the shared mission of leveraging federal data as a strategic asset to best deliver on mission, serve the public, and steward resources while protecting privacy and confidentiality. The Department also continues to support CAP Goal 6, shifting from low-value to high-value work. One of the ways in which this is evident is the Regulatory Reform Task Force's work, which led to more than 1,300 outdated guidance documents being rescinded.

Please refer to [Performance.Gov](#) for the Department's contributions to those goals and progress, where applicable.

Performance Assessment



STRATEGIC GOALS

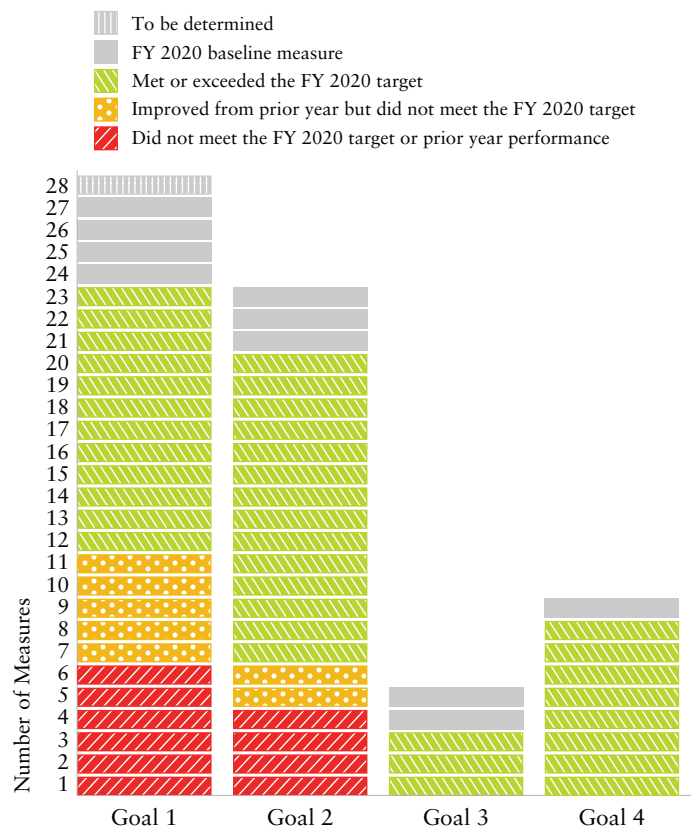
1. Support state and local efforts to improve learning outcomes for all P-12 students in every community.
2. Expand postsecondary educational opportunities, improve outcomes to foster economic opportunity and promote an informed, thoughtful and productive citizenry.
3. Strengthen the quality, accessibility 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 Measure Overview

In fiscal year (FY) 2020, the Department had 65 measures. Of these, 37 metric targets were met or exceeded, 7 measures showed improvement in performance from the prior year but did not meet the established targets, and 9 measures performed below both this year's target and the prior year's performance. One measure did not meet the annual target and does not have prior year data for comparison. Additionally, 10 measures did not have an established target and are baselined in FY 2020 or later and 1 measure is pending data.

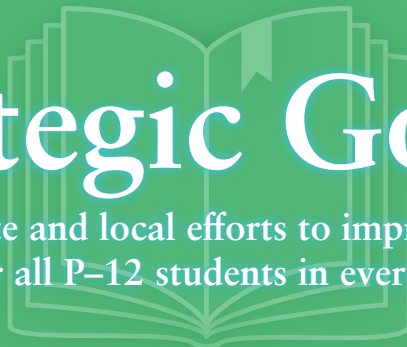


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Strategic Goal 1

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



Goal 1 Spotlight



When historians chronicle 2020, a notation will undoubtedly be affixed to it, signaling that this was no ordinary year. After all, this is the year of the novel coronavirus, which has caused a pandemic and the COVID-19 disease. This has been a year of stunning sorrow and unprecedented disruption. Inspiration can still be found in a simple truth: students matter.

When more than 130,000 public and private schools were closed in the early phases of the pandemic—suddenly disrupting learning for nearly 51 million K–12 students—the foresight needed to rethink schools and America’s antiquated approach to education was never more apparent. Now, the need for parental choice and personalized learning has taken on renewed relevance and urgency. The coronavirus pandemic has made it clearer than ever that families need the freedom to choose where, when, and how children learn.

Far too many students, particularly the most vulnerable, have fallen further behind because the one-size-fits-all approach to education could not transition and adapt to meet their needs. A bright spot has been high-quality public charter schools, many of which pivoted quickly to keep learning going and engage families throughout the process. In fact, when comparing schools within districts, [public charter schools](#) had stronger expectations for teachers to provide real-time instruction and to check in with students and families. Many of these teachers, schools, and communities have provided successful and safe examples for continued learning opportunities in person. It is with the holistic health of school communities in mind that the [American Academy of Pediatrics](#) heralded that “...all policy considerations for the coming school year should start with a goal of having students physically present in school.”

Thus, this Administration continues to expand support for public charter schools and for science, technology, engineering, and mathematics (STEM) education

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.

and differentiated instruction. The Department is thrilled that the total number of scholarships for students nationwide has also increased. Similarly, this report highlights significant progress and improvement in transparency about the performance of schools. While a substantial number of schools have begun to transition back to more in-person or hybrid instructional formats, the demand for technology in education continues to surge, making support for increases in internet bandwidth speeds and greater connectivity to broadband infrastructure for rural schools essential. Undoubtedly, the emphasis for better virtual and remote readiness and instructional continuity will matter even more as the country continues to seek alternatives in managing the pandemic and in responding to growing devastation caused by all-hazard emergencies.

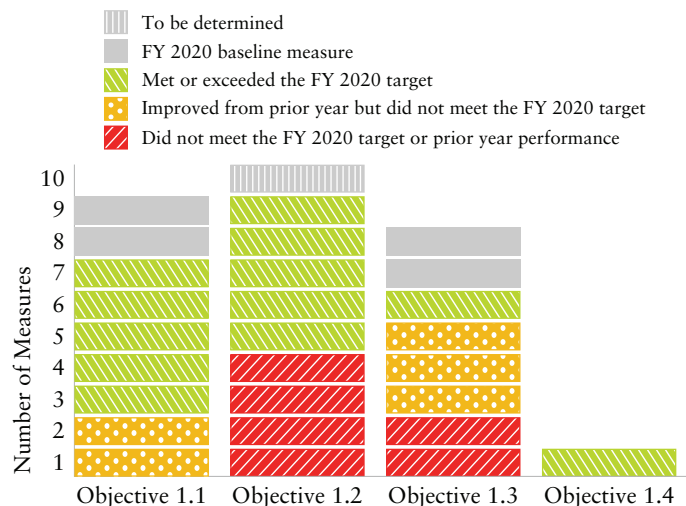
Note the progress made in helping adult education participants thrive under the *Workforce Improvement and Opportunity Act*. Also, see how the Department’s resolve to improve student achievement in

mathematics and English for grades 3 through 8 remains essential. The Department is providing quality technical assistance and sharing best practices learned from partnerships and evidence derived from grantees. Finally, the Department is proud of its response to help the nation combat the worst of the pandemic and impact of COVID-19. Through its dispatch in making more than \$30 billion from the *Coronavirus Aid, Relief, and Economic Security Act* funding available to schools, students, and the communities that support them, the Department is optimistic that these resources and its ongoing commitment will continue to make students matter most.

The following pages discuss the Department’s major accomplishments of the past fiscal year—October 1, 2019, through September 30, 2020—to achieve Goal 1 and its four underlying strategic objectives. While everything the Department accomplished within this timeframe is too vast to include, the following provides a snapshot.

Performance Measure Overview

In fiscal year (FY) 2020, the Department had 28 measures for this goal. Of these 28 measures, 12 metric targets were met or exceeded, 5 measures showed improvement in performance from the prior year but did not meet the established targets, and 6 measures performed below both this year’s target and prior year’s performance. Four measures did not have an established target and are baselined in FY 2020. One measure is pending data.





Goal 1 Discretionary Resources

The following table shows examples of select major discretionary programs and activities supporting Goal 1.

Major Discretionary Programs and Activities Supporting Goal 1 in Thousands

POC	ACCT	Objective	Program	FY 2020 Appropriation
OESE	ED	1.2, 1.3, 1.4	Title I Grants to Local Educational Agencies	\$16,309,802
OESE	I&I	1.3, 1.4	Education Innovation and Research	\$190,000
OESE	I&I	1.2, 1.4	Teacher and School Leader Incentive Grants	\$200,000
OESE	I&I	1.1, 1.2	Charter Schools Grants	\$440,000
OESE	I&I	1.1, 1.2	Magnet Schools Assistance	\$107,000
OESE	SIP	1.2, 1.4	State Assessments	\$378,000
OESE	SSCE	1.2	School Safety National Activities	\$105,000
OESE/OELA	ELA	1.2	English Language Acquisition	\$787,400
OSERS	SE	1.1, 1.2, 1.4	Special Education Grants to States	\$12,764,392
Other	N/A	N/A	All Other Programs	\$9,432,726

Note:

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

Acronyms and Definitions:

POC = Principal Operating Component; ACCT = Account; OESE = Office of Elementary and Secondary Education; ED = U.S. Department of Education; I&I = Innovation and Improvement; SIP = Strengthening Institutions Program; SSCE = Safe Schools and Citizenship Education; OELA = Office of English Language Acquisition; ELA = English Language Acquisition; OSERS = Office of Special Education and Rehabilitative Services; SE = Special Education; 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.



OBJECTIVE LEADER:

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

Overview

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

The Department supported improved 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. Additionally, in March 2020, the enactment of the *Coronavirus Aid, Relief, and Economic Security Act* provided \$13 billion towards the Elementary and Secondary Emergency Relief Fund. States

can support increased educational options through a variety of ways, including open enrollment policies, virtual schools, home-schooling, customized learning, and dual enrollment.

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

FY 2020 Performance Summary and Analysis

There are nine performance measures in this strategic objective. Of the nine, five met or exceeded their annual metric targets. These measures involved the Department's federal programs for charter schools, gauging the number of such schools (1.1.A) and the number of students enrolled in them (1.1.B). Also included was a measure gauging the number of evidence-based resources on

school choice that the Department releases each year (1.1.C), a measure gauging the number of students enrolled in schools supported by the Department’s federal program for magnet schools (1.1.D), and a measure gauging the number of scholarships provided through state-based vouchers, tax credit scholarships, and education savings account programs (1.1.H).

Two performance measures in this strategic objective—measure 1.1.E, which gauges the growth in all charter schools nationwide, including those not participating in the Department’s Charter Schools Program (CSP), and measure 1.1.F, which gauges the number of students attending all charter schools nationwide—did not meet the annual metric targets but did grow from the previous year’s results.

Two measures in this strategic objective baselined in fiscal year (FY) 2020: 1.1.I, which gauges the number of parents receiving support and engagement on school choice options, and 1.1.G, which gauges the number of students in all magnet schools nationwide.

The Department established an Agency Priority Goal (APG) for FY 2020 and FY 2021 to increase school choice options through multiple avenues and better support parents with technical assistance and other resources. The Department aims to increase the number and percentage of total charter school students and total scholarship students nationwide by September 30, 2021. In FY 2020, there was an increase in the number of students enrolled in charter schools. In addition,

the number of students receiving state-based vouchers, tax credit scholarships, and education savings account programs was 539,000, which is 0.957 percent of the total school-aged population ([56,300,000](#)). The key success and opportunities discussed below have been significant in progressing to achieve the APG. The Office of Elementary and Secondary Education (OESE) exceeded its targeted performance for four of the five key indicators, and all milestones scheduled for FY 2020 were either completed or are in progress. Information on the quarterly progress of APGs is available on [Performance.Gov](#).

Key Successes and Opportunities

Charter Schools. The Department made significant strides in its efforts to expand school choice when it launched in October 2019 a new competition to promote the creation and expansion of high-quality public charter schools in economically distressed areas throughout the country. These distressed areas, known as Qualified Opportunity Zones, are designated by the Secretary of the Treasury as regions needing economic development and new jobs. More than 70 percent of the zones did not have a single charter school option for families living there.

The creation or expansion of school choice in such areas began with awarding a contract to a private firm to conduct outreach and provide technical assistance to current and prospective high-quality charter operators to open charter schools in the designated zones. The Department announced in November 2019 that it would prioritize

charter schools operating in these zones for significant portions of the Department’s charter school grant dollars. By April 2020, the Department’s CSP had awarded \$65 million to 13 charter management organizations that proposed to replicate or expand more than 100 high-quality public charter schools in 8 states over the next several years. More than 75 percent of this funding will go to charter schools operating in the Qualified Opportunity Zones.

“The focus on opening charter schools in designated Opportunity Zones will have a long-lasting impact, and I’m looking forward to seeing how charter school leaders, nonprofit organizations, and others utilize the Qualified Opportunity Fund to invest in students and improve outcomes.”

*U.S. Secretary of Education
Betsy DeVos*

This initiative is a follow-up to FY 2019 efforts—in the four FY 2019 competitions that either provided bonus points or established a separate competition track for applicants proposing to serve Qualified Opportunity Zones, the Department awarded more than \$30 million to support states, school districts, and other organizations working to improve educational outcomes in Qualified Opportunity Zones.

In FY 2020, the Department continued to explore innovative approaches to maximizing the ability of charter schools to leverage additional financing for the construction or renovation of their facilities. The Department responded to a request from the U.S. Department of Treasury’s Community Development Financial Institutions (CDFI) Fund regarding statutory, regulatory, or other prohibitions with regard to the use of the funds from the Department’s Credit Enhancement Program for other federal financing to include the repayment of another federal debt in the event of a default. In response, the Department submitted a letter to the Department of Treasury indicating, “there is no prohibition on the use of the funds as a credit enhancement for Federal financing.” Hence, the CDFI Fund included in its March Notice of Guarantee Availability that qualified issuers could provide bond loans to eligible CDFI and secondary loans for charter schools, among other asset classes (e.g., daycare centers, healthcare facilities, and rural infrastructure). Each bond has a guarantee of \$100 million to \$500 million.

Also in March 2020, the Department’s National Charter School Resource Center released a report, [*Charter School Facilities: Emerging Trends*](#), which describes three key trends that will likely impact the charter school facilities’ landscape for the next 5 to 10 years. These trends are: (1) geographic and population changes, such as shifts in student enrollment and population migration (which are expected to create changes in urban and rural charter school markets); (2) more mature

facilities finance markets and investments (which are expected to benefit charter schools); and (3) changing academic strategies, community partnerships, and 21st century career preparation (which will create the need for more innovative facilities models). The report also underscores that acquisition and financing of adequate school facilities continue to be major barriers for school operators and continued growth in the number of charter schools.

The National Charter School Resource Center also released [*The SMART Objectives Toolkit*](#) to support prospective and current CSP grantees in developing successful initiatives. The toolkit combines planning principles with CSP grant requirements, and it provides examples of CSP-funded project objectives and performance measures that are Specific, Measurable, Achievable, Relevant, and Timebound (i.e., SMART).

An analysis of the funding the Department has provided for its CSP programs shows most of the funding has gone to charter schools that are still open and operating. CSP awarded a total of \$2.4 billion to 5,838 schools (and prospective schools) since 2006. In school year (SY) 2019–2020, 65.0 percent of these schools were still open (i.e., 3,796 schools), another 20.6 percent were closed (1,204 schools), and 11.5 percent had not yet opened (672 schools). Of the schools that had not yet opened, the Department expects that 22 percent (145 schools) will open within the next two years. The remaining 2.2 percent (126 schools) had converted

back to traditional public schools, and the last 0.7 percent (40 schools) opened but not as charter schools. These schools may have received CSP planning awards but never converted to charter schools or were not classified as charter schools when they opened (according to the [Common Core of Data](#)).

Since 2006, just under 19 percent (\$449,844,431) of CSP’s total funding to schools was allocated to charter schools that had closed by SY 2019–2020. Of the 1,204 schools that were closed, 736 (61 percent) closed by their fifth year of operation. These schools received a total of \$267,386,578, which accounted for 59 percent of the funds to closed schools. The remaining \$182,457,853 was distributed to schools that remained in operation anywhere from 6 to 20 years. The closure of charter schools does not necessarily indicate failure but rather accountability as the schools are required to meet the mandates of their charters in order to continue operation.

Magnet Schools. Ultimately, charter schools are only one facet of the Department’s efforts to promote school choice. In March, the Department issued a Notice Inviting Applications for the [Magnet Schools Assistance Program \(MSAP\)](#). It will fund activities designed to eliminate, reduce, or prevent minority group isolation in elementary and secondary schools and improve students’ academic achievement, including the acquisition of books, materials, technology, and equipment to support a rigorous, theme-based academic program. This notice also included a

competitive preference priority for MSAP projects located in Qualified Opportunity Zones. The application period was extended to June 2020 to take into account the impact of COVID-19 on applicants' ability to compile the required data for their submissions. New awards under this competition are scheduled for FY 2021.

Additional School Choice Efforts. In addition to furthering both charter schools and magnet schools in Qualified Opportunity Zones, the Department also furthered school choice when Secretary DeVos amended regulations that govern the Demonstration Grants for Indian Children and Youth Program. The final regulations, which took effect in August 2020, amended the priorities, application requirements, and selection criteria for applicants proposing to empower tribes and families to decide which education services will best support their children to succeed in college and careers.

“Access to high-quality, innovative education options is fundamental to the long-term success of not only students but also entire communities.”

*U.S. Secretary of Education
Betsy DeVos*

In September 2020, the Department awarded 40 new Accessing Choices in Education grant awards totaling \$24 million for the first year of the grants to expand education options for American Indian and Alaska Native students. These grants help

Native American communities set up a variety of education options and services, including additional course options, apprenticeships, tutoring, and many other programs, from which parents or students can choose. Projects will support activities such as culturally relevant career exploration, including skills development, on-the-job training, hands-on learning, counseling and mentorships, family engagement, and test preparation. The [list of awards](#) is available on the OESE website.

Also in September, the Department awarded funding for the Well-Rounded Education Through Student-Centered Funding Demonstration Grants Program, which allows funding to follow individual students so that school districts can allocate resources in a way that provides a customized approach to education that considers individual needs in order to improve academic achievement. The program provides more than \$1 million to two local educational agencies (LEAs) to demonstrate model programs for providing well-rounded education opportunities through the development and implementation of student-centered funding systems. The goal of the program is to help LEAs develop models for expanding and enhancing delivery of such opportunities for educationally disadvantaged students. Additionally in September, the Department announced the Expanding Access to Well-Rounded Courses Demonstration Grants Program to support school districts' efforts to develop distance learning opportunities, expand their course offerings, and ensure students have access to a broad range of

advanced, career or technical, and other courses.

In addition to distributing grants, the Department promoted school choice by visiting states to discuss ways states and LEAs can implement choice. For example, in FY 2020, senior officials of the Department made more than 120 visits to states in which education freedom scholarships, state-based vouchers, tax-credit scholarships, and education savings accounts programs were discussed.

The Department also released informational resources to provide guidance for these issues. For example, the National Charter School Resource Center published a multimedia school case study regarding New York City’s Charter High School for Architecture, Engineering, and Construction Industries (AECI). The report, [Preparation for Replication: Case Study of AECI](#), considers the key decisions and processes that contributed to the establishment of a second high school in SY 2019–2020 (i.e., AECI 2) located in the Bronx, NY. The case study includes videos and tools to guide other charter school stakeholders through decision-making processes.

In July 2020, the National Center for Education Statistics published [Parent and Family Involvement in Education: 2019](#). The report presented new data from the Parent and Family Involvement Survey of the National Household Education Surveys program, and it focused on various aspects of parent involvement in education, such as help with homework, family activities, and

parent involvement at school, including attending a school or class event. The report also identified factors that parents of K–12 students rate as “very important” when choosing a school. In SY 2018–2019, for example, 36 percent of students in the evaluation had parents who indicated they had considered multiple schools for their children. Among these students, 79 percent had parents who indicated the quality of teachers, principals, or other school staff was very important. Other factors that a majority of students’ parents indicated as being very important included safety, including student discipline (71 percent), and curriculum focus or unique academic programs (e.g., language immersion and/or focus on science, technology, engineering, and mathematics (STEM)) (59 percent).

COVID-19. In FY 2020, the COVID-19 pandemic spread and prompted fundamental changes to the ways the Department sought to achieve this strategic objective. Some planned activities had to be shifted to a remote format. In addition to pursuing its traditional responsibilities and planned courses of action, the Department had to take on new measures. This included the issuance of new grants.

For example, on July 29, 2020, awards for the Education Stabilization Fund—Rethink K–12 Education Models grant program were announced. More than \$180 million in new grant funding was awarded to 11 states to rethink education to better serve students during the COVID-19 pandemic. The awards ranged from \$6 million to \$20 million.

The grant program also included the development and issuance of new sets of resources. Some of these new resources came from the Comprehensive Centers Program’s Comprehensive Center Network, which is a source of support for the 20 Comprehensive Centers nationwide, helping them to provide capacity-building services to state educational agencies (SEAs), regional educational agencies, LEAs, and schools—all with the aim of improving educational outcomes for all students, closing achievement gaps, and improving the quality of instruction. The Comprehensive Center Network compiled more than [140 resources](#) to support educators, school leaders, and families as they rapidly transitioned from traditional classroom learning settings to learning from home through online resources. Among these resources were nine curated topical resource collections ([COVID-19 Education Resources](#)) that aimed to help families, educators, school leaders, districts, and SEAs facilitate online and distance learning.

In July, OESE launched a new [resource page](#) to support parents, families, schools, districts, and states as they navigate K–12 education during the challenging times of COVID-19. The resources represent a collection of work being done across OESE Technical Assistance Centers and are grouped by topic and target audience. The initial collections include topics most relevant to support learning during the

pandemic: continuity of learning; learning at home; safe school environments; social, emotional, and behavioral support; special populations support; and returning to school. Parents and families, for example, may find useful resources to support their students’ unique educational learning needs in remote environments or the best ways to support literacy and mathematics instruction at home. OESE anticipates that it will continue to develop and update the page on an ongoing basis. These efforts are in addition to the other offices in the Department that have developed COVID-19 resources for the education community.

The Department’s [Equity Assistance Centers](#) developed a set of resources to facilitate equitable learning opportunities in virtual educational environments. These tools (e.g., webinars and policy briefs) address a variety of topics, including best practices for teaching online, designing of equitable online lesson plans, bridging of the digital divide to ensure the continuity of learning in under-resourced communities, effective strategies for teaching English language learners, and recommendations for connecting students experiencing homelessness and temporary housing to distance learning opportunities. Further, the [National Charter Schools Resource Center](#) created a regularly updated [webpage](#) of resources targeted to charter school grantees to assist them with the pandemic.

Performance Measures

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



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	3,599	3,595	3,670	3,862	3,820	4,012

Notes: (1) Data are not available prior to fiscal year (FY) 2017. (2) Through the *FY 2020 Annual Performance Report*, the Department has amended the period of performance in the *FY 2019 Annual Performance Report* to school year (SY) 2017–2018. See appendix B for details.

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

FY 2020 Period of Performance: SY 2018–2019.

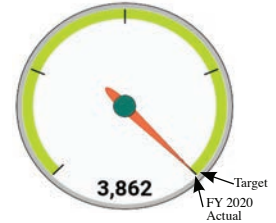


Table 1.1.B. Number of students enrolled in charter schools supported by the Charter Schools Program (CSP).



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	1,556,017	1,609,880	1,624,564	1,733,365	1,649,564	1,743,365

Notes: (1) Data are not available prior to fiscal year (FY) 2017. (2) Through the *FY 2020 Annual Performance Report*, the Department has amended the period of performance in the *FY 2019 Annual Performance Report* to school year (SY) 2017–2018. See appendix B for details.

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

FY 2020 Period of Performance: SY 2018–2019.



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



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

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

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

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

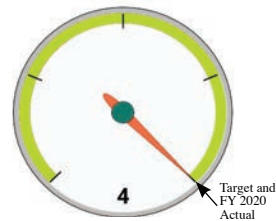


Table 1.1.D. Number of students enrolled in federally funded magnet schools.



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	81,963	81,342	84,296	120,925	85,982	122,134

Notes: (1) Data are not available prior to fiscal year (FY) 2017. (2) Through the *FY 2020 Annual Performance Report*, the Department has amended the period of performance in the *FY 2019 Annual Performance Report* to school year (SY) 2017–2018. See appendix B for details.

Data Source: Magnet Schools Assistance Program grantee annual performance reports.
FY 2020 Period of Performance: SY 2018–2019.

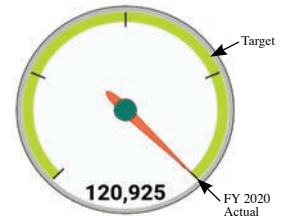


Table 1.1.E. Number of open and operating public charter schools.



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
7,304	7,288	7,137	7,335	7,393	7,434	7,443	7,493

Notes: (1) The number of public charter schools in operation includes the number of Charter Schools Program-funded schools in operation. (2) Through the *FY 2020 Annual Performance Report*, the Department has amended the period of performance in the *FY 2019 Annual Performance Report* to school year (SY) 2017–2018. See appendix B for details.

Data Source: National Center for Education Statistics Common Core of Data.
FY 2020 Period of Performance: SY 2018–2019.

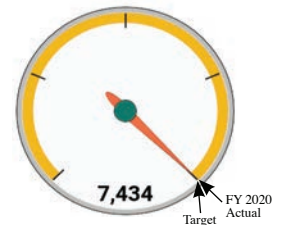


Table 1.1.F. Number of students enrolled in public charter schools.



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

Notes: (1) The number of students enrolled in public charter schools includes the number of students enrolled in Charter Schools Program-funded schools. (2) Through the *FY 2020 Annual Performance Report*, the Department has amended the performance data reported in the *FY 2019 Annual Performance Report*. See appendix B for details.

Data Source: National Center for Education Statistics Common Core of Data.
FY 2020 Period of Performance: SY 2018–2019.



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

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2015	2016	2017	2018	2019	2020	2021
Actual					Actual	Target
2,557,811	2,610,228	2,605,134	2,538,036	2,666,691	2,673,408	2,698,408

Notes: (1) The definition of “magnet school” from the National Center for Education Statistics (NCES) Common Core of Data is more expansive than those eligible for assistance through the Magnet Schools Assistance Program. (2) Through the *FY 2020 Annual Performance Report*, the Department has amended the performance data reported in the *FY 2019 Annual Performance Report*. See appendix B for details.

Data Source: NCES Common Core of Data.
FY 2020 Period of Performance: SY 2018–2019.

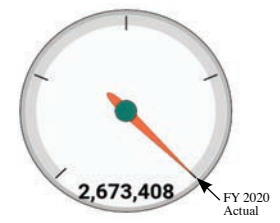


Table 1.1.H. Number of scholarships provided through state-based vouchers, tax credit scholarships, and education savings account programs.

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2015	2016	2017	2018	2019	2020	2021
Actual					Actual	Target
—	399,280	446,000	466,000	482,000	539,000	579,250

Note: Data are not available prior to fiscal year (FY) 2016.
Data Source: EdChoice, *The ABCs of School Choice*. The targets for FY 2020 and FY 2021 are imputed by the Office of Elementary and Secondary Education based on EdChoice reported data for the last three years.
FY 2020 Period of Performance: SY 2019–2020.



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

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2015	2016	2017	2018	2019	2020	2021
Actual					Actual	Target
—	—	—	—	—	1,296,336	1,309,299

Note: This is a new measure for fiscal year (FY) 2020. No data are available prior to FY 2020.
Data Source: Internal Department outreach data and performance reports from Department-funded technical assistance centers.
FY 2020 Period of Performance: October 1, 2018, through September 30, 2019.



Strategic Objective 1.2

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



OBJECTIVE LEADER:

Assistant Secretary for the 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 home access to high-speed internet and that schools use technology accessible to all students. The National Center for Education Statistics [reported](#) that in 2018, 88 percent of 3- to 18-year-olds had home internet access through a computer, an additional 6 percent had access to the internet only through a smartphone, and the remaining 6 percent had no access to the internet at home. Access varied by race and family income. The Department is committed to improving access to high-quality educational opportunities for every prekindergarten through grade 12 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.

Several offices across the Department support this strategic objective, including the Office of Elementary and Secondary

Education; the Office of Special Education and Rehabilitative Services; the Office for Civil Rights; the Office of Career, Technical, and Adult Education; and the Office of Planning, Evaluation, and Policy Development.

FY 2020 Performance Summary and Analysis

There are 10 performance measures for this strategic objective. Of these 10, 5 met their annual metric targets. These cover a range of issues, including a performance measure that gauges the availability of high-speed internet in K–12 schools (1.2.D) as well as a measure that gauges rural schools connected to broadband infrastructure that are capable of scaling to 10 gigabits per second (1.2.E). It also includes a performance measure (1.2.G) that 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. Two performance measures that were new for fiscal year (FY) 2020 and were introduced mid-year to gauge the

Department's performance in implementing the *Coronavirus Aid, Relief, and Economic Security (CARES) Act* (1.2.H and 1.2.I) also met their annual targets.

Four performance measures did not meet their annual metric targets in FY 2020. Two of these gauge increases in proficiency in reading and mathematics for students in select subgroups enrolled in grades 3 through 8 (1.2.A and 1.2.B, respectively). Both performance measures are based on state-administered tests given once a year.¹

The third measure in this strategic objective that did not meet its annual metric target 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 (1.2.C). The Department reduced the FY 2021 target, as performance for this measure is expected to be lower than the previously established target due to the impact of COVID-19. Many local educational agencies (LEAs) have been challenged with how to support preschool children with disabilities through distance learning or remote service delivery, as it is not developmentally appropriate for 3- and 4-year-old children to participate in virtual learning for extended periods of time, and many preschool children with disabilities are not able to attend to or participate in services over a computer. Interacting with peers and establishing relationships with peers is a big part of children's social-emotional development and one of the outcome indicators that is part of measure

1.2.C. As a result of the COVID-19 pandemic, many preschool children with disabilities are receiving fewer services, different services, or remote services, and some families opted not to participate in remote services. All of these factors impact how children meet outcome measures on social-emotional development. Additionally, data from the field have shown that fewer children are being referred for evaluation for special education services because well-child visits were not being carried out, and early childhood programs were closed, so there has been less opportunity for discussion with parents on their concerns related to their children's development.

The fourth measure that did not meet its annual metric target gauges the percentage of stakeholder inquiries related to COVID-19 that are closed within 30 business days (1.2.J). The Department had set a target of 80 percent but only achieved 57 percent at the end of the performance period.

At the time of publishing this report, the Department did not yet have data for performance measure 1.2.F, which gauges the percentage of states publishing report cards in a timely manner.

Key Successes and Opportunities

Student Assessments and Accountability.

Assessments of students, as administered by states, can be indicators of progress made in learning mathematics, reading, and other core subjects. Analyses of the results of annual assessments are used to target improvements.

¹Data for FY 2020 is culled from school year (SY) 2018–2019 and were not affected by the COVID-19 school closures. However, data for SY 2019–2020 were impacted by COVID-19 school closures and will affect data reported for FY 2021–2023, as annual targets are based on a three-year trend.

In FY 2020, the Department approved 11 states—Colorado, Delaware, Georgia, Indiana, Massachusetts, North Carolina, North Dakota, Pennsylvania, Texas, Vermont, and Wisconsin—to participate in the [Education Flexibility Program](#) (Ed-Flex), which was updated by the *Every Student Succeeds Act* (ESSA). Ed-Flex encourages local innovation and returns power to states by allowing them to waive certain federal statutory or regulatory requirements under the law. Participating states proposed to use the additional flexibility granted to release school districts from potentially burdensome federal requirements in favor of a locally driven approach.

In January 2020, the Department also issued a Notice of Proposed Priorities for the [Competitive Grants for State Assessments \(CGSA\)](#) Program, which supports states’ efforts to improve the technical quality of their assessment systems—both the quality of individual state assessments and the overall field of state assessments—by encouraging states to develop new forms of (or formats for) administering test items or assessment designs. The priorities given in the grant competition are intended to increase the number of states using flexibilities in order to provide opportunities for state educational agencies (SEAs) to pilot new and innovative approaches to assessments by first implementing them in a subset of schools or LEAs and then scaling up over a period of five years to be used by other schools and LEAs and replace the statewide assessment. By May 1, 2020, the Department’s Office of Elementary and Secondary Education (OESE) had issued a Notice of Final Priorities and a

Notice Inviting Applications for the [CGSA Program](#). In September, approximately \$12.3 million were awarded to five states.

As the COVID-19 pandemic spread and shuttered school buildings, the Department needed to provide flexibility to all states and the Bureau of Indian Education for assessment and accountability requirements and related reporting requirements under the *Elementary and Secondary Education Act of 1965* (ESEA). Providing this flexibility substantially reduced burdens for states unable to administer their statewide assessments to students. All 50 states, the District of Columbia, Puerto Rico, and the Bureau of Indian Education received initial approval of these waivers within 24 hours of submitting a request to the Department. Formal approval letters for those waivers were issued by April 1, 2020, and the letters are published on [OESE’s website](#).

Tracking Other Data on Student Achievement. In addition to state-administered assessments of students, other data can help show whether students are provided equal educational opportunities. The [Adjusted Cohort Graduation Rate \(ACGR\)](#), for example, is the percentage of students in a designated group who graduate within four years with a regular high school diploma. SEAs calculate the ACGR by identifying the cohort of first-time ninth graders in a particular school year. The Department’s National Center for Education Statistics [reported](#) in March 2020 that the national ACGR for SY 2017–2018 was 85.3 percent, an increase of 0.7 percentage points from SY 2016–2017 and the highest the rate has been since it was first tracked

in SY 2010–2011. OESE publicly released state- and district-level ACGR data on its [ED Data Express](#) website, and it updated an interactive map that enables the public to easily review graduation rates for all students and economically disadvantaged students by state and district.

OESE also reviews the websites of all states to better understand state-level implementation of the report card requirements in ESSA. Reports cards, which track the performance and progress of schools, are essential for providing timely information to parents and other stakeholders about overall school and state performance.

Monitoring for High-Quality Educational Opportunities. The Department also monitors other state implementation efforts. Its Office of Special Education and Rehabilitative Services (OSERS), for example, conducted five on-site differentiated monitoring and support visits and one technical assistance visit as part of Results Driven Accountability (RDA). Under RDA, the Department emphasizes monitoring and support focused on both compliance and improving results for children with disabilities.

To support young children with disabilities' social-emotional development, OSERS' Technical Assistance Centers provided evidence-based assistance and resources to states, LEAs, early childhood programs, and families. Through coaching and innovations in systems building, the centers offered technical assistance to states on strengthening program-wide implementation of the Pyramid Model, which is a tiered intervention model made up of

evidenced-based practices. At the base (tier 1) are the universal supports for all children; these are provided through nurturing and responsive relationships and high-quality environments. The second tier (tier 2) is made up of prevention practices that target social and emotional strategies to prevent problems. The final tier (tier 3) consists of practices related to individualized intensive interventions for children with pervasive challenging behavior who need more than tier 1 and 2 support and practices.

Civil Rights. A new center focused on providing technical assistance and support to recipients and the public to ensure better awareness of the requirements and protections under federal civil rights laws, launched in January 2020. The Office for Civil Rights (OCR) created the Outreach, Prevention, Education and Non-discrimination (OPEN) Center to focus on strengthening civil rights compliance through voluntary, proactive, and targeted support to recipients and the public regarding the federal civil rights laws OCR enforces prohibiting discrimination on the basis of sex, disability, age, race, color, and national origin. Through the OPEN Center, OCR is able to work more proactively with recipients—prior to a complainant filing a complaint—and ensure that schools, institutions, educators, families, and students have a greater understanding of federal non-discrimination laws. OCR's OPEN Center continues to help recipients achieve compliance with the laws OCR enforces, including helping recipients of federal financial assistance as they implement the Department's new Title IX Final Rule, which went into effect in August 2020.

In addition to its outreach and technical assistance activities, during FY 2020, OCR continued to achieve timely and effective case resolutions protective of civil rights and benefiting tens of thousands of students across the nation. During FY 2020, OCR received 9,711 complaints containing 15,350 allegations of discrimination under federal civil rights laws. OCR resolved 10,185 complaints containing 17,583 allegations of discrimination. Of the 10,185 complaints resolved in FY 2020, OCR resolved 1,362 complaints by requiring recipients to take corrective action protective of students' civil rights (i.e., resolutions with change). In addition to resolving the 10,000+ complaints filed by individuals, OCR also initiated 45 proactive investigations and resolved more than 300 proactive investigations that were initiated in prior years.

School Safety. In collaboration with the Departments of Homeland Security, Health and Human Services, and Justice, in February 2020, the Department launched schoolsafety.gov, a website that provides schools and districts with actionable recommendations to create safe and supportive learning environments, as well as resources on a variety of topics (e.g., school security personnel, mental health, and emergency planning). The website was developed in response to a recommendation included in the final report of the Federal Commission on School Safety. Thus far, there have been more than 195,000 views of the schoolsafety.gov website by its more than 70,000 visitors.

The Department continued to update the website throughout the fiscal year. For example, it added a new resource tool, the [State Information Sharing Tool](#), to allow users to search for state-specific school safety resources. Continued efforts to coordinate with states and territories across the nation to further develop the tool are ongoing; partnerships have been established with 11 states thus far. Ultimately, the tool has the potential to reach 17.6 million students, 32,000 schools, and 4,850 school districts.

In October 2019, the Department announced \$71.6 million in new funding to enhance safety in schools and improve student access to mental health resources. The Department made the awards under four grant programs, which support recommendations identified in the [final report](#) issued by the Federal Commission on School Safety.

“All students deserve a safe learning environment, and the Federal School Safety Clearinghouse is an essential resource for information and best practices.”

*U.S. Secretary of Education
Betsy DeVos*

Private Schools. In October 2019, the Department released [updates](#) to clarify existing statutory obligations of LEAs to provide equitable educational services to eligible private school students, their teachers, and their families under Title I,

Part A of ESEA, as amended by ESSA. The updates reflect changes to the statutory provisions governing equitable services by ESSA, emphasize collaboration and consultation between public and private school officials to provide needed services to eligible students, and consolidate information previously spread across multiple documents.

Updated topics include allowable uses of funds, consultation between public and private school officials, obligation of funds to ensure services occur in a timely manner, carryover of unobligated funds to provide services in the next year, and the calculation of the share of Title I funds available for equitable services. The updates also clarify the permissibility of religious organizations serving as third-party contractors to provide equitable services.

Providing Informational Resources and Technical Assistance. Several Department offices collaborated to write and publish [blog posts](#) that cover topics ranging from home internet access to distance learning. OESE fielded more than 400 inquiries from COVID-19@ed.gov and sent more than 300 responses to stakeholders.

In May 2020, OESE issued two fact sheets. The first, [Fact Sheet: Addressing the Risk of COVID-19 While Serving Migratory Children](#), responded to stakeholder questions on topics such as identification and recruitment (e.g., whether program staff can conduct interviews with migratory families by telephone/video conferencing) and service provision (e.g., whether program staff can deliver virtual lessons to eligible migratory

children during the day while schools are closed). The second, [Fact Sheet: Providing Services to English Learners During the COVID-19 Outbreak](#), responded to more than 90 stakeholder questions on topics related to English learners (ELs) and school closures, such as service provisions (e.g., whether LEAs must provide equitable services to eligible ELs enrolled in private schools) and use of funds (e.g., whether Title III funds could be used to support Wi-Fi hotspots). Additional fact sheets and program information related to the coronavirus are available at <https://www.ed.gov/coronavirus/program-information>.

In addition, in May 2020, the Office of Educational Technology (OET) hosted 5 state digital equity calls with state EdTech leaders from 24 states, aiming to better understand the digital equity issues that were magnified as a result of school closures and to identify the immediate and long-term actions states were taking to address these challenges, including home internet access for students. OET also compiled information for the *U.S. Department of Commerce Federal Funding for Broadband Guide* on the Department's programs that can be used to support internet/broadband infrastructure, such as support for mobile hotspots. The information is available on the [BroadbandUSA website](#). OET also facilitated and hosted a convening on pandemic related school data compiled by the American Institutes for Research.

Other efforts to assist states and school districts through the pandemic included providing information about COVID-19's potential civil rights impact. In March 2020,

OCR issued a [letter to education leaders on preventing and addressing potential discrimination associated with COVID-19](#), aiming to address an increasing number of news reports of harassment or bullying of students perceived to be of Asian descent. Also in March, OCR issued a video webinar, entitled “[Online Education and Website Accessibility](#),” discussing how to ensure web accessibility for students with disabilities for schools utilizing online learning during the COVID-19 outbreak. In addition, OCR published two fact sheets for education leaders (one of which was issued jointly with OSERS) that provided information on the rights of students with disabilities during school closures. The facts sheet also provided tools to assist schools in facilitating distance learning for all students. Finally, as a result of inquiries received by the OPEN Center, OCR also provided technical assistance tailored to different types of educational institutions and concerning schools’ civil rights obligations more generally. These resources included questions and answers documents, blog posts, and a second webinar entitled “[Civil Rights and COVID-19](#).”

Grants. In April 2020, the Department announced that nearly \$3 billion would quickly be made available to governors to ensure education continues for students of all ages. The Governor’s Emergency Education Relief Fund, authorized by the *CARES Act*, is a flexible emergency block grant designed to enable governors to decide how best to meet the needs of students, schools (including charter schools and non-public schools), postsecondary institutions, and other education-related organizations. In

an effort to get these emergency funds to states as quickly as possible, the Department streamlined the application process and reduced the delays typically associated with the award of federal grant funds; all that was required to receive a grant was the completion of a brief certification and agreement.

“Now is the time to truly rethink education and to get creative about how we meet each student’s unique needs. The funding made available today has very few bureaucratic strings attached and empowers local education leaders to do just that. I encourage them to focus on investing in the technology, distance learning resources, training and long-term planning that will help education continue for both teachers and students, no matter where learning takes place.”

*U.S. Secretary of Education
Betsy DeVos*

The Department made, for both K–12 and higher education, approximately 7,900 grants (totaling \$25 billion of the almost \$31 billion appropriated) in the eight weeks after enactment of the *CARES Act*. To put this feat in perspective, the Department’s regular grant-making averaged approximately 13,700 grants (totaling \$45 billion) per year over the last three years.

Due to the urgency to allocate CARES Act funds timely, operations were simplified, allowing 98 percent of approved applications to be awarded within 7 business days or less and 97 percent of appropriated funds made available to eligible entities within 30 days of the passage of the CARES Act. In addition, lessons learned from CARES Act processes enhanced the efficiency of regular grant funding processes.

In May 2020, the Department solicited applications from [governors](#) and [SEAs](#) in the outlying areas for funding under the Education Stabilization Fund (ESF). The [ESF Outlying Areas Program](#) awards funds to American Samoa, the Northern Mariana Islands, Guam, and the U.S. Virgin Islands for the purpose of providing SEAs, LEAs, institutions of higher education, and other education-related entities with emergency assistance as a result of the COVID-19 pandemic.

Also in May, OESE issued a Notice Inviting Applications for the [School-Based Mental Health Services Grant Program](#). The purpose of the program is to provide grants to SEAs to increase the number of school counselors, social workers, psychologists, or other service providers who provide school-based mental health services to students in LEAs with demonstrated need. More than \$11 million were awarded to six SEAs.

COVID-19. Like many other aspects of life, the COVID-19 pandemic has also presented challenges for the Department's

programming. For example, OET had to cancel its 2020 Regional Digital Equity Summits that were originally scheduled to occur between May and August in California, Illinois, Montana, Pennsylvania, Arkansas, and Texas. These regional digital equity summits bring together education leaders and community collaborators to explore opportunities to address digital equity challenges, such as student access to high-speed, reliable, and affordable internet at school and at home. In lieu of in-person events, OET has maintained the [Keep Calm and Connect All Students](#) blog series and organized, participated in, and/or presented to virtual convenings regarding broadband access and the use of digital learning during the pandemic while producing the [Parent and Family Digital Learning Guide](#).

Additionally, OESE's formula and discretionary grant programs postponed most of their FY 2020 monitoring activities until further notice. OESE had initially selected four states for consolidated monitoring of a range of programs, including Title I, Part A; Title I, Part B; Title I, Part C; Title II, Part A; Title III, Part A; Title IV, Part B; and Title V, Part B, Subpart 2. In August 2020, OESE was able to proceed with consolidated monitoring for Kentucky and has scheduled monitoring in Nevada for January 2021 and Tennessee in April 2021. The Department also mobilized in response to the pandemic, creating resources to help LEAs address challenges and giving them new grants, in addition to the regular slate of grants, to help them do so.

Performance Measures

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



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	24%	20%	17%	16%	21%	N/A

Notes: (1) The fiscal year (FY) 2020 actual data represent 8 out of 50 states. (2) Data are not available prior to FY 2017. (3) Due to the Secretary’s waiver of school year (SY) 2019–2020 testing, no data will be reported for SY 2019–2020, which is the period of performance for 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 2020 Period of Performance: SY 2018–2019.

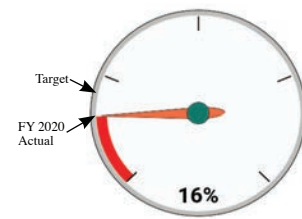


Table 1.2.B. Percentage of states that show improvement across a three-year trend in the percentage of students in grades 3 through 8 scoring at or above proficient on state assessments in mathematics in the following subgroups: economically disadvantaged, children with disabilities, English learners,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



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	37%	24%	17%	12%	21%	N/A

Notes: 1) The fiscal year (FY) 2020 actual data represent 6 out of 50 states. (2) Data are not available prior to FY 2017. (3) Due to the Secretary’s waiver of school year (SY) 2019–2020 testing, no data will be reported for SY 2019–2021, which is the period of performance for 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 2020 Period of Performance: SY 2018–2019.

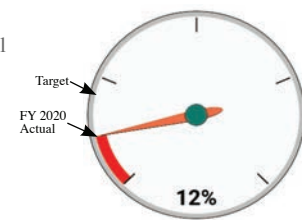


Table 1.2.C. Percentage of states with 80 percent or more of preschoolers with disabilities that showed greater than expected growth in social-emotional skills by the time they exit *Individuals with Disabilities Education Act (IDEA) Part B, Section 619* services.



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	55%	55%	60%	51%	55%	55%

Note: Data are not available prior to fiscal year (FY) 2017.
 Data Source: IDEA Part B state annual performance reports.
 FY 2020 Period of Performance: School year 2018–2019.



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



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

Note: Data are not available prior to fiscal year (FY) 2017.
 Data Source: EducationSuperHighway.
 FY 2020 Period of Performance: October 2019 through September 2020.

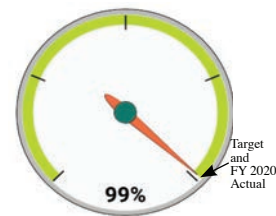


Table 1.2.E. Percentage of rural schools connected to a broadband infrastructure capable of scaling to 10 gigabits per second.



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	94%	97%	98%	99%	99%	99%

Note: Data are not available prior to fiscal year (FY) 2017.
 Data Source: EducationSuperHighway.
 FY 2020 Period of Performance: October 2019 through September 2020.



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).



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	—	68%	75%	TBD	≥75%	≥75%

Note: Fiscal year (FY) 2020 actual data will be available in March 2021.
Data Source: Consolidated State Performance Report.
FY 2020 Period of Performance: School year 2019–2020.

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.



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	—	—	100%	100%	100%	≥75%

Note: Data are not available prior to fiscal year (FY) 2019.
Data Source: The Office of Elementary and Secondary Education’s Office of School Support and Accountability monitors state compliance with Title I requirements, including the requirement to publish state and local report cards.
FY 2020 Period of Performance: School year 2019–2020.

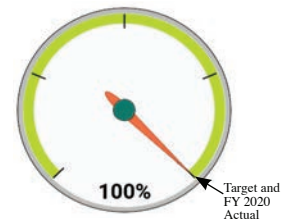


Table 1.2.H. Percentage of the total appropriation made available to eligible entities within 30 days of the passage of the Coronavirus Aid, Relief, and Economic Security (CARES) Act (April 27, 2020) (new).



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
N/A	N/A	N/A	N/A	N/A	97%	90%	N/A

Note: This is a new measure for fiscal year (FY) 2020 developed as part of the CARES Act activities. This measure has been discontinued after the FY 2020 period of performance.
Data Source: Appropriation and program office communications to eligible entities.
FY 2020 Period of Performance: March 27, 2020, through April 27, 2020.

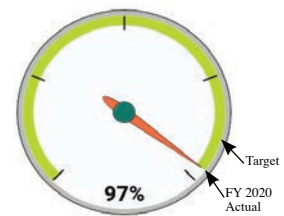


Table 1.2.I. Percentage of approved applications awarded within seven business days (new).



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
N/A	N/A	N/A	N/A	N/A	98%	85%	N/A

Note: This is a new measure for fiscal year (FY) 2020 developed as part of the *Coronavirus Aid, Relief, and Economic Security Act* activities. This measure has been discontinued after the FY 2020 period of performance.

Data Source: The Department's end-to-end Grants Management System.

FY 2020 Period of Performance: March 27, 2020, through September 30, 2020.

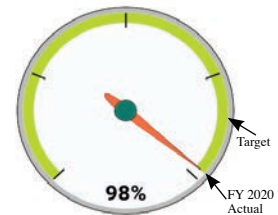


Table 1.2.J. Percentage of stakeholder inquiries related to COVID-19 that are closed within 30 business days (new).

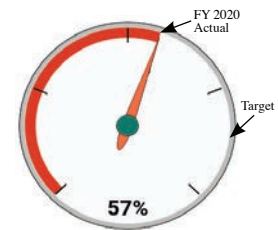


2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
N/A	N/A	N/A	N/A	N/A	57%	80%	N/A

Notes: (1) This is a new measure for fiscal year (FY) 2020 developed as part of the *Coronavirus Aid, Relief, and Economic Security Act* activities. (2) These inquiries were subject to unique and customized policy review, on a case-by-case basis, which may have impacted the planned timing. (3) This measure has been discontinued after the FY 2020 period of performance.

Data Source: Office of Elementary and Secondary Education program offices.

FY 2020 Period of Performance: March 1, 2020, through September 30, 2020.



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).

OBJECTIVE LEADER:

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

Overview

The most recently available data on graduation rates (school year 2017–2018) indicate that 85 percent of public school students graduate 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 like

“We must expand our thinking about what education actually is, as well as resist the urge to expect all students to follow the same track. There should be many pathways because there are many types of students with many different interests and many kinds of opportunities with varying requirements.”

*U.S. Secretary of Education
Betsy DeVos*

youth apprenticeship and dual enrollment to get a head start on achieving their goals.

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

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

Office of Postsecondary Education; the Office of Special Education and Rehabilitative Services; and the Institute of Education Sciences.

FY 2020 Performance Summary and Analysis

There are eight performance measures in this strategic objective. Of these, only one met its annual metric target (1.3.A), which gauges the number of discretionary grant notices with science, technology, engineering, and mathematics (STEM) as a priority. The Department had set an annual target of 10, and the year-end result was 13.

Five performance measures in this strategic objective did not meet their annual targets. Two of these measures gauge the participation of high school students in taking Advanced Placement (AP) exams in STEM courses (1.3.B and 1.3.C). The fiscal year (FY) 2021 targets for both of these measures have been reduced due to high school students taking fewer AP exams and instead opting for dual enrollment courses.

An additional two performance measures that did not meet their annual targets involve goals for adults gaining skills for future employment opportunities (1.3.D and 1.3.G). The FY 2021 targets for both of these measures have been reduced due to the challenges of delivering service during the COVID-19 pandemic. More specifically, performance measure 1.3.D gauges the number of *Workforce Innovation and Opportunity Act* (WIOA) adult education participants who achieve a measurable skill gain. The year-end result was

nearly 10 percent below the target set for FY 2020. Due to the challenges of offering virtual integrated education and training during the COVID-19 pandemic, performance next year is expected to be more than 30 percent below the previously set target for FY 2021. The Department has therefore lowered the FY 2021 target for this measure. Performance measure 1.3.G gauges the number of WIOA adult education participants enrolled in an integrated education and training program. The year-end performance was 7.3 percent below the annual target. As a result, the FY 2021 target has also been decreased.

The fifth performance measure that did not meet its annual target gauges the number of secondary career and technical education (CTE) concentrators enrolling in STEM (1.3.J). The year-end result of 1.29 million was nearly 13 percent below the target set for FY 2020. The FY 2021 target has been decreased, as social distance guidelines make it challenging to provide hands-on in-person courses.

Because strategies are not having the intended impact on outcomes, the Department has designated strategic objective 1.3 as a “Focus Area for Improvement,” a designation derived from [legal guidance](#) for federal agencies that is published by the Office of Management and Budget. The guidance requires that every year, each agency designate at least one of its strategic objectives for this category.

Two performance measures in this strategic objective, 1.3.E and 1.3.H, which both gauge progress of adult education

participants, were not assessed, as they baselined in FY 2020. More specifically, 1.3.E gauges the number of WIOA adult education participants who obtain a secondary school diploma or its equivalent and are employed or enrolled in an education or training program within one year following exit, while measure 1.3.H gauges the number of WIOA adult education participants who advance one educational functioning level in mathematics.

At the end of Quarter 2, the Department retired two measures in this strategic objective: 1.3.F, which measured the number of secondary CTE concentrators who attained a secondary school diploma, a General Education Development credential, or another state-recognized equivalent, and 1.3.I, which measured the percentage of secondary CTE concentrators placed in employment, further training, or the military. Both measures were applicable to Perkins IV but not Perkins V, which the President signed into law in 2018 as the *Strengthening Career and Technical Education for the 21st Century Act* (Pub. L. No. 115-224).

Key Successes and Opportunities

Improving Instruction in Adult Education.

This past year has been filled with challenges in meeting the goals of this strategic objective. Longstanding trends in how high schoolers choose to further their education or training impacted achievement, as did the COVID-19 pandemic's closing of many community colleges and job training facilities. Because of these factors, the Department has lowered targets for the next two years for multiple performance measures in this strategic objective.

The field of mathematics is one of the building blocks of STEM. To improve mathematics instruction in adult education, the Office of Career, Technical, and Adult Education's (OCTAE's) Numeracy Initiative completed outlines for six training modules for adult education teachers. The outlines built on available evidence on high-quality professional development and mathematics instruction. A pilot via online delivery is expected in spring 2021.

OCTAE also recruited 12 local adult education programs in four states (Arizona, Indiana, Kentucky, and Oregon) to pilot technology-based coaching strategies to support student retention and outcomes while programs operate remotely during the pandemic. The states will develop, implement, and document the intervention. Initial work with additional states began this fiscal year but ultimately had to be postponed due to COVID-19.

Additionally, in FY 2020, OCTAE awarded more than \$1.48 million in Perkins national activities funds for nine [Perkins Innovation & Modernization](#) grants. These grants will operate for a three-year period, with an opportunity for two additional years. The purpose of the grants is to identify, support, and evaluate evidence-based strategies for improving CTE and helping students succeed in the workplace. All nine projects will focus on improving student achievement in STEM education, which was one of three competitive priorities on which the grants could focus their efforts. Three of the funded projects will serve students rural communities, and all nine projects will serve students in [Qualified Opportunity Zones](#).

Engaging High School Students. Efforts to achieve the goals of the strategic objective—to prepare all students for successful transitions to college and careers—included high schools, postsecondary institutions, and training facilities. For example, in October 2019, the Department announced 31 awards, totaling \$20.1 million, under the Teacher Quality Partnership (TQP) Program. Recipients included more than 24 school districts, institutions of higher education (IHEs), and nonprofit organizations. To be eligible, an applicant was required to form a partnership that included a high-need school district, an IHE, and a program of education within a partner institution. Partnerships could also include nonprofit organizations. More than two-thirds of the funded projects are specifically designed to better prepare teachers for teaching STEM and computer science, using innovative ideas such as enabling teachers to earn micro-credentials in the field of computer science. Nearly half of the funded projects will take place in Qualified Opportunity Zones, which are designed to spur economic development and job creation in distressed communities throughout the country and U.S. possessions by providing tax benefits to those who invest eligible capital in these communities. In September 2020, the program made 10 awards totaling \$7.3 million. More than two-thirds of the funded projects are new to the TQP Program and will receive their first TQP award from this FY 2020 competition. Additionally, all funded projects will take place in a Qualified Opportunity Zone.

OCTAE also launched the [CTE: CubeSat](#) challenge in August 2020. CubeSat is

a national challenge to build technical skills for careers in space and beyond. The Department invites high schools to design and build cube satellite prototypes that aid in space research, a growing career field.

Pre-employment Transition Services. The Department’s work in this strategic objective includes improving the transition from high school or postsecondary institutions to employment. FY 2020 marks the [100th anniversary of the Vocational Rehabilitation \(VR\) Program](#). As part of its many activities to commemorate the milestone, the Office of Special Education and Rehabilitative Services (OSERS) developed guidance and activities for transition and pre-employment transition services. For example, on February 28, 2020, OSERS published a notice of policy statement and request for comment concerning a change in policy on the use of [federal VR funds reserved for pre-employment transition services](#) (85 FR 11848). The comment period was reopened on June 1, 2020. The policy explains when VR funds may be used for auxiliary aids and services and the other VR services needed by students with disabilities to participate in, and benefit from, pre-employment transition services.

COVID-19. In June 2020, the Department launched the [Rural Tech Project](#), a national challenge for high schools and local educational agencies (LEAs) to advance rural technology education using competency-based distance learning. At its core is an effort to find ways to successfully continue to educate students who are not physically in a classroom. The project has a total cash prize pool of \$600,000 and

invites high schools and LEAs to develop competency-based distance-learning programs that enable students to master skills at their own pace, with the goal of preparing them for well-paying, in-demand jobs.

Performance Measures

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



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	3	12	15	13	10	12

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

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

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

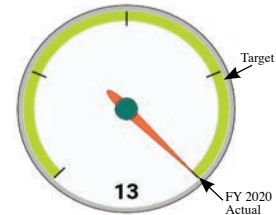


Table 1.3.B. Number of public high school students by graduating cohort who have taken at least one Advanced Placement science, technology, engineering, and mathematics exam while in high school.



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
555,119	592,410	622,553	644,485	677,702	677,859	711,587	691,416

Data Source: College Board.

FY 2020 Period of Performance: School year 2018–2019.

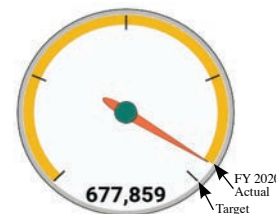


Table 1.3.C. Number of public high school students by graduating cohort who have taken at least one Advanced Placement science, technology, engineering, and mathematics exam while in high school and scored a 3 or better.



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
312,421	325,329	339,784	348,322	370,231	375,017	388,743	382,517

Data Source: College Board.

FY 2020 Period of Performance: School year 2018–2019.

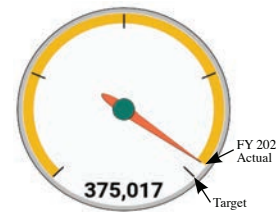


Table 1.3.D. Number of adult education participants who achieved a measurable skill gain.



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	—	676,178	654,853	590,851	655,508	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 2020 Period of Performance: July 2018 through June 2019.

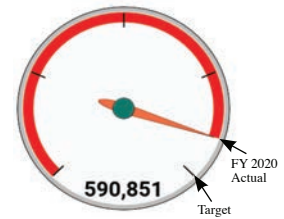


Table 1.3.E. Number of adult education participants who obtained a secondary school diploma for its equivalent and are employed or enrolled in an education or training program within one year following exit.



2015	2016	2017	2018	2019	2020	2021
Actual					Actual	Target
—	—	—	Pre-baseline	37,365	37,192	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 2020 Period of Performance: July 2018 through June 2019.



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



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	—	23,307	43,904	51,915	56,000	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 2020 Period of Performance: July 2018 through June 2019.

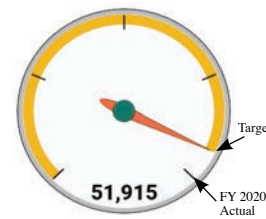


Table 1.3.H. Number of adult education participants who advanced one educational functioning level in mathematics (new).

B

2015	2016	2017	2018	2019	2020	2021
Actual					Actual	Target
—	—	—	—	114,473	66,427	43,064

Notes: (1) 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 2020 Period of Performance: July 2018 through June 2019.

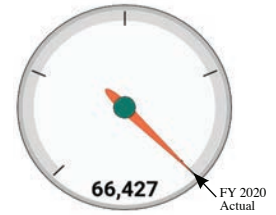


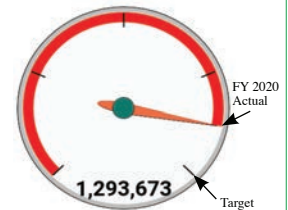
Table 1.3.J. Number of secondary career and technical education concentrators enrolling in science, technology, engineering, and mathematics.

X

2015	2016	2017	2018	2019	2020	2021
Actual					Actual	Target
992,302	1,020,914	1,154,916	1,251,886	1,409,668	1,293,673	1,240,508

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

FY 2020 Period of Performance: School year 2018–2019.



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.

OBJECTIVE LEADER:

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

Overview

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

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

FY 2020 Performance Summary and Analysis

There is only one performance measure 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 prekindergarten through grade 12 education. This measure met its annual metric target.

Key Successes and Opportunities

Providing Evidence-Based Resources.

Beginning in March 2020, the [Regional Education Laboratories Program in the Institute of Education Sciences](#) began responding to state educational agency (SEA) and local educational agency (LEA) requests for support with managing remote learning due to the COVID-19 pandemic. The program re-released a series of evidence-based resources in 11 topic areas, including accountability, early childhood, English learner students, equitable learning opportunities, resources for parents and families, postsecondary education and transitions, remote learning strategies, returning to school, social and emotional learning and mental health, students with disabilities, and teacher workforce and preparation. In total, more than 135 resources—including tools, events, infographics, and blogs—were created and made available to the public. Notable resources include two new family

and caregiver-facing websites, [Teaching Math to Young Children](#) and [Supporting Your Child’s Reading at Home](#), each of which brings together videos, quick tips, and activities caregivers can use to support foundational math and reading skills.

Developing Teachers. In July 2020, the Department announced a new funding priority under the Education Innovation and Research Program that aimed at assisting teachers in rethinking their professional development. Under the priority, teachers can use stipends to pay for professional learning opportunities that are relevant to their personal needs or career goals. It is a way to personalize their professional development by choosing the right direction for their professional growth. Traditionally, teachers have had to use a generic set of professional development activities that were chosen by their SEA or LEA. The program’s purpose is to improve academic achievement for high-need students. By funding projects under this priority, the Department is seeking to learn whether personalized professional development has a positive effect on instructional practice and, in turn, a positive effect on student achievement. Awards will be made in December 2020. In this manner, the program continues to be part of an umbrella of efforts to assess performance based on the outcomes produced.

In September 2020, the Department announced nearly \$100 million in grant awards to school districts, institutions of higher education, and nonprofit organizations that build on the Department’s commitment to elevating the teaching

profession and empowering teachers. The three grant competitions announced in fiscal year 2020 were [Teacher and School Leader Incentive Program](#), [Supporting Effective Educator Development Program](#), and [Teacher Quality Partnership Program](#).

Increasing Transparency on School Spending. The Department launched a new website, studentspending.ed.gov, that shows how much money each school spends per student. The tool displays the breakdown of federal, state, and local funds that make up the per pupil expenditure for each school and district beginning with the 2018–2019 school year—the first year that these data were required to be reported on state and local report cards under *Every Student Succeeds Act*.

“This new web tool clearly displays per pupil student funding at the building level so parents can see how their money is being spent on students. This is the level of transparency that states and districts should aspire to and that parents deserve.”

*U.S. Secretary of Education
Betsy DeVos*

Establishing Communities of Practice. A key part of the Department’s efforts to achieve the goals of this strategic objective is establishing communities of practice (CoPs) in which experts on a particular subject gather—either online

or in person—share ideas and learn how to improve their skills by interacting with each other.

In January 2020, the Office of Elementary and Secondary Education (OESE) launched the Networked Improvement Implementation CoP with participants from six states that focused on supporting up to a dozen SEAs in building and implementing Network Improvement Communities (NICs) within and among districts and schools. NICs will enable SEAs and districts to share expertise and ideas, provide diverse contexts within which to test those ideas, and provide the social connections that can accelerate testing and adoption. The CoP also aimed to foster innovative approaches to generating and using evidence for continuous improvement. A summary is available on the [State Support Network](#) website.

OESE launched another CoP in January 2020, which also included participants from six states. It focused on supporting SEAs in learning about

research design across the *Elementary and Secondary Education Act's* four tiers of evidence: strong evidence, moderate evidence, promising evidence, and demonstrates rationale. Participants also focus on approaches to district monitoring and evaluation as well as building an evidence base. This CoP enables SEAs to build research partnerships and develop systems and protocols for collecting, interpreting, and organizing evidence. A summary is available on the [State Support Network](#) website.

Developing and Engaging Staff. In October 2019, the Department held an Evidence Summit event, which provided an opportunity for employees to learn about key evidence topics from experts at the Department and from the Office of Management and Budget and to hear from grantees about their experience in implementing evidence-based projects and rigorous program evaluations funded through grant programs. Since then, the Department has conducted internal learning sessions for staff on the *Evidence Act* and ways to advance the use of evidence in their work.

Performance Measures

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.

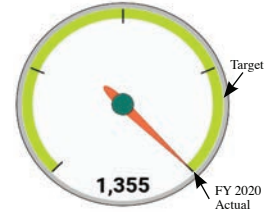


2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	—	672	1,008	1,355	1,109	1,422

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

Data Source: Department offices that deliver technical assistance.

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





Strategic Goal 2

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

Goal 2 Spotlight



The traditional four-year degree is no longer seen as the singular pathway to success. The average \$20,000 price tag for one year of tuition, fees, and room and board at a public four-year institution of higher

education is outpacing inflation, leaving too many students and families with a considerable financial burden. Many students and families must turn to loans to cover the increasing costs of pursuing education beyond high school. In fiscal year (FY) 2020, the impact of the COVID-19 pandemic has dramatically changed the entire landscape of higher education. The need to improve customer service and transform the loan servicing program has never been a more important goal for the Department.

The principal office that oversees this effort is Federal Student Aid (FSA). Even though student financial needs and borrowing behavior have changed over time, FSA has not met the demand. Its structure is antiquated and begs for an update. Under the leadership of Secretary Betsy DeVos, the Department began to rethink how FSA needs to deliver better services to customers, including students. In FY 2018, FSA launched an initiative called Next Generation Financial Services Environment (or Next Gen FSA), aiming to transform nearly every aspect of FSA programs by streamlining student aid systems and processes, strengthening cybersecurity, modernizing the organizational structure and management, and making operations more efficient.

Each year, FSA provides more than \$120 billion in federal loans, grants, and work-study funds to approximately 10 million students attending approximately 5,700 postsecondary institutions. The size of the federal student loan portfolio, now exceeding \$1.5 trillion, requires steady leadership, active management, and transparency. The office is becoming a more student-focused, agile organization that can respond more quickly to customers' needs, increase stakeholder confidence, and effectively manage shifts in public policy. Still, as recommended in the Department's FY 2021 Budget, Congress should consider

GOAL LEADER:

Assistant Secretary for
Postsecondary Education

GOAL 2 OBJECTIVES:

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

making FSA a standalone government agency, run by a professional, expert, and apolitical board of governors.

The amendments to the *Higher Education Act of 1998* also made FSA the federal government’s first performance-based organization (PBO). That directed FSA to not only improve service to customers and modernize its technology but also to set the expectation to reduce operating costs and restore integrity to the systems and processes that deliver programs.

To prepare students and families to make informed choices from the *Free Application for Federal Student Aid®* to loan repayment, FSA has begun to modernize the way it connects with customers in today’s world. This modernization has led to the introduction of new tools on its [StudentAid.gov](https://studentaid.gov) website, including the Annual Student Loan Acknowledgment (i.e., Loan Simulator) and the myStudentAid mobile app. These tools are a response to present and future customer expectations, including the growing interest in lower cost alternatives, such as community colleges, apprenticeships, accelerated

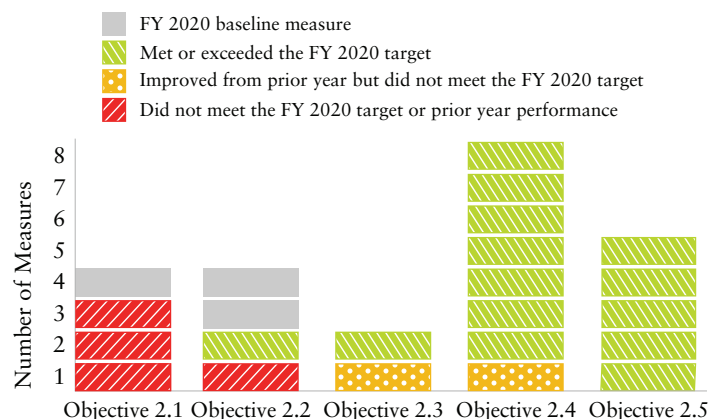
degree programs, career and technical education, and short-term programs.

For this reason, a primary goal of Next Gen FSA is to provide customers with the necessary resources as well as literacy and financial tools to help them make practical lifelong educational plans, leading to more informed borrowing, less long-term debt, and better repayment outcomes. To continue this effort, in FY 2021, FSA will enhance entrance and exit counseling for borrowers, launch a new partner portal for streamlined interactions with institutions, and release a series of updates to the myStudentAid mobile app to increase customer engagement. To meet the broad range of expectations, FSA will continue to align its vision and path forward with the goals set when the PBO legislation was enacted.

The following pages discuss the Department’s major accomplishments of the past fiscal year—October 1, 2019, through September 30, 2020—to achieve Goal 2 and its five underlying strategic objectives. While everything the Department accomplished within this timeframe is too vast to include, the following provides a snapshot.

Performance Measure Overview

In fiscal year (FY) 2020, the Department had 23 measures for this goal. Of these 23 measures, 14 metric targets were met or exceeded, 2 measures showed improvement in performance from the prior year but did not meet the established targets, and 3 measures performed below this year’s target and previous year’s performance. One measure was below the target but does not have previous year’s data for comparison. Three measures did not have an established target and were baselined in FY 2020 or later.





Goal 2 Discretionary Resources

The following table shows examples of select major discretionary programs and activities supporting Goal 2.

Major Discretionary Programs and Activities Supporting Goal 2 in Thousands

POC	ACCT	Objective	Program	FY 2020 Appropriation
FSA	SFA	2.1, 2.3	Federal Pell Grants: Discretionary	\$22,475,352
OCTAE	CTAE	2.1, 2.3	Career and Technical Education State Grants	\$1,282,598
OPE	HE	2.1	Strengthening HBCUs	\$324,792
OPE	HE	2.1, 2.2, 2.3	Federal TRIO Programs	\$1,090,000
Other	N/A	N/A	All Other Programs	\$6,467,752

Note:

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

Acronyms and Definitions:

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

Strategic Objective 2.1

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



OBJECTIVE LEADER:

Assistant Secretary for Postsecondary Education

Overview

The Department 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 as a whole in the long term. In fiscal year 2020, the Office of Postsecondary Education (OPE) issued more than 5,200 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 will also broaden global competencies that drive the economic success and competitiveness of the nation.

OPE is also pursuing more outcomes-based performance monitoring, as evidenced by the development of a new strategic plan performance measure for the Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP), which serve more than 560,000 students enrolled in more than 3,525 secondary schools across 45 states.

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

FY 2020 Performance Summary and Analysis

There are four performance measures for this strategic objective. Three of the four measures did not meet their annual metric targets, while the fourth completed a baseline assessment in fiscal year (FY) 2020, which will be used to set targets for future years.

Two of the measures that did not meet their annual metric targets (2.1.B and 2.1.C) were heavily impacted by the COVID-19 pandemic, which led to a significant decrease in the number of students electing to attend college. As a result, fewer students were applying for financial assistance to help them fund postsecondary education or training. More specifically, performance measure 2.1.B, which gauges the percentage of first-time filers of *Free*

Application for Federal Student Aid® (FAFSA®) among high school seniors, ended the fiscal year at 63.8 percent, which was short of its annual target even though performance was at its highest level since the Department introduced the measure in FY 2017. The FY 2021 target has been decreased due to the effects of COVID-19 on college enrollment. Performance measure 2.1.C, which gauges the persistence of FAFSA® filers in completing their applications, also fell short of its target, with a fiscal year-end result of 81 percent; this was the lowest level of persistence recorded since the Department introduced this measure in FY 2017. The FY 2021 target for measure 2.1.C has also been decreased due to the effects of COVID-19 on college enrollment.

The third performance measure in this strategic objective that did not meet its annual metric target (2.1.D) gauges the percentage of total appropriated funds made available to institutions of higher education (IHEs) within 30 days of the passage of the *Coronavirus Aid, Relief, and Economic Security (CARES) Act*. The Department set an ambitious target of disbursing 100 percent of the \$14 billion appropriated by Congress for IHEs within 30 days of passage of the act in March 2020. Ultimately, the Department disbursed 90 percent of the funds within 30 days and the remaining 10 percent within the 3 days that followed. This grant-making activity resulted in a 134 percent increase in the number of grants awarded (from 5,018 in FY 2019 to 11,779 in FY 2020) and a 457 percent increase (from \$2.4 billion in FY 2019 to \$13.5 billion in FY 2020) in total grant funding.

The fourth performance measure in this strategic objective (2.1.A) is new and based in FY 2020; it gauges the 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. This new measure exemplifies a heightened focus in the Department on outcomes-based performance measurement.

Key Successes and Opportunities

Regulatory Activities. The Office of Postsecondary Education (OPE) continues to develop federal postsecondary education policy and regulations, including policy that supports FSA and other programs authorized by the *Higher Education Act of 1965*, as amended (HEA).

“We’ve made tremendous progress during the last three years, challenging everyone in the higher education community to rethink how we approach education with an eye toward putting students at the center of everything that we do.”

*U.S. Secretary of Education
Betsy DeVos*

Major milestones included the July 2020 amendment of regulations for the [Teacher Education Assistance for College and Higher Education \(TEACH\) Grant Program](#), which was established in 2007 to increase the number of teachers serving in

high-need fields in low-income schools. The program provides a grant of up to \$4,000 for each year in which an undergraduate or graduate student is enrolled in an eligible program that prepares him or her to teach in a high-need area in a low-income school; recipients are required to teach for a minimum of four years in such a position. If they do not fulfill this pledge, the grant is converted to a loan, with interest backdated to the disbursement of the grant.

In the past, many teachers who missed a paperwork filing deadline were dismayed to have their grants converted to loans even though they had complied with all other rules. OPE amended the regulations to minimize the number of TEACH grants that are converted to loans. Addressing this [issue through amended regulations](#) was a follow-up to activities the Department conducted in 2018–2019 to restore and to correct the status of TEACH grants that had been improperly converted to loans due to a variety of administrative issues. It was also one part of Secretary DeVos’ agenda for *Rethinking Higher Education*, which included a call to reform regulations as part of a wider effort to create new and different types of postsecondary options to help more students obtain the skills they need to be competitive in changing job markets.

In addition to adopting the amended regulations for the TEACH program, in July 2020, OPE also [finalized regulations](#) on the eligibility of faith-based entities to participate in federal student financial aid programs and GEAR UP as well as the eligibility of students to obtain certain benefits under those programs. These were

the *Equal Participation of Faith-Based Organizations in Department of Education Programs and Activities: Implementation of Executive Order 13831 and Eligibility of Faith-Based Entities and Activities—Title IV Programs* amended regulations.

Previously, the regulations could be interpreted to discriminate against otherwise eligible students and faith-based entities by disqualifying them from the programs solely because of their religious beliefs or status, in violation of the *Free Exercise Clause of the First Amendment to the United States Constitution*. For example, in the past, a student loan borrower who worked for employers that engage in religious instruction, worship services, or proselytizing could not qualify for federal public service loan forgiveness benefits like borrowers who worked for employers who were not religiously affiliated.

In addition to these amended regulations; [regulations](#) adopted in November 2019 became effective in July 2020 allowing for more individualized accrediting standards to recognize that no single set of standards or requirements can determine each institution’s potential contributions. The regulations empowered accreditors to act early when an institution is at risk for closure and to hold institutions to higher levels of accountability, while still allowing institutions to take the necessary corrective actions. When an institution must close, these regulations authorize accreditors to act.

Evaluations. In FY 2020, the Department continued conducting two studies related to the *Adult Education and Family Literacy*

Act (AEFLA). The first study, on the implementation of AEFLA, seeks to understand how state and local educational agencies are putting in place policies and practices promoted by the law, as well as how common challenges are being met. Collection of state-level data was temporarily suspended due to COVID-19 but had resumed by the time the fiscal year ended. The second study seeks to identify one or more promising adult education interventions and make plans to evaluate them at scale.

COVID-19. In FY 2020, with the addition of the [CARES Act Higher Education Emergency Relief Fund](#), the number of grants that OPE administers more than tripled from more than 5,000 in FY 2019 to almost 17,000. OPE had to build a temporary staffing structure and create new positions

to manage the administration and oversight of these programs.

The Department has also provided [guidance](#), via a regularly [updated](#) electronic announcement, to IHEs on how to comply with Title IV of HEA while being flexible to assist students whose activities are impacted by COVID-19. The guidance addresses five potential student and campus issues that may prompt an IHE to have compliance concerns: (1) revised academic calendars/academic year length/overlapping terms, (2) expanded use of distance education, (3) return of Title IV funds waivers, (4) approved leaves of absence, and (5) federal work-study for students unable to work due to the COVID-19 pandemic.

Performance Measures

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 (new).

B

2015	2016	2017	2018	2019	2020	2021
Actual					Actual	Target
—	—	—	—	—	50%	51%

Notes: (1) This is a new measure for fiscal year (FY) 2020. (2) No data are available prior to FY 2020.
 Data Source: GEAR UP annual performance reports.
 FY 2020 Period of Performance: August 2018–August 2019.

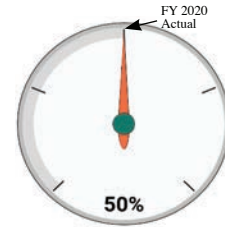


Table 2.1.B. Percentage of first-time *Free Application for Federal Student Aid*® filers among high school seniors.

X

2015	2016	2017	2018	2019	2020	2021
Actual					Actual	Target
60.5%	57.5%	60.2%	67.4%	65.9%	63.8%	66.25%

Data Source: Federal Student Aid’s Central Processing System.
 FY 2020 Period of Performance: October 2019 through September 2020.

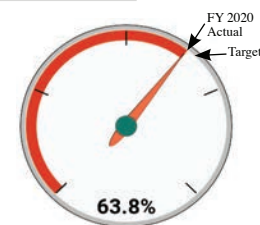


Table 2.1.C. Persistence among first-time filing aid recipients.

X

2015	2016	2017	2018	2019	2020	2021
Actual					Actual	Target
79.5%	79.7%	82.6%	82.5%	82.8%	81.0%	83.0%

Data Source: Federal Student Aid’s Common Origination and Distribution System.
 FY 2020 Period of Performance: October 2019 through September 2020.

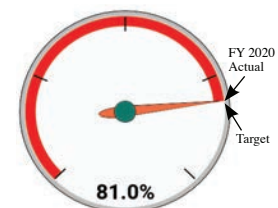


Table 2.1.D. Percentage of total appropriation made available to institutions of higher education within 30 days of the passage of the *Coronavirus Aid, Relief, and Economic Security (CARES) Act (April 27, 2020) (new)*.

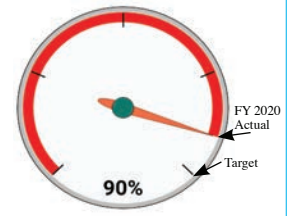


2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
N/A	N/A	N/A	N/A	N/A	90%	100%	N/A

Note: This new measure for fiscal year (FY) 2020 was developed as part of the CARES Act activities and has been discontinued after the fiscal year (FY) 2020 period of performance.

Data Source: The Department's end-to-end Grants Management System.

FY 2020 Period of Performance: Quarter 3 of FY 2020.



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.



OBJECTIVE LEADER:

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

Overview

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

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

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

Education and Rehabilitative Services; and the Office of Career, Technical, and Adult Education.

FY 2020 Performance Summary and Analysis

There are four performance measures for this strategic objective. Of these four, one performance measure met its annual metric target and one did not, while two successfully completed a baseline assessment. The measure that met its annual target (2.2.B) gauges the percentage of *Workforce Innovation and Opportunity Act* adult education program participants who are in unsubsidized employment during the second quarter after exiting the program. The fiscal year (FY) 2021 target for measure 2.2.B has been reduced as the employment rate has been affected by the COVID-19 pandemic.

Performance measure 2.2.A did not meet its annual target; it 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. Performance on this measure had been, largely, on track prior to the COVID-19 pandemic.

Performance measure 2.2.C, which gauges the percentage of Vocational Rehabilitation (VR) Program participants who were in unsubsidized employment during the second quarter after exiting the program continued to establish a baseline. The Department successfully baselined measure 2.2.D, which gauges the percentage of VR program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, toward such a credential or employment. A target has been established for FY 2021.

Key Successes and Opportunities

Providing Evidence of What Works. Disruptions caused by the COVID-19 pandemic presented a greater-than-ever need for educators to know what works, based on promising practices or evidence, to help them make decisions about where to invest limited resources. Through the efforts of this strategic objective, the Department aims to provide such evidence.

Critical to this work is ensuring that information about the efficacy of new and popular interventions is widely shared. To that end, the [What Works Clearinghouse](#) released reviews of popular and well-known postsecondary interventions, providing educators with greater evidence when making investments in student success

programs. This included reviews of the Open Learning Initiative, which provides online courses and learning materials to college instructors and learners at low or no cost; the Accelerated Study in Associate Program, which is designed to remove barriers to college success and completion for students seeking associate degrees; and Inside Track Coaching, which provides proactive and personalized coaching to help postsecondary students overcome barriers to college success. Early college high schools, integrated planning and advising, college re-enrollment campaigns, and multiple measures assessment and placement programs were also highlighted.

Building Evidence Through Grant Programs. The Department is also working on building evidence through its grant competitions and included evidence components in several grant competitions in FY 2020. For example, in September 2020, the Department launched a new effort to provide funding to a subset of Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) State grantees that proposed plans to track the postsecondary success of former GEAR UP participants in the six years following high school graduation. This effort will help the Department and grantees gain a better understanding of the longer-term post-secondary retention and completion outcomes for GEAR UP participants after the grant activities end.

Applied Research and Evaluation. Regional Educational Laboratory (REL) Appalachia released a report titled [Assessing the Alignment between West](#)

Virginia's High School Career and Technical Education Programs and the Labor Market.

The study quantitatively assessed the alignment between West Virginia's high school career and technical education programs and the labor market, with a focus on alignment to regional high-demand occupations that require moderate occupational preparation. REL Northwest completed similar work related to career- and college-ready requirements for high school graduation in Washington.

COVID-19. The Office of Special Education Programs in the Office of Special Education

and Rehabilitative Services released sets of questions and answers (Q&A) on the implementation of the *Individuals with Disabilities Education Act* (IDEA) Part B and Part C during the COVID-19 pandemic. These included: [IDEA Part C Evaluation and Assessment Timelines Q&A](#), [IDEA Part B Procedural Safeguards Q&A](#), [IDEA Part C Procedural Safeguards Q&A](#), [IDEA Part B Use of Funds Q&A](#), [IDEA Part C Use of Funds Q&A](#), [IDEA Part B Dispute Resolution Procedures Q&A](#), [IDEA Part C Dispute Resolution Procedures Q&A](#), and [Flexibility in IDEA Part B Fiscal Requirements Q&A](#).

Performance Measures

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



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	—	77	188	160	207	168

Note: Data are not available prior to fiscal year (FY) 2018.
 Data Source: Departmental offices that deliver technical assistance.
 FY 2020 Period of Performance: October 2019 through September 2020.

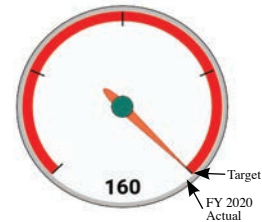


Table 2.2.B. Percentage of adult education program participants who were in unsubsidized employment during the second quarter after exiting the program.



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	—	—	25.6%	27.5%	27.0%	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 2020 Period of Performance: July 2018 through June 2019.



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



2015	2016	2017	2018	2019	2020	2021
Actual					Actual	Target
—	—	—	—	50.4%	51.3%	TBD

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

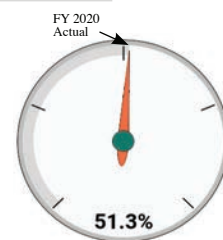


Table 2.2.D. Percentage of Vocational Rehabilitation Program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational,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

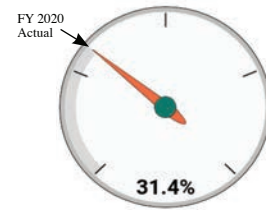
B

2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	—	21.1%	23.4%	31.4%	N/A	25.1%

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

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

FY 2020 Period of Performance: Program year 2019.



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.

OBJECTIVE LEADER:

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

Overview

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

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

FY 2020 Performance Summary and Analysis

There are two performance measures for this strategic objective. One measure, 2.3.A,

met its annual metric target on 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. The fiscal year-end performance for this measure was 53, and the annual target was 15. The other measure for this strategic objective, 2.3.C, which gauges the number of postsecondary science, technology, engineering, and mathematics (STEM) degrees and certificates conferred, did not meet the fiscal year (FY) 2020 annual target. The originally established FY 2021 target for measure 2.3.C has been reduced due to many post-secondary institutions shifting to virtual learning due to the COVID 19 pandemic and the impact this will have on students who do not have broadband access.

At the mid-fiscal year point, the Department retired a third performance measure for this strategic objective, 2.3.B, which assessed the percentage of postsecondary career and technical education (CTE) concentrators who received an industry-recognized credential, certificate, or degree.

This measure was applicable to Perkins IV but not Perkins V, which the President signed into law in 2018 as the *Strengthening Career and Technical Education for the 21st Century Act* (Pub. L. No. 115-224).

The Department established an Agency Priority Goal (APG) for FY 2020 and FY 2021 to improve nationwide awareness of and access to career pathways that support job skills development and career readiness. This APG is also supported by strategic objective 1.3. The Department aimed to support the creation and expansion of integrated education and training, support the enrollment of CTE concentrators in STEM fields, and increase the number of federal financial aid recipients who earn a postsecondary credential in STEM. However, the Department did not meet the initially established FY 2020 targets for key indicators for the APG. Targets have been decreased for FY 2021, as the Office of Career, Technical, and Adult Education (OCTAE) determined that the impact of COVID-19 will negatively affect future year performance as well. Information on the quarterly progress of APGs is available on [Performance.Gov](#).

Key Successes and Opportunities

Expanding Career Pathways. Through this strategic objective, the Department aims to look beyond traditional means of helping secondary students find their way to jobs and careers that pay livable wages.

OCTAE continued providing technical assistance activities to improve the job readiness of adult education participants.

For example, its [Teaching Skills That Matter](#) project supports the integration of employability skills development with academic instruction. In FY 2020, the project pilot tested its training materials with teams of teachers and professional developers from five states (Arizona, Arkansas, Illinois, Pennsylvania, and Virginia). The project also conducted a two-day virtual symposium for more than 1,000 teachers nationwide. OCTAE is converting the pilot training materials to an online platform to provide the project to additional states.

In addition, OCTAE's Literacy Information and Communication System (LINCS) continued to prioritize the integration of workforce preparation activities into academic instruction. It had to cancel several scheduled face-to-face trainings due to COVID-19 but still managed to provide 5 online trainings for 243 adult educators. Additionally, 306 adult educators enrolled in 6 LINCS online courses related to workforce preparation activities. LINCS also conducted eight online discussions on the integration of workforce preparation activities into academic instruction.

The Department developed technical assistance materials to support participants in its reTHINK Adult Education Challenge. This program includes a \$750,000 prize pool and targets the development of more than 100 new pre-apprenticeship programs involving partnerships between adult education providers, sponsoring apprenticeship organizations, and employers.

“In our dynamic and changing economy, learning must be a life-long pursuit. Educational opportunities for adults should reflect this reality, but all too often, students, particularly adult learners, encounter barriers to changing careers and learning new skills. This pre-apprenticeship challenge gives local education leaders the opportunity and encouragement they need to rethink adult education to match this new reality and ensure students are prepared for success.”

*U.S. Secretary of Education
Betsy DeVos*

Providing Technical Assistance. The Workforce Innovation Technical Assistance Center provided targeted or intensive technical assistance to all 78 state vocational rehabilitation (VR) agencies nationwide.

The VR Technical Assistance Center Targeted Communities supported implementation of sustainability plans in 11 of 12 states participating in VR Technical Assistance Center Targeted Communities. It provided ongoing intensive technical assistance and monthly community

of practice meetings that provided experienced-based ideas and approaches to expand and sustain, beyond the life of a grant, a project’s promising or evidence-based practices that promote increased VR participation and employment outcomes.

OCTAE launched the [Pathways to Credentials](#) initiative to provide intensive technical assistance to 10 community and technical colleges to help them embed stackable, industry-recognized credentials within technical associate degree programs. By awarding credit for a range of education, training, workplace learning, and skill-building experiences that “stack” toward associate degrees, [stackable credential](#) programs help working students develop the skills they need to simultaneously advance on the job and earn credentials that enable further study. Such programs accelerate credit attainment and may increase the likelihood of degree completion.

The Office of Special Education and Rehabilitative Services’ VR Technical Assistance Center–Youth held three webinars, including “[Supporting Youth who are Experiencing Homelessness: Achieving Employment through Vocational Rehabilitation and Other Partners.](#)”

COVID-19. OCTAE’s pre-apprenticeship challenge, which is designed to spur the development of 100 new pre-apprenticeship programs for low-skilled adults, has been postponed indefinitely due to COVID-19.

Performance Measures

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



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	3	23	24	53	15	18

Note: Data are not available prior to fiscal year (FY) 2017.
Data Source: Contractor quarterly progress reports.
FY 2020 Period of Performance: October 2019 through September 2020.

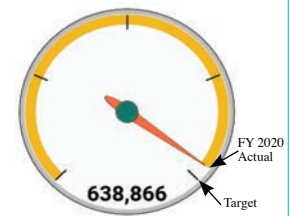


Table 2.3.C. Number of postsecondary science, technology, engineering, and mathematics degrees and certificates conferred.



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
635,800	668,091	704,580	586,992	612,589	638,866	662,000	589,600

Note: Through the *FY 2020 Annual Performance Report*, the Department has amended the performance data reported in the *FY 2019 Annual Performance Report*. See Appendix B for details.
Data Source: The National Center for Education Statistics' Integrated Postsecondary Education Data System Completions component.
FY 2020 Period of Performance: School year 2018–2019.



Strategic Objective 2.4

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



OBJECTIVE LEADER:

Chief Operating Officer for 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 5,700 postsecondary institutions that receive Title IV aid. Over the past fiscal year, FSA has worked diligently to modernize its systems and operations to deliver world-class customer and partner experiences. 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 leads 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.

FY 2020 Performance Summary and Analysis

There are eight performance measures in this strategic objective, and all but one met its annual metric target. The performance

measures meeting their targets cover a range of efforts to gauge the success of Federal Student Aid's (FSA's) Next Generation Financial Services Environment (Next Gen FSA) enterprise transformation. In this wide-ranging program, the Department seeks to modernize all aspects of FSA programs, from the beginning of the process when high school students and others first seek financing for their postsecondary education and training to graduation and beyond, when the repayment of student loans will begin for many borrowers.

Next Gen FSA launched in early fiscal year (FY) 2018, and FSA has sought to expand and improve it every year. Those efforts were evident in the performance this year, with nearly every measure in the strategic objective meeting its annual target despite the impact of the COVID-19 pandemic.

In FY 2019, only four of eight performance measures met their annual metric targets (seven measures had annual targets, while one measure was baselining and thus had no target). In FY 2018, only two of eight performance measures met their annual metric targets (four measures had annual

targets that year, while the other four were baselining to gather data to set targets for future years). Accordingly, in FY 2018, the Department designated this strategic objective as a “Focused Area for Improvement,” consistent with legal guidelines for federal agencies issued by the Office of Management and Budget (OMB).

Two years later, in FY 2020, the scope of the innovations and performance improvement in Next Gen FSA have led the Department to designate this strategic objective as an “Area Demonstrating Noteworthy Progress.” This designation is derived from the [OMB guidance](#) that requires that every year, each agency designates at least one of its strategic objectives for this category. The designation is reserved for strategic objectives that meet at least one of the official criteria for recognition of noteworthy performance, including that “[n]ew innovations in strategy, program design, risk mitigation, or operations have led to notable improvements in outcomes, risk reductions, and/or cost reductions and promise greater impact in the future.”

Customers of FSA—including students who are first time applicants for financial aid, those currently enrolled in a post-secondary institution or training program, and those in repayment of their loans—recognized the progress this fiscal year, with FSA achieving its annual target for its assessment in the American Customer Satisfaction Index Survey (2.4.C). Further, the score of 73.5 achieved this fiscal year was the highest score since the Department began tracking this performance measure in FY 2017. In FY 2019, FSA did not meet its annual target for this measure.

The Department established an Agency Priority Goal (APG) for FY 2021 and FY 2021 to leverage Next Gen FSA to improve and personalize customers’ experience with FSA. The Department aims to transform its relationship with prospective and current customers through deployment of significant components of the Next Gen FSA that result in a personalized experience. FSA exceeded all of the key indicators and achieved all FY 2020 milestones in support of this APG. Information on the quarterly progress of APGs is available on [Performance.Gov](#).

Key Successes and Opportunities

Digital Enhancements to Improve Customer Service. In the past year, FSA made a wide array of updates to technology improvements it had introduced in the two prior years. In December 2019, it consolidated its four most-visited websites

“Federal Student Aid’s customers visit our websites more than 120 million times each year. By centralizing the information they need on one website, providing one singular phone number to call, and continually improving our mobile app, we can better serve students and cut down on the confusion of navigating the federal student aid process.”

*U.S. Secretary of Education
Betsy DeVos*

into a single website, [StudentAid.gov](https://studentaid.gov). It then rolled out a series of improvements to the website.

In February 2020, FSA launched the [Make a Payment Pilot](#). This pilot program allows borrowers whose federally managed loans are in repayment and assigned to servicers Great Lakes or Nelnet to schedule upcoming monthly payments on [StudentAid.gov](https://studentaid.gov). By FY 2023–2024, the pilot will have expanded to include all Direct Loan borrowers. Also in February, FSA launched the [Aid Summary](#) on [StudentAid.gov](https://studentaid.gov), which provides authenticated users with an aid summary dashboard that displays information about all of the federal financial aid they have received. Customers are able to “drill down” to view detailed information about each individual grant, loan, and aid overpayment, and they are able to keep track of their remaining eligibility for Direct Subsidized and Federal Pell Grants and Iraq and Afghanistan Service Grants. In addition, by using dropdown menu options to navigate to other sections of their aid summary, users can view detailed information about their demographic/contact data, campus/program enrollment, and lender/lender servicer access authorizations.

In April 2020, FSA launched the [Annual Student Loan Acknowledgment](#). This tool is designed to help new student loan borrowers get a sense of what their loan balance, monthly payment, and expected salary could be based on the college they plan to attend and their chosen program of study. For seasoned borrowers, the tool will show the amount borrowed to date, how close the borrower is to the lifetime borrowing

cap, and what they can expect their future monthly payments to be. Use of the tool will be required beginning with school year 2021–2022. Also in April, FSA integrated the [Federal Student Aid Feedback System](#), which is an online portal established in 2016 that allows federal student aid customers to submit complaints, provide positive feedback, and report allegations of suspicious activity regarding their experience with FSA programs.

In June 2020, FSA enhanced the [Loan Simulator](#) to feature additional repayment plan scenarios specifically for borrowers who have a variety of loans, such as a combination of Direct Loans, Perkins Loans, and Federal Family Education Loan Program loans. Included in the enhancements was a new module that allows customers experiencing economic hardship to determine the best method for managing their loans. Also in June, FSA added an employer database to the [Public Service Loan Forgiveness \(PSLF\)](#) program’s [PSLF Help Tool](#). With the employer database, borrowers can input their Employer Identification Number to know if their employer is eligible, ineligible, or likely ineligible to meet the qualifying employment criterion for PSLF.

In addition to these enhancements to [StudentAid.gov](https://studentaid.gov), in December 2019, FSA launched the “Aidan” pilot. “Aidan” is a virtual assistant designed to improve the way FSA customers, including students, parents, borrowers, schools, and partners, interact with and manage FSA programs. “Aidan” can answer questions about federal student aid by using advanced technology

(e.g., artificial intelligence and natural language processing). Usage of “Aidan” increased from 10 percent of authenticated users in Quarter 1 of FY 2020 to 50 percent of authenticated users by the end of FY 2020. The fiscal year-end number of users was 545,763, far in excess of the annual target of 25,000.

Another pilot FSA launched in the past year was myFSAPay. It provides federal aid recipients at five colleges (Purdue University, University of California–Riverside, University of Georgia, Jackson State University, and National University) with a co-branded campus debit card. The debit card provides users with an alternative method for managing credit balance funds and seeks to eliminate the costs associated with school- and bank-sponsored accounts.

Answering Customer Telephone Calls and Inquiries. Having call service centers around the country, staffed by contractors who respond to inquiries about student loans and other forms of federal financial assistance, is the Department’s traditional approach to providing customer service. FSA continues to use centers as it continues to develop the technology of Next Gen FSA. This year, FSA revised the makeup of the centers it uses, adding five new centers and eliminating two. Staffing across the centers became a challenge in Quarter 2 of FY 2020 due to call volumes increasing in the latter part of the quarter. The increase was due to the implementation of the *Coronavirus*

Aid, Relief, and Economic Security (CARES) Act as well as servicers working to make their staff available to work remotely due to the COVID-19 pandemic.

Since then, call volumes have decreased, likely due to the CARES Act allowing for forbearance periods for payment on many federal student loans. FSA worked with its loan servicers to ensure all eligible borrowers received personalized communications informing them of the benefits afforded to them under the CARES Act (e.g., suspension of interest and payments). As new borrowers received student loans and entered repayment, servicers notified them of these same benefits.

By March 2020, FSA was monitoring key milestones daily, including operational reporting from vendors, web analytics, and complaint and social media tracking covering areas such as vendor operations, customer listening, call volumes, answer times, number of calls dropped, and abandonment rates, among others. This provided FSA leadership with insight into areas needing improvement and informed decision-making on various operational issues.

COVID-19. FSA issued a series of regularly updated [guidance](#), beginning in March 2020, to help its customers, including, students, parents, and institutions of higher education, navigate the effects of the COVID-19 pandemic.

Performance Measures

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



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	77 seconds	66 seconds	139 seconds	59 seconds	≤60 seconds	≤60 seconds

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

Data Source: Federal servicers' quarterly reports.

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



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



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	3.8%	3.9%	6.5%	3.6%	≤2.0%	≤2.0%

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

Data Source: Federal servicers' quarterly reports.

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

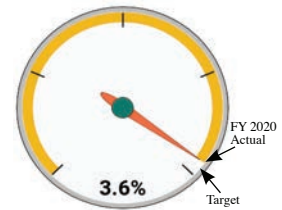


Table 2.4.C. American Consumer Satisfaction Index (ACSI) Surveys.



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	70	71	70	73.5	73	74

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

Data Source: ACSI.

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



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



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
N/A	N/A	N/A	N/A	1,226,234	1,657,608	1,300,000	1,400,000

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

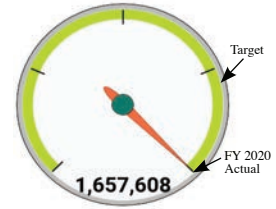


Table 2.4.E. Number of customers checking loan balances via the myStudentAid mobile app.



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
N/A	N/A	N/A	N/A	65,718	133,417	70,000	1,500,000

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



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



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	—	0	2,201,000	2,505,293	2,400,000	2,600,000

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

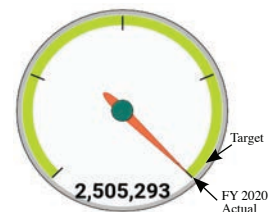


Table 2.4.G. Number of visits (sessions) demonstrating adoption of the updated StudentAid.gov site.



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	—	44,500,000	183,700,000	217,299,306	190,000,000	210,000,000

Note: Data are not available prior to fiscal year (FY) 2018.
Data Source: Federal Student Aid’s online platform analytics.
FY 2020 Period of Performance: October 2019 through September 2020.

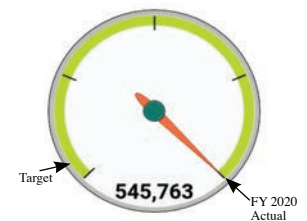


Table 2.4.H. Number of users of “Aidan,” the StudentAid.gov virtual assistant (new).



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
N/A	N/A	N/A	N/A	N/A	545,763	25,000	500,000

Notes: (1) This is a new measure for fiscal year (FY) 2020. (2) Data are not available for prior to FY 2020.
Data Source: Federal Student Aid’s online platform analytics.
FY 2020 Period of Performance: October 2019 through September 2020.



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.



OBJECTIVE LEADER:

Chief Operating Officer for Federal Student Aid

Overview

In fiscal year 2020, 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, support for retention, loan repayment options, and borrower benefits.

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

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

FY 2020 Performance Summary and Analysis

There are five performance measures for this strategic objective, all of which not only

met but exceeded their annual metric targets this year. The *Coronavirus Aid, Relief, and Economic Security (CARES) Act*, legislation enacted to combat the devastation of the COVID-19 pandemic, may have had a beneficial effect on performance for two of these measures (2.5.A and 2.5.B) since the act gave federal student loan borrowers an extended forbearance period in which they did not have to repay their federal student loans. Consequently, after the CARES Act went into effect on March 27, 2020, the percentage of student loan delinquencies improved significantly and, with it, the performance on both measures.

The Department's Federal Student Aid (FSA) also met, and exceeded, all targets for the three new performance measures that were added at the mid-point this fiscal year to gauge performance in meeting new duties required by the CARES Act. These measures gauge the percentage of eligible borrowers placed on a 0 percent interest rate (2.5.C), the percentage of involuntary payments refunded (2.5.D), and the percentage of initial borrower notifications completed (2.5.E).

The Department had planned to introduce a new performance measure in Quarter 4 of fiscal year (FY) 2020 to assess the percentage of initial repayment notifications made to borrowers on or after August 1, 2020. However, since an Executive Order from President Trump extended the forbearance period from September 30, 2020, to January 31, 2021, the Department will delay introduction of this performance measure to FY 2021.

Key Successes and Opportunities

Delinquent Student Loan Borrowers. Even before the enactment of the CARES Act in March 2020, the Department was performing better than its annual targets for both performance measures that assess the rates of delinquency in repayment of federal student loans (2.5.A and 2.5.B). For example, performance in every quarter in FY 2020 bested the annual target. Further, despite the forbearance allowed by the act, approximately 300,000 borrowers have opted out of the forbearance and have continued to pay.

New Measures to Assess Implementation of the CARES Act. Following the passage of the CARES Act in March 2020, the Department began reducing the interest rate for all federally held student loan borrowers to 0 percent (2.5.C). The result was that in FY 2020, 99.49 percent of

such borrowers had their loans reduced to 0 percent interest; the remaining loans of such borrowers were newly disbursed loans that entered the systems at the statutorily required rates and were immediately adjusted down to 0 percent for the duration of the CARES Act suspension period (which was originally scheduled to end on September 30, 2020, and was extended by Executive Order to December 31, 2020). The Department automatically also placed all borrowers in administrative forbearance status, which allowed them to temporarily stop making monthly loan payments. Once the payment suspension period ends, all non-defaulted borrowers in the federal student loan portfolio will be in a current repayment status.

FSA has refunded more than 99 percent of payments made by borrowers with defaulted loans who are subject to having certain Department of Treasury offsets or wages garnished (2.5.D), and it notified a few small businesses that continued to garnish wages against FSA directions. FSA worked with its loan servicers to ensure all eligible borrowers received personalized communications informing them of the benefits afforded to them under the CARES Act (e.g., suspension of interest and suspension of payments (2.5.E)). As new borrowers received student loans and entered repayment, servicers notified them of these same benefits.

Performance Measures

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



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
21.4%	19.0%	18.4%	17.2%	16.6%	7.6%	16.6%	17.10%

Data Source: Federal Student Aid's data warehouse.
 FY 2020 Period of Performance: October 2019 through September 2020.

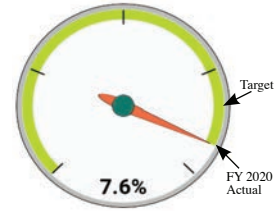


Table 2.5.B. Percentage of borrowers who are more than 90 days delinquent.



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
13.0%	11.2%	10.9%	10.1%	9.8%	4.8%	9.8%	10.1%

Data Source: Federal Student Aid's data warehouse.
 FY 2020 Period of Performance: October 2019 through September 2020.

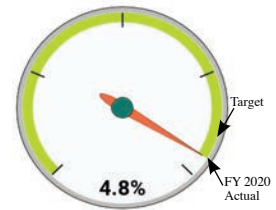


Table 2.5.C. Percentage of eligible borrowers placed on a 0 percent interest rate (new).



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
N/A	N/A	N/A	N/A	N/A	99.49%	98%	N/A

Notes: (1) This is a new measure for fiscal year (FY) 2020 developed as part of the *Coronavirus Aid, Relief, and Economic Security Act* activities. (2) This measure has been discontinued after the FY 2020 period of performance.

Data Source: Federal Student Aid's National Student Loan Data System®.
 FY 2020 Period of Performance: March 2020 through September 30, 2020.



Table 2.5.D. Percentage of involuntary payments refunded (new).



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
N/A	N/A	N/A	N/A	N/A	99.25%	98%	N/A

Notes: (1) This is a new measure for fiscal year (FY) 2020 developed as part of the *Coronavirus Aid, Relief, and Economic Security Act* activities. (2) This measure has been discontinued after the FY 2020 period of performance.

Data Source: Federal Student Aid's Debt Management and Collection System.

FY 2020 Period of Performance: March 2020 through September 30, 2020.



Table 2.5.E. Percentage of initial borrow notifications completed (new).



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
N/A	N/A	N/A	N/A	N/A	99.50%	98%	N/A

Notes: (1) This is a new measure for fiscal year (FY) 2020 developed as part of the *Coronavirus Aid, Relief, and Economic Security Act* activities. (2) This measure has been discontinued after the FY 2020 period of performance.

Data Source: Federal Student Aid's loan servicers.

FY 2020 Period of Performance: March 2020 through June 2020.





Strategic Goal 3

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

Goal 3 Spotlight



In fiscal year (FY) 2020, the Department continued to make significant progress in executing a comprehensive federal data management strategy and remains a federal agency forerunner in implementing the *Foundations for Evidence-Based Policymaking Act's* (*Evidence Act's*) requirements on agency data governance and management, ensuring privacy protections, and expanding public awareness about and access to the data assets of the Department.

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.

In November 2019, the Department established an agency-level Data Governance Board (DGB), chaired by the Chief Data Officer, with participation from senior-level staff from each of the Department's principal offices, and began the process for the timely development of a formalized data strategy. DGB sponsors agency-wide actions to develop an open-data culture and works to improve the Department's capacity to leverage data as a strategic asset for evidence building and operational decisions, including developing the data skills of staff throughout the agency.

In accordance with the Federal Data Strategy's 2020 Action Plan and the Office of Management and Budget's (OMB's) guidance on the *Evidence Act*, in spring 2020, DGB conducted an agency-wide data maturity assessment. As existing data maturity models did not completely account for the Department's context, DGB created a hybrid data maturity model. DGB improved on the initial assessment through a pilot and then conducted facilitated assessments. In addition to an assessment of the agency overall, the assessment was conducted within each principal operating component (POC). The assessment analyzed all aspects of agency policies, procedures, and operations related to data and data infrastructure, including data governance, data management, data culture, data systems and tools, data quality, data analytics, staff skills and capacity, resource capacity, and compliance with law and policy. The Department was one of the first agencies to complete its data maturity assessment, which was conducted in a fully virtual environment

due to COVID-19. The results will provide the baseline for the Department and POCs to measure progress and growth in FY 2021, be used to guide the creation of the agency’s inaugural data strategy, inform principal office investment decisions, and provide agency leadership with the ability to track year-over-year return on those investments.

The 2020 Action Plan also directed agencies to identify opportunities to increase staff data skills, beginning with an assessment of staff data literacy and data competencies. In July 2020, the Office of the Chief Data Officer partnered with the Institute of Education Sciences to launch the Department’s first-ever Data and Evidence Use Survey in accordance with these OMB requirements. Notably, the federal Chief Data Officers Council asked the Department to present its survey to chief data officers from among its member agencies, resulting in requests for additional information to support their own assessments from the U.S. Departments of Health and Human Services, Commerce, and Labor as well as the U.S. Air Force.

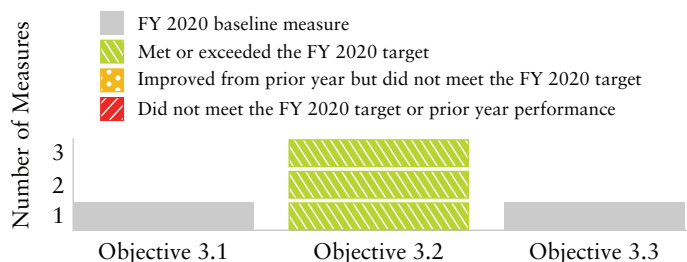
The Department intends to make several advancements in FY 2021 and beyond, including strengthening data governance within the agency to ensure, among other

things, data investments are made strategically and efficiently to improve operations and evidence building. It also includes a continued and expanded focus on the protection of financial and personally identifiable student information, including data maintained by postsecondary institutions across the country. To be more responsive to grantees, the public, and other stakeholders, the Department must also make enhancements to its own data infrastructure and legacy systems, such as those used for grants management (known as G5) and *Freedom of Information Act* requests. System enhancements such as these also improve data accessibility so that, when combined with a more analytically skilled workforce, the agency is better equipped to strategically use its data to improve student outcomes.

The following pages discuss the Department’s major accomplishments of the past fiscal year—October 1, 2019, through September 30, 2020—to achieve Goal 3 and its three underlying strategic objectives. These accomplishments illustrate the progress made over this past fiscal year in improving the quality, accessibility, and public use of the Department’s data assets.

Performance Measure Overview

In fiscal year (FY) 2020, the Department had five measures for this goal. Of these five measures, three met or exceeded the established targets, while two measures did not have an established target and were baselined in FY 2020.





Goal 3 Discretionary Resources

The following table shows examples of select major discretionary programs and activities supporting Goal 3.

Major Discretionary Programs and Activities Supporting Goal 3 in Thousands

POC	ACCT	Objective	Program	FY 2020 Appropriation
IES	IES	3.3	Research, Development, and Dissemination	\$195,877
IES	IES	3.1, 3.2, 3.3	Statistics	\$110,500
IES	IES	3.1, 3.2, 3.3	National Assessment	\$153,000
Other	N/A	N/A	All Other Programs	\$97,245

Note:

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

Acronyms and Definitions:

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

Strategic Objective 3.1

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



OBJECTIVE LEADER:

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

Overview

This strategic objective focuses primarily on opportunities to 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.

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

FY 2020 Performance Summary and Analysis

There is only one measure 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. The initial data maturity assessment was completed, and the measure was successfully baselined in fiscal year (FY) 2020, which now provides a basis for establishing targets for future years. The target for FY 2021 will be 25 percent of principal offices assessed as having higher data maturity (compared to the baseline established in FY 2020) based on the Department’s data maturity assessment tool.

Of note, in FY 2020, for this strategic objective, the Department substantially revised its performance measures by retiring two previous performance measures and successfully baselining a new performance measure. These changes were prompted by the *Foundations for Evidence-Based Policymaking Act of 2018*.

Key Successes and Opportunities

Enhancing Data Governance. The Office of the Chief Data Officer (OCDO) completed “discovery” interviews with office leaders and front-line data staff throughout the Department to identify agency and

office data challenges. These were then shared with the Department’s Data Governance Board (DGB). The three categories with the most identified challenges were data access and availability, data governance, and coordination and planning. OCDO and DGB will prioritize challenges, identify potential solutions, and collaborate in implementing those solutions as both individual efforts and in concert with the Department’s Data Strategy.

DGB continues to meet regularly to inform the development of the Department’s Data Strategy based on the “discovery” interviews and the data maturity assessment. DGB approved a hybrid Data Maturity Assessment Model based on two existing assessments used by industry and national governments. To support this effort, it conducted a pilot with two of the Department’s offices prior to Department-wide implementation.

In FY 2020, DGB executed a process to develop the Department’s data strategy to realize the full potential of data to improve education outcomes. This Department-wide effort included agency-wide discussions about data priorities that will help improve data maturity and focus on the Department’s capabilities to leverage data, operationalize and optimize data governance, and drive cultural change for the benefit of all stakeholders. DGB identified the following four goal areas to guide data modernization: (1) strengthening agency-wide data governance; (2) building human capacity to leverage data; (3) advancing the strategic use of data; and (4) improving data access, transparency, and privacy.

Enhancing Data Culture Within the Department. Every principal office in the Department completed a data maturity assessment covering 7 categories and 18 process areas. In addition to individual principal office assessments, the Department also conducted an assessment looking across the entire agency. The assessments will provide baseline data to establish annual targets for FY 2021 and future years to measure agency and principal office data maturity improvements.

The Data Strategy Team (DST) continued to meet monthly to discuss existing efforts and available tools to broaden staff awareness and knowledge of data and data uses across the Department. Through DST meetings, principal operating component (POC) representatives were able to review the new Federal Student Aid Unified Data Platform and learn about the benefits of such a platform for data management and access, hear how Department staff are using specific software tools in the use and management of collected data, and discuss efforts to make data and data documentation more accessible internally across offices and publicly.

OCDO and the Institute of Education Sciences’ National Center for Educational Evaluation administered the Data and Evidence Use Survey to respond to requirements of the *Foundations for Evidence-Based Policymaking Act of 2018* and the Federal Data Strategy. The results will be used to target staff training to improve data literacy and the capacity to use evidence.

Enhancing Data Collection and Use With Stakeholders. OCDO launched a partnership with Budget Service, the Grants Policy Office, and the Office of Acquisition and Grants Administration to improve the quality and use of *Government and Performance Results Act* measures. As part of this initiative, OCDO supported the Office of Elementary and Secondary Education (OESE) and the Office of Special Education and Rehabilitative Services in the development of new and updated measures for grant programs. Additionally, the Department launched a new annual performance reporting tool in FY 2020 for OESE formula grantees, providing an online system for grantees to submit responses and review data in a user-friendly format. The tool sought to reduce reporting burden

and improve data quality by using data previously submitted to ED*Facts* to pre-fill responses and match the format needed for the performance indicators. The new reporting tool meets current security standards and addresses usability issues identified with prior tools.

Additionally, the Office of Career, Technical, and Adult Education completed state-level data collection and validation guides for both Perkins V and adult education data. The guides include annual timelines and step-by-step descriptions of the data collection processes, and they serve as documentation of existing protocols, help identify parts of the process that could use improvement, and aid in internal succession planning.

Performance Measures

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 (new).

B

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

Notes: (1) This is a new measure for fiscal year (FY) 2020. (2) No data are available prior to FY 2020. (3) The Department successfully baselined in FY 2020, which will serve as the foundation for future years' assessments.

Data Source: The Department's Annual Data Maturity Assessment.

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

Strategic Objective 3.2

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



OBJECTIVE LEADER:
Chief Information Officer

Overview

The Department is committed to protecting student privacy. While education data can be used to inform and drive transformative efforts, the vast amount and sensitivity of these data make it imperative that the Department and the education institutions that maintain student data take steps to adequately protect it. This strategic objective focuses on improving student privacy protections through the administration of the *Family Educational Rights and Privacy Act*, developing and disseminating privacy and security training, and making technical assistance available to states, districts, and institutions of higher education (IHEs). This strategic objective also focuses on 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 (OPEPD); OPEPD's Student Privacy Policy Office and its Office of the Chief Data Officer; Federal Student Aid; the Institute of Education Sciences; and the Office of the General Counsel.

FY 2020 Performance Summary and Analysis

There are three performance measures for this strategic objective, all of which met their annual metric targets.

Two of the performance measures (3.2.A and 3.2.B) assess aspects of the Department's efforts to improve cybersecurity at institutions of higher education (IHEs). More specifically, 3.2.A gauges the number of IHEs that have an audit of *Gramm-Leach-Bliley Act* (GLBA)-related information security safeguards which result in no significant findings. In the two years prior to fiscal year (FY) 2020, there was no performance on this measure, and the Department designated it as a "Focus Area for Improvement," consistent with legal guidelines for federal agencies issued by the Office of Management and Budget (OMB). This year, performance significantly exceeded the annual target, aided by OMB's issuance of guidelines in July 2019 to assist auditors in conducting the audits. The Department has not determined that each audit reported for this measure included a specific review of the cybersecurity protocols associated with the GLBA, but the Department is taking steps

to ensure that audits reported with no GLBA findings actually review for GLBA issues. The other cybersecurity-related measure, 3.2.B, gauges the number of outreach activities targeting data privacy and information technology (IT) security requirements of IHEs. The number of such activities in FY 2020 (56) was more than double the annual target.

The third performance measure in this strategic objective (3.2.C) assesses the Department's progress in reviewing the websites of local school districts to see if they include transparency best practices and comply with legal requirements relating to third-party contracting.

The Department established an Agency Priority Goal (APG) for FY 2020 and FY 2021 to improve student privacy and cybersecurity at IHEs through outreach and compliance efforts. The Department aims to participate in 12 engagements with sector-related non-governmental organizations to inform the development of five best practice programmatic improvements. In FY 2020, the Department exceeded the targets for both of the key indicators supporting this APG, and the FY 2020 milestones are completed or in progress. Information on the quarterly progress of APGs is available on [Performance.Gov](#).

Key Successes and Opportunities
Improving Cybersecurity Issues at Institutions of Higher Education. The Department's efforts to improve cybersecurity issues at IHEs was wide-ranging. It collaborated with IHEs to respond to 318 cybersecurity incidents, provide

technical assistance to remediate problems, and improve overall cybersecurity postures. In addition, Federal Student Aid's (FSA's) postsecondary cybersecurity team updated the way it operates so that it could provide IHEs with immediate feedback when they submit a breach report or request for help. The team's new process provides immediate acknowledgment that the Department has received the IHE's report, and it gives periodic communications of the status of the case with the frequency of these communications responsive to the criticality of the report (e.g., each day, week, or month). The team also lets IHEs know of the Department's final disposition of their report.

Over the course of the year, the Department also participated in meetings with education associations and groups in the higher education community to discuss their cybersecurity obligations if they participate in Title IV federal financial aid programs, which most colleges do. For example, the Department held outreach conference calls with three IHEs to work through specific threat intelligence information from possible account compromises. Additionally, the Department has conducted calls with numerous higher education associations and IHEs representing all sectors. The Department worked collaboratively with the Office of Inspector General's Technology Crimes Division to reach out to 465 IHEs that may have been potentially at risk due to a list of 2,511 compromised accounts that were provided through external law enforcement channels.

In March 2020, the Student Privacy Policy Office (SPPO) provided technical assistance to the Data Governance Council of the

Southern Regional Education Board, which works with 16 member states. While additional conferences scheduled for March were canceled due to COVID-19, through its Privacy Technical Assistance Center (PTAC), SPPO conducted two virtual training activities that included IHEs as part of the target audience: one of these activities was an event on responding to a data breach, and the second focused on the use of educational applications/educational technology.

Protecting Student Privacy and Information at K–12 Schools. SPPO continued reviewing local educational agency (LEA) websites for transparency of information about student privacy (e.g., inclusion of the annual *Family Education Rights and Privacy Act* (FERPA) notice and directory information). By the end of FY 2020, SPPO reviewed 60 percent of the 1,504 LEA websites in a nationally representative sample, putting the office on track to complete its four-year plan of reviewing all of the sample websites. At the conclusion of the review of each LEA website, SPPO issues a notification letter to the LEA that includes technical assistance on implementing better transparency practices, such as improving its website accessibility for FERPA annual notifications and directory policies. In addition, over the latter half of FY 2020, SPPO began delivering virtual comprehensive technical assistance activities to targeted subsets of LEAs based on data gleaned from the FY 2019 reviews. Future activities will be coordinated following the completion of the FY 2020 report during Quarter 1 of FY 2021.

COVID-19. The Department participated in three campus cybersecurity meetings with EDUCAUSE, a nonprofit association

and the largest community of technology, academic, industry, and campus leaders advancing higher education through the use of IT. Discussions included the notice on [Information for Financial Aid Professionals](#) regarding GLBA and COVID-19-related responses from IHEs. Other GLBA outreach and associated IHE-focused activities were put on hold to minimize burdens on IHEs trying to operate under COVID-19. FSA’s cybersecurity team is preparing notification and corrective action requests for distribution to non-compliant IHEs once pandemic restrictions are lifted.

Beginning in March 2020, SPPO’s privacy help desk received a sharp increase in the number of technical assistance inquiries, likely due to increases in virtual learning because of COVID-19. Accordingly, prior to the end of March, SPPO conducted a presentation, “[FERPA and Virtual Learning During COVID-19](#).” As a follow-up to that presentation, SPPO issued the [FERPA and the Coronavirus Disease 2019 \(COVID-19\)](#) frequently asked questions document and a resource listing on [FERPA and virtual learning](#). Throughout FY 2020, SPPO, supported by PTAC, was able to process more than 3,000 requests for informal technical assistance with an average response time of 5.31 days while maintaining the primary focus and allocation of resources on complaint operations. Finally, in September 2020, SPPO issued a post on the Department’s blog entitled, “[May Schools Disclose Information about Cases of COVID-19?](#),” to provide a plain-language explanation for schools and districts regarding the appropriateness of releasing information about COVID-19 cases to the public and the education community.

Performance Measures

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 (new).



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
N/A	N/A	N/A	N/A	N/A	1,541	77	154

Notes: (1) This is a new measure for fiscal year (FY) 2020. (2) No data are available prior to FY 2020.

Data Source: IHE-provided auditor reports.

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

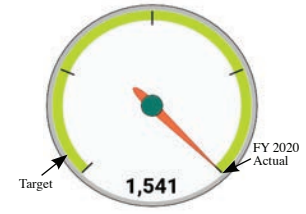


Table 3.2.B. Number of outreach activities targeting data privacy and information technology security requirements of institutions of higher education.



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	12	63	40	56	20	20

Note: No data are available prior to fiscal year (FY) 2017.

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

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



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

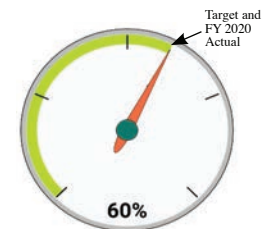


2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
N/A	N/A	N/A	N/A	35%	60%	60%	85%

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

Data Source: Selected LEA public websites.

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



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.



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 support this strategic objective, including the Institute of Education Sciences; the Office of Planning, Evaluation, and Policy Development (OPEPD); OPEPD's Office of the Chief Data Officer and its Office of Educational Technology; the Office for Civil Rights; and the Office of Special Education and Rehabilitative Services.

FY 2020 Performance Summary and Analysis

There is only one performance measure for this strategic objective in fiscal

year (FY) 2020, 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. This measure baselined in FY 2020 and recorded a fiscal year-end result of 487. In FY 2021, the annual target will be set at a 15 percent increase from this baseline.

Of note, the Department substantially revised its performance measures for this strategic objective this fiscal year. In FY 2019, this strategic objective had four performance measures, including what is now 3.3.A. The Department retired the three other performance measures in FY 2019, in part because the requirements of the *Foundations for Evidence-Based Policymaking Act of 2018* subsumed some of the measures that had been tracked.

Key Successes and Opportunities

Making Data Available to the Education Community. One of the most important, and expansive, ways the Department can make its vast store of data available to students, parents, schools, colleges, and others, such

as researchers in the education community, is by cataloging all of its data and putting the most useful data in one central, publicly accessible place. The Office of the Chief Data Officer (OCDO) completed the initial round of populating the Department’s new [Open Data Platform](#) after program offices verified data accuracy and updated metadata.

Data published on the platform are organized by category, such as special education, K–12, student demographics, safety/bullying, and suspension/discipline. Data profiles included on the platform include award information for select Department grant programs, budgets for a range of Department programs, *Freedom of Information Act* annual reports, and information on upcoming Department contracts. To help users navigate the platform, OCDO provided technical assistance and developed user tools, including access forms, user guides, and presentations.

Another Department website, [ED Data Express](#), features more targeted data. Specifically, it includes participation and performance data on select formula grant programs in the *Elementary and Secondary Education Act of 1965* for school year (SY) 2010–2011 to SY 2017–2018. These programs are Title I, Part A; Title I, Part C; Title I, Part D; Title III; and the *McKinney-Vento*. In the past fiscal year, the Office of Elementary and Secondary Education continued to expand the website by releasing more than 300 state- and district-level datasets.

In FY 2020, the Department updated its [College Scorecard website](#), which allows

users to research information on alternative pathways to careers and, if they are considering college, find information about colleges based on cost of attendance, graduation rates, and the salary ranges of graduates. The website was enhanced by adding new functionality that allows users to search and compare individual fields of study. Additionally, the National Center for Education Statistics (NCES) worked with the U.S. Department of Labor’s Bureau of Labor Statistics to release an [updated crosswalk](#) between the Classification of Instructional Programs and the Standard Occupational Codes.

NCES worked with the Census Bureau to develop education-related items for the

“ For the first time, students will be able to find data on debt and potential earnings by field of study. For example, if a student wants to study psychology, he can see what other graduates in the field are earning and how much debt they took on to earn that degree from different institutions. And for the first time, College Scorecard offers information on all types of higher education options including traditional degrees, two-year programs, certificates, apprenticeships, and even some graduate programs.”

*U.S. Secretary of Education
Betsy DeVos*

Census Household Pulse survey. The Pulse survey has been used to collect information on the impacts of the COVID-19 pandemic on household experiences. The education items on the Pulse survey include data on the method and availability of home internet access for K–12 educational use, information on the presence and source of computers for K–12 education use, and information on changes to postsecondary students’ fall 2020 enrollment plans.

Finally, to assist policymakers and the public with gaining access to a popular topic of interest during the COVID-19 pandemic, NCES updated its [School District Demographic Dashboard](#) by adding an indicator for the percentage of households with broadband internet access. The updated dashboard provides users with the ability to look at Census Bureau data on economic and demographic indicators for any public school district in the country. NCES also added 12 new geo-enabled web services with application programming interfaces that provide hundreds of indicators about school districts’ social, economic, housing, and demographic conditions.

Federal Recognition for the Department’s Work in Data. As required by the *Foundations for Evidence-Based Policymaking Act of 2018*, the White House established an

[Advisory Committee on Data for Evidence Building](#). The committee aims to review, analyze, and make recommendations on how to promote the use of federal data for evidence building. The Department’s Chief Data Officer and Evaluation Officer were both selected to serve on the committee.

COVID-19. [EDFacts](#) worked with grant-making offices to evaluate the SY 2019–2020 data impact of the COVID-19 pandemic. It also evaluated the technical impact of unplanned remote work for EDFacts data stewards. As a result, the Department revised its Information Collection Request package for clearance with the Office of Management and Budget to reflect waiver decisions, and it offered flexibility in data processing for late data submissions in certain instances. Similarly, the Office for Civil Rights (OCR) monitored how COVID-19 impacted its own data collection, the Civil Rights Data Collection (CRDC). Due to the effect the COVID-19 pandemic has had on state educational agencies, local educational agencies (LEAs), and schools, and in response to the numerous inquiries received from LEAs and the input received from several pertinent stakeholders, OCR proposed shifting the collection of the CRDC by one year, from the 2019–2020 academic year to the 2020–2021 academic year.

Performance Measures

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 (new).

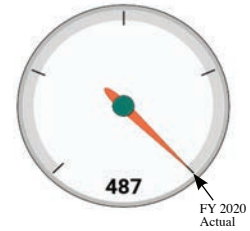
B

2015	2016	2017	2018	2019	2020	2021
Actual					Actual	Target
—	—	—	—	—	487	560

Notes: (1) This is a new measure for fiscal year (FY) 2020. (2) No data are available prior to FY 2020.

Data Source: The Department’s comprehensive data inventory.

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





Strategic Goal 4

Reform the effectiveness, efficiency and accountability of the Department.

Goal 4 Spotlight



Making grants that promote student success across the continuum of lifelong learning is one of the central ways the Department executes its mission. With a grant portfolio of approximately

14,000 awards totaling more than \$45 billion per year, this Administration has prioritized common-sense solutions to improve the efficiency and effectiveness of grants management. These improvements are essential to help address the broader national challenges with stagnant student outcomes.

Compared to a decade ago, scores from the 2019 National Assessment of Educational Progress mathematics and reading assessments for students in grades 4 and 8 were unchanged or lower for lower-performing students at the 10th and 25th percentiles in both subjects. For too many students, scores continue to decline. The 2019 scores for students in grade 12 decreased in mathematics and reading for lower-performing students compared to 2015. Despite the more than \$1 trillion in taxpayer spending at the federal level alone over the last 40 years, the gaps between higher- and lower-performing students appear to be widening.

The Department is addressing this problem by restoring power to those closest to students and to students themselves. In fiscal year (FY) 2020, numerous grant competitions contained key policy priorities, including priorities for education freedom (9 percent); Qualified Opportunity Zones (13 percent); science, technology, engineering, and mathematics (STEM) (11 percent); rural areas (7 percent); and new potential grantees (10 percent). In addition, the Department reduced barriers to participation in its programs by disseminating tools to help new applicants apply for grants while also reducing application rejections based on technicalities.

The Department's focus on administrative improvements also enabled it to respond swiftly to the COVID-19

GOAL LEADER:

Acting Assistant Secretary,
Office of Finance and Operations

GOAL 4 OBJECTIVES:

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

pandemic, which brought unprecedented disruption to education instruction nationwide. Following enactment of the *Coronavirus Aid, Relief, and Economic Security Act*, the Department quickly developed grant application and certification documents, communicated information about the varying grant opportunities, implemented appropriate electronic processing tools and the programming of such tools, and redeployed staff who were in the midst of regular grant-making activities. In a matter of weeks, the Department successfully awarded more than \$30 billion to approximately 5,000 institutions of higher education, governors, and state educational agencies, with most funds distributed to school districts.

Embedded in this work were the resolution of legal issues and the making of complex policy judgments. Department staff implemented rigorous quality control processes to move money as quickly as possible into the hands of qualified grantees while

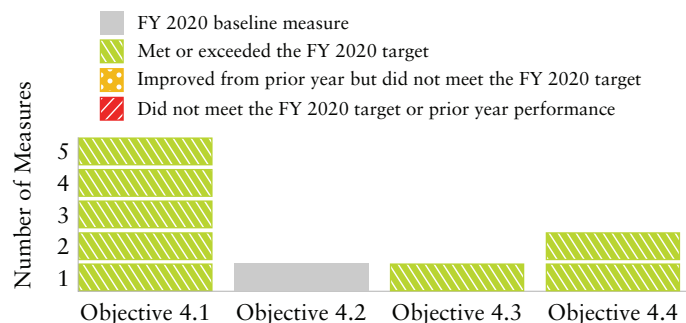
ensuring proper accountability so that the risk of waste, fraud, and abuse was as low as possible.

During this unprecedented year, Department staff demonstrated exemplary teamwork and critical leadership in support of state and school administrators. The Department implemented and continues to update grant policy and guidance to provide the necessary flexibilities, administrative relief, and support for grant applicants and recipients. The Department’s ongoing efforts are focused on ensuring American students receive the education and support needed to be successful.

The following pages discuss the Department’s major accomplishments of the past fiscal year—October 1, 2019, through September 30, 2020—to achieve Goal 4 and its four underlying strategic objectives. These accomplishments illustrate the progress made over this past fiscal year in improving the effectiveness, efficiency, and accountability of the Department.

Performance Measure Overview

In fiscal year (FY) 2020, the Department had nine measures for this goal. Of these nine measures, eight met or exceeded the established metric targets, and one measure did not have an established target and is baselined in FY 2020 or later.





Goal 4 Discretionary Resources

The following table shows examples of select major discretionary programs and activities supporting Goal 4.

Major Discretionary Programs and Activities Supporting Goal 4 in Thousands

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

Note:

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

Acronyms and Definitions:

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

Strategic Objective 4.1



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

OBJECTIVE LEADER:

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

Overview

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

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

FY 2020 Performance Summary and Analysis

The five performance measures for this strategic objective met their annual metric targets despite the significant additional work required to meet the challenges of responding to the COVID-19 pandemic (4.1.A, 4.1.B, 4.1.C, 4.1.D, and 4.1.F). During the COVID-19 pandemic (March 2020 through September 30, 2020), the Department continued to identify new deregulatory actions in addition to the ones that it had already been planning.

All performance measures in this strategic objective involve aspects of Department

regulatory and deregulatory work. Such efforts in the past year produced a cost savings estimated at –\$113.5 million (annualized) and –\$1.622 billion (present value), both over a perpetual time horizon. The present value reflects cost savings over the entirety of the action taken. The reduction in cost savings from the previous year is reflective of the work the Department has done in the past to reduce costs. Given the directive at the beginning of the Administration to reduce costs, the Department did so as expeditiously as possible, resulting in greater cost savings in the earlier years of the Administration.

The Department established an Agency Priority Goal (APG) for FY 2020 and FY 2021 to provide regulatory relief to education stakeholders as necessary and appropriate by taking no fewer than eight deregulatory actions, which includes reduction in paperwork burden. The Department exceeded targeted performance for all key indicators supporting this APG and completed the three milestones scheduled for FY 2020. Information on the quarterly progress of APGs is available on [Performance.Gov](https://www.performance.gov).

Key Successes and Opportunities

Achieving Major Regulatory and Deregulatory Actions. In May 2020, the Department achieved one of its most significant regulatory actions in the past four years with the publication of the final [Title IX regulations](#) in the *Federal Register*. Title IX of the *Education Amendments of 1972* prohibits discrimination on the basis of sex in education programs or activities receiving federal financial assistance; the amended regulations revamped decades of varying interpretations of the statute.

For the first time ever, the Title IX regulations define sexual harassment, including sexual assault, as unlawful sex discrimination. They also hold schools and institutions of higher education (IHEs) accountable for failure to respond equitably and promptly to sexual misconduct incidents and ensures a more reliable adjudication process that is fair to all students. Addressing these issues had become one of Secretary DeVos' primary interests shortly after taking the helm of the Department in February 2017.

Adoption of the new regulations came after years of wide-ranging research, careful deliberation, and critical input from survivors, advocates, falsely accused students, school administrators, Title IX coordinators, and the public. In all, the Department received more than 124,000 public comments in response to the notice of proposed rulemaking. In coordination with the publication of the regulations, and to assist in understanding the changes, the Department, through its Office for Civil Rights, also released a [package of materials](#), including

a webinar, an overview of the Final Rule, and fact sheets.

“ Every student should know that their school will be held accountable for responding to incidents of sexual misconduct and that it must treat all students fairly. This rule, as courts have recently noted, restores balance to the scales of justice in our schools, ending one of the most infamous and damaging overreaches of the previous administration.”

*U.S. Secretary of Education
Betsy DeVos*

Another significant action by the Department in the past year was the publication of [final regulations](#) for [ensuring student access to high-quality and innovative post-secondary educational programs](#) (*Distance Education and Innovation*). Crafted by a diverse group of experts during the Department's FY 2019 negotiated rulemaking, the regulations were forged by historic rulemaking consensus to enhance educational quality and reduce barriers to innovation while maintaining safeguards to limit the risks to students and taxpayers. Through this final rule, the Department amended the general establishing eligibility, maintaining eligibility, and losing eligibility sections of the *Institutional Eligibility* regulations issued under the *Higher Education Act of 1965*, as

amended, related to distance education and innovation.

While work on the *Distance Education and Innovation* regulations started more than one year ago, the COVID-19 national emergency underscores the need for students to have access to high-quality remote learning options.

Regulatory Reform Task Force. The work of the Department in producing these regulatory actions is helmed by its Regulatory Reform Task Force. In the past fiscal year, the Department made structural changes and improvements to the task force. Following a change in structure, the task force now consists of two groups with different roles: a working group (which will be the initial vetting unit for regulatory and deregulatory actions as well as modifications or rescissions of important guidance) and a leadership council (to which the working group will present recommendations for decision-making).

The task force working group played a pivotal role in the implementation of Executive Order 13891, *Promoting the Rule of Law Through Improved Agency Guidance Documents*. Under the working group's direction, each principal operating component in the Department completed an inventory of its guidance to determine which documents should be rescinded as well as to make sure that all active guidance documents that are posted to the Department's guidance portal are well-organized and are easily accessible to the public. Due to the task force's work, the Department [published a notice](#) in the *Federal Register*

on August 31, 2020, rescinding more than 1,300 outdated guidance documents.

The Department published its interim final rule on [Rulemaking and Guidance Procedures \(85 FR 62597\)](#). This rule, promulgated in part to implement Executive Order 13891, sets forth the processes the Department will follow when engaging in rulemaking or issuing guidance. The rule requires the Regulatory Reform Task Force's involvement in these actions.

Issuing Sub-regulatory Actions. The Department's Office of Special Education and Rehabilitative Services (OSERS) had significant sub-regulatory achievements. In October 2019, it issued a [policy statement and frequently asked questions \(FAQs\)](#) granting prior approval for two direct cost categories: participant support costs and equipment. This prior approval meant that grantees no longer needed to submit separate individual requests for prior approval for the costs described in the FAQs. In February 2020, OSERS issued and sought comment on an [interpretation](#) to clarify current policy and announce a change in policy regarding the use of federal vocational rehabilitation (VR) funds reserved for pre-employment transition services. The policy change explained the circumstances in which federal VR grant funds may be used to pay for additional VR services needed by eligible students with disabilities to participate in pre-employment transition services.

COVID-19. The COVID-19 pandemic, and the resulting government-wide effort to prioritize getting emergency assistance

to states and local communities, presented challenges to the Department's planned regulatory agenda. Resources that would have been devoted to rulemaking and deregulatory efforts were significantly diverted toward disseminating more than \$30 billion allocated under the *Coronavirus Aid, Relief, and Economic Security Act* to states, students, IHEs, and other entities. For instance, regulatory items, such as the Impact Aid and Indian Education Professional Development packages, were developed quickly after the pandemic began and required staff resources that otherwise could have been devoted to previously planned regulatory matters.

The Department also issued two final deregulatory actions to help stakeholders manage the challenges presented by the COVID-19 pandemic.

The first such [deregulatory action](#), published in May 2020, extended the application amendment period for Impact Aid Program applications. Since 1950, the Impact Aid Program has assisted local school districts

that either have lost property tax revenue due to the presence of tax-exempt federal property on their lands or that have experienced increased expenditures due to the enrollment of federally connected children, including children living on Indian lands.

The other [deregulatory action](#), published in June 2020, addressed the pandemic's impact on the Indian Education Professional Development Program, which provides grants to train American Indian individuals to become teachers or administrators in school districts that serve a high proportion of American Indian students. Individuals trained under this program must perform work related to their training that benefits American Indian students in a local educational agency that serves a high proportion of American Indian students or repay all or a prorated part of the assistance received. The deregulatory action issued in June provides additional time (24 months, as opposed to 12 months) for participants to find qualifying employment or complete their work-related payback obligation.

Performance Measures

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



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
N/A	N/A	N/A	6	2	4	3	3

Note: Data are not available prior to fiscal year (FY) 2018.
 Data Source: Department records.
 FY 2020 Period of Performance: October 2019 through September 2020.

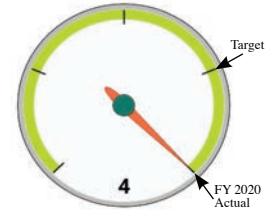


Table 4.1.B. Number of Executive Order 13771 deregulatory actions recommended by the Regulatory Reform Task Force to the agency head consistent with applicable law.



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
N/A	N/A	N/A	44	14	46	3	7

Note: Data are not available prior to fiscal year (FY) 2018.
 Data Source: Department records.
 FY 2020 Period of Performance: October 2019 through September 2020.



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



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
N/A	N/A	N/A	23	18	46	3	7

Note: Data are not available prior to fiscal year (FY) 2018.
 Data Source: Federal Register and <https://www.ed.gov/>.
 FY 2020 Period of Performance: October 2019 through September 2020.



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



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
N/A	N/A	N/A	27	18	49	4	4

Notes: (1) Data are not available prior to fiscal year (FY) 2018. (2) In addition to the deregulatory actions listed in the above table, the Department also issued two regulatory actions in FY 2020.

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

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



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



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
N/A	N/A	N/A	24	16	46	4	7

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

Data Source: [Reginfo.gov](http://reginfo.gov) and emails between the Department and OMB.

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



Strategic Objective 4.2

Identify, assess, monitor and manage enterprise risks.



OBJECTIVE LEADER:

Assistant Secretary for the Office of Finance and Operations

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.

To this end, in fiscal year 2020, the Department established the Office of Enterprise Data Analytics and Risk Management (OEDARM) within the Office of Finance and Operations. OEDARM formally integrates ERM and operational internal controls activities and aims to

provide leadership with actionable insights powered by data analytics.

The newly established office supports a culture of continuous process improvement in which data and awareness of enterprise risk are used to objectively inform strategic and operational decisions and optimize agency performance. Federal Student Aid (FSA) has an established ERM program. OEDARM works directly with FSA's ERM office to coordinate activities and reporting.

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

FY 2020 Performance Summary and Analysis

There is only one performance measure for this strategic objective, 4.2.A, which gauges whether the maturity level of Enterprise Risk Management (ERM) improved. In fiscal year (FY) 2019, the Department met its annual target for this performance measure. However, in FY 2020 in anticipation of joining a federal pilot with the Office of Management and Budget (OMB), which would require the Department to

take a different look at how it approaches assessing ERM maturity, the Department did not quantitatively assess whether the maturity level of its ERM was improving.

In the second half of FY 2020, the Department became a leader in the federal pilot program, and, internally, the Department began a deeper examination of its operations to determine the criteria it would use to assess its ERM program maturity within the pilot guidelines. The Department is expected to complete a baseline assessment in FY 2021.

Key Successes and Opportunities

Developing New Criteria to Assess Enterprise Risk. By definition, ERM means that the Department is taking a comprehensive approach to addressing both internal and external risks by understanding the possible impact such risks could have on the Department, particularly if one risk were to exacerbate the effects of another risk. The Department—along with four other federal agencies—is participating in OMB’s pilot of the Federal ERM Maturity Model. The model consists of the following five functional categories: (1) ERM Program Attributes, (2) Key Practices, (3) ERM Risk Culture, (4) Organizational Benefits, and (5) Executive Engagement. Each category can be scaled up through five levels of maturity.

In the latter half of the fiscal year and continuing into FY 2021, the Department will assess its performance in each of these categories (after determining the criteria to do so), which will then be consolidated to produce a singular maturity score indicating the Department’s overall ERM program maturity.

Improving the Department’s Approach to ERM. In addition to joining the federal pilot and revamping how it will assess whether its risk level is improving, in the past fiscal year, the Department sought to improve its approach to ERM. It established a new ERM Leadership Team within its Office of Enterprise Data Analytics and Risk Management (OEDARM). The team was charged with leading Department-wide efforts to further develop the Department’s ERM Program, with an emphasis on data analytics and internal controls integration. The Department also established and convened an ERM Working Group composed of some of its most senior leaders.

Projects undertaken during the year included integrating ERM with key management processes (e.g., budget formulation, strategic planning, and performance management) to ensure appropriate alignment and accelerate progress toward strategic objectives in an accountable setting. OEDARM also leveraged partnerships with leadership in Federal Student Aid’s (FSA’s) ERM office and with the Department’s Performance Improvement Officer, Office of the Chief Data Officer, and Senior Management Council in order to identify, measure, and assess challenges related to the development of actionable response plans and to ensure objective accountability.

COVID-19. Due to the COVID-19 pandemic, the ERM Leadership Team reviewed all enterprise risks to assess previously identified risk categories and risk responses for appropriate modification in order to ensure the Department has a comprehensive and strategic approach to risk management during a national health emergency or other

crisis that could adversely impact continuity of operations.

Management Challenges

The Department has taken a number of significant steps to address the persistent and evolving challenges documented by the Office of Inspector General (OIG) and has identified opportunities to incorporate ERM practices into strategic initiatives aimed at managing programmatic and operational risk in a coordinated, cohesive manner. Specifically, the Department made progress toward the four areas of risk that continue to pose the most significant challenges, as identified in the [U.S. Department of Education FY 2020 Management Challenges](#) report. This report, issued in November 2019 by OIG, identified the same four areas of risk as a similar FY 2019 report by OIG. The four areas of risk identified include:

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

The Department’s responses to each of the risk areas are described in the following sections.

Management Challenge 1— Improper Payments

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

Most of the assistance that the federal government provides to students comes through

its student loan programs and the Federal Pell Grant Program. Primary causes of improper payments are the Pell Grant and Direct Loan Programs. The Department is addressing this management challenge on several fronts.

The Office of Finance and Operations (OFO)/Office of Financial Management (OFM) continued to perform *Improper Payments Elimination and Recovery Act* compliance activities in FY 2020, including improper payment estimation of programs deemed susceptible to significant improper payments, as well as qualitative and quantitative improper payment risk assessments for programs and activities in scope. The Department reviewed and revised its methodology for the Emergency Impact Aid Program and implemented the revised methodology in FY 2020. Written procedures are in development and due at the end of December 2020. The Department also strengthened its risk assessment process to include an improper payment threshold analysis of all its programs and activities.

In September 2020, FSA implemented a daily pre-payment interface with the Department of Treasury’s [Do Not Pay](#) web service that matches intended recipients with multiple data sources to identify potential improper payments. OFO/OFM is also participating in a pilot with the Do Not Pay analytics team to research possible payment integrity checks that could be applied to the Department’s payment data.

Lastly, FSA 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. It used improper payment data from *Single Audit Act* compliance audits of the sampled schools. FSA worked with OMB to gain increased understanding for using compliance audit data for improper payment estimation and added requirements for compliance auditors to provide FSA with population and sample information necessary to estimate improper payments. FSA also collaborated with OMB to revise and clarify the requirements in Appendix C of [OMB Circular A-123](#) for statistically valid and rigorous improper payment estimation methodologies. The *Payment Integrity Information Act of 2019* requires inspector generals (IGs), in performing their annual audits, to evaluate the adequacy of sampling and estimation methodology plans when determining program compliance and whether the improper payment estimate is representative of the program's annual improper payments. If the IG determines that a program is non-compliant for this criterion, the final IG report must provide concrete recommendations regarding the specific actions and steps the program must take to achieve compliance with this criterion. FSA also implemented enhanced quality control procedures over its improper payment estimation process to increase validation of compliance audit data and calculations and ensure only sustained questioned costs, rather than questioned costs, identified in compliance audits are used in improper payment estimates.

Management Challenge 2— Information Technology 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. To gauge specific progress in this area, the Department established an improved methodology for quarterly cybersecurity performance improvement metric scoring and dashboarding capabilities, leveraging the *Federal IT Acquisition Reform Act* cyber scoring methodology (i.e., the Department's *Federal Information Security Management Act* (FISMA) Risk Management Assessment/IG FISMA maturity score). The new methodology encompasses composite scoring from the Quarterly Risk Management Assessment score, the Cybersecurity Framework (CSF) Risk Scorecard results, the previous year's IG FISMA maturity score, and the Department of Homeland Security's Cyber Hygiene Scorecard, to determine the overall percentage of achievement towards the Department's cybersecurity objectives.

Significant progress has been made to maintain an accurate system inventory, communicate the impact of identified cybersecurity risks, and actively manage the Plans of Actions and Milestones (POA&Ms) (i.e., the management tools for tracking the mitigation of cybersecurity program and system-level findings and weaknesses). The Department's Office of the Chief Information Officer (OCIO) publishes CSF Risk Scorecards that serve

as a tool to prioritize and mitigate risks to the Department's information systems. The Scorecard was recently enhanced to include privacy scoring and daily reporting, enabling stakeholders to manage cybersecurity risks more effectively in near-real time and in concert with privacy risks to further reinforce the relationship between the Department's Information Security and Privacy Program. To that end, OCIO leaders also engaged with the National Institute of Standards and Technology's Security and Privacy Implementation Collaboration Tiger Team to promote more effective integration of cybersecurity and privacy across government.

To increase communication and build capacity for Department stakeholders, OCIO has provided targeted briefings on a variety of subjects, including CSF Risk Scorecard results, phishing exercises, and current cyber threats. Through continued outreach and communication with principal office leadership and operational stakeholders, the Department saw the average time to close a POA&M reduced from 167 days in FY 2019 to 47 days in FY 2020. The number of accepted risks POA&Ms also dropped from 53 to 29 during the same time period. At the closing of FY 2020, the Department achieved a 68 percent net reduction in past-due POA&Ms since starting the reporting period on October 1, 2019. These positive metrics are direct indicators of the progress achieved in maturing risk management capabilities and reduction capabilities. The Department significantly improved its phishing readiness.

The Department deployed Data Loss Prevention (DLP) desktop agents on

Department endpoint devices to further enhance the identification of personally identifiable information, such as Social Security and credit card numbers. Following the passive monitoring phase of the deployment, additional DLP policies will become operational and further enhance overall DLP capabilities.

Notable progress has been demonstrated in the development of an enterprise Identity Credential and Access Management solution. 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. In FY 2020, the Department began identifying system candidates to build out identities. The deployment of single sign-on integration is planned for FY 2021.

Lastly, to mitigate impacts of the COVID-19 pandemic on remote stakeholders, OCIO acted promptly to ensure the appropriate infrastructure was in place to support the shift to a fully virtual work environment. To that end, OCIO 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. Additionally, the Department delivered an alternative multi-factor authentication solution to provide continuity of critical business functions during the pandemic. OCIO provided targeted outreach to proactively address threats to teleworking employees (e.g., warning them of increased phishing attempts and other cybercriminal scams that target largely at-home workers).

Management Challenge 3— Oversight and Monitoring

The Department must provide effective oversight and monitoring of participants in the student financial assistance programs under the *Higher Education Act* 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

To improve oversight and monitoring of institutions of higher education (IHEs) participating in Title IV programs, FSA has worked to address weaknesses in the single audit process in order to improve its use as an oversight and monitoring tool for IHEs' disbursements of Pell Grants and Direct Loans. In FY 2020, FSA deployed an analytical model to continually monitor partner data and performance. This will improve the ability to identify the most at-risk IHEs and allow more effective use of oversight resources by informing and prioritizing support for IHEs.

Over the next several years, the Department will implement additional risk-based procedures to evaluate an accrediting agency's ability to effectively determine and measure IHE compliance with accreditation standards and to identify accrediting agencies at higher risk of failing to meet statutory and regulatory requirements and additional procedures to prioritize oversight of those higher-risk agencies.

FSA implemented an improved model for verification selection and evaluation of data elements from the *Free Application for Federal Student Aid*® (FAFSA®) 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 President signed the *Fostering Undergraduate Talent by Unlocking Resources for Education (FUTURE) Act* in December 2019, which helps 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 and the William D. Ford Federal Direct Loan (Direct Loan) program is failure to accurately verify financial data. The FUTURE Act provides an exemption from Section 6103 of the *Internal Revenue Code* to allow the Department to more easily receive income tax data from the Internal Revenue Service (IRS), thereby simplifying and improving the accuracy of FAFSA® filing by prepopulating certain fields. This exemption will also allow borrowers to automatically recertify their income to stay enrolled in Income-Driven Repayment plans. At this time, Congress has not provided funding to support implementation of the FUTURE Act.

Grantees

To improve grants monitoring and oversight, the Department is focused on proactively mitigating risk, concentrating on outcomes while ensuring compliance, leveraging single audits, resolving audit findings, and identifying and expanding strong practices while building evidence.

The Department has prioritized building the capacity of grants staff to provide appropriate oversight and monitoring practices to be effective stewards of taxpayer funded investments. In FY 2020, the Department created a competency model, career map, and training plans for the grants management job series/category. This initiative aims to identify core and technical competencies and the respective training opportunities needed to achieve competency gap closure. The Department is in the process of identifying a tool to assess and track proficiency levels.

The Department recently revised the *Handbook for the Discretionary Grants Process*, an Administrative Communications System Directive, to provide a more robust, comprehensive guide for administering grants in a standardized manner across program offices. To support consistent interpretation and implementation of the revised policies and procedures, the Department has developed and provided comprehensive training resources and continuing education workshops (e.g., monitoring for outcomes and success, risk assessment and mitigation, financial management, and use of a consistent grant slate memorandum) for program office staff and technical assistance resources related to internal controls requirements for grant recipients.

To learn from and expand strong practices, the Department examined monitoring practices and needs with all program offices and identified best practices across program offices while also surfacing ideas for improvement. In FY 2021, the Department will continue to support cross-office

information sharing and may pilot the use of optional generic monitoring protocols. In FY 2020, the Department also piloted an approach to learning about the use of evidence in a grant competition and found that the evidence-based project components were central to the grantees' project implementation in that program.

In addition, the Department reviewed the continuation award process to promote cross-office alignment and provided early training on competition planning to support making earlier awards, which will promote a stronger continuation funding process (i.e., if grantees receive awards well in advance of the start of a school year, they will be better positioned to begin work when school begins, and their annual progress reports will better align with continuations decisions).

The most recent efforts to build grant staff capacity allowed the Department to respond swiftly to the COVID-19 pandemic and provisions and requirements of the *Coronavirus Aid, Relief, and Economic Security (CARES) Act*. Given the transition to telework for most Department staff and many grantees due to the COVID-19 pandemic, the Department continues to leverage virtual monitoring approaches to provide necessary oversight and support to grant recipients. The Department has already shifted focus to support grant staff to conduct all monitoring activities in a virtual environment. In this light, the Department updated a resource related to virtual monitoring and procured a contract solution to develop a standard virtual grantee monitoring program for the Department's

discretionary and formula grant programs. The contractor will perform a comprehensive assessment of the Department's current state that includes documentation, interviews, and a comparative/gap analysis; provide draft recommendations; work with a stakeholder group to define final recommendations to achieve the target state (i.e., a Department-wide, standard, virtual grantee monitoring program to include practices, processes, and virtual collaboration tools); and develop and deliver a training course that is based on the actual practices, processes, and tools to be used by staff when implementing the entire virtual grantee monitoring program.

Program offices are reimaging monitoring to meet the moment. Some offices have dedicated teams that focus on common monitoring needs across programs. Teams are considering ways to learn from grantee progress while minimizing burden and maximizing efficiency.

The Department also established a grants management acquisition program to resolve non-inherently governmental grant award and administrative service gaps experienced by program offices. The program is anchored by the Education Grants Management Support Services-Blanket Purchase Agreement, which sourced a cadre of grant services contractors with capacity and know-how to support a range of functions related to program offices' monitoring and oversight responsibilities.

In addition to the steps taken to enhance monitoring and oversight capabilities of staff responsible for managing grants, the

Department has implemented a number of initiatives aimed at ensuring grants management data systems can similarly provide the support necessary to collect grantee data, analyze performance, and detect risks.

To effectively address the needs of users—and to maximize the return on the Department's existing investment in the Department's Grants Management System (G5)—the Department conducted a business process re-engineering analysis to inform next steps in the G5 Modernization Initiative. The Department envisions a modern, modular, secure, and user-friendly G5 that meets the grants management needs of internal and external users.

The Department prioritized the reduction of grantee reporting burden by developing an approach to standardizing data collection across various information requests. The data elements across a collection of 24 unique discretionary grantee annual performance reports (APRs) were streamlined and standardized into a single grantee APR. The grantee APR can be used for programs as appropriate. The implementation of the single grantee APR furthers the Department's priority, while providing staff with common and accessible data sets to monitor grantees' progress in meeting program objectives as well as standard data requirements for an enterprise APR tool, as part of the G5 Modernization Initiative.

Additionally, 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 data sets 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.

The Department continues to assess technology solutions and other best practices for improving monitoring capabilities across the grants life cycle. [OMB Memorandum M-19-16](#), *Centralized Mission Support Capabilities for the Federal Government*, created the Quality Service Management Offices (QSMOs) for select mission-support functions, tasking QSMOs with offering and managing a marketplace of effective and efficient solutions to be implemented across the government. The Department of Health and Human Services was pre-designated as the Grants Management QSMO to transform government-wide grants management end-to-end, and the Department has been actively involved in these collaborative efforts to share its unique perspectives and help identify best practices and process improvements.

Management Challenge 4— Data Quality and Reporting

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

In response to additional authorities granted by the President and Congress 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.

An agency-wide Data Governance Board (DGB) was established and met for the first time in November 2019. DGB is charged with taking agency-wide action to develop an open data culture, improve the Department’s capacity to leverage data as a strategic asset for evidence building and operational decisions, and develop the data skills of staff throughout the agency. In spring 2020, DGB initiated the Department’s first data maturity assessment (DMA), conducted both at the agency and individual principal office level. These assessments allow the Department to evaluate itself against documented best practices, determine gaps, and identify priority areas for improvement. DMA

assessed maturity levels for data quality across three process areas: (1) data quality strategy, (2) data quality assessments, and (3) data cleansing. These process areas describe best practices for detecting, assessing, and cleansing data defects to ensure fitness for intended uses in business operations, decision-making, and planning. The results of DMA will provide the baseline for the Department and principal offices to measure progress and growth in FY 2021 and will be used to guide the creation of the agency's inaugural data strategy, inform principal office investment decisions, and provide agency leadership with the ability to track year-over-year return on those investments.

The Department also identified a multi-pronged approach to address root causes and improve data quality during FY 2020. The approach includes ensuring grantees are aware of their data responsibilities under the conditions of their grants and of the credible consequences for non-compliance—ranging from additional informal monitoring through termination of the grant. It also includes provisions to improve the varying capacity of grantees in reporting data and varying capacity among Department staff in reviewing grantee-reported data. When fully deployed, this effort is largely expected to take the form of technical assistance to grantees, additional resources for the Department for data quality review, and expanded use of technological solutions to automate and reduce the need for manual reporting and review.

Exigent circumstances, the volume of new grant funds, and other challenging environmental factors led the Department to

immediately deploy a variation of that strategy for key data collections associated with the Education Stabilization Fund—specifically, the Higher Education Emergency Relief, the Governor's Emergency Education Relief, the Elementary and Secondary School Education Relief, and equivalent Outlying Area funds. The Department executed a contract to develop a data collection portal, implement a data management solution to support internal and external reporting, and launch a public transparency website. In addition to early communications to grantees about expectations for data quality, several components of the data collection process include explicit data quality components, including auto-population of known data values in the collection instrument, help desk services for grantees submitting performance data, a data management platform that imposes business rules to improve data quality, and established phases for opening, closing, and reopening the tool for grantees to submit data quality corrections.

During summer 2020, DGB also initiated a process to develop a Department data strategy to realize the full potential of data to improve education outcomes. Finalization and adoption of that formal data strategy is expected in FY 2021. This Department-wide effort includes agency-wide discussions about data priorities that will help improve data maturity and will focus on the Department's capabilities to leverage data, operationalize and optimize data governance, and drive cultural change for the benefit of all stakeholders. DGB identified the following four goal areas to guide

data modernization, improvement efforts, and future investments: (1) strengthening agency-wide data governance; (2) building human capacity to leverage data; (3) advancing the strategic use of data; and (4) improving data access, transparency, and privacy. At least one objective within this strategy is expected to focus on data quality and development of an action plan to deploy the multi-pronged approach.

These coordinated, cross-agency efforts are in addition to a variety of system-specific or office-specified efforts accomplished in FY 2020. OCDO launched a partnership with OFO’s Budget Service, Grants Policy Office, and the Office of Acquisition and Grants Administration to improve the quality and use of *Government and Performance Results Act* measures. As part of this initiative, OCDO supported the Office of Elementary and Secondary Education and the Office of Special Education and Rehabilitative Services in the development of new and updated measures for grant programs. Additionally, the Department launched a new annual performance reporting tool in FY 2020 for the Office of Special Education Programs formula grantees, providing an online system to submit responses and review data in a user-friendly format. The tool reduces reporting burden and improves data quality by using *EDFacts* to pre-populate data and match the format needed for the performance indicators. It meets current security standards and addresses issues identified with prior tools.

Through its Next Generation Financial Services Environment initiative (also known as Next Gen FSA), FSA began to develop and implement the Enterprise Data Management and Analytics Platform Services (EDMAPS), which will provide a central unified data platform for FSA aid life cycle data. In FY 2020, FSA implemented a master data management platform (pMDM) and a Data Lake for the swift ingestion, presentation, and management of structured and unstructured data from various internal and external sources. In FY 2021, FSA will co-locate pMDM, Data Lake, and the Enterprise Data Warehouse and Analytics into the single EDMAPS system hosted in the FSA Cloud General Support Services in Amazon Web Services. This effort will provide FSA a central hub for system data and enable the re-engineering of FSA siloed legacy systems, such as National Student Loan Data System, the Central Processing System, and the Debt Management and Collection System, as well as the consolidation of the multiple loan servicers into one Department-owned servicing system. In collaboration with IRS, FSA also initiated changes to its programs to help ensure the accuracy of income information used for determining Pell Grant eligibility, which are now possible as a result of the *FUTURE Act*. As indicated previously, the *FUTURE Act* was signed into law in December 2019, and implementation of the act will allow FSA to receive income tax data directly from IRS, which would simplify FAFSA® filing and improve accuracy.

Performance Measures

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

B

Baseline will be established in fiscal year (FY) 2021.

Note: In fiscal year (FY) 2020, the Department joined an Office of Management and Budget pilot for assessing ERM. New measures and methodologies are being developed and will not be comparable to previous data.

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

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

Strategic Objective 4.3

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



OBJECTIVE LEADER:
Chief Information Officer

Overview

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

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

FY 2020 Performance Summary and Analysis

There is only one performance measure for this strategic objective, 4.3.A, which gauges the percentage of the Department's information technology (IT) security functions that improved at least one maturity level. This measure met its annual metric target in fiscal year (FY) 2020 after having not met it since the beginning of the current Strategic Plan in FY 2018.

Of note, at the mid-FY 2020 point, the Department revised its methodology for assessing this performance measure so that it could encompass composite scoring, which includes several additional indicators to better determine overall progress in achieving or exceeding the established target. This revised methodology provided a more thorough, accurate, and timely view of cybersecurity performance across the Department.

Key Successes and Opportunities
Cybersecurity Framework Risk Scorecard Enhancements. The Office of the Chief Information Officer (OCIO) undertook many wide-ranging initiatives to improve the Department's internal security functions. These included revamping the Department's Cybersecurity Framework (CSF) Risk Scorecard, which aligns with the National Institutes of Standards and Technology's (NIST's) CSF and provides a common platform to convey cybersecurity risk from the executive level to the operational and tactical levels.

One of the enhancements made to the scorecard was to add NIST privacy control compliance risk scoring. This addition

enables Department authorizing officials, information system owners, privacy stakeholders, and information system security officers to manage cybersecurity risks more effectively in concert with privacy risks, and it further reinforces the relationship between the Department's information security and privacy programs. The Department also added security authorization documentation status scoring to the scorecard; this enabled Department stakeholders to manage system-level security planning documentation and processes more effectively.

In addition, the Department added incident response plan testing scores to the scorecard to emphasize the importance of testing incident response plans and ensure system stakeholder preparedness in the event of a cyber incident. Department-level, system-tailored Incident Response and Contingency Plan testing tabletop exercises held this fiscal year involved 161 systems, 118 of which are *Federal Information Security Modernization Act (FISMA)* reportable systems (enabling the Department to ensure 100 percent of the Department's FISMA reportable systems have conducted annual contingency plan testing).

Improving Internal Controls and Cybersecurity. The Department released a *Plan of Actions and Milestones [POA&M] Standard Operating Procedure* to improve the POA&M workflow process and generate new reports on a weekly basis. POA&Ms are utilized by the Department to manage and track risk remediation activities. The new procedure was used to enhance outreach with the Department's information system security officers and information

systems officers to drive remediation priorities and actions. These efforts resulted in a 14.8 percent net reduction in overall POA&Ms and a 94.7 percent net reduction in past-due POA&Ms.

Additionally, OCIO implemented Microsoft Office 365 (O365) email Data Loss Prevention (DLP) capabilities and codified the standards for safeguarding personally identifiable information (PII) within the O365 applications. It also implemented additional DLP enhancements to further protect PII, such as social security and credit card numbers.

A popular new feature of the past year was the introduction of a "Report Phishing" button available to all users of the Department's internal email system. Clicking the button upon seeing a suspicious email enables users to easily make reports to the Department of Education Security Operations Center with a single click of a button. Prior to deploying the phishing button, the average reporting rate in FY 2019 for phishing exercises was 15.21 percent. After deploying the button, the Department achieved a 52.5 percent reporting rate, with 94.3 percent of those reporting using the "Report Phishing" button. This was the highest reporting rate since the Phishing Program's inception in FY 2014.

In addition, the Department completed testing and began to implement a new Application Programming Interface to automate data capture capabilities from the Department's authoritative source of system security documentation, the Cybersecurity Assessment and Management system.

This automation enabled the Department to achieve near-real time risk scoring and reporting. It also began publishing monthly *State of IT* reports to agency leadership that incorporate cybersecurity data, trends, metrics, and key insights to enable leadership to take appropriate actions and make informed risk-based decisions.

OCIO also held five cybersecurity high value asset briefings with information system security officers and information system owners to emphasize risk management and risk reduction. It also held six cybersecurity risk management workshops to train stakeholders in cybersecurity risk management processes and policy changes.

Strengthening External Security Controls. In December 2019, the Department incorporated cybersecurity and personnel security requirements in its acquisition regulations. The Office of Acquisition Management issued [Acquisition Alert 2020-01](#), *Education Acquisition Regulation Class Deviation: Cyber and Personnel Security Requirements for Contractors*. This publication ensures active contracts, solicitations, and future contracts communicate the Department's cybersecurity and personnel security requirements to contractors and prospective contractors.

OCIO also engaged in inter-agency forums to strengthen government-wide cybersecurity. For example, it actively participated in NIST's Security and Privacy Implementation Collaboration Tiger Team to more effectively de-centralize and integrate cybersecurity and privacy across the government and promote collaborative working relationships between security and

privacy regardless of organizational structure or reporting. OCIO also supported the Department of Homeland Security's Cybersecurity Supply Chain Risk Management Initiative Cybersecurity Standards Innovation Group to provide input into capabilities and requirements for government-wide shared services.

COVID-19. OCIO was crucial in ensuring the Department was able to function remotely, with nearly all staff working from home or off-site due to the COVID-19 pandemic. This was possible, in part, due to the technological improvements OCIO has spent years rolling out. In addition, when COVID-19 became a pandemic, OCIO leveraged cloud-based technologies to rapidly expand the Department's virtual private network capacity. It implemented an alternative multi-factor authentication solution to provide continuity of critical business functions when Department users could not obtain the Personal Identity Verification cards that are typically required to log into the Department's computer network.

Ensuring the cybersecurity of the Department's operations during the pandemic's increased reliance on technology was crucial. OCIO increased internal outreach to educate and warn Department users of increased phishing attempts and other cybercriminal scams that target largely at-home workers (e.g., stimulus checks, spoofing of legitimate government health organizations, etc.). It also provided guidance to Department users on the safe and effective use of commercial collaboration tools, particularly when they are interacting with external partners.

Performance Measures

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

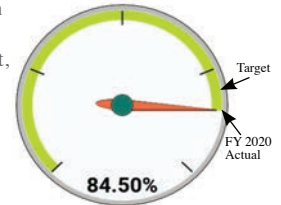


2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
—	—	—	—	—	84.50%	80%	80%

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

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

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



Strategic Objective 4.4



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

OBJECTIVE LEADER:
Chief Human Capital Officer

Overview

In fiscal year 2020, the Department implemented a data-driven human capital strategy focused on improving employee engagement, performance, and competency development. The Department will continue to build the skills and knowledge of its workforce and will transition from identifying competency gaps to prioritizing learning and development opportunities and identifying best practices for closing competency gaps. Furthermore, the Department will focus on improving Federal Employee Viewpoint Survey scores, particularly the Employee Engagement Index.

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

FY 2020 Performance Summary and Analysis

There are two performance measures for this strategic objective. Both measures met their annual metric targets (4.4.A and 4.4.C).

The first measure that met its target, 4.4.A, gauges the Department's performance in

raising its Federal Employee Viewpoint Survey employee engagement index score. The other measure that met its target, 4.4.C, gauges the percentage of the Department's managers with employee engagement included in their performance agreements. The annual target of 100 percent was met by Quarter 3 of fiscal year (FY) 2020.

Of note, for FY 2020, the Department retired a previous performance measure in this strategic objective, which tracked the percentage of positions with competencies identified.

Key Successes and Opportunities

Enhancing Employee Engagement. A key strategy the Department adopted to improve the collective engagement of its employees was requiring that all of its principal offices adopt plans outlining the steps they would undertake to improve the engagement of their own employees. In FY 2020, the Office of Human Resources (OHR) collected 13 out of 14 principal office Employee Engagement Action Plans and consulted with 8 principal offices to provide feedback and share best practices.

The next step was to establish a National Engagement Strategy for the entire Department. A strategy team began meeting in June 2020 and will set targeted goals with measurable outcomes. In addition, the team analyzed trends and commonalities from the action plans of the principal offices to create the four focus areas for the Department-wide plan. The first focus area, Leaders Lead, is for senior leaders to demonstrate honesty and integrity while motivating and communicating with employees effectively. The second focus area, Collaborative Management, is to illustrate the importance of a management style that promotes and supports collaborative communication and teamwork in completing projects and accomplishing goals and objectives. The third focus area, Merit Systems Principles, is to ensure that personnel management practices support fairness and protect employees from arbitrary actions, personnel favoritism, political coercion, and reprisal. The fourth focus area, Training and Development, is to increase employee capacity to perform by assessing training needs, targeting opportunities to improve skills, enhancing professional development, and building employee capacity.

OHR also created a template to capture the Department's requirement that all supervisors have a critical element in their performance plans for employee engagement. The template is used in USA Performance, which is the automated

performance management system for non-executives, and it will auto-populate into all supervisors' next plans (i.e. new plans created post-FY 2020 for mid-point reviews for new supervisors and in FY 2021 for all existing supervisors). OHR conducted an audit of supervisors in the USA Performance system to ensure the employee engagement element is included in 100 percent of the performance plans of supervisors covered by the Department's central employee ratings system.

Workforce Planning. The Department is conducting a strategic assessment using workforce data to identify gaps in areas such as employee competency as well as mitigation strategies that will be captured and tracked through the development of workforce action plans. In addition, the Department adopted a workforce planning maturity model to track workforce planning maturity levels across the Department. Action plans will be finalized and implemented in Quarter 1 of FY 2021.

Employee Competencies. OHR launched an agency-wide competency program focused on two functional areas: grants and information technology. It met with executive sponsors in these functional areas to identify subject-matter experts to validate competencies from the FY 2019 initiative and create career and training maps that will be accessible via the Department's intranet. OHR is also identifying a repeatable process for gap-closure assessments.

Performance Measures

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



2015	2016	2017	2018	2019	2020		2021
Actual					Actual	Target	Target
68%	67%	67%	63%	62%	72%	65%	66%

Data Source: Office of Personnel Management FEVS.
 FY 2020 Period of Performance: October 2019 through September 2020.

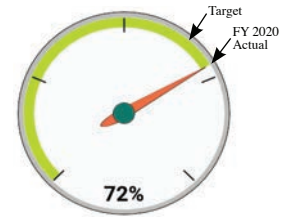
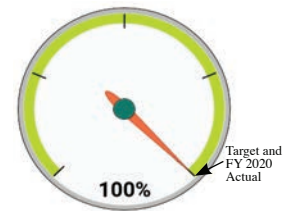


Table 4.4.C. Percentage of supervisors and managers with a performance plan critical element related to employee engagement.



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

Note: No data are available prior to fiscal year (FY) 2017.
 Data Source: The Department’s Talent Management System and USA Performance.
 FY 2020 Period of Performance: October 2019 through September 2020.



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Appendices

Appendices A-E

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Appendix A

Data Validation and Verification

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



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

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

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

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

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

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

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

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

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

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

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

1.1.H. Number of scholarships provided through state-based vouchers, tax credit scholarships, and education savings account programs.	
Data Source:	EdChoice, <i>The ABCs of School Choice</i> . The targets for fiscal year (FY) 2020 and FY 2021 are imputed by the Office of Elementary and Secondary Education based on EdChoice reported data for the last three years.
Data Validation and Verification:	EdChoice addresses data quality 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 (new).	
Data Source:	Internal Department outreach data and performance reports from Department-funded technical assistance centers.
Data Validation and Verification:	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 measure 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.

Data Source:	The Department’s annual Assessment Data File that includes state-reported data pulled from <i>EDFacts</i> files C175, C178, C185, and C188.
Data Validation and Verification:	The Office of Elementary and Secondary Education (OESE), the Office of Special Education Programs (OSEP), and <i>EDFacts</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 <i>EDFacts</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 <i>EDFacts</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 measure is impacted by changes to state assessment systems. If states change assessments, performance levels, or cut scores, among others, it will invalidate the year-to-year analysis to identify states that showed improvements in the percentage of students proficient. Since statewide assessment systems have been in flux for the last few years, it makes it challenging to establish baselines and set targets. States sign a certification when submitting their CSPR. If questions remain upon completion of the Department’s data quality review process regarding whether the data submitted by a state are accurate, the Department may decide not to publish or use the data.

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

Data Source:	The Department’s annual Assessment Data File that includes state-reported data pulled from ED <i>Facts</i> files CI75, CI78, CI85, and CI88.
Data Validation and Verification:	The Office of Elementary and Secondary Education (OESE), the 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 measure is impacted by changes to state assessment systems. If states change assessments, performance levels, or cut scores, among others, it will invalidate the year-to-year analysis to identify states that showed improvements in the percentage of students proficient. Since statewide assessment systems have been in flux for the last few years, it makes it challenging to establish baselines and set targets. States sign a certification when submitting their CSPR. If questions remain upon completion of the Department’s data quality review process regarding whether the data submitted by a state are accurate, the Department may decide not to publish or use the data.

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

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

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

Data Source:	EducationSuperHighway.
Data Validation and Verification:	Verification and validation of data are managed by EducationSuperHighway. The process for checking for anomalous data is managed by EducationSuperHighway. The Office of Education Technology is responsible for certifying the data are accurate.

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

Data Source:	EducationSuperHighway.
Data Validation and Verification:	Verification and validation of data are managed by EducationSuperHighway and documented at https://s3-us-west-1.amazonaws.com/esh-sots-pdfs/methodology_2017_state_of_the_states.pdf . The process for checking for anomalous data is managed by EducationSuperHighway. The Office of Education Technology is responsible for certifying the data are accurate.

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

Data Source:	<i>Consolidated State Performance Report (CSPR).</i>
Data Validation and Verification:	The <i>Every Student Succeeds Act</i> report card data metrics are new to states, beginning with report cards published in 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, since the review of the report cards' links will only involve navigating to the web locations and confirming that the current report cards are posted, OESE staff are able to use preliminary data, which are available earlier in the year, to produce this measure. Data will be reviewed by OESE prior to being submitted. Anomalous data will be checked and verified by OESE or other supporting offices.

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

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

1.2.H. Percentage of the total appropriation made available to eligible entities within 30 days of the passage of the *Coronavirus Aid, Relief, and Economic Security Act* (April 27, 2020) (new).

Data Source:	Appropriation and program office communications to eligible entities.
Data Validation and Verification:	Program staff calculate and verify the number of business days between enactment and the date that application materials are posted to the Department’s website.

1.2.I. Percentage of approved applications awarded within seven business days (new).

Data Source:	The Department’s end-to-end Grants Management System (G5).
Data Validation and Verification:	G5 is a U.S. federal government computer system intended to be solely accessed by individual users expressly authorized to access the system by the Department. Usage can be monitored, recorded, and/or subject to audit. All users requiring access to G5 must register with the Department to obtain individual user IDs and passwords. In addition, all payees receiving grant award funds must submit signed and properly validated paperwork supporting their individual registrations. Application approvals are recorded by the program office and recorded in G5. Obligations are automatically timestamped in G5. Program staff calculate and verify the number of business days between application approval and award obligation.

1.2.J. Percentage of stakeholder inquiries related to COVID-19 that are closed within 30 business days (new).

Data Source:	Office of Elementary and Secondary Education program offices.
Data Validation and Verification:	Program staff calculate and verify the number of inquiries received and closed within five business days in the COVID-19@ed.gov mailbox. The cumulative number of inquiries received and closed by staff within the quarter is also calculated.

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

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

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

Data Source:	College Board.
Data Validation and Verification:	College Board addresses all data quality issues and is responsible for certifying that all data are accurate.

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

Data Source:	College Board.
Data Validation and Verification:	College Board addresses all data quality issues and is responsible for certifying that all data are accurate.

1.3.D. Number of adult education participants who achieved a measurable skill gain.	
Data Source:	National Reporting System for Adult Education.
Data Validation and Verification:	Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance.

1.3.E. Number of adult education participants who obtained a secondary school diploma or its equivalent and are employed or enrolled in an education or training program within one year following exit.	
Data Source:	National Reporting System for Adult Education.
Data Validation and Verification:	Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance.

1.3.G. Number of adult education participants enrolled in an integrated education and training program.	
Data Source:	National Reporting System for Adult Education.
Data Validation and Verification:	Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance.

1.3.H. Number of adult education participants who advanced one educational functioning level in mathematics (new).	
Data Source:	National Reporting System for Adult Education.
Data Validation and Verification:	Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance.

1.3.J. Number of secondary career and technical education concentrators enrolling in science, technology, engineering, and mathematics.	
Data Source:	State Consolidated Annual Reports for the Strengthening Career and Technical Education for the 21st Century Act (Perkins V).
Data Validation and Verification:	Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance.

1.4.A. Number of technical assistance engagements, events or related activities, or products focused on grantees' use of evidence in prekindergarten through grade 12 education.	
Data Source:	Department offices that deliver technical assistance.
Data Validation and Verification:	Program offices review activities and apply established qualification criteria. The 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 (new).

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

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

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

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

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

2.1.D. Percentage of total appropriation made available to institutions of higher education within 30 days of the passage of the *Coronavirus Aid, Relief, and Economic Security Act* (April 27, 2020) (new).

Data Source:	The Department's end-to-end Grants Management System (G5).
Data Validation and Verification:	G5 is a U.S. federal government computer system intended to be solely accessed by individual users expressly authorized to access the system by the Department. Usage can be monitored, recorded, and/or subject to audit. All users requiring access to G5 must register with the Department to obtain individual user IDs and passwords. In addition, all payees receiving grant award funds must submit signed and properly validated paperwork supporting their individual registrations.

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

Data Source:	Department offices that deliver technical assistance.
Data Validation and Verification:	Criteria for and examples of technical assistance events/activities and products are provided to program office representatives. The criteria are flexible to accommodate different technical assistance offerings provided across the Department. The 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.

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

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

Data Source:	Rehabilitation Services Administration’s (RSA’s) <i>911 Vocational Rehabilitation Case Service Report</i> (RSA-911).
Data Validation and Verification:	Data are verified through federal review of state data submissions via desk monitoring, on-site reviews, and technical assistance. In accordance with Section 506(b) of the <i>Workforce Innovation and Opportunity Act</i> (WIOA), the performance accountability system requirements of Section 116 of WIOA took effect on July 1, 2016. However, the Office of Special Education and Rehabilitative Services (OSERS) and RSA recognized that state 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.

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

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

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

2.3.C. Number of postsecondary science, technology, engineering, and mathematics degrees and certificates conferred.

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

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

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

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

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

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

Data Source:	ACSI.
Data Validation and Verification:	This measure is a direct reflection of the data collected through the ACSI Aid Life Cycle Survey. FSA monitors to ensure the system is secure and the query results are consistent.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

2.5.C. Percentage of eligible borrowers placed on a 0 percent interest rate (new).

Data Source:	Federal Student Aid’s (FSA’s) National Student Loan Data System® (NSLDS®).
Data Validation and Verification:	NSLDS® is the Department’s central record database for student aid. It contains data from schools, guaranty agencies, the William D. Ford Federal Direct Loan program, and other Department programs. NSLDS® provides a centralized, integrated view of federal student aid loans and grants that are tracked through their entire life cycle, from aid approval through disbursement and repayment (if applicable). FSA’s quality assurance teams have tested and validated the relevant NSLDS® data to ensure FSA is correctly reporting the percentage of eligible borrowers placed on a 0 percent interest rate.

2.5.D. Percentage of involuntary payments refunded (new).	
Data Source:	Federal Student Aid’s (FSA’s) Debt Management and Collection System (DMCS).
Data Validation and Verification:	DMCS is the largest component of collections within FSA. It provides a vehicle for the storage, retrieval, and editing of debtor information. Payments on defaulted accounts are processed through the National Payment Center as part of this system. In addition, official correspondence to debtors from the Department, collection agencies, and other interested parties is provided by this system. Collection agency reporting, treasury offset, administrative wage garnishment, and credit bureau reporting efforts are other parts of this system. FSA’s quality assurance teams have tested and validated the relevant DMCS data to ensure the percentage of involuntary payments refunded is being reported correctly.

2.5.E. Percentage of initial borrower notifications completed (new).	
Data Source:	Federal Student Aid’s (FSA’s) loan servicers.
Data Validation and Verification:	The process of validating and verifying data includes reviews and validation of federal servicer reports and ongoing/recurring quality assurance discussions with federal servicers. Because the agency directive is succinct and builds on current contractor operational capabilities, FSA did not anticipate anomalous data or issues with implementation. However, in cases where verification and validation detected anomalies that suggested less-than-complete information, FSA addressed any deficiencies through direct contact with federal servicers, requests for information, audits, site visits, and/or other assessment measures of performance, as applicable. FSA’s Business Operations Officer, who oversees all of FSA’s nondefault federal student loan servicers, is responsible for certifying the data are accurate.



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

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

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

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

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

Data Source:	Selected LEA public websites.
Data Validation and Verification:	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 (new).

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



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

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

Data Source:	Department records.
Data Validation and Verification:	The Division of Regulatory Services monitors the data and verifies numbers. The Deputy General Counsel for Ethics, Legislative Counsel, and Regulatory Services verifies the data are accurate.

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

Data Source:	Department records.
Data Validation and Verification:	The Division of Regulatory Services monitors the data and verifies numbers. The Deputy General Counsel for Ethics, Legislative Counsel, and Regulatory Services verifies the data are accurate.

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

Data Source:	Federal Register and https://www.ed.gov/ .
Data Validation and Verification:	The Division of Regulatory Services monitors the data and verifies numbers. The Deputy General Counsel for Ethics, Legislative Counsel, and Regulatory Services verifies the data are accurate.

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

Data Source:	Federal Register and https://www.ed.gov/ .
Data Validation and Verification:	The Division of Regulatory Services monitors the data and verifies numbers. The Deputy General Counsel for Ethics, Legislative Counsel, and Regulatory Services verifies the data are accurate.

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

Data Source:	Reginfo.gov and emails between the Department and OMB.
Data Validation and Verification:	The Division of Regulatory Services monitors the data and verifies numbers. The Deputy General Counsel for Ethics, Legislative Counsel, and Regulatory Services verifies the data are accurate.

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

Data Source:	Office of Finance and Operations, Office of Enterprise Data Analytics, and risk management calculations.
Data Validation and Verification:	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 measures 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.

Data Source:	Department of Homeland Security’s (DHS’s) CyberScope quarterly risk management assessment (RMA), the Department’s Cybersecurity Framework (CSF) Risk Scorecard, the previous fiscal year’s Office of Inspector General (OIG) <i>Federal Information Security Modernization Act of 2014</i> (FISMA) maturity score, and DHS Cyber Hygiene reports.
Data Validation and Verification:	<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">• DHS’s quarterly RMA: 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.• The Department’s CSF Risk Scorecard: 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.• The previous fiscal year’s OIG FISMA maturity score: 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.• DHS Cyber Hygiene reports: 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.

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

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

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

Data Source:	The Department’s Talent Management System and USA Performance.
Data Validation and Verification:	To ensure quality control, verification processors self-check and cross check each other. The validation and affirmation of final numbers is performed by the principal office leadership through system report reconciliation. The Director of Workforce Relations Division is responsible for certifying the data are accurate.

Appendix B

Performance Measure and Metric Target Changes

Appendix B includes performance measures that were added or removed and metric targets that were changed in the Department’s Strategic Plan since publication of the *FY 2019 Annual Performance Report* and the *FY 2021 Annual Performance Plan*.



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

Measure 1.1.A Status: Changed

Type of Change:	Fiscal year (FY) 2020 period of performance edited from school year (SY) 2019–2020 to SY 2018–2019.
Current Title:	Number of open and operating charter schools supported by the Charter Schools Program (CSP).
Justification:	The period of performance for FY 2020 data is SY 2018–2019. This <i>FY 2020 Annual Performance Report</i> amends the period of performance in the <i>FY 2019 Annual Performance Report</i> to SY 2017–2018.

Measure 1.1.B Status: Changed

Type of Change:	Fiscal year (FY) 2020 period of performance edited from school year (SY) 2019–2020 to SY 2018–2019, Additionally, the FY 2021 target decreased from prior year + 25,000 to prior year + 10,000.
Current Title:	Number of students enrolled in charter schools supported by the Charter Schools Program (CSP).
Justification:	The period of performance for FY 2020 data is SY 2018–2019. This <i>FY 2020 Annual Performance Report</i> amends the period of performance in the <i>FY 2019 Annual Performance Report</i> to SY 2017–2018. Additionally, due to the challenges of offering in-classroom learning during the COVID-19 pandemic, the number of students enrolled in charter schools will be affected in school year 2019–2020, which is reported in FY 2021.

Measure 1.1.D Status: Changed

Type of Change:	Decrease in fiscal year 2021 target from prior year plus 2 percent to prior year plus 1 percent.
Current Title:	Number of students enrolled in federally funded magnet schools.
Justification:	Social distancing requirements implemented in response to the COVID-19 pandemic affected the number of new resources on evidence-based and promising practices.

Measure 1.1.E Status: Changed

Type of Change:	Fiscal year (FY) 2020 period of performance edited from school year (SY) 2019–2020 to SY 2018–2019.
Current Title:	Number of open and operating public charter schools.
Justification:	The period of performance for FY 2020 data is SY 2018–2019. This <i>FY 2020 Annual Performance Report</i> amends the period of performance in the <i>FY 2019 Annual Performance Report</i> to SY 2017–2018.

Measure 1.1.F Status: Changed

Type of Change:	Fiscal year (FY) 2020 period of performance edited from school year (SY) 2019–2020 to SY 2018–2019.
Current Title:	Number of students enrolled in public charter schools.
Justification:	The period of performance for FY 2020 data is SY 2018–2019. This <i>FY 2020 Annual Performance Report</i> amends the performance data reported in the <i>FY 2019 Annual Performance Report</i> to SY 2017–2018.

Measure 1.1.G Status: Changed

Type of Change:	Fiscal year (FY) 2020 period of performance edited from school year (SY) 2019–2020 to SY 2018–2019.
Current Title:	Number of students enrolled in public magnet schools.
Justification:	The period of performance for FY 2020 data is SY 2018–2019. This <i>FY 2020 Annual Performance Report</i> amends the performance data reported in the <i>FY 2019 Annual Performance Report</i> to SY 2017–2018.

Measure 1.2.C Status: Changed

Type of Change:	Decrease in fiscal year 2021 target from 58 percent to 55 percent.
Current Title:	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 <i>Individuals with Disabilities Education Act</i> (IDEA) Part B, Section 619 services.
Justification:	Due to the COVID-19 pandemic, many local educational agencies have been challenged with how to support preschool children with disabilities through distance learning or remote service delivery. It is not developmentally appropriate for 3- and 4-year-old children to be in front of a computer for extended periods of time, and many preschool children with disabilities are not able to attend or participate in services over a computer. Interacting with peers and establishing relationships with them is a big part of children’s social-emotional development and one of the outcome indicators that is part of 1.2.C. As a result of the COVID-19 pandemic, preschool children with disabilities are receiving less services, different services, and remote services, while some families opted not to be in remote services. All of these are factors that will impact how children meet outcome measures on social-emotional development. Additionally, data from the field have shown that fewer children are being referred for evaluation for special education services because well-child visits were not being carried out, and early childhood programs were closed, so there has been less opportunity for discussion with parents on their concerns related to their children’s development.

Measure 1.2.H Status: New	
Type of Change:	New measure added for performance period of March 27, 2020–April 27, 2020.
Current Title:	Percentage of the total appropriation made available to eligible entities within 30 days of the passage of the <i>Coronavirus Aid, Relief, and Economic Security (CARES) Act</i> (April 27, 2020).
Justification:	On April 10, 2020, the Office of Management and Budget (OMB) issued M-20-21, with guidance to federal agencies regarding the legislation enacted in response to COVID-19 and the supplemental funding. OMB required that the performance measures be integrated into the Department’s Strategic Plan, with a focus on the administration of CARES Act funding.

Measure 1.2.I Status: New	
Type of Change:	New measure added for performance period of March 27, 2020–September 30, 2020.
Current Title:	Percentage of approved applications awarded within seven business days.
Justification:	On April 10, 2020, the Office of Management and Budget (OMB) issued M-20-21, with guidance to federal agencies regarding the legislation enacted in response to COVID-19 and the supplemental funding. OMB required that the performance measures be integrated into the Department’s Strategic Plan, with a focus on the administration of <i>Coronavirus Aid, Relief, and Economic Security Act</i> funding.

Measure 1.2.J Status: New	
Type of Change:	New measure added for performance period of March 1, 2020–September 30, 2020.
Current Title:	Percentage of stakeholder inquiries related to COVID-19 that are closed within 30 business days.
Justification:	On April 10, 2020, the Office of Management and Budget (OMB) issued M-20-21, with guidance to federal agencies regarding the legislation enacted in response to COVID-19 and the supplemental funding. OMB required that the performance metrics be integrated into the Department’s Strategic Plan, with a focus on the administration of <i>Coronavirus Aid, Relief, and Economic Security Act</i> funding.

Measure 1.3.B Status: Changed	
Type of Change:	Decrease in fiscal year 2021 target from 711,752 to 691,416.
Current Title:	Number of public high school students by graduating cohort who have taken at least one Advanced Placement science, technology, engineering, and mathematics exam while in high school.
Justification:	Dual enrollment opportunities offered by community colleges and four-year colleges and universities are becoming more prevalent than Advancement Placement tests as the popular strategy among high school students for earning college credit.

Measure 1.3.C Status: Changed	
Type of Change:	Decrease in fiscal year 2021 target from 393,768 to 382,517 students.
Current Title:	Number of public high school students by graduating cohort who have taken at least one Advanced Placement science, technology, engineering, and mathematics exam while in high school and scored a 3 or better.
Justification:	Dual enrollment opportunities offered by community colleges and four-year colleges and universities are becoming more prevalent than Advancement Placement tests as the popular strategy among high school students for earning college credit.

Measure 1.3.D Status: Changed

Type of Change:	Decrease in fiscal year (FY) 2021 target from 649,936 to 203,515 students.
Current Title:	Number of adult education participants who achieved a measurable skill gain.
Justification:	The inability to administer pre-/post-testing during the COVID-19 pandemic affected the performance period of July 2019 through June 2020, which is reported in FY 2021.

Measure 1.3.F Status: Removed

Type of Change:	Measure removed at the end of Quarter 2 of fiscal year 2020.
Current Title:	Number of secondary career and technical education (CTE) concentrators who attained a secondary school diploma, a General Education Development credential, or another state-recognized equivalent.
Justification:	On July 31, 2018, the President signed into law the <i>Strengthening Career and Technical Education for the 21st Century Act</i> (Pub. L. No. 115-224), which reauthorized and amended the <i>Carl D. Perkins Career and Technical Education Act of 2006</i> . States are transitioning to the new accountability requirements of the Perkins V statute, including updating their measurement approaches and gathering baseline data for the Perkins V core indicators of performance.

Measure 1.3.G Status: Changed

Type of Change:	Decrease in fiscal year (FY) 2021 target from 70,000 to 56,000.
Current Title:	Number of adult education participants enrolled in an integrated education and training program.
Justification:	Due to the challenges of offering virtual integrated education training (IET) programs during the COVID-19 pandemic, the number of <i>Workforce Innovation and Opportunity Act</i> adult participants enrolled in IET programs have been affected in school year 2019–2020, which is reported in FY 2021.

Measure 1.3.I Status: Removed

Type of Change:	Measure removed at the end of Quarter 2 of fiscal year 2020.
Current Title:	Percentage of secondary career and technical education (CTE) concentrators placed in employment, further training, or the military.
Justification:	On July 31, 2018, the President signed into law the <i>Strengthening Career and Technical Education for the 21st Century Act</i> (Pub. L. No. 115-224), which reauthorized and amended the <i>Carl D. Perkins Career and Technical Education Act of 2006</i> . States are transitioning to the new accountability requirements of the Perkins V statute, including updating their measurement approaches and gathering baseline data for the Perkins V core indicators of performance.

Measure 1.3.J Status: Changed

Type of Change:	Decrease in fiscal year (FY) 2021 target from 1,550,635 to 1,240,508.
Current Title:	Number of secondary career and technical education concentrators enrolling in science, technology, engineering, and mathematics.
Justification:	Social distancing requirements implemented in response to the COVID-19 pandemic affected the ability of career and technical education (CTE) program providers to offer hands-on courses that require an in-person mentor for students. As a result, the number of secondary CTE concentrators enrolling in science, technology, engineering, and mathematics have been affected in school year 2019–2020, which is reported in FY 2021.



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

Measure 2.1.A Status: Changed

Type of Change:	Measure reporting period changed, and measure identifier changed from 2.1.F to 2.1.A in fiscal year (FY) 2020.
Original Title:	Percentage of Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) participants who obtain a secondary school diploma or its equivalent and, within one year, are enrolled in postsecondary education.
Current Title:	Percentage of Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) participants who obtain a secondary school diploma or its equivalent and, within 18 months, are enrolled in postsecondary education.
Justification:	This measure identifier changed from 2.1.F to 2.1.A in FY 2020. Additionally, social distancing requirements implemented in response to the COVID-19 pandemic have affected postsecondary institutions' in-class learning. As a result, students may decide, for example, to postpone postsecondary education plans for a semester or more in order to avoid virtual classes.

Measure 2.1.B Status: Changed

Type of Change:	Measure identifier changed from 2.1.D to 2.1.B in fiscal year (FY) 2020.
Original Title:	Percentage of first-time <i>Free Application for Federal Student Aid</i> ® filers among high school seniors.
Justification:	This measure identifier changed from 2.1.D to 2.1.B in FY 2020. No other changes were made.

Measure 2.1.C Status: Changed

Type of Change:	Decrease in fiscal year (FY) 2021 target from 84.0 percent to 83.0 percent, and measure identifier changed from 2.1.E to 2.1.C in FY 2020.
Current Title:	Persistence among first-time filing aid recipients.
Justification:	Postsecondary education enrollment decreased due to the COVID-19 pandemic. Therefore, fewer students are expected to apply for financial assistance. Additionally, this measure identifier changed from 2.1.E to 2.1.C in FY 2020.

Measure 2.1.D Status: New

Type of Change:	New measure added for Quarter 3 of fiscal year 2020.
Current Title:	Percentage of total appropriation made available to institutions of higher education within 30 days of the passage of the <i>Coronavirus Aid, Relief, and Economic Security (CARES) Act</i> (April 27, 2020).
Justification:	On March 27, 2020, the CARES Act was passed by Congress and signed by the President. This bill allotted approximately \$14 billion to the Office of Postsecondary Education as the Higher Education Emergency Relief Fund. As a result, the records of the dates that various Higher Education Emergency Relief programs and their appropriation levels were announced to the public and an application process was made available.

Measure 2.2.B Status: Changed

Type of Change:	Decrease in fiscal year (FY) 2021 target from 28.5 percent to 19.1 percent.
Original Title:	Percentage of adult education program participants who were in unsubsidized employment during the second quarter after exiting the program.
Justification:	Social distancing requirements implemented in response to the COVID-19 pandemic affected the general employment rate. Subsequently, the employment rate of <i>Workforce Innovation and Opportunity Act</i> participants have also been affected in program year 2020, which is reported in FY 2021.

Measure 2.3.B Status: Removed

Type of Change:	Measure removed at the end of Quarter 2 of fiscal year 2020.
Current Title:	Percentage of postsecondary career and technical education concentrators who received an industry-recognized credential, certificate, or degree.
Justification:	On July 31, 2018, the President signed into law the <i>Strengthening Career and Technical Education for the 21st Century Act</i> (Pub. L. No. 115-224), which reauthorized and amended the <i>Carl D. Perkins Career and Technical Education Act of 2006</i> . States are transitioning to the new accountability requirements of the Perkins V statute, including updating their measurement approaches and gathering baseline data for the Perkins V core indicators of performance.

Measure 2.3.C Status: Changed

Type of Change:	Fiscal year (FY) 2020 period of performance edited from school year (SY) 2019–2020 to SY 2018–2019. Additionally, FY 2021 target decreased from 737,000 to 589,600.
Current Title:	Number of postsecondary science, technology, engineering and mathematics degrees and certificates conferred.
Justification:	The period of performance for FY 2020 data is SY 2018–2019. This <i>FY 2020 Annual Performance Report</i> amends the period of performance in the <i>FY 2019 Annual Performance Report</i> to SY 2017–2018. Additionally, social distancing requirements implemented in response to the COVID-19 pandemic have affected postsecondary institutions' in-class learning, resulting into a shift to virtual learning, which has had a direct impact on students without broadband access.

Measure 2.4.H Status: Changed

Type of Change:	Increase fiscal year (FY) 2021 target from 100,000 to 500,000.
Current Title:	Number of users of “Aidan,” the StudentAid.gov virtual assistant.
Justification:	The FY 2020 actual result significantly exceeded the FY 2020 target. It is expected that the use of the virtual assistance, “Aidan,” will continue to grow.

Measure 2.5.C Status: New

Type of Change:	New measure added for performance period of March 27, 2020–December 31, 2020.
Current Title:	Percentage of eligible borrowers placed on a 0 percent interest rate.
Justification:	In accordance with the <i>Coronavirus Aid, Relief, and Economic Security Act</i> Section 3513, interest shall not accrue on a loan described under subsection for which a payment was suspended for the period of the suspension. As a result, eligible borrowers who have active loans (i.e., loans with balances) have been placed on a 0 percent interest rate.

Measure 2.5.D Status: New	
Type of Change:	New measure added for performance period of March 27, 2020–December 31, 2020.
Current Title:	Percentage of involuntary payments refunded.
Justification:	In accordance with the <i>Coronavirus Aid, Relief, and Economic Security Act</i> Section 3513, during the period in which the Secretary suspends payments on a loan, the Secretary shall suspend all involuntary collection related to the loan. As a result, borrowers who had Treasury Offset Program/Administrative Wage Garnishment payment involuntarily taken on their defaulted account were refunded those payments.

Measure 2.5.E Status: New	
Type of Change:	New measure added for Quarters 2 and 3 of fiscal year 2020.
Current Title:	Percentage of initial borrower notifications completed.
Justification:	In accordance with the <i>Coronavirus Aid, Relief, and Economic Security Act</i> Section 3513, borrowers must be informed of the actions taken in accordance with this section and ensure an effective transition. The Department was required to inform borrowers of their loan being placed in administrative forbearance and that interest would be suspended during the forbearance period.



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

Measure 3.1.A Status: Changed	
Type of Change:	Measure identifier changed from 3.1.C to 3.1.A in fiscal year (FY) 2020.
Current Title:	Percentage of principal offices assessed as having higher data maturity year over year based on the Department’s data maturity assessment tool.
Justification:	This measure identifier changed from 3.1.C to 3.1.A in FY 2020. No other changes were made.

Measure 3.2.C Status: Changed	
Type of Change:	Measure title changed for fiscal year 2021.
Original Title:	Percentage of local educational agency (LEA) websites from a statistically representative sample reviewed for inclusion of transparency best practices and compliance with legal requirements relating to third-party contracting.
Current Title:	Percentage of local educational agency (LEA) websites from a statistically representative sample reviewed for inclusion of transparency best practices.
Justification:	This metric captures the Study Privacy Policy Office’s (SPPO’s) review of LEA websites that SPPO conducts to better understand LEA practices and potentially inform future SPPO best practices. However, the original language (compliance with legal requirements) has given the impression that the purpose of the measure is to evaluate LEAs’ compliance or to enforce specific requirements. The title change will retain the existing measure while removing the unnecessary and misleading language about its purpose. The title change will not result in a new way to calculate the metric target results.

Measure 3.3.A Status: Changed

Type of Change:	Measure identifier changed from 3.3.D to 3.3.A in fiscal year (FY) 2020.
Current Title:	Number of data assets listed in a comprehensive data inventory that are made available to the Federal Data Catalogue with official determinations regarding “open-by default” requirements.
Justification:	This measure identifier changed from 3.1.C to 3.3.A in FY 2020. No other changes were made.



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

Measure 4.1.E Status: Removed

Type of Change:	Removed for fiscal year 2020 forward.
Original Title:	Total incremental cost of all Executive Order (EO) 13771 regulatory actions and EO 13771 deregulatory actions (including costs or cost savings carried over from previous fiscal years).
Justification:	The Department needs to establish the level of performance to be achieved during a performance period. The timeline for regulatory processes, including the development of regulatory impact analyses, makes it challenging to establish timely targets for gauging performance.

Measure 4.3.A Status: Changed

Type of Change:	Methodology changed for determining information technology security functions’ maturity level to reflect the actual risk posture of the Department.
Original Title:	Percentage of the Department’s information technology (IT) security functions that improved at least one maturity level.
Justification:	The Department revised its methodology for assessing this measure to encompass composite scoring that provides a more thorough, accurate, and timely view of cybersecurity performance across the Department.

Appendix C

Programs by Goal



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

Goal 1 Other Discretionary Programs and Activities

POC	ACCT	Objective	Program
IES	IES	1.4, 2.2	Regional Educational Laboratories
IES	IES	1.2, 2.2	Special Education Studies and Evaluations
OESE	ED	1.2, 1.3, 1.4	Title I Grants to Local Educational Agencies
OESE	ED	1.2, 1.4	Comprehensive Literacy Development Grants
OESE	ED	1.2	State Agency Programs: Migrant
OESE	ED	1.2	State Agency Programs: Neglected and Delinquent
OESE	ED	1.2, 2.1	Special Programs for Migrant Students
OESE	IA	1.2	Impact Aid, Payments for Federally Connected Children: Basic Support Payments
OESE	IA	1.2	Impact Aid, Payments for Federally Connected Children: Payments for Children with Disabilities
OESE	IA	1.2	Impact Aid, Facilities Maintenance
OESE	IA	1.2	Impact Aid, Construction
OESE	IA	1.2	Impact Aid, Payments for Federal Property
OESE	IE	1.2	Indian Education: Grants to Local Educational Agencies
OESE	IE	1.2	Indian Education: Special Programs for Indian Children
OESE	IE	1.2	Indian Education: National Activities
OESE	I&I	1.3, 1.4	Education Innovation and Research
OESE	I&I	1.2, 1.4	Teacher and School Leader Incentive Grants
OESE	I&I	1.1, 1.2	Charter Schools Grants
OESE	I&I	1.1, 1.2	Magnet Schools Assistance
OESE	I&I	1.2, 1.4	Innovative Approaches to Literacy
OESE	I&I	1.2	Full-Service Community Schools
OESE	I&I	1.2	American History and Civics Education
OESE	I&I	1.2, 2.3	Teacher Quality Partnership
OESE	I&I	1.2, 1.4	Supporting Effective Educator Development
OESE	I&I	1.2	Ready to Learn Programming
OESE	I&I	1.2	Arts in Education
OESE	I&I	1.2	Javits Gifted and Talented Education

POC	ACCT	Objective	Program
OESE	I&I	1.2, 1.4	Statewide Family Engagement Centers
OESE	SIP	1.2, 1.4	State Assessments
OESE	SIP	1.2, 1.4	Supporting Effective Instruction State Grants
OESE	SIP	1.2, 1.4	21st Century Community Learning Centers
OESE	SIP	1.2	Education for Homeless Children and Youth Education
OESE	SIP	1.2	Native Hawaiian Education
OESE	SIP	1.2	Alaska Native Education
OESE	SIP	1.2	Training and Advisory Services
OESE	SIP	1.2	Rural Education
OESE	SIP	1.2	Supplemental Education Grants
OESE	SIP	1.2	Comprehensive Centers
OESE	SIP	1.2	Student Support and Academic Enrichment Grants
OESE	SSCE	1.2	School Safety National Activities
OESE	SSCE	1.2	Promise Neighborhoods
OESE/OLEA	ELA	1.2	English Language Acquisition
OSERS	SE	1.1, 1.2, 1.4	Special Education Grants to States
OSERS	SE	1.1, 1.2	Preschool Grants
OSERS	SE	1.1	Grants for Infants and Families
OSERS	SE	1.1, 1.2, 1.4	Technical Assistance and Dissemination
OSERS	SE	1	Parent Information Centers
OSERS	SE	1.3	Education Technology, Media, and Materials
OSERS	SE	1.2	Special Olympics Education Programs
OCTAE	CTAE	1.3, 2.1	Adult Basic and Literacy Education State Grants
OCTAE	CTAE	1.3, 2.1	Adult Education National Leadership Activities

Acronyms and Definitions:

POC = Principal Operating Component; ACCT = Account; IES = Institute of Education Sciences; OESE = Office of Elementary and Secondary Education; ED = U.S. Department of Education; IA = Impact Aid; IE = Indian Education; I&I = Innovation and Improvement; SIP = Strengthening Institutions Program; SSCE = Safe Schools and Citizenship Education; OELA = Office of English Language Acquisition; ELA = English Language Acquisition; OSERS = Office of Special Education and Rehabilitative Services; SE = Special Education; OCTAE = Office of Career, Technical, and Adult Education; and CTAE = Career, Technical and Adult Education.

Mandatory Programs Supporting Goal 1

No additional programs.



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

Goal 2 Other Discretionary Programs and Activities

POC	ACCT	Objective	Program
FSA	DM/SAA	N/A	Student Aid Administration: Salaries and Expenses
FSA	DM/SAA	N/A	Student Aid Administration: Servicing Activities
FSA	SFA	2.1, 2.3	Federal Pell Grants: Discretionary
FSA	SFA	2.1, 2.3	Federal Supplemental Educational Opportunity Grants
FSA	SFA	2.1, 2.3	Federal Work-Study
IES	IES	1.4, 2.2	Regional Educational Laboratories
IES	IES	1.2, 2.2	Special Education Studies and Evaluations
OCTAE	CTAE	2.1, 2.3	Career and Technical Education State Grants
OCTAE	CTAE	2.1, 2.4	Career and Technical National Programs
OCTAE	CTAE	1.3, 2.1	Adult Basic and Literacy Education State Grants
OCTAE	CTAE	1.3, 2.1	Adult Education National Leadership Activities
OCATE	HE	2.1	Tribally Controlled Postsecondary Career and Technical Institutions
OESE	ED	1.2, 2.1	Special Programs for Migrant Students
OESE	I&I	1.2, 2.3	Teacher Quality Partnership
OPE	HE	2.1	Strengthening HBCUs
OPE	HE	2.1, 2.2, 2.3	Federal TRIO Programs
OPE	HE	2.1, 2.2	Aid for Institutional Development: Strengthening Institutions
OPE	HE	2.1	Aid for Institutional Development: Strengthening Tribally Controlled Colleges and Universities
OPE	HE	2.1	Strengthening Alaska Native and Native Hawaiian-Serving Institutions
OPE	HE	2.1	Strengthening Historically Black Graduate Institutions
OPE	HE	2.1	Strengthening HBCU Master's Program
OPE	HE	2.1	Strengthening Predominately Black Institutions
OPE	HE	2.1	Strengthening Asian American- and Native American Pacific Islander-Serving Institutions
OPE	HE	2.1	Strengthening Native American-Serving Nontribal Institutions
OPE	HE	2.2, 2.3	Minority Science and Engineering Improvement
OPE	HE	2.1	Aid for Hispanic-Serving Institutions: Developing Hispanic-Serving Institutions
OPE	HE	2.1	Aid for Hispanic-Serving Institutions: Promoting Post-baccalaureate Opportunities for Hispanic Americans

POC	ACCT	Objective	Program
OPE	HE	2.1	International Education and Foreign Language Studies: Domestic Programs
OPE	HE	2.1	International Education and Foreign Language Studies: Overseas Programs
OPE	HE	2.1	Model Transition Programs for Students with Intellectual Disabilities into Higher Education
OPE	HE	2.1, 2.2, 2.4	Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP)
OPE	HE	2.3	Graduate Assistance in Areas of National Need
OPE	HE	2.1	Childcare Access Means Parents in School
OPE	HE	2.1, 2.3	Fund for the Improvement of Postsecondary Education
OPE	HE	2.1	Howard University: General Support
OPE	HE	2.1	Howard University Hospital
OPE	HE	N/A	College Housing and Academic Facilities Loans Program Account: Federal Administration
OPE	HE	—	Historically Black College and University Capital Financing Program Account: Federal Administration
OPE	HE	—	Historically Black College and University Capital Financing Program Account: Loan Subsidies
OPE	HE	—	Historically Black College and University Capital Financing Program Account: Modification of Existing Loan Subsidies
OSERS	APH	2.1, 2.3	American Printing House for the Blind
OSERS	GU	2.1, 2.3	Gallaudet University
OSERS	NTID	2.1, 2.2	National Technical Institute for the Deaf
OSERS	REHAB	2.1	Client Assistance State Grants
OSERS	REHAB	2.1, 2.2	VR Training
OSERS	REHAB	2.1, 2.2	Demonstration and Training Programs
OSERS	REHAB	2.1	Protection and Advocacy of Individual Rights
OSERS	REHAB	2.1, 2.3	Supported Employment State Grants
OSERS	REHAB	2.2	Independent Living Services for Older Blind Individuals
OSERS	REHAB	2.2	Helen Keller National Center for Deaf-Blind Youths and Adults
OSERS	SE	2	State Personnel Development
OSERS	SE	2	Personnel Preparation

Acronyms and Definitions:

POC = Principal Operating Component; ACCT = Account; FSA = Office of Federal Student Aid; DM = Departmental Management; SAA = Student Aid Administration; N/A = Not Applicable; SFA = Student Financial Assistance; IES = Institute of Education Sciences; OCTAE = Office of Career, Technical, and Adult Education; CTAE = Career, Technical, and Adult Education; HE = Higher Education; OESE = Office of Elementary and Secondary Education; ED = U.S. Department of Education; I&I = Innovation and Improvement; OPE = Office of Postsecondary Education; HBCU = Historically Black College and University; OSERS = Office of Special Education and Rehabilitative Services; — = not available; APH = American Printing House for the Blind; GU = Gallaudet University; NTID = National Technical Institute for the Deaf; REHAB = Rehabilitation Services and Disability Research; VR = Vocational Rehabilitation; and SE = Special Education.

Mandatory Programs Supporting Goal 2

POC	ACCT	Objective	Program
FSA	FDSL	2.1, 2.3	Federal Direct Student Loans Program Account: New Loan Subsidies
FSA	FDSL	2.1, 2.3	Federal Direct Student Loans Program Account: New Net Loan Subsidy (non-add)
FSA	FDSL	2.1, 2.3	Federal Direct Student Loans Program Account: Upward Reestimate of Existing Loans
FSA	FDSL	2.1, 2.3	Federal Direct Student Loans Program Account: Downward Reestimate of Existing Loans (non-add)
FSA	FDSL	2.1, 2.3	Federal Direct Student Loans Program Account: Net Reestimate of Existing Loans (non-add)
FSA	FDSL	2.1, 2.3	Federal Direct Student Loans Program Account: Upward Modification of Existing Loans
FSA	FFEL	2.1	Federal Family Education Loans Program Account: Upward Reestimate of Existing Loans
FSA	FFEL	2.1	Federal Family Education Loans Program Account: Downward Reestimate of Existing Loans (non-add)
FSA	FFEL	2.1	Federal Family Education Loans Program Account: Net Reestimate of Existing Loans (non-add)
FSA	FFEL	2.1	Federal Family Education Loans Program Account: Upward Modification of Existing Loans
FSA	FFEL	2.1	Federal Family Education Loans Program Account: Downward Modification of Existing Loans (non-add)
FSA	FFEL	2.1	Federal Family Education Loans Program Account: Net Modification of Existing Loans (non-add)
FSA	FFEL	2.1	Federal Family Education Loans Liquidating Account: Pre-1992 Student Loans
FSA	HEAL	2.1	Health Education Assistance Loans Liquidating Account
FSA	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
FSA	TEACH	2.1, 2.3	TEACH Grants: Downward Reestimate of Existing Loans (non-add)
FSA	TEACH	2.1, 2.3	TEACH Grants: Net Reestimate of Existing Loans (non-add)
OPE	HE	2.1	Aid for Institutional Development: Mandatory Strengthening Tribally Controlled Colleges and Universities
OPE	HE	2.1	Mandatory Strengthening Alaska Native and Native Hawaiian-Serving Institutions
OPE	HE	2.1	Mandatory Strengthening HBCUs
OPE	HE	2.1	Mandatory Strengthening Predominantly Black Institutions

POC	ACCT	Objective	Program
OPE	HE	2.1	Mandatory Strengthening Asian American- and Native American Pacific Islander-Serving Institutions
OPE	HE	2.1	Mandatory Strengthening Native American-Serving Nontribal Institutions
OPE	HE	2.1, 2.2	Aid for Hispanic-Serving Institutions: Mandatory Developing HSI STEM and Articulation Programs
OPE	HE	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	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; OPE = Office of Postsecondary Education; HE = Higher Education; HBCU = Historically Black College and University; HSI STEM = Hispanic Serving Institution Science, Technology, Engineering, and Mathematics Articulation Program; N/A = Not Applicable; OSERS = Office of Special Education and Rehabilitative Services; REHAB = Rehabilitation Services and Disability Research; and — = not available.



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

Goal 3 Other Discretionary Programs and Activities

POC	ACCT	Objective	Program
IES	IES	3.3	Research, Development, and Dissemination
IES	IES	3.1, 3.2, 3.3	Statistics
IES	IES	3.1, 3.2, 3.3	National Assessment

Acronyms and Definitions:

POC = Principal Operating Component; ACCT = Account; and IES = Institute of Education Sciences.

Mandatory Programs Supporting Goal 3

No additional programs.



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

Goal 4 Other Discretionary Programs and Activities

POC	ACCT	Objective	Program
All	DM/PA	N/A	Program Administration: Salaries and Expenses
OCR	OCR	N/A	Office for Civil Rights
OIG	OIG	N/A	Office of Inspector General

Acronyms and Definitions:

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

Mandatory Programs Supporting Goal 4

No additional programs.

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Appendix D

Summary of Performance Evaluations Completed During FY 2020 and Expected During FY 2021 and FY 2022

Appendix D summarizes findings from National Center for Education Evaluation and Regional Assistance evaluations completed by the Department during fiscal year (FY) 2020. It also details key features of evaluations with products that are expected to be released during FY 2021 and FY 2022.

National Center for Education Evaluation and Regional Assistance Evaluations Completed in FY 2020

School Improvement

Impact Evaluation of Parent Messaging Strategies on Student Attendance

Study Purpose

Student attendance is a consistent and strong predictor of student success, even in the early school years. Yet, particularly in low-income communities, a quarter of all students in kindergarten through third grade are chronically absent (defined as missing 10 percent or more of school days). One potential way to improve attendance in the early grades, while also accounting for limited district budgets, is to use text messaging. This evaluation examined the impact of such a strategy on attendance and achievement among 26,000 elementary school students. Specifically, the evaluation tested a strategy that began with low-cost, low-burden reminders and notifications to parents and then “adapted” such that parents of students who continued to be frequently absent received additional intensified messaging.

Key Question(s) Addressed

- What is the impact on student attendance of using text messaging to provide parents with basic information related to attendance? Is it better for the messages to emphasize the benefits of regular attendance or the consequences of missing school?
- For parents who do not respond to the lower-cost, basic messages, which higher-cost, intensified messages work better to improve attendance—one that includes direct outreach from school staff or one that uses automated methods to improve motivation and behavioral skills?
- Do the four combinations of fall and spring messages (i.e., the four adaptive versions of the messaging strategy) have effects on end-of-year attendance and achievement when compared to each other and to business-as-usual?
- How is the messaging strategy implemented and what are its costs?

Design

The evaluation used a sequential, multiple assignment, randomized trial design to measure the effectiveness of two “basic” messaging approaches in the fall, two “intensified” approaches in the spring, and the four resulting versions of the overall adaptive messaging strategy during the entire school year. In the fall, the study team randomly assigned families within 108 elementary schools in four large purposively selected urban districts to receive one of two types of basic messages or to the “business-as-usual” condition. The basic messages emphasized either the benefits of regular attendance or the consequences of missing school and included same-day notifications when children missed school. During the spring, parents who were “responsive” (i.e., had children with low absence rates) continued receiving their basic messages. Parents who were “non-responsive” were re-randomized to receive intensified messages that consisted of either school staff directly texting parents or frequent automated messages that encouraged parents to commit to perfect attendance goals.

Information gathered from extant district records were collected to examine the impact of the overall strategy on student attendance and achievement. Information gathered from the text messaging vendor and a brief school staff log were used to assess how well the intervention was implemented and to examine its costs.

Key Findings

- All four versions of the adaptive text messaging strategy reduced chronic absence. The messaging lowered the expected chronic absence rate by 2 to 7 percentage points, with the larger reduction for students with a prior history of high absence.
- The two approaches to basic messaging were similarly effective at reducing chronic absence, but one approach to intensified messaging was better than the other for certain students. The basic messaging focused on either the benefits of attending school or the consequences of being absent—both approaches were equally effective. But for those that received intensified messaging and had a prior history of high absence, having school staff directly text parents reduced chronic absence rates in the spring more than the other more automated intensified approach.
- The text messaging strategy did not improve achievement. The reading and mathematics achievement of students in grades 3 through 5 was similar for students whose parents did and did not receive text messages during the year the text messaging was under way.

Actual Completion Date

A report, titled *Can Texting Parents Improve Attendance in Elementary School? A Test of an Adaptive Messaging Strategy*, was released in September 2020.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/other_messaging.asp#

Implementation of Title I/Title II, Part A Program Initiatives

Study Purpose

Each time the *Elementary and Secondary Education Act* (ESEA) is reauthorized, there is a shift in federal policies related to K–12 schooling, including in ESEA’s two core programs. Accounting for about \$19 billion of \$26 billion in ESEA funds in FY 2020, Title I and Title II, Part A encourage equal access to education by providing financial assistance to schools and districts with a high percentage of students from low-income families (Title I) and by improving teacher and principal quality (Title II, Part A).

ESEA’s latest reauthorization as the *Every Student Succeeds Act* (ESSA) in 2015 shifts authority over many education decisions and rules from the Department to states and localities. The new law also retains some federal requirements from prior versions of ESEA to help ensure that states focus on providing a high-quality education to disadvantaged students. How states and localities respond to this combination of flexibility and requirements will determine whether ESSA stimulates educational improvement as intended.

This study provides a national portrait of Title I and Title II, Part A implementation at several key time points, including:

- School year (SY) 2013–2014, when the Department had already begun to provide states with waivers from key requirements under ESSA’s predecessor, the *No Child Left Behind Act*, in exchange for commitments to specific reform principles, colloquially known as “ESEA flexibility.”
- SY 2017–2018, when the Department approved most states’ ESSA plans, marking a transition year to fully implementing ESSA’s core components.
- SY 2020–2021, the first full school year following the initial COVID-19 pandemic, which may affect state and local plans for implementing ESSA.
- SY 2021–2022, when ESSA implementation is expected to be in a more mature phase.

Key Question(s) Addressed

- What content standards and high school graduation requirements are states adopting, and what materials and resources are provided to support implementation?
- What types of assessments do states and districts use, and what materials and resources are provided to support the implementation of assessments and use of assessment data?
- What elements are included in states’ accountability systems? How do states and districts identify and support their lowest-performing schools?
- How do states and districts evaluate educator effectiveness and assess equitable distribution of educators, and what supports are provided to improve educator effectiveness?
- How has student achievement changed over time?

Design

National data will be collected at times that correspond to the key points described in the Study Purpose section. In any year, these data may include surveys of all state Title I and Title II coordinators and nationally representative samples of districts, schools, and teachers. The evaluation also draws on existing data, such as state-level student academic proficiency that states report to the Department, state-level mathematics and reading achievement data from the Department’s National Assessment of Educational Progress, and information from ESSA state plans.

Responses to survey questions will be tabulated into descriptive statistics (such as percentages) and simple statistical tests (such as tests for differences between percentages). These tabulations provide a snapshot at each time point as well as aggregate changes over time. The study is descriptive and not designed to estimate the impact of federal policies on state and local actions.

Key Findings

From a snapshot describing state and district support for evidence use in lowest-performing schools based on data collected during SY 2017–2018 (transition to ESSA):

- Most states pointed districts and schools to evidence on improvement strategies, but few required schools to choose from an approved strategy list. Most states used approaches that included providing information directly, making referrals to organizations that rate evidence, and setting grant funding criteria to incentivize evidence.
- Most districts (9 in 10) reported that evidence of effectiveness was a “very important” consideration when choosing improvement strategies. But the evidence districts relied on probably varies in quality. Most districts reported obtaining information on improvement strategies from peers and vendors, while fewer got information from sources designed to rate and share evidence.

From the first report based on data collected during SY 2013–2014 (prior to ESSA):

- Most states adopted and most principals and teachers reported implementing state standards that focused on college and career readiness. All but one state had committed to implementing college- and career-ready standards by SY 2013–2014.
- Many state assessments incorporated more sophisticated response formats to better assess students’ college and career readiness. Depending on grade level, 24 to 36 states reported using extended constructed-response assessment formats to assess higher-order thinking skills in reading/English language arts; 19 states reported doing so in mathematics.
- States used ESEA flexibility to reset their accountability goals and target a narrower set of schools for additional support. States with ESEA flexibility identified 15 percent of Title I schools as either lowest performing or as having substantial

student achievement gaps. In non-flexibility states, 43 percent of Title I schools were identified as lowest performing.

- Almost all states adopted new laws or regulations related to educator evaluation systems between 2009 and 2014, and most districts reported full or partial implementation in SY 2013–2014. However, few districts reported using evaluation system measures consistent with emerging research.
- Proficiency rates on the National Assessment of Educational Progress slightly increased from 2005 to 2015, with the largest increases in 4th and 8th grades and smaller or no increases in 12th grade. Overall proficiency rates increased by 4 to 5 percentage points in 4th and 8th grade reading and mathematics and by 2 percentage points in 12th grade reading.
- Additional reports and snapshots are anticipated based on the data collected during SY 2017–2018, SY 2020–2021, and SY 2021–2022. The key findings will be updated when those products are released.

Actual Completion Date

A snapshot, titled *How States and Districts Support Evidence Use in School Improvement*, was released in June 2020.

The first report, titled *Implementation of Title I and II-A Program Initiatives: Results from 2013–14*, was released in January 2017.

The second report, which will be based on data collected during SY 2017–2018 (to inform the transition to ESSA), is expected in 2020 and will be announced on <https://ies.ed.gov/ncee/>.

A restricted-use file containing de-identified data is available for the purposes of replicating study findings and secondary analysis.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/other_titleI.asp#

Teachers and Leaders

Impact Evaluation of Support for Principals

Study Purpose

Title II, Part A of ESEA provides funding to improve the quality and effectiveness of educators. The program includes a broad array of allowable activities for principals and teachers, such as intensive professional development. Helping principals improve their leadership practices is one way to improve instruction and student achievement. This evaluation assesses one approach to supporting principals' instructional leadership—primarily through principals conducting structured observations of teachers' classroom instruction and providing targeted feedback based on those observations.

Key Question(s) Addressed

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

Design

Within 10 districts, the study team randomly assigned a total of 100 elementary schools to receive the professional development program or not. All principals continued to have access to any regular district-provided professional development. The University of Washington’s Center for Educational Leadership was competitively selected and provided the professional development program during SY 2015–2016 and SY 2016–2017. The professional development supported principals’ instructional leadership—primarily through principals conducting structured observations of teachers’ classroom instruction and providing targeted feedback based on those observations.

Data collection in both years of implementation includes 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 document teacher retention and student outcomes, such as achievement, behavior, and attendance.

Key Findings

- Principals’ practices did not change in ways intended by the program. Although the program was implemented as planned, principals did not increase the number of times they observed teachers. In fact, teachers whose principals received the professional development reported receiving less frequent instructional support and feedback than teachers whose principals did not receive the professional development. In addition, teachers whose principals received the program were no more likely to report positive perceptions of the usefulness of the feedback provided.
- The program did not improve students’ achievement. On average, students had similar achievement in English language arts and mathematics whether they were in schools that received the principal professional development or not. Students in each group scored near the 40th percentile on their state assessments in each subject.

Actual Completion Date

The study report, titled *The Effects of a Principal Professional Development Program Focused on Instructional Leadership*, was released in October 2019.

A study snapshot on principal time use is expected in 2021 and will be announced on <https://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/tq_principals.asp#

Technical Assistance to Evaluators or States

Evaluation of the Comprehensive Technical Assistance Centers for FY 2012 Grantees

Study Purpose

The Comprehensive Technical Assistance Centers is a federal grant program authorized under the *Educational Technical Assistance Act of 2002*. The purpose of the Centers is to help state educational agencies (SEAs) build capacity to implement state-level initiatives and to support district- and school-level initiatives that improve educational outcomes for all students, close achievement gaps, and improve the quality of instruction. As of 2018, there were 15 regional centers that provided technical assistance to specific states and 7 content centers that provided content-area expertise in seven topics: standards and assessments implementation, great teachers and leaders, school turnaround, enhancement of early learning outcomes, college- and career-readiness and success, building of state capacity and productivity, and innovations in learning.

Since 2002, two sets of centers have been funded, one starting in FY 2005 and one starting in FY 2012. The 22 centers from the FY 2012 cohort received a total of nearly \$350 million in federal funding between 2012 and 2018. The *Educational Technical Assistance Act of 2002* mandates a national evaluation of the program. The Institute of Education Sciences (IES) previously conducted an evaluation of the Comprehensive Technical Assistance Centers for FY 2005 grantees. The current evaluation focused on the FY 2012 grantees.

Key Question(s) Addressed

- How did the centers define capacity building in their theories of action?
- How did the centers assess the needs of their constituents and develop work plans to address those needs?
- What strategies did the centers employ to achieve their outcomes?
- To what extent and how did the centers collaborate with each other?
- What challenges did the centers face, and how did they respond?
- Did the centers achieve their expected capacity-building outcomes, and how did they know?
- What strategies were perceived to be most effective and why?

Design

All 22 centers were included in the sample. Data on the centers' technical assistance design, implementation, and outcomes were collected over three years (from 2015 through

2017) primarily through: (1) the centers' work plans and technical assistance activity data; (2) interviews with staff from each center; (3) interviews with technical assistance recipients; (4) surveys of center staff; and (5) surveys of technical assistance recipients. This approach yielded rich and diverse data that were analyzed and summarized using qualitative research methods and simple quantitative tabulations.

Key Findings

- States that received technical assistance reported improvements in their capacity, particularly related to building knowledge and skills.
- Centers shared similar approaches to the design and implementation of their work. Common principles of capacity-building included fostering ownership, long-term change, and organizational process changes. Common strategies to implement these principles included thought partnering, cross-state sharing, and modeling new practices.
- Centers and states considered multiple forms of assistance to be instrumental to building capacity, including support for gathering stakeholder input on policy, strategies for navigating transitions in state leadership, and various products and tools.
- Centers and states pointed to a few areas for program improvement, including clarifying the role of the Centers and expected outcomes related to their work with local educational agencies (LEAs).

Actual Completion Date

The final report, titled *National Evaluation of the Comprehensive Centers Program Final Report*, was released in October 2019.

A restricted-use file containing de-identified data is available for the purposes of replicating study findings and secondary analysis.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/other_techcenters12.asp#

National Center for Education Evaluation and Regional Assistance Evaluations Expected in FY 2021 and FY 2022

Literacy and English Learners

Academic Language Impact Evaluation

Study Purpose

Academic language skills are critical supports for reading and understanding for all students, particularly for English learners (ELs) and disadvantaged native English speakers whose achievement typically lags behind their peers. For example, nationally, fourth-grade ELs continue to score significantly lower on reading and mathematics assessments

compared to their non-EL counterparts. Because districts and policymakers need information about what works to close these gaps, this evaluation examines whether a promising supplemental academic language program is effective when implemented at a large scale. The program includes 12 two-week teaching units that introduce five to six high-frequency academic vocabulary words used across English language arts, mathematics, science, and social studies. Each unit provides students with repeated, authentic opportunities to practice using academic language in the classroom.

Key Question(s) Addressed

- What is the impact of the academic language program on student achievement?
- What is the impact of the academic language program on classroom instruction?
- Is there variation in the implementation or impact of the program? What implementation and sample characteristics are associated with variation in impacts?

Design

The study team recruited 70 schools and randomly assigned them to either receive the program’s training and materials or continue their instruction as usual. Program schools were offered summer training and ongoing support to implement the academic language program with their fourth- and fifth-grade teachers and students during SY 2017–2018.

Data collection includes study-administered assessments of students’ academic language skills and reading comprehension, classroom observations to document the instructional contrast between teachers and classrooms that received the program training and those that did not, and administrative records to document student English proficiency and progress.

Estimated Completion Date

The study report is expected in 2021 and will be announced on <http://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/ell_ali.asp#

Impact Evaluation of Training in Multi-tiered Systems of Support for Reading in Early Elementary School

Study Purpose

A third of U.S. students fail to develop foundational reading skills by fourth grade that are necessary to succeed academically. In addition, the achievement gap is growing, as demonstrated by *The Nation’s Report Card*. To address these concerns, ESSA promotes the use of evidence-based literacy interventions. Also, the Department has made supporting educators with the knowledge, skills, professional development, and materials necessary to improve reading instruction a key priority. The *Individuals with Disabilities Education Act* (IDEA) similarly encourages high-quality instruction along with better

identification of students needing extra support to prevent or mitigate student reading issues. This study will provide much-needed evidence by evaluating two professional development strategies for bolstering core reading instruction and supplemental supports, guided by data, within a multi-tiered system of support for reading (MTSS-R) framework. These strategies were competitively selected based on prior evidence of effectiveness. MTSS-R is a widely used framework for providing high-quality reading instruction for all students, identifying students needing supplemental or more intensive support, and providing the additional support for those who need it. The first strategy builds teachers' knowledge in the science of reading development and provides resources and materials with support on when to use them. For struggling students, staff are provided and trained to use a supplemental reading curriculum. The second strategy trains teachers to use scripted lessons that complement the core reading curriculum. For struggling students, staff are trained to pre-teach the core reading curriculum lessons.

Key Question(s) Addressed

- What are the impacts on student literacy for all students? What are the impacts for struggling students?
- What are the impacts on classroom practice in core reading instruction for all students and supplemental instruction for struggling students?

Design

This study provides support for two professional development strategies implemented in grades 1 and 2. Approximately 150 schools will be randomly assigned to one of the professional development strategies or a business-as-usual control group. The study's professional development will be provided across three school years (SY 2021–2022 through SY 2023–2024).

Data collection includes documentation of training delivery, a teacher survey, a reading specialist survey, site visits, training provider logs and fidelity data, coach logs and team minutes, classroom and supplemental support observations, records data for students in grades K–5, and individual student testing. These data will be analyzed to answer the study's primary research questions. In addition, the study will include supplemental products that focus on practical information learned from implementing the strategies and focus on special topics to help practitioners understand and address students' reading needs.

Estimated Completion Date

The first report for the study is expected in 2023 and will be announced on <http://ies.ed.gov/ncee/>.

Link to Additional Information

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

National Evaluation of the Comprehensive Literacy State Development Grant Program

Study Purpose

Many U.S. students still do not acquire even basic literacy skills. Students living in poverty, students with disabilities, and ELs are especially at risk. For fourth graders, the National Assessment of Educational Progress shows a substantial gap in reading achievement between students from high-income families (average score at about the 65th percentile) and students from low-income families (average score at about the 35th percentile).

To narrow the gap in literacy between disadvantaged students and other students, in 2011, the federal government launched the Striving Readers Comprehensive Literacy (SRCL) program. SRCL is a discretionary grant program authorized as part of Title III of Division H of the *Consolidated Appropriations Act of 2016* (Pub. L. No. 114-113) under the Title I demonstration authority (Part E, Section 1502 of ESEA).

The most recent reauthorization of ESEA created the Comprehensive Literacy State Development (CLSD) program (Title I, Part B, Subpart 2, Section 2222 of ESEA as amended by ESSA). The CLSD program is the successor program to SRCL and will competitively award grants to SEAs that will then provide subgrants to LEAs and early-learning providers. Both the SRCL and CLSD programs intend subgrantees to implement evidence-based comprehensive literacy instruction. The ultimate goal of both programs is to advance literacy skills for students from birth through grade 12, with an emphasis on disadvantaged students. Both programs include a congressionally mandated national evaluation.

Key Question(s) Addressed

The questions to be addressed by the implementation evaluation of the SRCL program include:

- How do SEAs make subgrant award decisions?
- What technical assistance do SEAs provide to their subgrantees?
- How do SEAs inform continuous improvement and evaluate subgrantees' projects?
- How do subgrantees target SRCL program awards to eligible schools and early-learning programs?
- What literacy interventions and practices are used by SRCL schools and early-learning programs?
- To what extent are SRCL-funded practices supported by evidence?
- What are the literacy outcomes for students in SRCL schools and early learning programs?

The questions to be addressed by the impact design/feasibility study for CLSD include:

- Does the subgrant award process from SEAs to LEAs provide any opportunities for a random assignment impact evaluation design?

- What are the most policy-relevant impact questions that can be credibly answered about the CLSD program?
- What are the most credible and feasible study designs for each of the relevant impact questions?

The questions to be addressed by the optional impact evaluation of CLSD are:

- What is the impact of the CLSD program or CLSD-funded practices on classroom reading instruction?
- What is the impact of the CLSD program or CLSD-funded practices on student reading outcomes?

Design

There are three major components of this requirement: an implementation evaluation of the SRCL program, an impact design/feasibility study for the CLSD program, and an optional impact evaluation of the CLSD program.

The SRCL implementation evaluation will include grant application reviews, annual grantee interviews, surveys of all subgrantees in spring 2019, surveys of principals and teachers in a representative sample of 500 funded schools in spring 2019 and spring 2020, and a collection of state and local extant reading/language arts assessment data. The evaluation will also conduct evidence reviews of practices commonly funded by SRCL and conduct observations and interviews to measure classroom instruction more in-depth in a sample of 100 classrooms in 50 schools.

The impact design/feasibility study will include interviews with up to nine SEA grantees and up to nine LEA subgrantees in winter 2019.

Estimated Completion Date

The first report for the study, which will summarize SRCL implementation, is expected in 2021 and will be announced on <http://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/literacy_comprehensive.asp#

Pathways to Career or College

Assessing Evidence of Effectiveness in Adult Education Design Study

Study Purpose

Higher-level skills are increasingly required to succeed in the American workforce, yet many adults in the United States lack them. More than 25 million adults have not earned a high school diploma or its recognized equivalent. Even among those with at least a secondary

credential, a lack of proficiency with the English language can be a significant barrier to a family-sustaining income and to full integration as citizens.

Congress has sought to help individuals address these challenges—and the nation’s workforce development needs—through Title II of the 2014 *Workforce Innovation and Opportunity Act* (WIOA). Title II authorizes funding to states that then fund local programs designed to assist adults in obtaining the education credentials, knowledge, and skills necessary for employment and economic self-sufficiency. Title II also mandates that the Department carry out an independent evaluation of adult education programs and services. Under a National Assessment of Adult Education, IES will examine the effectiveness of adult education and literacy activities, starting with a feasibility and design study. This feasibility and design study will summarize what is known about effective adult education activities and services, identify policy-relevant activities or services that are feasible and appropriate to evaluate rigorously, and present design options for evaluating those activities or services.

Key Question(s) Addressed

- What is known about the effectiveness of adult education programs, activities, and services?
- What adult education programs, activities, and/or services are feasible to examine with an impact study?
- What are design options for impact studies, including the most feasible and policy-relevant counterfactual, the most feasible unit of random assignment, the required sample sizes, and the most credible outcome measures?

Design

A systematic evidence review will be conducted to summarize existing studies of adult education. The contractor will draw on the evidence review and interviews with state and local directors of adult education to identify a set of promising adult education activities or services that could feasibly be evaluated. The contractor will also develop study design options. The Department may elect to conduct up to two impact studies, beginning as early as 2021.

Estimated Completion Date

The systematic evidence review is expected in 2021 and will be announced on <https://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/pathways_evidence.asp#

Effectiveness of Promising Strategies in Federal College Access Programs: A Study of Financial Aid Supports for GEAR UP Students

Study Purpose

Scholarships to support college enrollment and persistence can be critical for low-income students, including those in high-need schools that participate in Gaining Early Awareness

and Readiness for Undergraduate Programs (GEAR UP). Providing scholarships distinguishes GEAR UP from other federal college access programs, but little is known about how and to whom state grantees distribute the aid. The 2008 *Higher Education Act* (HEA) changed some requirements for this GEAR UP component, restricting it in some ways but giving states more flexibility in other ways. HEA also requires the Department to evaluate the scholarship component, a mandate this study will fulfill.

Key Question(s) Addressed

- To what extent do state grantee policies and practices emphasize access to scholarships for GEAR UP students?
- How do state grantees allocate their resources between scholarships and other state and local GEAR UP efforts?
- What challenges do state grantees face in administering GEAR UP scholarships and other aspects of the program?

Design

This descriptive study will focus on interviews with state grantee project directors and scholarship administrators, if relevant, who oversee approximately 42 state GEAR UP grants. The interviews will begin later in 2020. Data on the total number of students receiving scholarships and scholarship amounts will also be collected. These data will be analyzed to address the study's three research questions.

Estimated Completion Date

The first report for the study is expected in 2022 and will be announced on <https://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/pathways_gearupscholarship.asp#

Effectiveness of Promising Strategies in Federal College Access Programs: Study of College Transition Text Messaging in GEAR UP

Study Purpose

The complex process of applying to, enrolling in, and staying in college is one of many barriers to postsecondary success that low-income students face. Emerging research suggested 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—registering, making course selection, making tuition payments, getting to office hours, refiling *Free Application for Federal Student Aid*® (FAFSA®)—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 GEAR UP, a Department college access program that serves students in high-need schools beginning in seventh grade. The messaging helped the schools take advantage of a new opportunity, introduced in the 2008 amendments to HEA, for GEAR UP grantees to support a first year of college transition.

Key Question(s) Addressed

- 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

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.

Estimated Completion Date

The report for the study is expected in early 2021 and will be announced on <https://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/pathways_gearup.asp#

Effectiveness of Promising Strategies in Federal College Access Programs: Study of Enhanced College Advising in Upward Bound

Study Purpose

Growing concern over college enrollment, completion, and costs has heightened interest in how to help low-income students, including those in college access programs funded by the Department. One concern is the extent of “under-matching,” when high school students fail to enroll in any postsecondary program or in a college that is well aligned with their qualifications and talents. This study tested whether adding a low-cost, enhanced college advising approach into the federal Upward Bound program improves students' college fit and persistence. The approach included customized packages with information about college-going and costs, text messaging of key application and financial aid deadlines tailored to students' intended choice, and specialized training for the students' advisors. The study fulfills a requirement in the 2008 *Higher Education Opportunity Act* to conduct a rigorous “promising practices” study.

Key Question(s) Addressed

- Can the enhanced college advising approach increase the number of colleges to which students apply, the quality/selectivity of the colleges in which they enroll, and their persistence in college?
- In what types of grantees is this approach most effective and with what types of students?

Design

About 200 Upward Bound grantees that volunteered were randomly assigned in spring 2015 so that half were able to use the enhanced advising materials and training with their rising SY 2015–2016 seniors and half were not (though they did receive access to the enhanced advising later). In both sets of grantees, the evaluation team administered surveys to the rising SY 2015–2016 seniors in spring 2015 (end of junior year) before grantees were randomly assigned and then again in spring 2016 (end of senior year) to collect information about their college plans. The evaluation assessed the impacts of the enhanced advising on (1) early indicators, such as the number of college applications submitted and students' completion of the FAFSA® and (2) if and where students enrolled in college (college “fit” or “match”) and whether they were still enrolled after three years.

Estimated Completion Date

The final report for the study is expected in 2021 and will be announced on <https://ies.ed.gov/ncee/>.

Link to Additional Information

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

Evaluations of Federal Financial Aid Information and Delivery Strategies: An Experiment Requiring Additional Loan Counseling for Student Borrowers

Study Purpose

Roughly two out of three students take out loans to pay for college, requiring them to make consequential decisions about how much to borrow and which type of loans. But many students lack the financial knowledge and skills to make good choices, underscored by the more than 500,000 who default on their loans each year. Colleges can only require federal loan borrowers to complete short, one-time counseling before receiving their loans (“entrance”) and when they leave school (“exit”). To help these borrowers manage their debt, Federal Student Aid (FSA), under the Experimental Sites Initiative authorized by Section 487A(b) of HEA of 1965, is allowing colleges to require student borrowers to participate in additional annual loan counseling in the years between the already mandated entrance and exit counseling. IES is assessing the effectiveness of these waivers on students' borrowing and college progress and, later, loan repayment.

Key Question(s) Addressed

- What types of colleges participated in the Loan Counseling Experiment, and what kinds of additional loan counseling did they require?
- Are student borrowers who receive three years of additional loan counseling more likely than their peers who do not receive additional loan counseling to take loans with better terms, borrow an affordable amount, and persist in college?
- Do the effects of requiring three years of additional loan counseling vary by key characteristics of the students, the colleges they attend, or the kind of counseling provided?

Design

A total of 35 colleges volunteered to participate in the Loan Counseling Experiment. These schools estimated identifying approximately 100,000 students who were eligible to participate in the experiment between the 2017–2018 and 2018–2019 financial aid award years. Students were randomly assigned to either complete the additional required loan counseling (once per year) or not complete any additional counseling. Participating colleges had discretion over the content, and delivery of the loan counseling they could require, and report on it through an annual survey conducted by FSA. Students' borrowing and school progress will be measured using administrative records from FSA. These data will be analyzed to address the evaluation's three research questions.

Estimated Completion Date

The first report for the study is expected in 2021 and will be announced on <https://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/pathways_loancounseling.asp#

Evaluation of the Pell Grant Experiments Under the Experimental Sites Initiative

Study Purpose

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

in vocational training in high-demand fields. IES designed and is overseeing a rigorous evaluation of these experiments.

Key Question(s) Addressed

- Does expanding Pell grant eligibility to include income-eligible students with a BA (Experiment #1) and/or to cover shorter-term programs (Experiment #2) improve access to job training?
- Does expanding Pell grant eligibility to these groups affect financial aid receipt and/or student debt?
- Do these two Pell grant experiments improve persistence and completion rates?

Design

Close to 50 institutions of higher education (IHEs) volunteered to participate and identified nearly 3,000 students eligible for the experiments between the 2012–2013 and 2016–2017 financial aid award years. Students were randomly assigned to receive a Pell grant or not to receive a Pell grant in their financial aid package. Student administrative data from participating IHEs were collected in fall 2016, 2017, and 2018 to allow for the maximum number of study participants to complete their programs. Data collection also included student administrative records on financial aid receipt from FSA. These data will be analyzed to address the three research questions.

Estimated Completion Date

The report for the study is expected in late 2020 and will be announced on <http://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/pathways_pell.asp#

National Evaluation of Career and Technical Education Under Perkins V

Study Purpose

Even with constant change in the nature of work and the economy, the education decisions students make today will influence their later career direction and success. Helping secondary and postsecondary students develop skills that have value in the workplace is the key goal of career and technical education (CTE). Congress has supported CTE for more than a century, most recently through the reauthorization of the *Carl D. Perkins Career and Technical Education Act* in 2018 (Perkins V). Many provisions of the prior *Perkins Act* remain, but Perkins V includes some changes designed to: (1) enhance CTE program quality through new mechanisms for program improvement and labor market alignment, (2) increase flexibility in Perkins funding and accountability, and (3) promote equity by expanding exposure to and participation in CTE for all students. Perkins V also requires IES to conduct this national evaluation to assess CTE programs under the new law.

Key Question(s) Addressed

- How, and to what extent, does current CTE implementation reflect key policy goals and objectives of Perkins V?
- What challenges do State agencies and local recipients face in administering and delivering CTE services, particularly the newly introduced provisions in Perkins V?
- In what important ways has CTE implementation evolved since the prior version of the Perkins Act?
- How are CTE participation and outcomes changing?
- What is known about the effectiveness of CTE strategies and practices, particularly those that are allowable under Perkins V?

Design

The national evaluation will draw on a variety of data sources and studies for its assessment of CTE, though the design is still being finalized. New surveys of all state directors of CTE and a nationally representative sample of district coordinators of CTE will be conducted in FY 2022 to collect information about Perkins implementation. Trends in CTE participation and outcomes will be obtained by analyzing other national data, including those from the National Center for Education Statistics, state-submitted Perkins V performance reports, and labor market repositories. To identify and report on the effectiveness of key CTE strategies, the evaluation will review rigorously conducted research, where it already exists, and consider conducting new studies of CTE approaches deemed most critical to the field's improvement.

Estimated Completion Date

IES is required to report to Congress on results from the evaluation every two years. An interim report is currently due in 2021, a report is due in 2023, and biennial updates are expected thereafter. These publications will be announced on <https://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/pathways_nectep.asp#

National Study of the Implementation of Adult Education Under the Workforce Innovation and Opportunity Act

Study Purpose

Higher-level skills are increasingly required to succeed in the American workforce, and yet many adults in the United States lack them. More than 25 million adults have not earned a high school diploma or General Educational Development. Even among those with at least a secondary credential, a lack of proficiency with the English language can be a significant barrier to a family-sustaining income and to full integration as citizens. Congress has sought to help individuals address these challenges—and the nation's workforce development needs—by providing funds for adult education. Most recently, Title II of

the 2014 WIOA provides funding to states that fund local programs designed to assist adults in obtaining the education credentials, knowledge, and skills necessary for employment and economic self-sufficiency. The programs serve adults with varying levels of literacy, English proficiency, and educational attainment. The FY 2017 appropriation for Title II was approximately \$580 million. In program year (PY) 2015, 1,525,878 eligible individuals were served through programs receiving Title II funding.

WIOA is a departure from its legislative predecessor (the *Workforce Investment Act of 1998*) in several ways. For instance, in specifying state and local responsibilities and program features, WIOA now includes a clearer link between adult education and workforce development, an expansion in opportunities to serve particular subpopulations of adults (such as ELs), and greater emphasis on performance accountability and program effectiveness information.

WIOA mandates an independent national evaluation of adult education programs funded under Title II. A part of the national evaluation, this study is designed to provide implementation information on such programs, with a focus on how the changes contained in WIOA appear to be shaping the services provided by adult education programs and the populations such programs serve.

Key Question(s) Addressed

- How—and to what extent—are the changes to adult education policies and practices promoted by WIOA being implemented?
- Beyond the changes to adult education promoted by WIOA, in what other important ways has implementation evolved since prior to the enactment of the law?
- What challenges do state agencies and local providers currently face in administering and delivering adult education services?

Design

The study is descriptive and primarily involves collection and tabulation of data from surveys. It includes a survey of adult education state directors and a survey of adult education providers in the states and the District of Columbia that received federal funds in PY 2018–2019. Some key findings from the provider survey will be compared with findings from an earlier national survey of providers conducted in 2003. This will allow for an assessment of the extent to which adult education programs have evolved since prior to the enactment of WIOA. The study will also include analyses of extant data such as state- and provider-level data collected for the Office of Career, Technical, and Adult Education’s (OCTAE’s) National Reporting System. This includes information on adult education programs funded, populations served, and participant outcomes achieved. These data will be used to provide further contextual information about adult education programs and populations.

Estimated Completion Date

The study's first report is expected in 2021 and will be announced on <http://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/pathways_wioa.asp#

Text Ed: A Study of Text Messaging to Improve College Enrollment Rates Among Disadvantaged Adults

Study Purpose

Postsecondary education is associated with later economic success, but individuals who are low income or potential first-generation college goers are less likely to enroll in college compared to their more advantaged peers. The Department's Educational Opportunity Centers (EOCs) program—one of the Federal TRIO programs—awards grants, typically to IHEs, aimed at increasing the number of disadvantaged adults who enroll in postsecondary education. EOC grantees provide informational services related to college admissions and financial aid options. Each EOC project serves a minimum of 1,000 individuals per year, with these individuals generally spread over a wide geographic area. In FY 2015, the Department awarded 126 grants totaling \$46.6 million. On average, grantees spent \$246 per participant.

The study examines a promising strategy designed to help EOC grantees meet the program's goal of increasing college enrollment. It tests the effectiveness of a low-cost enhancement to grantee services—a systematic set of text messages that include timely, personalized information concerning college enrollment activities and deadlines, resources for overcoming common barriers to enrollment, and an easy way to connect EOC participants with center staff to answer questions and provide further assistance.

Key Question(s) Addressed

- Does providing personalized text messages to EOC participants increase FAFSA® completion rates?
- Do the messages increase the likelihood of EOC participants enrolling in postsecondary education?

Design

Approximately 20 EOC grantees are participating in the study. Within each grantee site, eligible participants will be randomly assigned to receive either the grantee's typical services or to receive the study's messages in addition to the grantee's typical services. Random assignment will occur on a rolling basis from spring 2018 through spring 2020, with approximately 6,000 participants in total. Participant background information, as well as information required for the customization of messages (e.g., the postsecondary institution at which the participant wishes to enroll), will be obtained from grantee records.

FAFSA® completion will be measured using administrative records from the Department for fall 2018 through fall 2020 and be used to address the first research question. Whether participants enroll in college will be measured based on National Student Clearinghouse records for fall 2018 through fall 2020 and be used to address the second research question.

Estimated Completion Date

The report for the study is expected in 2022 and will be announced on <http://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/pathways_postsec.asp#

School Choice

Evaluating the DC Opportunity Scholarship Program After the 2017 Reauthorization

Study Purpose

The DC Opportunity Scholarship Program (OSP) provides low-income students in Washington, DC, with scholarships to attend one of the district’s participating private schools. OSP is the nation’s only federally funded private school voucher program.

This third congressionally mandated evaluation of OSP intends to use different research methodologies and address different issues than the ones that came before. The previous evaluations (completed in 2011 and 2019) relied on lotteries to award private school scholarships, creating the conditions for a random assignment study to determine the effectiveness of the program. Together, those earlier evaluations raised some questions about how well the program was improving student achievement and parent and student satisfaction with their schools. The current study reflects the prohibition on using lotteries for evaluation in the 2017 reauthorization of OSP and interest in understanding how the program works and could be improved. The first phase will focus on designing an implementation study and a study of student outcomes.

Key Question(s) Addressed

- What role does the program operator play in OSP, and how is their work carried out?
- What is the experience of applying for a scholarship and to participating private schools? Who uses/or does not use vouchers once one is offered and why?
- What is the experience using an OSP voucher? What are the challenges encountered and the support available for overcoming them?
- What are the characteristics of teachers and the instruction they provide in the participating private schools versus in the public schools OSP users would otherwise attend?

- How do students using OSP vouchers to attend private schools perform and progress on mathematics and reading assessments?
- How do parents of students using OSP vouchers and the students themselves rate their children’s school in terms of safety and satisfaction?

Design

The contractor will develop study design options to answer questions about both program implementation and about student outcomes.

Estimated Completion Date

Information about the estimated completion date for the study’s first report, focused on implementation of the OSP, is still to be determined. It will be announced on <http://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/choice_dcchoice2017.asp

Impact Study of Magnet Schools

Study Purpose

Magnet schools are an important component of public school choice as well as a strategy used by districts with the aim of improving student achievement and school diversity. Approximately 2.5 million students currently attend magnet schools in the United States. Since 1985, the Magnet Schools Assistance Program (MSAP) has provided federal discretionary grants to school districts to support magnet programs with the goals of reducing, eliminating, or preventing minority group isolation; improving student achievement; and increasing choice in public schools. MSAP was most recently reauthorized in December 2015 as part of ESSA (Title IV, Part D) and received nearly \$190 million in appropriations between FY 2016 and FY 2017.

Despite the popularity of and the support for these schools, there is limited evidence about their effectiveness. The primary goal of this evaluation is to provide credible estimates of the impact of magnet schools on student outcomes by relying on random-assignment lotteries that some schools may use to admit students.

Key Question(s) Addressed

- What is the impact of the magnet programs on relevant student outcomes (achievement and/or other relevant measures of student success such as persistence in school or graduation)?
- What is the impact of the magnet programs on the characteristics of the schools that the students attend, including whether they are higher performing or more diverse?
- To what extent is there a relationship between school characteristics, including diversity, and student outcomes?

Design

Schools in districts receiving FY 2016 and FY 2017 MSAP that used lotteries to admit their students will be included in the evaluation. It is expected that the evaluation will involve comparing the outcomes of approximately 4,000 students who entered lotteries and were or were not offered admission to the magnet schools for enrollment in fall 2018 or fall 2019.

School district records will be collected for three to four follow-up years for each of the two cohorts. These will include data on student characteristics, school enrollment, test scores, and other relevant data such as attendance, persistence, and graduation. Each year, principals at the magnet schools as well as the schools attended by students not offered admission to the magnet schools will be asked to provide information about the schools' organization and instruction through a survey. These data will be analyzed to address the evaluation's three research questions.

Estimated Completion Date

The first report for the study is expected in 2024 and will be announced on <http://ies.ed.gov/ncee/>.

Link to Additional Information

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

Study of Charter School Admission Practices and Barriers to Growth

Study Purpose

Policymakers are interested in understanding why charter school growth has recently slowed, especially given the more than \$400 million annual federal investment in expanding the sector. For example, the number of new charter schools increased by 7 percent—compared to the prior school year—in SY 2012–2013 and SY 2013–2014 but by only 3 percent in SY 2015–2016 and SY 2016–2017, with enrollment mirroring the trend. At the same time, there are reports that many charter schools have more applications than available seats. This study will examine where demand is greatest, how schools admit students when they cannot serve all those interested, and barriers to growth among charter schools both supported and not supported by the Department's Charter Schools Program (CSP).

Key Question(s) Addressed

- How often are charter school admissions part of a larger choice process? What proportion participate in common applications and unified lotteries that include other charter schools and/or other choice options?

- When charter schools have more applicants than they can admit, how do they use admission preferences? Which schools have demand? How do these schools prioritize particular students, if at all?
- What barriers to expansion do charter schools face?

Design

This study will be descriptive, based on a new nationally representative survey of 2,000 charter schools that are funded and not funded by CSP. The survey will likely be conducted in early spring 2021.

Estimated Completion Date

The report for the study is expected in 2022 and will be announced on <https://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/choice_charter_growth.asp#

School Improvement

Evaluation of Departmentalized Instruction in Elementary Schools

Study Purpose

Finding creative ways to redeploy existing teachers in the classroom may yield academic benefits to students at little cost. One such strategy is departmentalized instruction, where each teacher specializes in teaching one subject to multiple classes of students instead of teaching all subjects to a single class of students (self-contained instruction). While nearly ubiquitous in secondary schools, departmentalization has only recently become more popular in upper elementary grades. This evaluation is examining the implementation and outcomes of teachers and students as they departmentalize in fourth and fifth grades. In doing so, it will generate valuable evidence on an improvement strategy that low-performing elementary schools identified under ESSA may consider adopting.

Key Question(s) Addressed

- After one and two years of departmentalizing instruction, how do elementary teachers' and students' outcomes compare to those of similar teachers and students in self-contained schools?
- How do schools structure departmentalization, and what challenges and benefits do principals and teachers perceive in switching from self-contained classrooms to departmentalization?

Design

A total of 90 elementary schools in 12 districts across the country were initially recruited to participate in the study. All schools were using self-contained classrooms during

SY 2018–2019. Beginning with SY 2019–2020, approximately half of these schools elected to switch to departmentalized instruction in fourth and fifth grades for up to two years, while the remaining schools continued with self-contained classrooms.

Data collection will include principal interviews to learn how teacher assignments were made and how departmentalization was structured; a teacher survey to examine teachers’ perceptions of and approaches to departmentalization; and extant district data on teacher retention and on students’ mathematics and reading achievement, attendance, and disciplinary incidents. These data, combined with a quasi-experimental “matched comparisons” design, will allow the study team to describe the implementation of departmentalization and compare teacher and student outcomes between departmentalized schools and similar self-contained schools.

Estimated Completion Date

The report for the study is expected in 2022 and will be announced on <http://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/other_departmentalized.asp#

Study of School Improvement Plans and Their Implementation

Study Purpose

Decades of educational reforms have demonstrated that turning around the lowest-performing schools in the U.S. remains a complex challenge. Federal policies, including ESSA of 2015, seek to boost these efforts by requiring that states identify those schools needing comprehensive support and improvement (CSI), have them create a plan for improvement, and provide additional support to help the schools expand capacity and student progress. Compared with prior laws, ESSA allows states and districts greater flexibility to shape their approach to school improvement. This study will examine implementation of ESSA’s CSI provisions in order to understand how states, districts, and schools are responding to the new requirements.

Key Question(s) Addressed

- What are the characteristics of the first CSI schools identified (based on SY 2017–2018 outcome data) nationally and within each state?
- How are CSI plans developed, implemented, and supported?
- How are states and school districts monitoring implementation?

Design

This descriptive study will examine state policy documents and data on CSI schools in all states as well as review CSI plans from a nationally representative sample of 400 CSI schools. In addition, it will use school survey data collected in spring 2022 through a separate IES study of the implementation of the Title I and Title II programs. Finally, the study

will conduct interviews with about 40 CSI schools to obtain more in-depth information about how they are implementing their school improvement plans.

Estimated Completion Date

A first report, describing the characteristics of CSI schools, is expected in 2021. The study's final report is expected in 2023 and will be announced on <http://ies.ed.gov/ncee/>.

Link to Additional Information

<https://ies.ed.gov/ncee/projects/evaluation/csi.asp>

Evaluation of Promise Neighborhoods

Study Purpose

The federal Promise Neighborhoods program supports nonprofit organizations, IHEs, Indian tribes, and their partners in providing comprehensive, coordinated services for children, their families, and others in distressed communities. The broad range of possible services and focus on coordination are meant to build a pipeline of educational and developmental supports from “cradle to career” for children and to benefit the community at large. These services may be directed at improving academic, social, health and mental health, family and community engagement, crime prevention and rehabilitation, and workforce readiness outcomes.

The program is authorized by Title IV of ESEA, as amended by ESSA. The Department has invested \$506 million to support Promise Neighborhoods grantees since grants were first awarded in 2010. This first ever national evaluation of Promise Neighborhoods is mandated by ESSA.

Key Question(s) Addressed

- What does Promise Neighborhoods look like in the field? What services are offered and by whom? How are services connected and coordinated? How many students and their families receive each service? What is the total cost per year per participant? What challenges do grantees face, and how are they addressed?
- How do the services compare to those offered prior to the Promise Neighborhoods grant and to those offered in other, similar neighborhoods without grants?
- Do children in Promise Neighborhoods have greater improvements in outcomes over time than children from other, similar neighborhoods without grants?

Design

This study will describe how the program is implemented using surveys of grantees and data from grantee annual reporting to the Department.

The study will also compare outcomes in Promise Neighborhoods before and after the grant award to the same outcomes for other neighborhoods that were similar but not served by

a Promise Neighborhood grant. The outcomes will be collected through state birth records (to identify children living in the neighborhoods over time) and administrative student records such as student test scores on state assessments, attendance, and high school graduation rates.

Estimated Completion Date

The report is expected in 2022 and will be announced on <https://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/promise_neighborhoods.asp#

Evaluation of Title I Pilots That Provide Flexibility Under the Every Student Succeeds Act

Study Purpose

ESEA, as amended by ESSA, is the signature federal law for K–12 education, and Title I is by far the largest of its programs, with about \$16 billion in annual funding. The goal of Title I is to provide all children with significant opportunities to receive a fair, equitable, and high-quality education and to close educational achievement gaps. It primarily does so by requiring states to hold districts and schools accountable for their students' achievement (e.g., through annual testing).

While ESSA retains a number of core requirements that were introduced in the prior reauthorization of ESEA (*No Child Left Behind Act of 2001*), it also seeks to give states and districts more flexibility overall. The idea is that this approach will allow states and districts to better tailor education policies to their unique needs and to promote diverse experimentation around the country. The *Innovative Assessment Demonstration Authority* (IADA) under Title I exemplifies this approach. IADA allows up to seven states to pilot an innovative assessment system for three years in some districts, with the goal of refining and ultimately scaling up the system to the entire state for accountability purposes. By participating, states can avoid having to double-test students in pilot districts, although states still have to demonstrate that the innovative assessment is valid, reliable, and comparable to the existing state assessment.

States must have already done much of the assessment development and be ready to start piloting. Although they can use existing funds from sources such as Title I, Part B (state assessment grants) to support the pilot, IADA does not provide any additional federal funds. This pilot is primarily about providing flexibility by relaxing some of the federal requirements that might otherwise impede these entities from trying out alternative approaches to testing students.

ESSA mandates an evaluation of IADA. The evaluation will chart pilot sites' progress and identify lessons learned for developing and implementing alternative assessments.

Key Question(s) Addressed

- Why are states developing an innovative assessment system, and how are they expecting the system to accomplish their goals? How does the system compare to their existing assessments?
- Have states' innovative assessment systems been implemented with fidelity and met the core requirements of the federal pilot program after three years? To what extent have teachers, principals, and other school leaders demonstrated a commitment and capacity to implement the innovative assessment system?
- What were the key challenges to developing an innovative assessment system, piloting it, and scaling it up? How were the challenges addressed, and how did participation in the federal pilot program facilitate or impede the process?
- How have districts, schools, and teachers perceived and adapted to the innovative assessment system? How have practices related to instruction, professional development, and burden under the innovative assessment system compared to practices under the states' existing assessments?

Design

This implementation study will focus on the four pilot states: Louisiana and New Hampshire (approved in 2018) and Georgia and North Carolina (approved in 2019). The study will address the four sets of primary research questions by collecting and descriptively summarizing the following data over three years:

- Annual progress reports and other relevant documents from the four pilot states.
- Interviews with the four pilot states and up to five other states who considered applying for IADA but did not ultimately do so.
- Survey of all pilot districts in the four IADA states.
- Survey of a representative sample of pilot schools in the four IADA states.
- Survey of a representative sample of teachers in the four IADA states.

Estimated Completion Date

The first report for the study is expected in 2022 and will be announced on <https://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/title1_pilots.asp#

Implementation of Key Federal Policies in the Wake of Coronavirus Pandemic

Study Purpose

The coronavirus pandemic is continuing to significantly disrupt K–12 educational systems across the country during SY 2020–2021. State agencies and local leaders appear to be

taking unprecedented action in the wake of the pandemic to manage continuity in school operations, tackle learning loss, and address concerns about increasing equity gaps for particularly vulnerable students. This quick turnaround study focuses on how education officials are carrying out, and are supported by, federal policies like those associated with ESSA and the new *Coronavirus Aid, Relief, and Economic Security (CARES) Act*.

Key Question(s) Addressed

- How did the coronavirus pandemic affect key school operations during SY 2020–2021?
- How is the pandemic influencing ESSA implementation?
- How is CARES Act funding being used to support recovery?
- To what extent are states and districts addressing equity in their recovery efforts?

Design

The study is descriptive. It will be based on spring 2021 surveys of state representatives from all 50 states, the District of Columbia, and Puerto Rico as well as a nationally representative survey of 550 school districts.

Estimated Completion Date

The study's report is expected in 2022 and will be announced on <https://ies.ed.gov/ncee/>.

Link to Additional Information

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

National Implementation Study of Student Support and Academic Enrichment Grants (Title IV, Part A)

Study Purpose

Changes to education law in 2015 consolidated several programs to give states and districts greater flexibility in how they use federal funds. The resulting Student Support and Academic Enrichment Grant Program (Title IV, Part A of ESEA of 1965, as amended by ESSA) tries to maintain the different purposes of the original programs by prioritizing and requiring spending in three broad areas: (1) providing students with a well-rounded education, (2) ensuring a positive school environment, and (3) improving and personalizing learning through technology. The new law also requires districts to consult with stakeholders, distribute Title IV, Part A funds to high-need schools and, in certain instances, to conduct comprehensive needs assessments and use evidence from research to pick strategies to fund. This evaluation will assess how this new program is being carried out across the country, particularly the ways in which it supports school systems as they seek to recover from the coronavirus pandemic during SY 2021–2022.

Key Question(s) Addressed

- What guidance and technical assistance did states provide to districts to assist in local implementation of the Title IV, Part A program?
- How do districts decide how to use Title IV, Part A funds?
- What are the primary services and activities districts are implementing with Title IV, Part A funds?

Design

The study is descriptive. It will be based on a survey of Title IV, Part A coordinators from all 50 states, the District of Columbia, and Puerto Rico and a nationally representative survey of Title IV, Part A coordinators in 1,200 school districts.

Estimated Completion Date

The study's report is expected in 2023 and will be announced on <https://ies.ed.gov/ncee/>.

Link to Additional Information

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

Study of District and School Uses of Federal Education Funds

Study Purpose

Federal funds, which account for less than 10 percent of K–12 education spending nationally, can play an important role, particularly in communities that are lower-income or have lower-performing schools. Although each federal education program has unique goals and provisions, they often allow funds to be used for similar purposes and services or overlapping populations. Congress provided SEAs and LEAs greater flexibility in their use of federal funds through the 2015 reauthorization of ESEA. Congress also created the CARES Act to provide funding and flexibilities for states and districts to respond to the COVID-19 emergency in K–12 schools.

Policymakers remain interested in how federal dollars are spent. This study will examine how funds are distributed and used from the CARES Act as well as five major federal education programs: Part A of Titles I, II, III, and IV of ESEA and Title I, Part B of IDEA. Together, the non-CARES Act programs account for about 80 percent of total funding for the Department's elementary-secondary programs, or \$32 billion.

Key Question(s) Addressed

- Where does the money go? To what extent are federal funds—including those from the CARES Act—reaching the districts and schools with the greatest needs?
- What do federal programs add? How much do the federal programs in this study increase the level of per-pupil funding over what is provided through state and local sources? How does this vary across districts and schools?

- What does the money buy? To what extent do districts and schools use federal funds for instructional staff, professional development, technology, student support services, and other resources? How does spending from federal funds differ from state and local spending? How do local agencies use funding from different sources to support, for example, the education of students with disabilities?
- To what extent do districts make use of flexibilities provided through ESEA, IDEA, and the CARES Act?

Design

This descriptive study will collect detailed fiscal data from the data systems of a nationally representative sample of 400 school districts, including revenue, expenditure, and personnel and payroll data, for up to four consecutive school years: SY 2018–2019, SY 2019–2020, SY 2020–2021, and SY 2021–2022. In addition, the study will collect data on federal funding allocations from states to school districts and from districts to schools, and conduct interviews in a smaller set of districts to examine how districts and schools use various funding sources to meet the needs of students with disabilities.

Estimated Completion Date

The study's report is expected in 2024 and will be announced on <https://ies.ed.gov/ncee/>.

Link to Additional Information

<https://ies.ed.gov/ncee/projects/evaluation/usesoffunds.asp>

Students with Disabilities

Evaluation of Preschool Special Education Practices

Study Purpose

Experiences in early childhood programs can help young children, including those with disabilities, develop skills important for classroom learning. But many children need help to strengthen their social-emotional skills and facilitate their engagement in classroom activities. Currently, there is limited evidence on how to effectively integrate these kinds of supports into the general curriculum, particularly in classrooms where children with disabilities are served alongside their peers as promoted by IDEA. This study will test the efficacy of a coordinated set of evidence-based strategies, with multiple levels of intensity depending on student needs. The approach includes programs for classroom-wide instruction of social and emotional skills and supports targeting children who demonstrate risk for social-emotional delays or persistent behavior challenges with the general preschool curriculum. If the efficacy study shows promise, a large-scale impact evaluation may be conducted in the future.

Key Question(s) Addressed

- Are teachers able to successfully implement a new approach that integrates targeted instructional supports for children who demonstrate risk for social-emotional delays or persistent behavior challenges with instruction for all children?
- What are the impacts of this approach on the classroom environment and the social-emotional, behavioral, and language skills of children with and without disabilities inclusive preschool classrooms?

Design

To help plan for the efficacy study, the study collected descriptive information in spring/summer 2015 on the programs, curricula, and extra supports available to children ages 3 through 5 identified for special education services. This collection was based on surveys of state agency staff coordinating grants and services under IDEA Part B Section 619 and a nationally representative sample of district preschool special education coordinators. The study will randomly assign 34 inclusive preschool classrooms in 29 schools from three districts to either receive training and coaching support to implement the study's program integration approach or continue with the teachers' regular program and practices. The addition and integration of the programs will begin in 2019 and data on participating preschool students will be collected for two school years. These data include documentation of training to teachers, classroom observations to assess how program components are being implemented, teacher surveys, and measures of children's social skills.

Estimated Completion Date

The report for the efficacy study is expected in 2022 and will be announced on <http://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/disabilities_preschool.asp#

Evaluation of Transition Support for Youths with Disabilities

Study Purpose

Students with disabilities continue to lag their peers in high school graduation, enrollment in postsecondary education, and employment more than a decade after the 2004 reauthorization of IDEA. A central goal of IDEA is to help students with disabilities prepare for their transition from secondary school to further education, work, and independent living. To achieve this goal, IDEA requires the provision of transition services focused on improving students' academic and functional achievement in accordance with their individualized education program. Although studies suggest the importance of certain types of preparation for students with disabilities, there is limited evidence about the effectiveness of those or other strategies to promote post high school outcomes.

Key Question(s) Addressed

- What is known about the effectiveness of transition strategies? And for whom?
- What transition strategies are feasible to examine with an impact study?
- What are possible parameters for designing rigorous impact studies?

Design

The study will summarize available evidence on the effectiveness of transition supports and interview transition stakeholders to identify promising transition strategies and methods for studying them. The Department will make a decision in FY 2021 about conducting an impact study based on this work.

Estimated Completion Date

The systematic evidence review is expected in FY 2021 and will be announced on <http://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/disabilities_transition.asp#

Impact Evaluation of Training in Multi-Tiered Systems of Support for Behavior

Study Purpose

IDEA 2004 is the most recent reauthorization of a law passed in 1975 to promote a free appropriate public education for children with disabilities. Districts are able to use a portion of their IDEA funds to provide services to students who are not identified as needing special education but who need additional support to succeed in a general education environment. Training school staff in supporting the behavior of all students—a potential use of these funds—is becoming increasingly attractive to districts and schools as a vehicle for school improvement.

Implementation of multi-tiered systems of support for behavior (MTSS-B) is an approach to improving school and classroom climate as well as student outcomes. MTSS-B is a systematic framework for teaching and reinforcing behavior for all students as well as for providing additional support to those who need it. More than one-third of U.S. districts report implementing MTSS-B at the elementary school level. Recent small-scale studies have shown the promise of MTSS-B. The purpose of this study is to evaluate the effectiveness of MTSS-B in a larger-scale setting.

Key Question(s) Addressed

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

Design

This is a randomized controlled trial of the impact of training in MTSS-B on school climate, school staff practice, and student outcomes. The contractor, with assistance and input from the Department, and in consultation with a panel of experts, competitively selected an MTSS-B training provider, the Center for Social Behavior Support, which is a collaboration between the Illinois–Midwest Positive Behavior Interventions and Supports (PBIS) Network at the School Association for Special Education in DuPage, IL, and the PBIS Regional Training and Technical Assistance Center at Sheppard Pratt in Baltimore, MD. Approximately 90 elementary schools were randomly assigned to either training in MTSS-B, including universal supports (tier I) plus targeted interventions for at-risk students (tier II) or a business-as-usual control group. Treatment schools received training in MTSS-B prior to and across two school-years, SY 2015–2016 (tier I) and SY 2016–2017 (tiers I and II), and implementing MTSS-B across these two years.

Data collection includes a staff survey, teacher ratings of student behavior, classroom observations, site visits, and student records data. These data are being collected from SY 2015–2016 through SY 2017–2018 and will be analyzed to answer the study’s impact (first and second) and implementation (third) research questions.

Estimated Completion Date

The first report for the study is expected in 2021 and will be announced on <http://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/disabilities_MTSSB.asp#

State and Local Implementation of the Individuals with Disabilities Education Act of 2004

Study Purpose

IDEA 2004 is the most recent reauthorization of a law passed in 1975 to promote a free appropriate public education for children with disabilities. Funded at \$12.9 billion in FY 2017, IDEA supports early intervention services for infants and toddlers identified as having a disability or at risk of substantial developmental delay. IDEA also supports special education and related services for children and youths ages 3 through 21 identified as having a disability, as well as coordinated early intervening services for children and youths who are not identified as needing special education but who need additional support to succeed in a general education environment.

The most recent national IDEA implementation study provided a picture of state agency and school district implementation of IDEA in 2009. Since then, although IDEA has not been reauthorized, developments in key areas may have influenced the context and

implementation of special education and early intervention. Relevant court decisions were issued including *Endrew F. v. Douglas County School District*, and educational legislation was passed, including the reauthorization of ESEA. Importantly, the Department’s Office of Special Education Programs has released IDEA regulations and guidance. For example, the “Equity in IDEA” rule requires that states use a standardized methodology to determine disproportionality in the identification, placement, and discipline of students with disabilities based on race or ethnicity. This regulation could influence how states evaluate disproportionality as well as the policies and practices implemented to address this issue. Finally, the knowledge base on effective and promising policies and practices has grown.

This study will provide a national picture of IDEA implementation 10 years after the most recent national IDEA implementation study. While this study will update information from the 2009 study on state and district implementation, the study will also describe policies and supports provided at the school level.

Key Question(s) Addressed

- How do states and districts identify infants, toddlers, children, and youths for early intervention and special education services? How do they measure disproportionate identification and what policies and practices have been implemented with the goal of addressing disproportionate identification?
- What policies and programs do states and districts have in place to support infants, toddlers, children, and youths identified for early intervention or special education services? How have these policies and programs changed over time?
- To what extent do states and districts rely on evidence on the effectiveness of policies, programs, and supports for infants, toddlers, children, and youths with disabilities?
- How do states and districts allocate resources—including funding and personnel—to support infants, toddlers, children, and youths with disabilities?
- What types of supports do schools provide to children and youths with disabilities to support their academic and behavioral learning, both within and outside of general education classrooms?

Design

Data collection will include surveys of state administrators from all states, the District of Columbia, and territories receiving IDEA funding, as well as surveys of a nationally representative sample of school districts and schools during SY 2019–2020 and, potentially, SY 2021–2022. The data from these surveys will be analyzed descriptively to answer the study’s research questions.

Estimated Completion Date

The first report for the study is expected in FY 2021 and will be announced on <http://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/disabilities_localidea.asp#

Teachers and Leaders

Impact Evaluation to Inform the Teacher and School Leader Incentive Program

Study Purpose

Effective school leadership and teaching are at the heart of school improvement. Human capital management—the way in which a district makes and implements preparation, recruitment, hiring, placement, retention, dismissal, compensation, professional development, and tenure and promotion decisions—can play an important role in supporting effective educators. The purpose of the Teacher and School Leader (TSL) Incentive Program is to develop and implement performance-based compensation systems or human capital management systems to improve student achievement. Grantees plan to implement multiple strategies, with a role for teacher leaders being the one strategy that is the most common among the 2017 awards. This mandated evaluation will provide implementation information from all 2017 grantees, with particular attention to teacher leader selection, roles, and supports. In addition, the study will estimate the impact on student achievement and teacher satisfaction and retention of using teacher leaders to improve student achievement.

Key Question(s) Addressed

- What are the implementation experiences of the FY 2017 TSL grantees? What are their educator satisfaction, recruitment and retention experiences with TSL, particularly among those grantees funding teacher leader roles?
- What is the effect on student achievement, educator satisfaction, recruitment, and retention of a teacher leader role strategy? Is the teacher leader strategy cost effective?

Design

The mandated evaluation will provide implementation information from all 2017 grantees, including information about funded strategies. For those grantees supporting a teacher leader role, information will include teacher leader responsibilities and their teaching load, the stipend amount, and how grantees select and train their teacher leader, the types of teachers targeted for support, and district and school contexts that facilitate or hinder the teacher leader role implementation.

In addition, a total of approximately 90 schools in 8 districts across the country were initially recruited to participate in an impact evaluation of funding teacher leaders for two years to support their peers using activities similar to that funded within the TSL grantees. About half of the schools within each district were assigned by lottery to implement the teacher leader model beginning in SY 2020–2021. These schools will be compared to the other schools that are continuing with business-as-usual to estimate the causal impact of the teacher leader model on teacher and student outcomes.

Data collection will include a TSL grantee survey of all 14 TSL grantees receiving awards in 2017 to gather information about their TSL program, teacher and principal surveys to collect program implementation information as well as educator satisfaction and teacher recruitment activities and outcomes, teacher leader activity forms to provide information about teacher leader roles and activities, teacher and principal school assignment records to look at mobility and retention, and student administrative records to look at student outcomes.

Estimated Completion Date

The first report for the study is expected in 2021 and will be announced on <http://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/tq_leader.asp#

Impact Study of Feedback for Teachers Based on Classroom Videos

Study Purpose

Research has consistently found that novice teachers perform at a level substantially lower than their more experienced colleagues. In addition, although teachers' effectiveness typically improves with experience, there is substantial variation in teacher effectiveness at a given experience level. However, there is too little evidence about which teaching experiences and practices are most likely to improve teachers' effectiveness, particularly early in their career. Title II, Part A of ESEA provides funding to improve the quality and effectiveness of educators. High-quality, personalized professional development that is evidence-based is one of the allowable uses of these funds.

This study, designed to inform the effectiveness of individualized coaching for teachers at various stages in their career, has the potential to inform teacher preparation and professional development practice more generally. The evaluation will provide individualized coaching to teachers of various experience levels based on videos of their classroom practices. Several recent small-scale studies suggest that individualized teacher supports may be an effective strategy for improving teachers' instruction and their students' achievement.

Key Question(s) Addressed

- What is the impact on teaching practices and student achievement of providing teachers with multiple rounds (eight) of written feedback and one-on-one coaching based on videos of their classroom practices?
- What is the impact on teaching practices and student achievement of providing teachers with multiple rounds (five) of written feedback and one-on-one coaching based on videos of their classroom practices?

Design

The study team will recruit approximately 400 fourth or fifth grade teachers from 10–12 districts across the country to participate in the study.

In 2018–2019, schools will be randomly assigned to receive either: (1) eight rounds of written feedback plus one-on-one coaching for teachers in grade 4 or 5, (2) five rounds of written feedback plus one-on-one coaching, or (3) the district’s usual supports and professional development. Teachstone was competitively selected as the provider for this study, and their staff will provide the coaching. Coaching, based on individual teacher needs, will focus on foundational teaching practices such as classroom management and time use as well as more advanced classroom practices such as ways to lead discussions that build a deeper understanding of academic content.

Data collection includes information on fidelity of implementation of the coaching and feedback; a teacher survey focusing on teacher preparation and professional development experiences; measures of classroom practices based on pre- and post-treatment classroom videos; and state mathematics and English language arts assessment data for SY 2016–2017 to SY 2018–2019 and possibly SY 2019–2020.

Estimated Completion Date

The report for the study, which will examine the impact of the intervention for teachers, is expected in 2021 and will be announced on <http://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/tq_videos.asp#

Study of Title II, Part A Use of Funds

Study Purpose

Under ESSA, Title II, Part A provides grants to states and subgrants to LEAs. The grants are a primary source of federal funding to improve the quality and effectiveness of teachers, principals and other school leaders. A broad range of activities is permissible at both the state and district level under this program. The funding is also intended to provide low-income and minority students greater access to effective teachers, principals, and other school leaders. In contrast to the prior authorization, the law does not specify teacher effectiveness but rather leaves it for each state to define. This study is designed to provide relevant information about how states and districts use these funds.

Key Question(s) Addressed

- What activities do SEAs support with their Title II, Part A funds?
- What activities do LEAs support with their Title II, Part A funds?

Design

This is a descriptive study based on an annual survey of all 50 states, the District of Columbia, and Puerto Rico. The study also includes an annual survey of a nationally representative sample of charter districts and a state representative sample of LEAs.

Survey information includes transfers to or from Title II, Part A and other programs allowed under ESEA section 5103; activities funded by Title II, Part A; types of professional development activities and the areas of focus supported by Title II, Part A; and strategies for identifying and addressing inequity in the distribution of teacher quality or effectiveness.

Estimated Completion Date

The first report for the study is expected in early 2021 and will be announced on <https://ies.ed.gov/ncee/>.

Link to Additional Information

https://ies.ed.gov/ncee/projects/evaluation/tq_titletwo_a.asp#

Non-National Center for Education Evaluation and Regional Assistance Evaluations Completed in FY 2020 (Formerly in Policy and Program Studies Service)

Evaluation of the Title VI Indian Education Formula Grants Program

Study Purpose

This study examined the implementation of the Indian Education Formula Grants to LEAs (school districts) program authorized under Title VI of ESEA. More specifically, the study examines school district and tribal-level implementation of the grants, including the activities supported with formula funds, the processes used to identify and count eligible children, and how grantees establish program priorities and implement grant-funded services.

Key Question(s) Addressed

- What services do Indian Education Formula Grants support?
- How do grantees work with stakeholders to identify program-eligible children and plan services to meet the needs of those children?
- How do grantees measure progress toward meeting their Title VI project objectives?

Design

This study is based on a survey of 1,304 local grant coordinators and case studies of 9 grantees, as well as a review of relevant literature and analysis of extant data.

Key Findings

- The most common Title VI-funded services were academic support, cultural enrichment, and parent involvement.
- Most grantees supported culturally responsive education by incorporating American Indian and Alaska Native history and culture into the curriculum and employing American Indian and Alaska Native teachers and support staff.
- Most grantees relied on three strategies to identify eligible students: (1) including questions about students' American Indian and Alaska Native status in the school

registration process, (2) including Title VI student eligibility certification forms in enrollment packets, and (3) generating reports for students who identified as American Indian and Alaska Native on enrollment forms.

- Most grantees collected information about students' needs from the Title VI Parent Advisory Committee and other stakeholder groups, commonly through public hearings, convenings with stakeholder groups, and surveys.
- Grantees reported using multiple data sources for project planning, including administrative data and information from parents, teachers, administrators, and public hearings.
- Most grantees used state standardized assessment scores, attendance data, and graduation or dropout data to measure progress toward their Title VI project objectives.

Actual Completion Date

A report, titled *Implementation of the Title VI Indian Education Formula Grants Program, Volume I: Final Report*, was released in October 2019.

Link to Additional Information

<https://www2.ed.gov/about/offices/list/opepd/ppss/reports.html#amind-aknat-students>

Title IV State Survey

Study Purpose

This study provides an initial overview of how states and school districts are using their Student Support and Academic Enrichment grants (Title IV, Part A), a new state-administered grant program created through the 2016 ESSA. This program has the goal of improving student academic achievement by increasing the capacity of states, school districts, schools, and local communities to: (1) provide all students with access to a well-rounded education (Section 4107), (2) improve school conditions for student learning (Section 4108), and (3) improve the use of technology to improve the academic achievement and digital literacy of all students (Section 4109). This study will produce a program brief based on a survey of states that provides early information about the extent to which states, and school districts are using Title IV, Part A funds for the wide range of permissible activities.

Key Question(s) Addressed

- How many school districts received Title IV, Part A grants? To what extent do districts participate through consortia? How many subgrantees are required to conduct a comprehensive needs assessment because they receive a subgrant of at least \$30,000?
- How are school districts using their Title IV, Part A grants? To what extent are they using the funds for each main purpose? What types of services and activities are they supporting under each area?

- How are states using Title IV, Part A funds reserved at the state level to support school districts in meeting the program’s three main purposes—well-rounded educational opportunities, safe and healthy students, and effective use of technology?
- What are the greatest challenges that state officials perceive regarding the use of Title IV, Part A funds?

Design

The report is based on a survey of all 50 states, the District of Columbia, and Puerto Rico conducted in late spring 2019 to obtain information about the types of activities that states and school districts are supporting with FY 2018 Student Support and Academic Enrichment funds during SY 2018–2019.

Completion Date

A report, titled *Student Support and Academic Enrichment Grants: A First Look at Activities Supported Under Title IV, Part A*, was released in February 2020.

Link to Additional Information

<https://www2.ed.gov/rschstat/eval/esea/title-iv-first-look-2020.pdf>

Non-National Center for Education Evaluation and Regional Assistance Evaluations Expected in FY 2021 and FY 2022 (Formerly in Policy and Program Studies Service)

Profiles of Selected Practices of Charter Schools, Charter Management Organizations, and Charter School Authorizers

Study Purpose

The Expanding Opportunity through Quality Charter Schools Program (i.e., CSP), authorized under ESEA, is intended to support innovation in public education, including the dissemination of best practices regarding charter schools. This study will result in 11 profiles describing innovative practices that are being implemented by charter schools, charter management organizations (CMOs), and charter school authorizers (CSAs), with a priority on CSP grantees and subgrantees and authorizers serving those grantees and subgrantees. The profiles will be disseminated to practitioners serving both charter and traditional public schools.

Key Question(s) Addressed

- What are the key features of each innovative practice for charter schools, CMOs, and CSAs?

- How do charter schools, CMOs, and CSAs decide what practices to implement? To what extent do they consider criteria for identifying evidence-based practices based on each of ESSA’s four evidence levels?
- What, if any, challenges do charter schools, CMOs, and CSAs encounter in implementing innovative practices, and what strategies do they use to overcome these challenges?
- What evidence exists to suggest that the practices are successfully implemented? To what extent do state assessment results, leading indicators, or other quantitative data show improving outcomes? Are there any qualitative signs of progress?
- What factors do charter schools, CMOs, and CSAs believe are most important to the successful implementation of the practices? How do they support the replication of innovative practices?

Design

The study will include a review of relevant research, an expert panel, an analysis of school achievement data of charter schools that are candidates for site visits, and 30 site visits to charter schools, CMOs, and CSAs to collect information about their practices.

Estimated Completion Date

The profiles are scheduled for completion in spring 2021.

Study of Career and Technical Education Teacher Pathways Initiative

Study Purpose

This study is examining the implementation of the CTE Teacher Pathways Initiative (TPI) Grant Program. The Department’s OCTAE awarded grants to five entities across the country to implement strategies to prepare, recruit, and retain secondary CTE teachers. The purpose is to inform the Department’s continuous improvement efforts and to support efforts of grantees. The purpose of the study is not to evaluate the grant or grantees but to identify successes and challenges related to the implementation of strategies.

Key Question(s) Addressed

- What do grantees see as the major factors contributing to shortages of secondary CTE teachers in their state or community?
- How have the grantees used TPI funding to alleviate CTE teacher shortages?
- What challenges have grantees experienced in implementing their TPI activities, and what strategies are they using to overcome those challenges?
- Are there early indicators of success in alleviating CTE teacher shortages?

Design

During the first year of 2018–2019, interviews were conducted with grant coordinators. In October, the interviews focused on initial grant implementation plans. In spring 2019, site

visits were conducted with grantee partner organizations to learn more about detailed, on-the-ground experiences with CTE TPI implementation. During these site visits, interviews were held to learn more about root causes of CTE teacher shortages, how the grantees have implemented strategies to alleviate CTE teacher shortages, what challenges grantees have faced in implementing TPI activities, and what indicators of success grantees have experienced. A second round of interviews will take place starting in spring 2021 or fall 2021 in order to capture activities under economic conditions potentially changed by the coronavirus pandemic.

Estimated Completion Date

The report is scheduled for completion in summer 2022.

Study of Unsafe School Choice Option

Study Purpose

This study is examining state implementation of federal requirements to provide an Unsafe School Choice Option (USCO) that permits students attending a persistently dangerous public elementary or secondary school, or students who become victims of a violent criminal offense while in or on the grounds of a public school that they attend, be allowed to attend a safe public school within the school district, including a public charter school.

Key Question(s) Addressed

- What are states' processes for developing and reviewing USCO-related policies about student and school safety?
- How do states ensure that the data used to make determinations of persistently dangerous schools are accurate?
- For states with appeal processes for determinations of persistently dangerous schools, how have those appeals worked in practice?
- What guidance do states provide to districts on how to comply with the USCO provisions, including offering transfer to a victim of a violent criminal offense?
- How do states monitor district compliance with USCO provisions, including offering transfer to victims of a violent criminal offense while in or on the grounds of a public school they attend?
- What challenges have states encountered in implementing the USCO provisions, and how can they be addressed?

Design

This study includes interviews with state representatives in all 50 states, the District of Columbia, Puerto Rico, and the outlying areas that are most familiar with the implementation of the USCO provision. The study also includes analysis of extant documents.

Estimated Completion Date

The report is scheduled for completion in late 2020.

Study of Preventing Aiding and Abetting of Sexual Abuse in Schools

Study Purpose

This study is examining how SEAs are implementing laws and policies to prohibit aiding and abetting sexual misconduct in schools in response to requirements under Section 8546 of ESSA. The study will also describe the challenges states have encountered implementing the ESSA requirements and how they have addressed these challenges. The study is not intended to determine the extent to which each state is complying with Section 8546, but rather, to inform the Department’s technical assistance efforts by improving understanding of how states are implementing these provisions.

Key Question(s) Addressed

- To what extent do states have statutes, legislation, or regulations that prohibit aiding and abetting continued employment of school employees, contractors, or agents who have engaged or allegedly engaged in sexual misconduct with a student or minor?
- How did states develop statutes, legislation, regulations, and/or policies to address Section 8546?
- How are SEAs implementing statutes, regulations, and/or policies that prohibit aiding and abetting continued employment of school employees, contractors, or agents who have engaged in sexual misconduct with a student or minor?
- What challenges have SEAs faced in implementing the requirements of Section 8546?

Design

The study involves telephone interviews with knowledgeable staff in all 50 states, the District of Columbia, Puerto Rico, and the island territories (American Samoa, Guam, Northern Mariana Islands, and the U.S. Virgin Islands) about their jurisdiction’s laws and policies to prohibit aiding and abetting of sexual misconduct in schools. In preparation for these interviews, the study team conducted a systematic review of publicly available documents related to Section 8546, including state statutes, pending legislation, and regulations. The study team will produce a final report that will aggregate findings from interviews and document reviews across states. The report may also include state-by-state tables based on an analysis of documents. States will have the opportunity to review and verify these tables before the report’s release.

Estimated Completion Date

The report is scheduled for completion in spring 2021.

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Appendix E

Glossary of Acronyms and Abbreviations

Acronym	Definition
ACCT	Account
ACGR	Adjusted Cohort Graduation Rate
ACSI	American Consumer Satisfaction Index
AECI	Architecture, Engineering, and Construction Industries
AEFLA	<i>Adult Education and Family Literacy Act</i>
AP	Advanced Placement
APG	Agency Priority Goal
APH	American Printing House for the Blind
APR	Annual Performance Report
BA	Bachelor's Degree
CAP	Cross-Agency Priority
CARES Act	<i>Coronavirus Aid, Relief, and Economic Security Act</i>
CCD	Common Core of Data
CDFI	Community Development Financial Institutions
CGSA	Competitive Grants for State Assessments
CLSD	Comprehensive Literacy State Development
CMO	Charter Management Organization
CoP	Community of Practice
CRDC	Civil Rights Data Collection
CSA	Charter School Authorizer
CSF	Cybersecurity Framework
CSI	Comprehensive Support and Improvement
CSP	Charter Schools Program
CSPR	<i>Consolidated State Performance Report</i>
CTAE	Career, Technical, and Adult Education
CTE	Career and Technical Education
DGB	Data Governance Board
DHS	Department of Homeland Security
DLP	Data Loss Prevention
DM	Departmental Management

Acronym	Definition
DMA	Data Maturity Assessment
DMCS	Debt Management and Collection System
DST	Data Strategy Team
ED	U.S. Department of Education
Ed-Flex	Education Flexibility Program
EDMAPS	Enterprise Data Management and Analytics Platform Services
EL	English Learner
ELA	English Language Acquisition
EO	Executive Order
EOC	Educational Opportunity Center
ERM	Enterprise Risk Management
ERR	Entity Risk Review
ESEA	<i>Elementary and Secondary Education Act of 1965</i>
ESF	Education Stabilization Fund
ESSA	<i>Every Student Succeeds Act</i>
FAFSA®	<i>Free Application for Federal Student Aid®</i>
FAQ	Frequently Asked Question
FDSL	Federal Direct Student Loan
FERPA	<i>Family Education Rights and Privacy Act</i>
FEVS	Federal Employee Viewpoint Survey
FFEL	<i>Federal Family Education Loan</i>
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
G5	Grants Management System
GEAR UP	Gaining Early Awareness and Readiness for Undergraduate Programs
GLBA	<i>Gramm-Leach-Bliley Act</i>
GPRA	<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

Acronym	Definition
HEA	<i>Higher Education Act</i>
HEAL	Health Education Assistance Loan
HSI STEM	Hispanic Serving Institution Science, Technology, Engineering, and Mathematics Articulation Program
I&I	Innovation and Improvement
IA	Impact Aid
IADA	<i>Innovative Assessment Demonstration Authority</i>
IDEA	<i>Individuals with Disabilities Education Act</i>
IE	Indian Education
IHE	Institutions of Higher Education
IES	Institute of Education Sciences
IET	Integrated Education and Training
IG	Inspector General
IPEDS	Integrated Postsecondary Education Data System
IRS	Internal Revenue Service
IT	Information Technology
LEA	Local Educational Agency
LINCS	Literacy Information and Communication System
MSAP	Magnet Schools Assistance Program
MTSS-B	Multi-tiered System of Support for Behavior
MTSS-R	Multi-tiered System of Supports for Reading
N/A	Not Applicable
NCES	National Center for Education Statistics
Next Gen FSA	Next Generation Financial Services Environment
NIC	Network Improvement Community
NIST	National Institutes of Standards and Technology
NSLDS®	National Student Loan Data System®
NTID	National Technical Institute for the Deaf
O365	Microsoft Office 365
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

Acronym	Definition
OFM	Office of Financial Management
OFO	Office of Finance and Operations
OHR	Office of Human Resources
OIG	Office of Inspector General
OMB	Office of Management and Budget
OPE	Office of Postsecondary Education
OPEN	Outreach, Prevention, Education and Non-discrimination
OPEPD	Office of Planning, Evaluation, and Policy Development
OPM	Office of Personnel Management
OSEP	Office of Special Education Programs
OSERS	Office of Special Education and Rehabilitative Services
OSP	Opportunity Scholarship Program
PA	Program Administration
PBIS	Positive Behavior Interventions and Supports
PBO	Performance-based Organization
PII	Personally Identifiable Information
PMA	<i>President's Management Agenda</i>
pMDM	Master Data Management Platform
POA&M	Plan of Action and Milestone
POC	Principal Operating Component
PSLF	Public Service Loan Forgiveness
PTAC	Privacy Technical Assistance Center
PY	Program Year
Q&A	Questions and Answers
QSMO	Quality Service Management Office
RDA	Results Driven Accountability
REHAB	Rehabilitation Services and Disability Research
REL	Regional Educational Laboratory
RMA	Risk Management Assessment
RSA	Rehabilitation Services Administration
SAA	Student Aid Administration
SE	Special Education
SEA	State Educational Agency
SFA	Student Financial Assistance
SIP	Strengthening Institutions Program
SMART	Specific, Measurable, Achievable, Relevant, and Timebound
SPPO	Student Privacy Policy Office

Acronym	Definition
SRCL	Striving Readers Comprehensive Literacy
SSCE	Safe Schools and Citizenship Education
STEM	Science, Technology, Engineering, and Mathematics
SY	School Year
TBD	To Be Determined
TBM	Technology Business Management
TEACH	Teacher Education Assistance for College and Higher Education
TPI	Teacher Pathways Initiative
TSL	Teacher and School Leader
TQP	Teacher Quality Partnership
USCO	Unsafe School Choice Option
VR	Vocational Rehabilitation
WIOA	<i>Workforce Innovation and Opportunity Act</i>

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U.S. Department of Education

Mitchell M. Zais, Ph.D.

Acting Secretary

January 15, 2021

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