



governmentattic.org

"Rummaging in the government's attic"

Description of document: Department of Education (ED) Transition Briefing materials for the Incoming Biden Administration 2020-2021

Requested date: 01-January-2021

Release date: 25-February-2021

Posted date: 22-March-2021

Source of document: FOIA Request
U.S. Department of Education
Office of the Executive Secretariat
FOIA Service Center
400 Maryland Avenue, SW, LBJ 7W106A
Washington, DC 20202-4536
ATTN: FOIA Public Liaison
Fax: (202) 401-0920
[Online FOIA Portal](#)

The governmentattic.org web site ("the site") is a First Amendment free speech web site and is noncommercial and free to the public. The site and materials made available on the site, such as this file, are for reference only. The governmentattic.org web site and its principals have made every effort to make this information as complete and as accurate as possible, however, there may be mistakes and omissions, both typographical and in content. The governmentattic.org web site and its principals shall have neither liability nor responsibility to any person or entity with respect to any loss or damage caused, or alleged to have been caused, directly or indirectly, by the information provided on the governmentattic.org web site or in this file. The public records published on the site were obtained from government agencies using proper legal channels. Each document is identified as to the source. Any concerns about the contents of the site should be directed to the agency originating the document in question. GovernmentAttic.org is not responsible for the contents of documents published on the website.



UNITED STATES DEPARTMENT OF EDUCATION

OFFICE OF THE SECRETARY

FOIA Service Center

February 25, 2021

RE: FOIA Request No. 21-00621-F

This letter is a final response to your request for information pursuant to the Freedom of Information Act (FOIA), 5 U.S.C. § 552, dated January 1, 2021 and received in this office on January 1, 2021. Your request was forwarded to the Office of Finance and Operations (OFO) to search for documents that may be responsive to your request.

You requested the following: A digital/electronic copy of the transition briefing document(s) (late 2020) prepared by the Dept of Education for the incoming Biden Administration.

Attached to this e-mail are 313 pages of fully releasable documents that are responsive to your request. The documents provided are:

- Biden Transition Records - 2021.

Provisions of the FOIA allow us to recover the costs pertaining to your request. The Department has concluded that you fall within the category of "an all other use requester." However, the Department has provided you with this information at no charge. The Department's release of this information at no cost does not constitute the grant of a fee waiver and does not infer or imply that you will be granted a fee waiver for future requests made under FOIA to the Department. Because we were able to locate and process these documents at minimal costs, they are provided to you at no cost.

You have the right to seek further assistance from the Department's FOIA Public Liaison, Robert Wehausen. The Department's FOIA Public Liaison can be reached by e-mail at robert.wehausen@ed.gov; by phone at 202-205-0733; by fax at 202-401-0920; or by mail at Office of the Executive Secretariat, U.S. Department of Education, 400 Maryland Ave., SW, 7C132, Washington, DC 20202-4500, Attn: FOIA Public Liaison.

If you have any questions, please contact the FSC at (202) 401-8365 or EDFOIAMANAGER@ed.gov.

Sincerely,

DeShawn Middleton

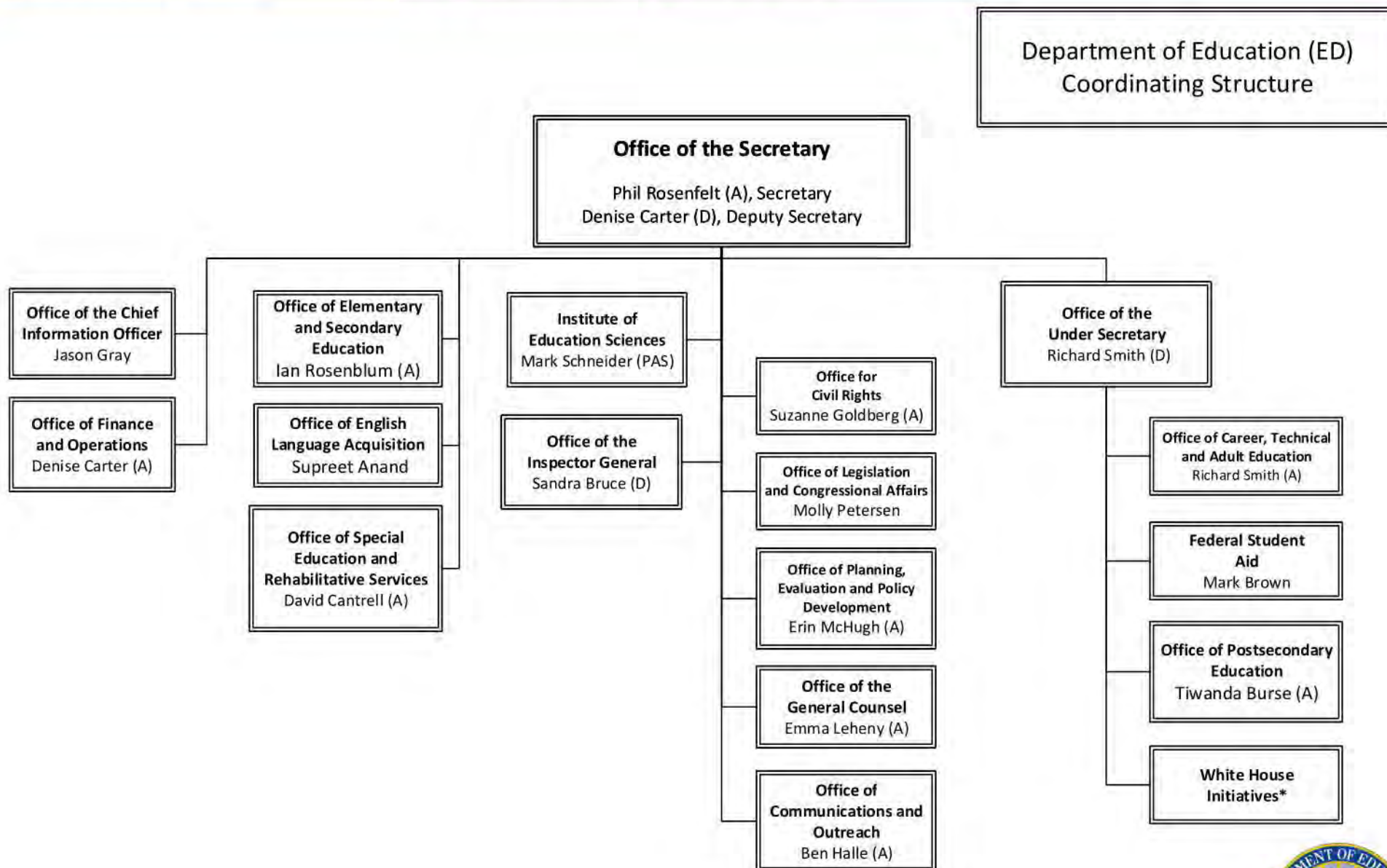
DeShawn Middleton
Government Information Specialist
Office of the Executive Secretariat

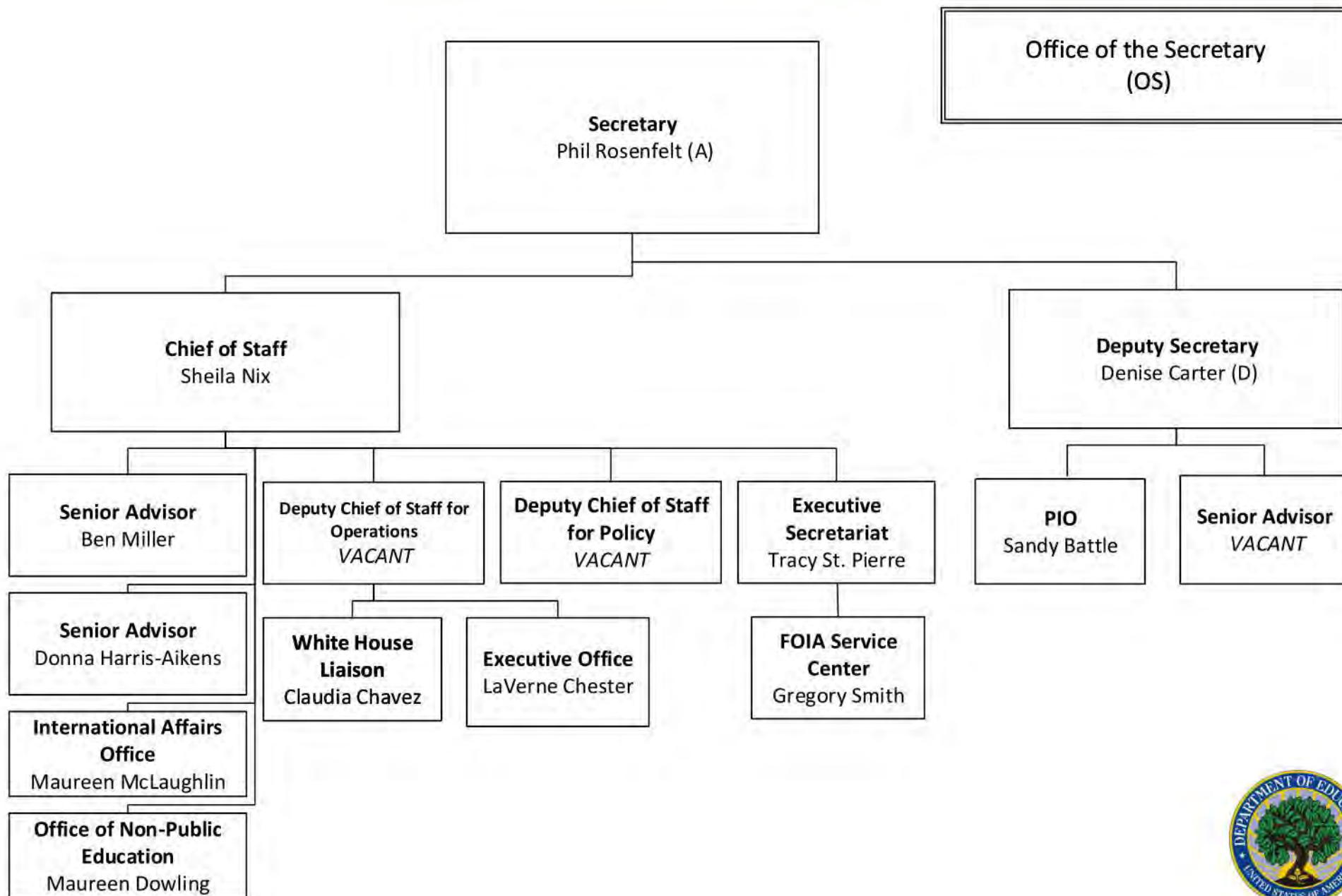
Attachment

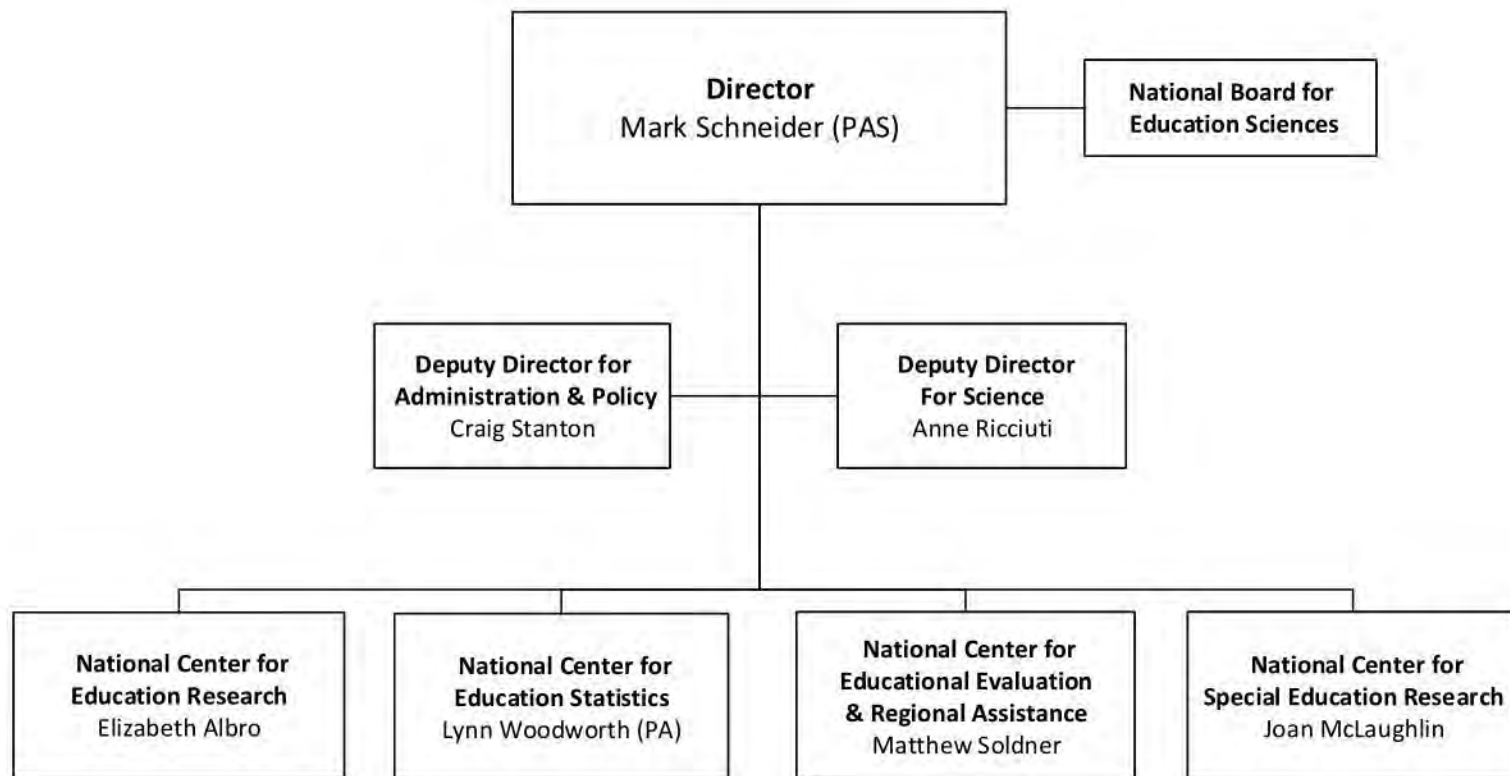


U.S. Department of Education Organizational Charts

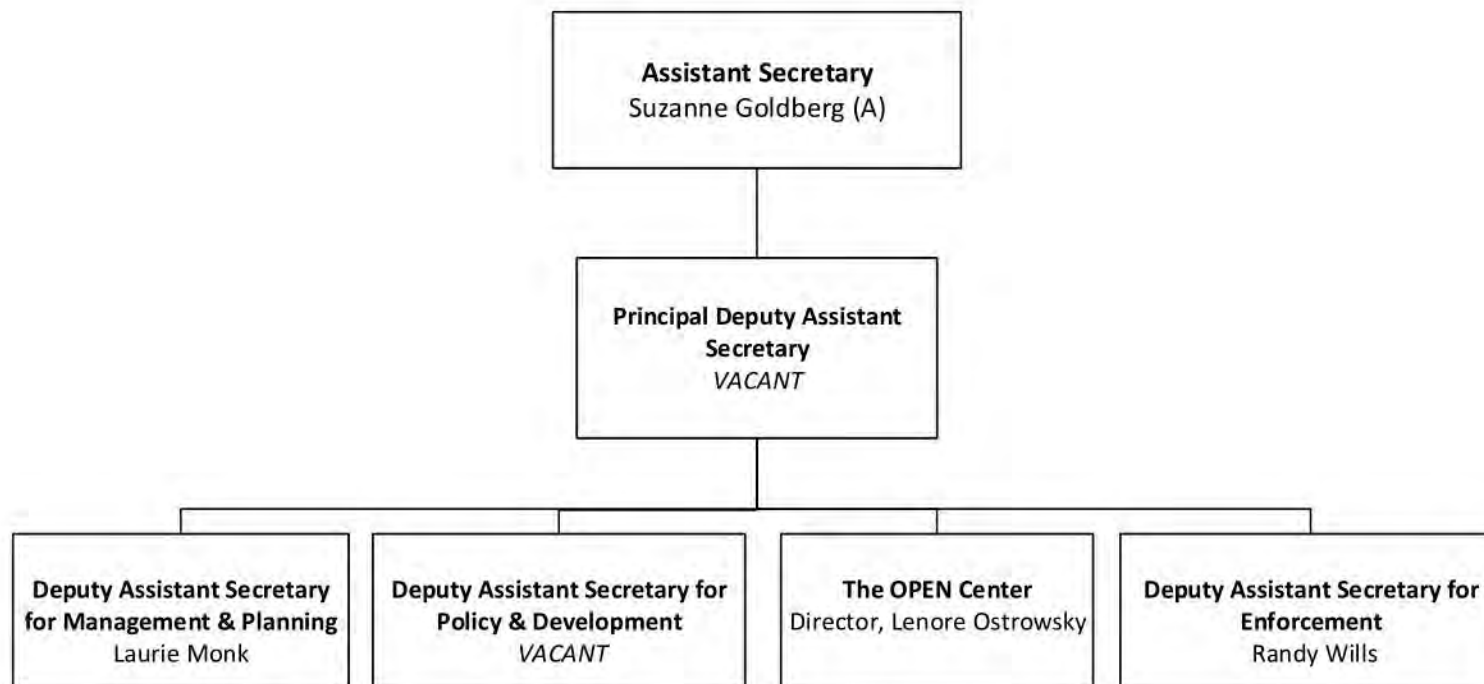
January 21, 2021



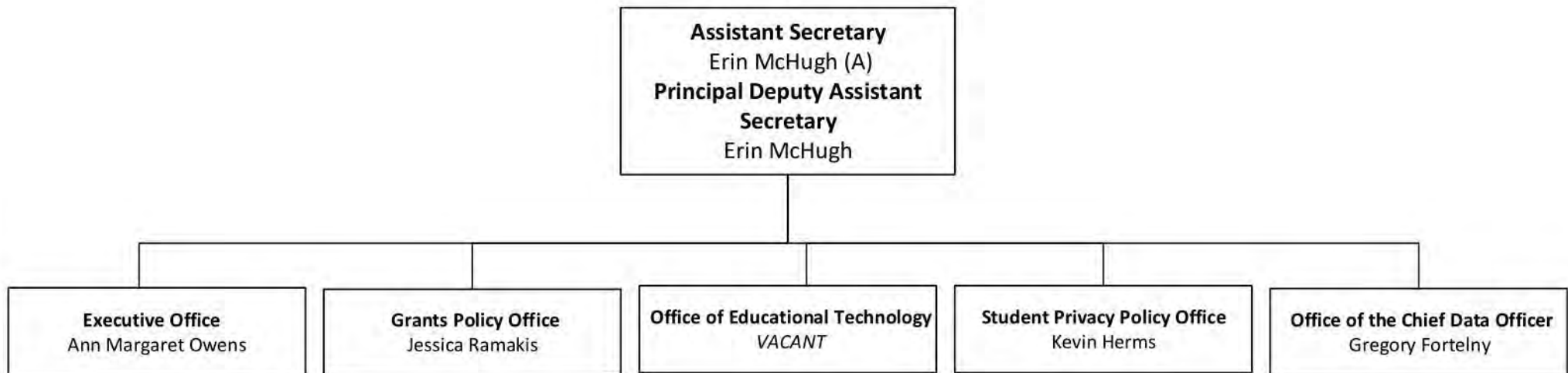


**Institute of Education Sciences
(IES)**

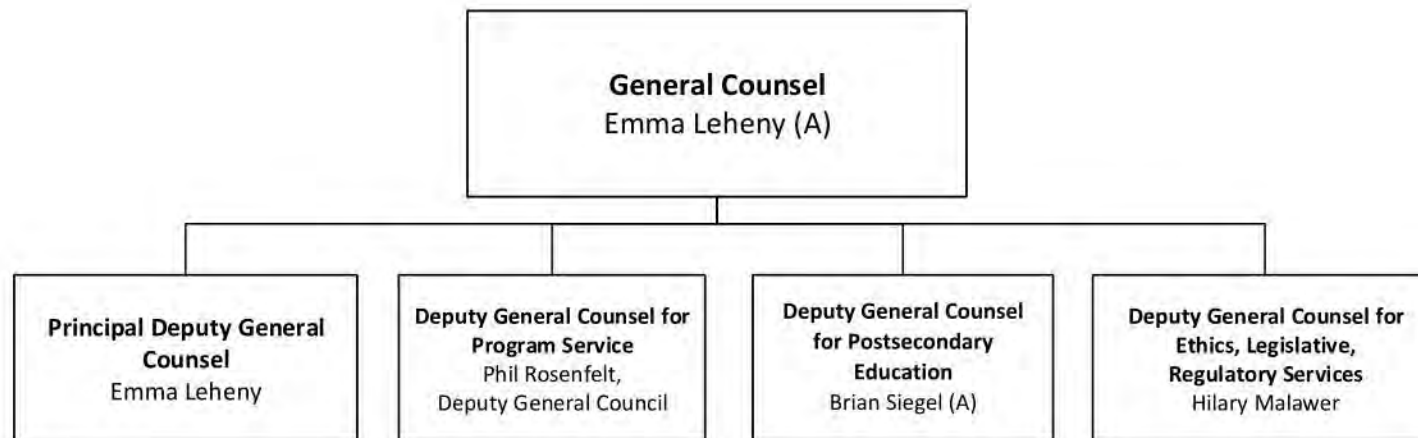
Office for Civil Rights (OCR)



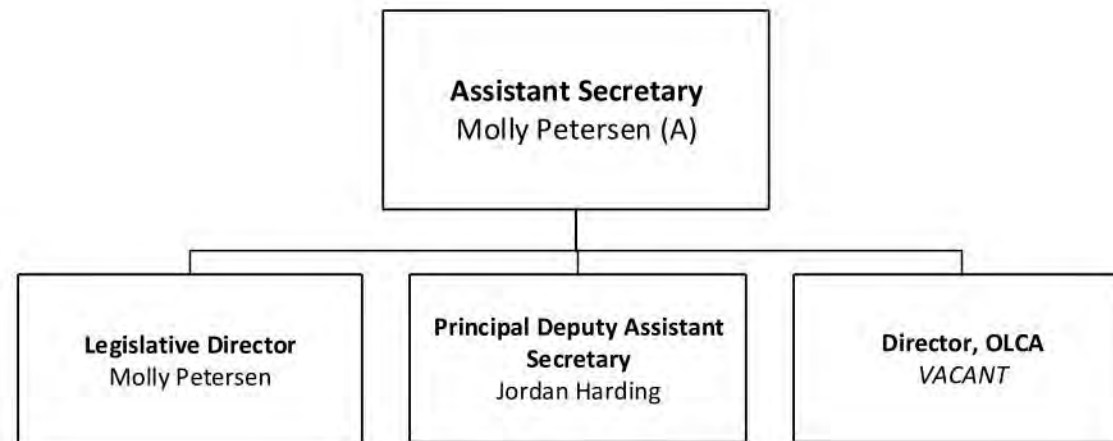
Office of Planning, Evaluation and
Policy Development (OPEPD)

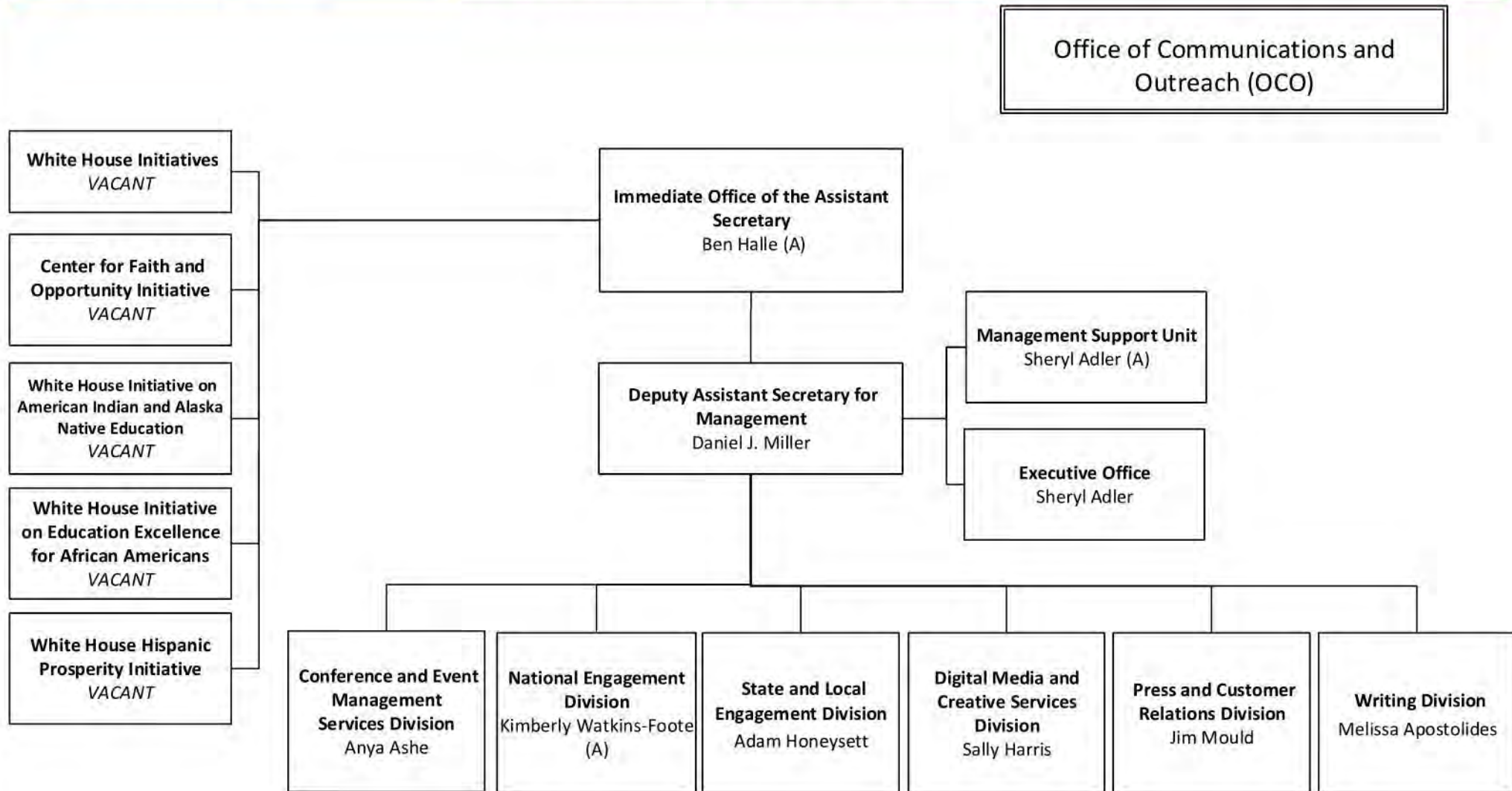


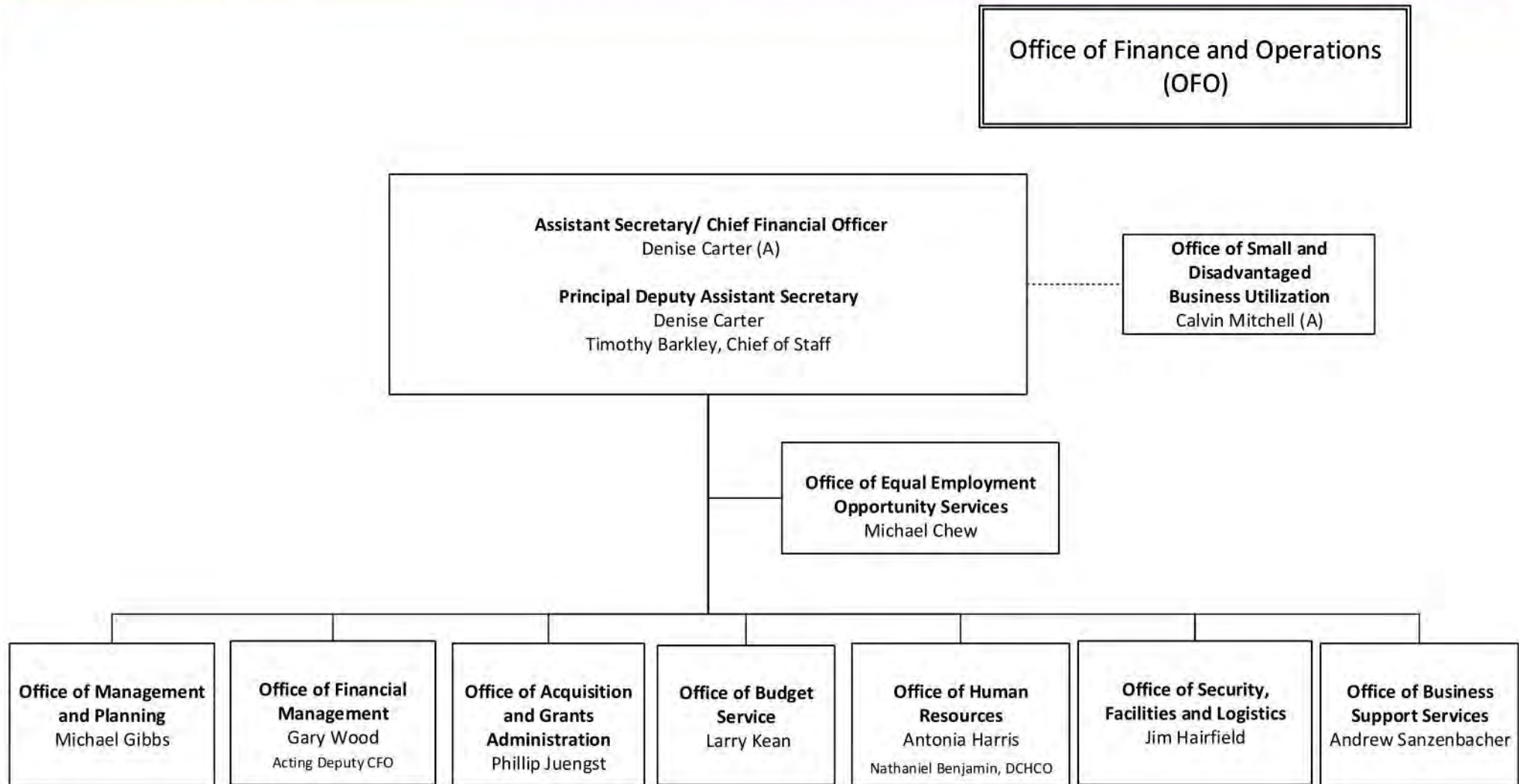
Office of the General Counsel (OGC)



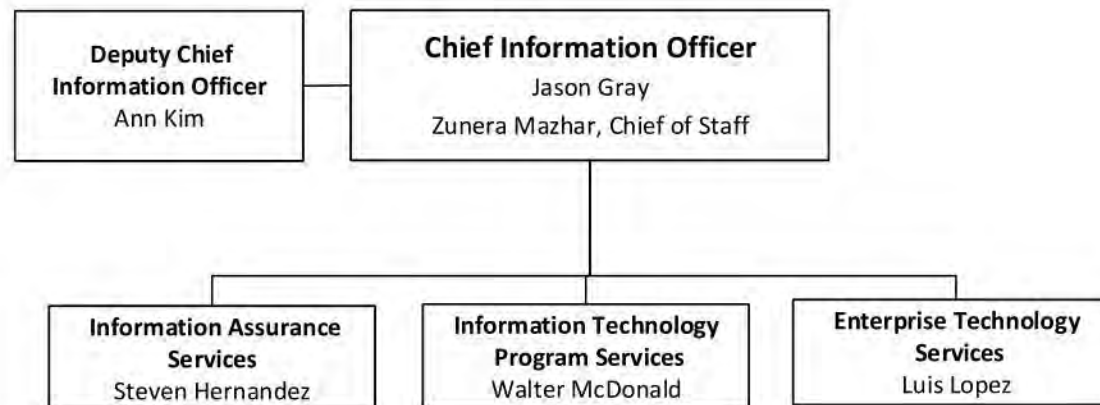
Office of Legislation and
Congressional Affairs (OLCA)

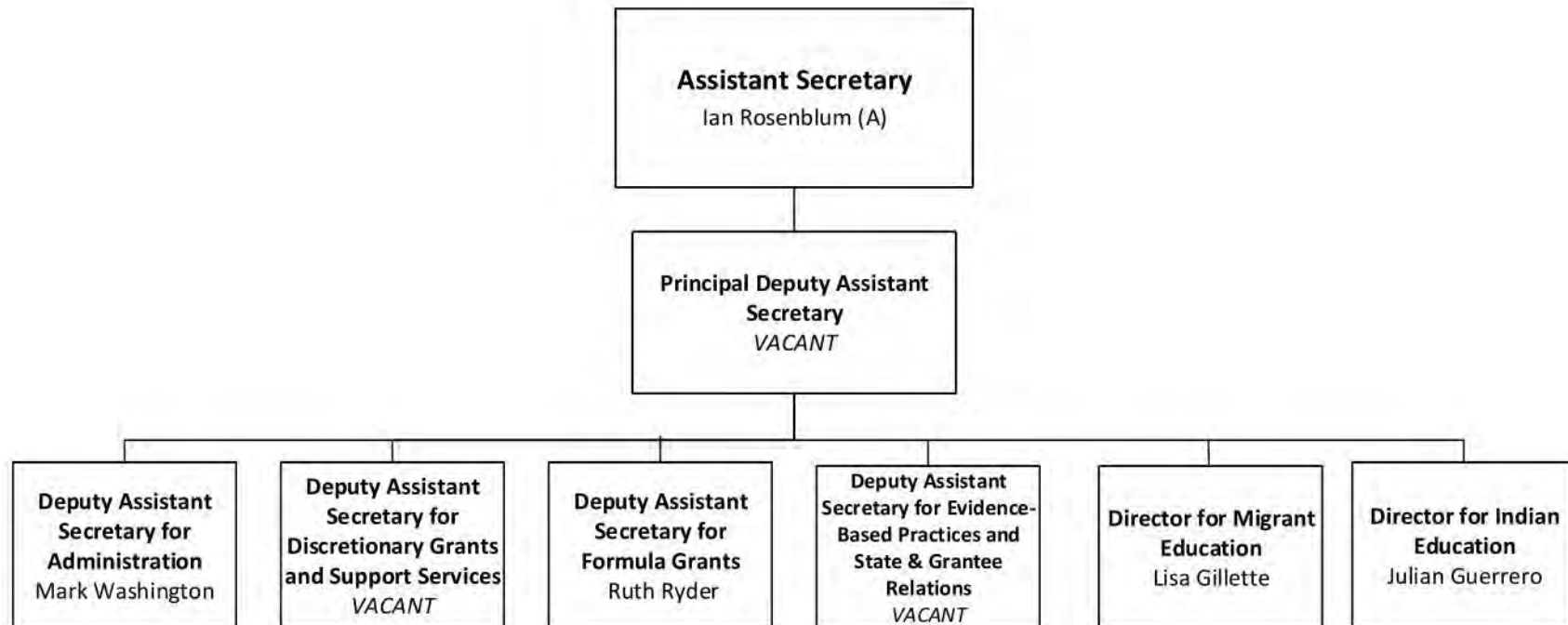




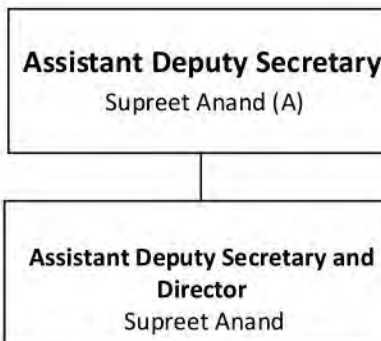


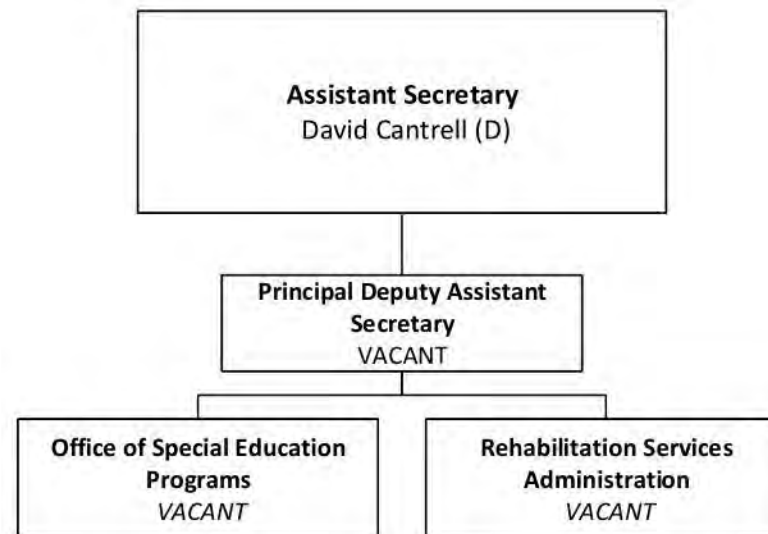
Office of the Chief Information
Officer (OCIO)



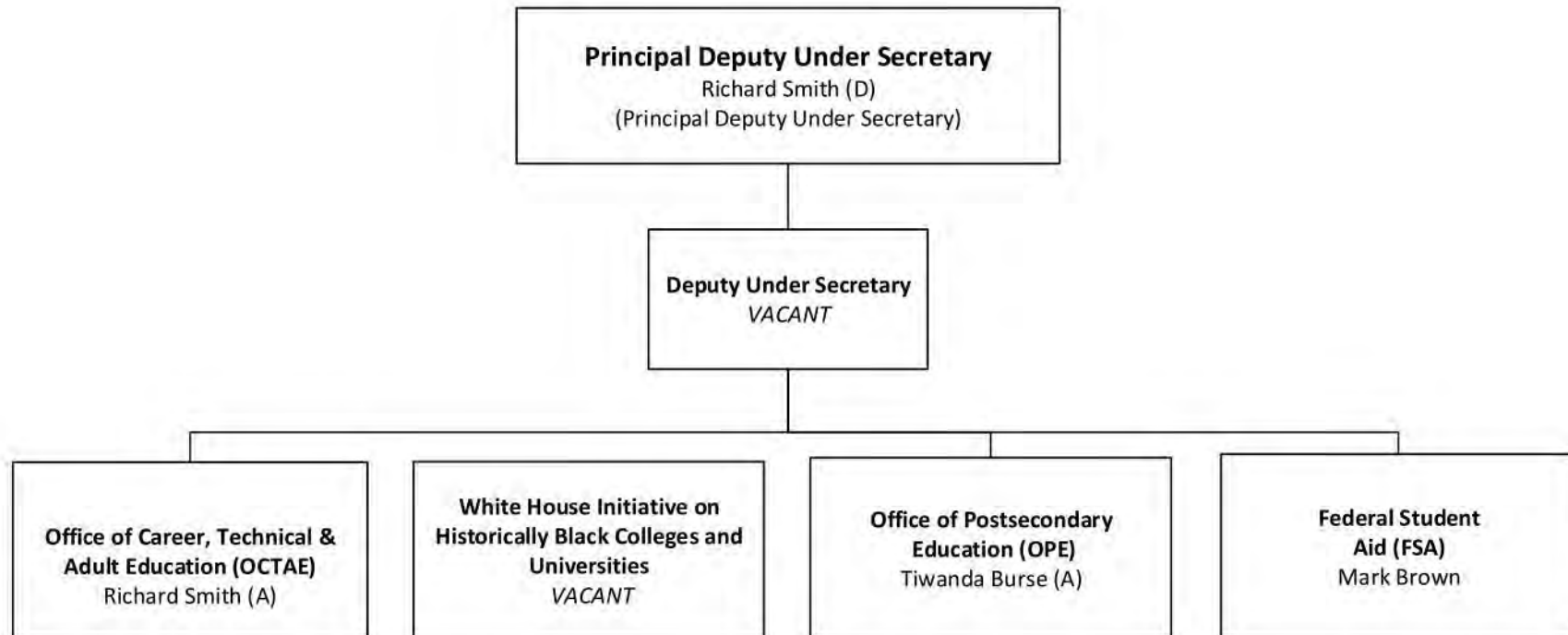
**Office of Elementary and Secondary
Education (OESE)**

Office of English Language
Acquisition (OELA)



**Office of Special Education and
Rehabilitative Services (OSERS)**

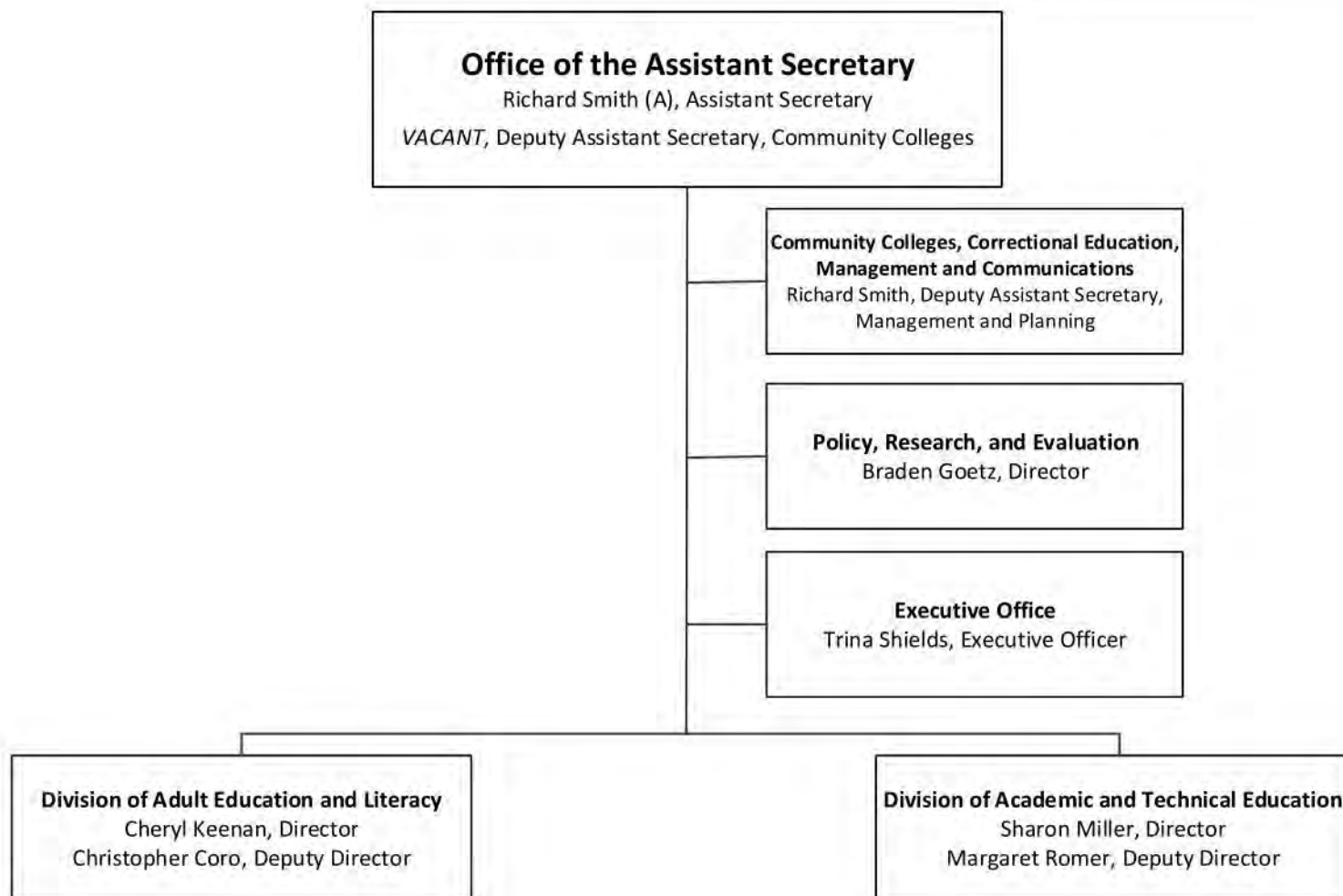
Office of the Under
Secretary (OUS)

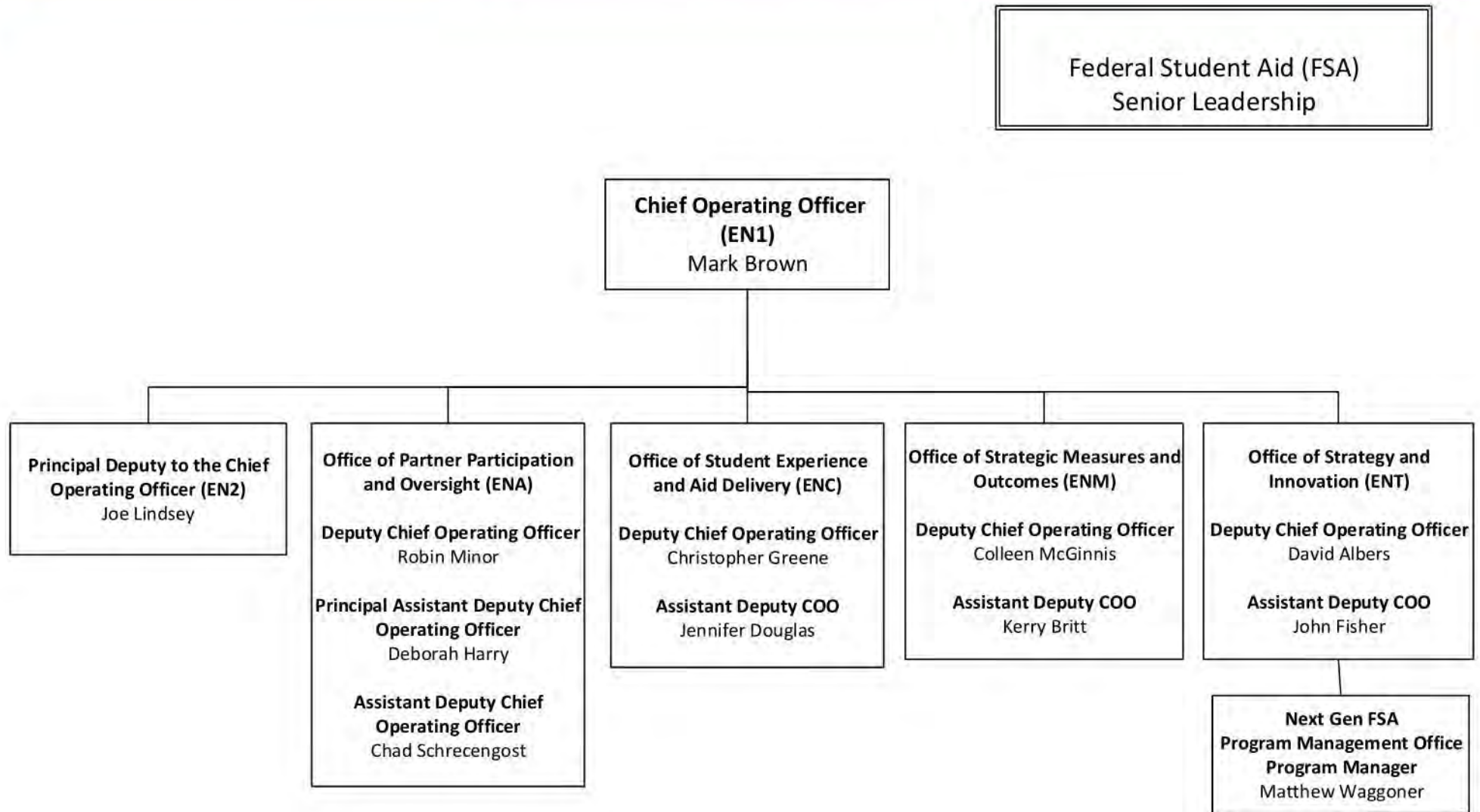


Office of Postsecondary
Education (OPE)

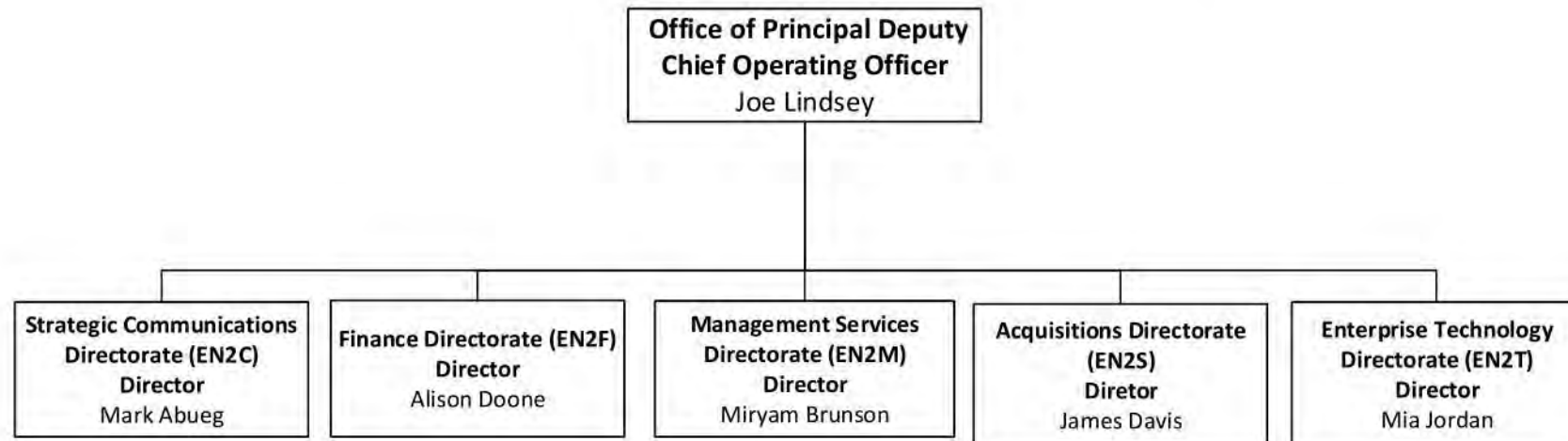


Office of Career, Technical, and
Adult Education (OCTAE)





Federal Student Aid (FSA)
Office of the Principal Deputy to the
Chief Operating Officer



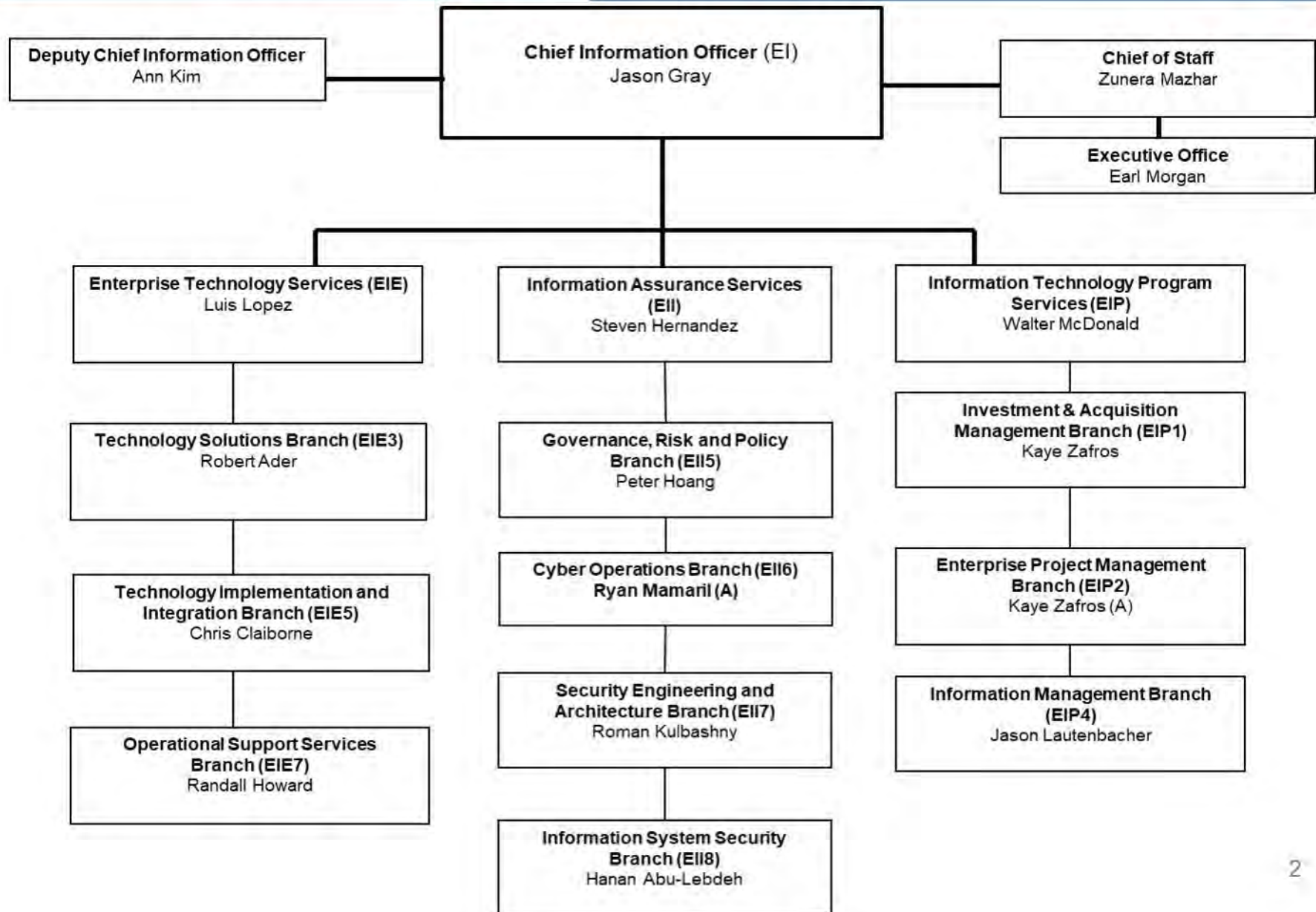


Office of the Chief Information Officer

Overview Briefing

December 9, 2020

Office of the Chief Information Officer Organizational Chart



CIO Focus Areas



Cybersecurity



Governance



**IT
Modernization**



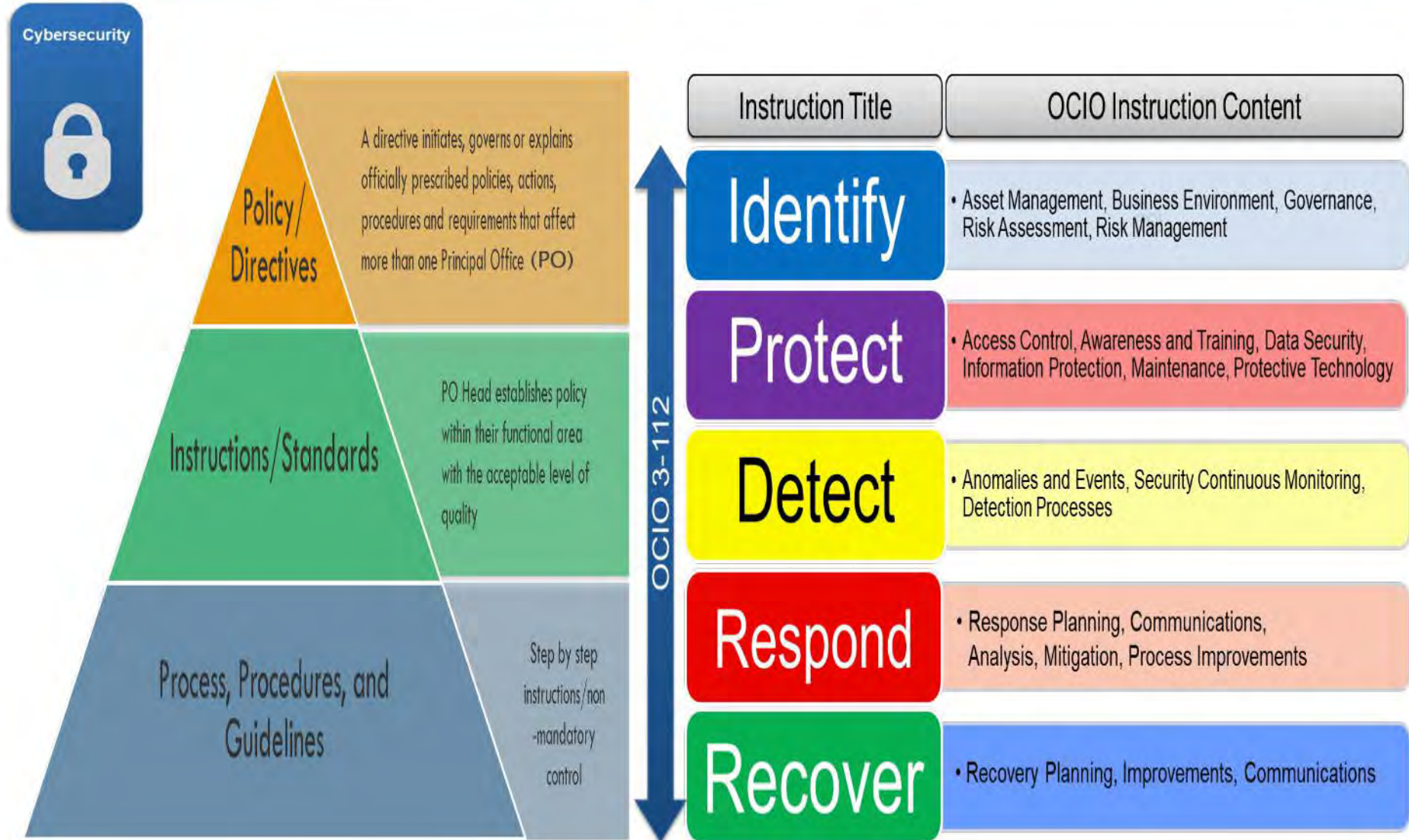
**Customer
Experience**



**Workforce
and
Organizational
Health**



Cybersecurity - Policy Framework



Cybersecurity Risk Scorecard – (SAMPLE)

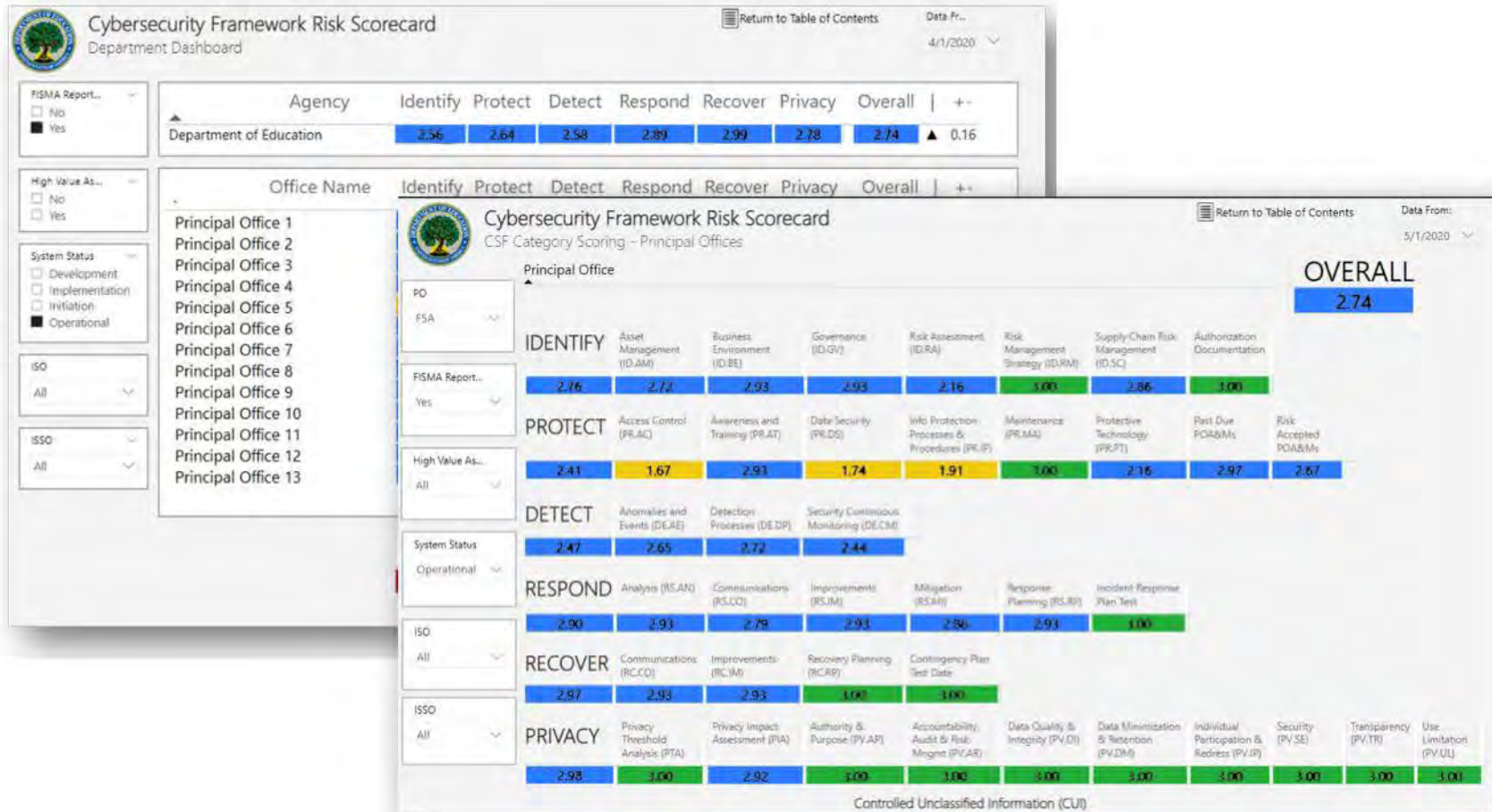


Agency	IDENTIFY	PROTECT	DETECT	RESPOND	RECOVER	PRIVACY	OVERALL	+-	Delta
Department of Education	2.38	2.66	2.41	2.67	2.96	2.43	2.60	▼	-0.03
Principal Office	IDENTIFY	PROTECT	DETECT	RESPOND	RECOVER	PRIVACY	OVERALL	+-	Delta
Principal Office 1	2.33	2.95	3.00	3.00	3.00	3.00	2.87	▲	0.03
Principal Office 2	2.81	2.87	2.86	2.95	2.93	3.00	2.80	▼	-0.04
Principal Office 3	2.50	3.00	3.00	3.00	3.00	2.50	2.79	▲	0.04
Principal Office 4	2.47	2.82	2.47	2.68	2.84	2.92	2.66	▼	-0.03
Principal Office 5	3.00	3.00	3.00	3.00	3.00	1.00	2.63	▼	-0.12
Principal Office 6	2.35	2.40	2.20	2.69	3.00	3.00	2.62	▲	0.11
Principal Office 7	2.13	2.79	2.63	2.75	3.00	2.33	2.51	▼	-0.12
Principal Office 8	2.20	2.70	2.60	2.70	2.85	2.67	2.51	▼	-0.04
Principal Office 9	3.00	2.89	3.00	3.00	3.00	1.00	2.47	▼	-0.25
Principal Office 10	2.00	2.67	2.00	2.33	3.00	1.00	2.30	▼	-0.53
Principal Office 11	2.00	2.74	1.78	2.00	3.00	2.67	2.28	▼	-0.22
Principal Office 12	1.00	2.33	0.00	1.00	3.00	3.00	1.89	▼	-0.78
Principal Office 13	0.00	2.00	0.00	0.00	3.00	2.50	1.48	▼	-0.43



Information is provided for discussion purposes. Real data was not used.

Cybersecurity Risk Scorecard (SAMPLE)

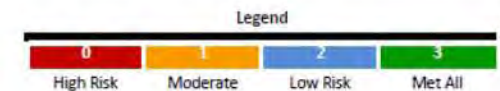


Information is provided for discussion purposes. Real data was not used.

Cybersecurity Risk Scorecard – Trending (SAMPLE)

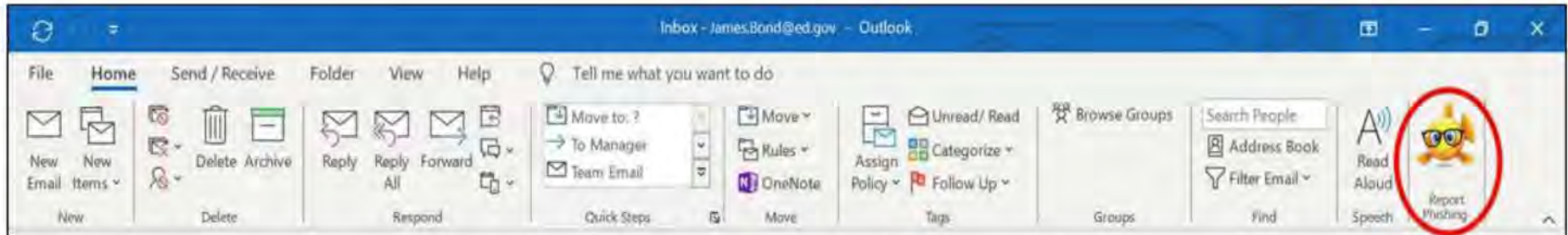


	2018	2019												2020									
Principal Office	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	+/-		
Principal Office 1	2	1.00	2.00	2.00	0.00	1.63	1.97	2.42	2.42	2.38	2.38	2.32	2.63	2.95	2.77	1.63	1.63	2.63	2.96	2.96	0.00	=	
Principal Office 2	1	2.00	2.00	2.00	2.78	1.48	2.79	2.31	2.51	2.60	2.72	2.84	2.87	2.95	2.79	2.28	2.77	2.96	2.14	2.72	0.58	▲	
Principal Office 3	2	1.00	2.00	2.00	2.83	0.00	0.00	1.97	2.81	2.87	2.98	1.48	2.93	2.63	2.87	2.85	2.93	2.89	2.93	2.95	0.02	▲	
Principal Office 4	1	0.00	1.00	0.00	1.63	1.98	2.93	2.93	2.93	2.93	3.00	2.79	3.00	3.00	1.48	2.79	2.79	2.83	2.70	2.80	0.10	▲	
Principal Office 5	2	2.00	2.00	2.00	1.98	0.00	1.63	1.63	2.38	2.98	2.94	2.68	2.68	3.00	2.84	2.14	2.37	2.47	2.92	2.91	-0.01	▼	
Principal Office 6	2	2.00	2.00	2.00	2.50	2.45	2.40	2.56	2.62	2.65	2.67	2.57	2.52	2.63	2.63	2.79	2.45	2.40	2.81	2.87	0.06	▲	
Principal Office 7	2	1.00	2.00	2.00	2.83	1.98	2.91	2.93	2.90	2.45	2.75	2.82	3.00	3.00	2.87	2.93	2.51	1.89	2.83	2.82	-0.01	▼	
Principal Office 8	3	3.00	2.00	3.00	2.42	2.94	2.66	2.56	2.79	3.00	2.79	3.00	3.00	2.90	2.72	2.47	2.61	2.14	2.82	2.82	0.00	=	
Principal Office 9	1	1.00	2.00	0.00	1.48	1.48	2.30	22.8	2.33	2.45	2.47	2.47	2.49	2.43	3.00	3.00	3.00	2.74	2.70	2.80	0.10	▲	
Principal Office 10	1	0.00	2.00	3.00	0.00	1.63	0.00	0.00	1.63	2.61	2.75	2.82	2.72	2.80	2.49	2.51	2.60	2.72	2.84	2.76	-0.08	▼	
Principal Office 11	2	3.00	1.00	0.00	1.79	2.37	2.45	2.45	2.40	2.40	2.37	2.47	2.54	2.79	2.51	1.79	2.65	2.58	2.72	2.72	0.00	=	
Principal Office 12	2	2.00	0.00	0.00	1.63	2.57	2.79	2.50	2.70	3.00	2.82	3.00	3.00	2.45	2.67	1.89	2.14	2.14	2.83	2.82	-0.01	▼	
Principal Office 13	2	2.00	2.00	3.00	2.46	2.91	2.93	3.00	3.00	2.90	2.90	3.00	3.00	3.00	2.67	2.75	2.38	2.32	2.88	2.60	-0.28	▼	

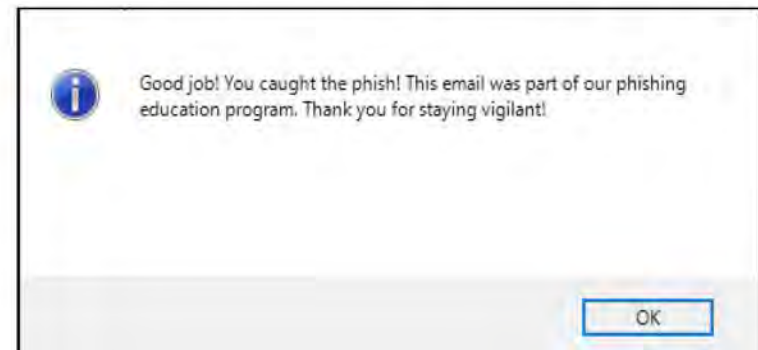


Information is provided for discussion purposes. Real data was not used.

ED Report Phishing Button



- The button was deployed on February 25, 2020 to all ED Outlook email client toolbars, allowing users to directly report suspicious emails to the EDSOC with a single click. The bright orange fish makes the button easily identifiable.
- When a user selects a suspicious email and clicks the ED Report Phishing button, the suspicious email along with the full headers, attachments, and URLs is sent to the EDSOC for analysis and response.
- This tool automatically discerns authorized ED phishing scenario emails from emails received from unknown sources, ensuring that only reports of potentially malicious emails are delivered to the EDSOC.
- When the button is used to report an email delivered as part of an authorized phishing exercise, the user receives immediate feedback in the form of a “Thank you” message.



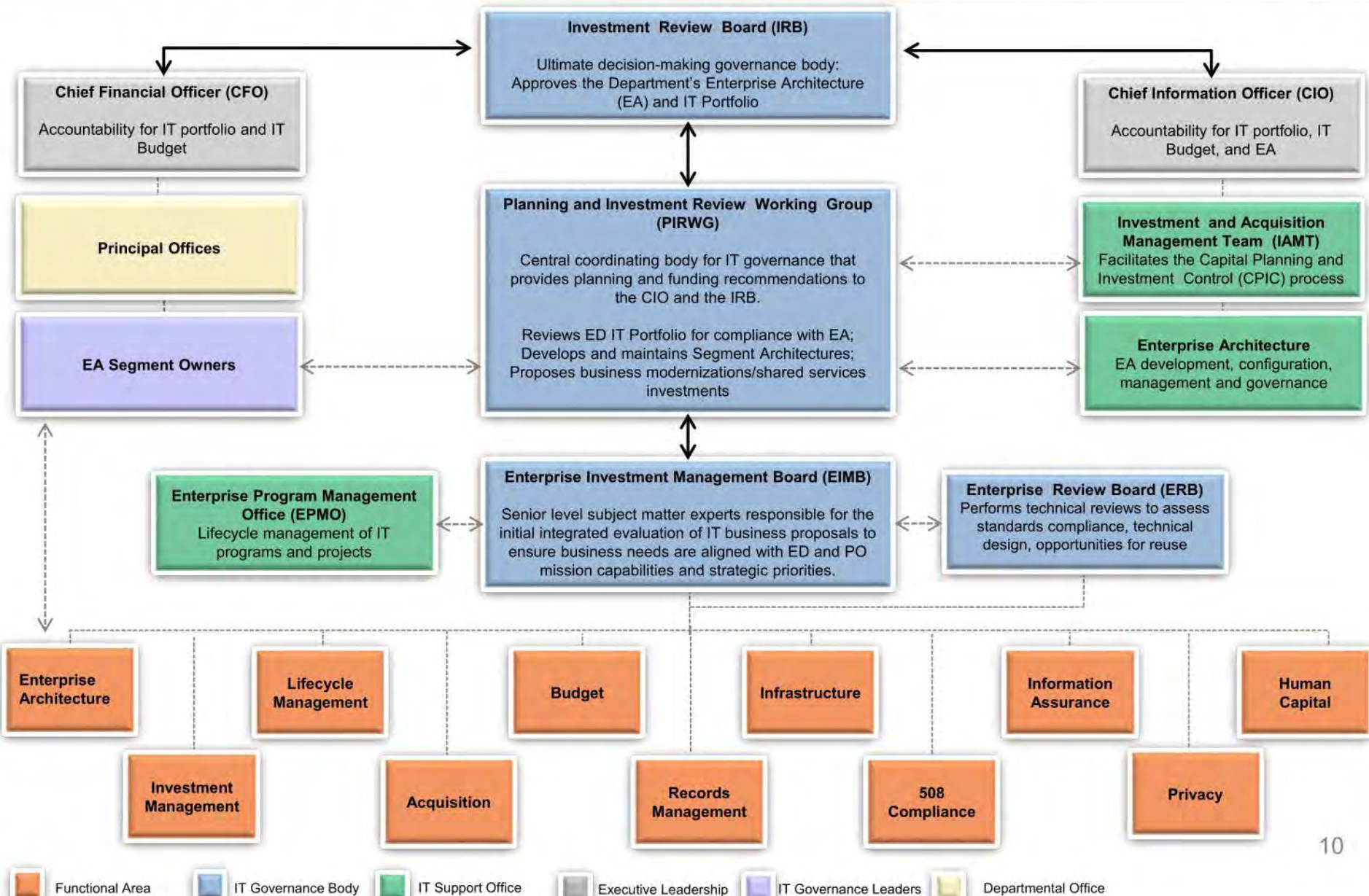
Federal Information Technology Acquisition Reform Act (FITARA)



FITARA Scorecard 10.0

Version		OVERALL	CIO Authority Enhancement (Incremental Development)	Transparency and Risk (CIO Rating – IT Dashboard)	Portfolio Review (PortfolioStat)	Data Center Optimization Initiative	Software Licensing (MEGABYTE)	Modernizing Government Technology	Cyber	CIO Authority (CIO Reporting Structure)
10.0	July 2020	B+	A	B	B	A	A	B	C	+
9.0	Dec 2019	A+	A	A	A	A	A	B	C	+
8.0	June 2019	B+	A	B	C	A	A	B	C	+
7.0	Dec 2018	B+	A	B	D	A	A	D	C	+
6.0	May 2018	B+	A	B	D	A	A	D	F	+
5.0	Nov 2017	B+	A	D	D	A	A	Not graded	Not graded	+
4.0	Jun 2017	C+	B	F	C	A	C	Not graded	Not graded	+
3.0	Dec 2016	C+	F	F	C	A	Not graded	Not graded	Not graded	+
2.0	May 2016	D	F	D	F	B	Not graded	Not graded	Not graded	Not graded
1.0	Nov 2015	F	F	D	F	F	Not graded	Not graded	Not graded	Not graded

Enterprise IT Governance Framework



Enterprise IT Governance Framework, cont'd



- Facilitates a comprehensive review of the acquisition, planning, performance and risk management of the IT portfolio to prioritize and manage information resource needs
- Driven by:
 - IT Strategy
 - Legislative mandates
 - Capital Planning and Investment Control
- Cross functional in nature
 - Acquisition
 - Budget
 - Human Resources
 - IT management functions: Enterprise Architecture, Investment Management, Program/Project Management; Infrastructure, Information Assurance, Privacy, Records Management
- Time-sensitive nature
 - Requires data at appointed times in consistent formats to enable understanding and eliminate blind spots in IT management oversight
 - Multiple working level bodies with subject matter expertise feed into senior level decision making forums, e.g. PIRWG, IRB etc.

Policy and Guidance

- *IT Governance and Investment Management Guidance*: High level policy, requirements, best practices for integrated governance and ITIM
- *ITIM Process Guide*: Standard operating procedures and specific process steps for stakeholders to carry out ITIM practices.
- *Enterprise Program Management Review*: Lifecycle management framework and project oversight

Information Resource Management (IRM) Strategic Plan

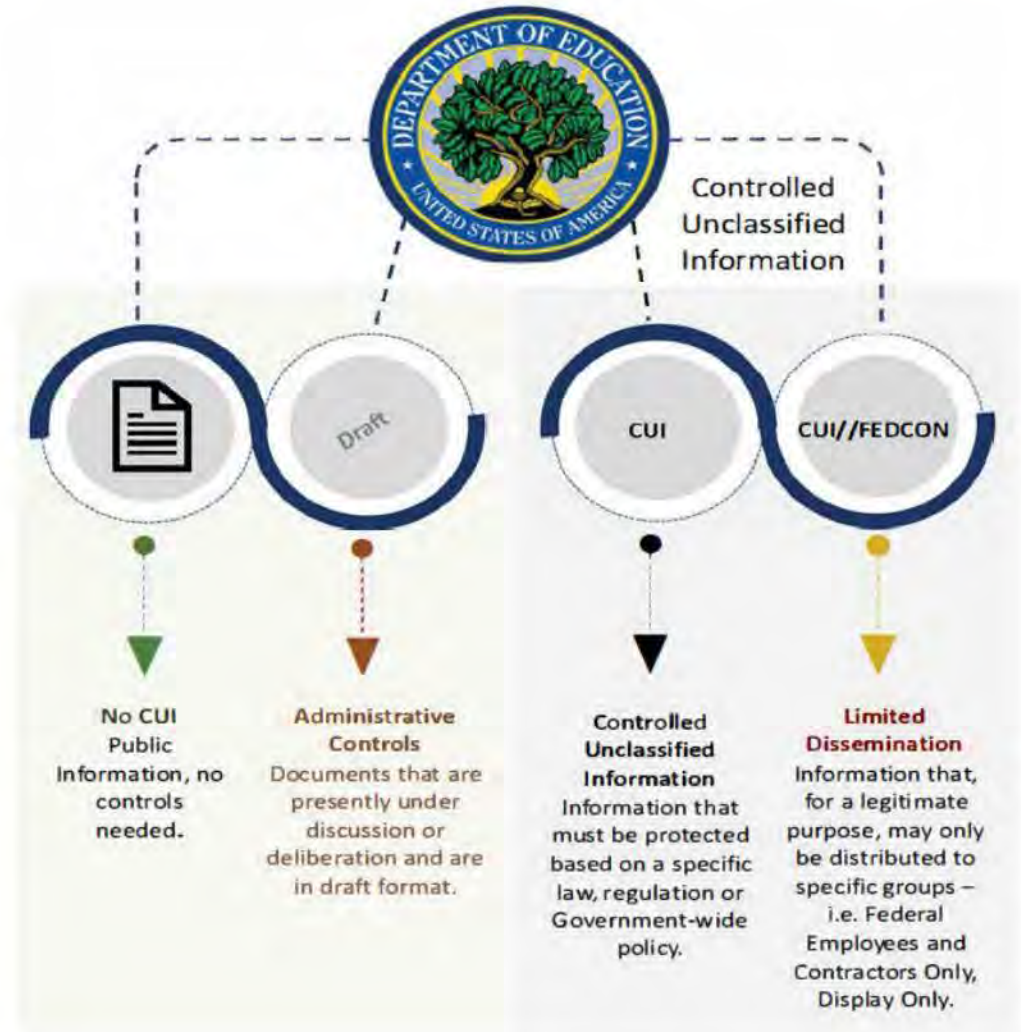


- OCIO published the FY 2020-2024 IRM
 - Document will serve as OCIO's Strategic Plan for the next four years
 - IRM will outline and describe OCIO's Strategic Goals and Strategic Objectives and the overall vision for information resources at the Department
 - The IRM Plan will be updated annually to reflect progress towards accomplishment of goals and objectives, new initiative and targets, etc.
- IRM has 6 Strategic Goals:
 - **Goal 1** – Strengthen the Department's IT Governance
 - **Goal 2** – Provide Reliable, Mission-Focused IT Solutions
 - **Goal 3** – Strengthen the Department's Cybersecurity Capabilities and Enhance Privacy Protections for Department Data and Information
 - **Goal 4** – Improve IT Awareness and Engagement Across the Department
 - **Goal 5** – Strengthen the Department's IT Workforce
 - **Goal 6** – Improve Data Management, Enhance Data Analytics Capabilities, and Promote Transparency at the Department

Controlled Unclassified Information (CUI)



- CUI directive issued August 2019
- Executive Level Briefings began in September
- Mandatory annual training launched November 2019 and completed by February 28, 2020
- Supplemental advanced marking training published in March 2020 via a new intranet site
- Inventory standard operating procedure launched to all other POCs on June 19, 2020
- Deadline for inventory completion is December 31, 2020



21st Century Integrated Digital Experience Act (IDEA)



- The 21st Century IDEA is a legislative mandate to improve the digital experience for government customers; reinforces existing requirements for federal public websites and digital services
- 2 Year suspense date culminates December 18, 2020
- ED CIO established a comprehensive five-part plan of action to address 21st Century IDEA
 - Implementation championed by cross-functional stakeholders via Digital Services Innovation Work Group
 - Consist of the examination of over 700 websites and a dozen digital services used to provide services to the public
- Challenges:
 - Unfunded mandate; addressing requirements within a constrained budget could delay phases of the implementation plan
 - Limited tools—Department seeking increased authority via Working Capital Fund

5-Year IT Modernization Strategic Roadmap for FY18-FY22

- Outlines the Department's Strategic Roadmap and 5-Year plan to Modernize IT resources
 - Details the major projects and dependencies that enable ED to transition from the Current State to a more efficient and secure Future State operational environment
 - Targets consolidation & improved use of shared services over 5-year period
 - Example: Security Operations Center (SOC) Maturation
 - Goals
 - Consolidate the Department's and FSA's SOC's
 - Streamline consolidation of Tier I and Tier II incident response operations
 - Expand Tier III services
 - Optimization of process and procedures (reducing procedural duplicity)

IT Modernization Strategic Roadmap - Anticipated Outcomes

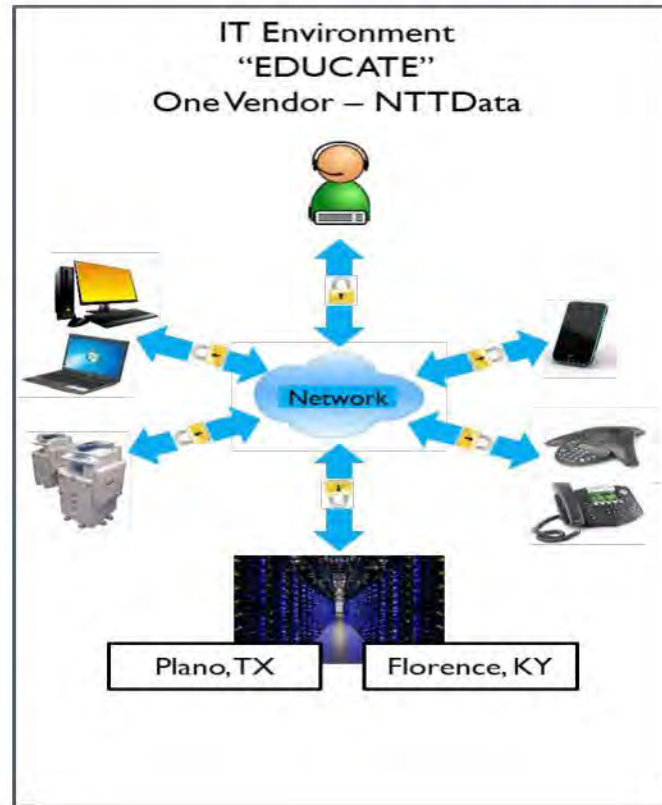


1. Consolidation of IT Cloud Services
 - a. Reduction of hosting environments
 - b. Reduction IT Services (designed to reduce attack surface)
 - c. Reduction of commercial service providers
2. Reduction of cybersecurity risks
 - a. Consolidation of Security Operations Centers (SOC)
 - b. Reduce IT Services containing PII
 - c. Reduce Information Dissemination hosting platforms
 - d. Reduction of External Collaboration Services
3. Modernize to Increase Business Value
 - a. Automation of manual processes for financial management
 - b. Reducing manual processes for Annual Performance Reports

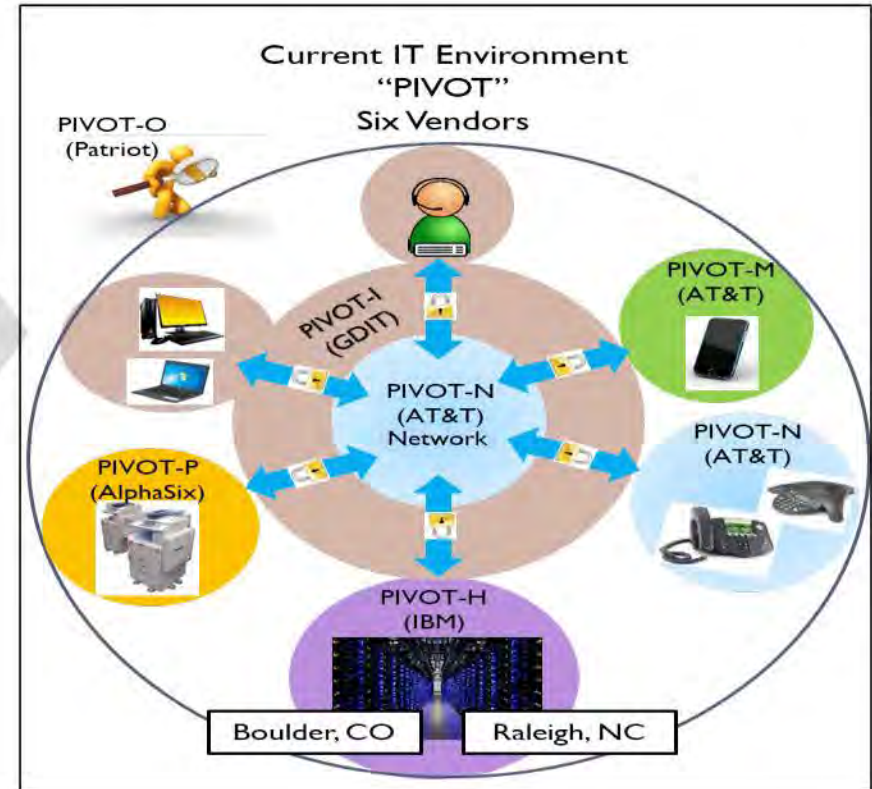
Portfolio of Integrated Value-Oriented Technologies (PIVOT)



PIVOT is a multi-contract acquisition that encourages and incentivizes high quality customer service, new product innovation, is flexible to address new and changing business requirements, and optimizes cost vs benefit in the delivery of Information Technology (IT) services to the Department over the life of the contracts. PIVOT replaced the Department's IT services contract known as Education Department Utility for Communications, Applications, and Technical Environment (EDUCATE) in early 2019.



Transition to



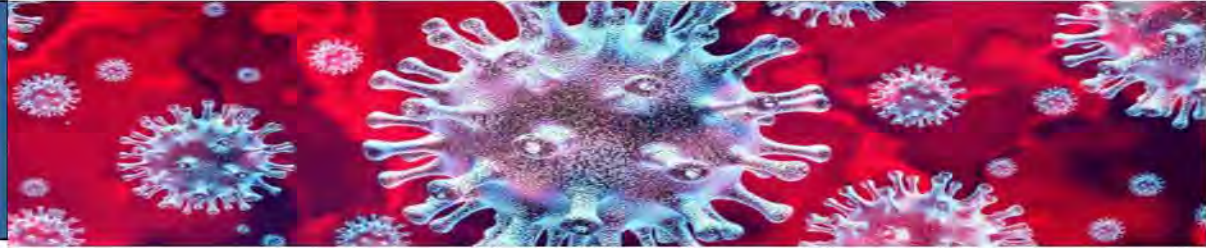
Customer Experience



State of IT: PIVOT

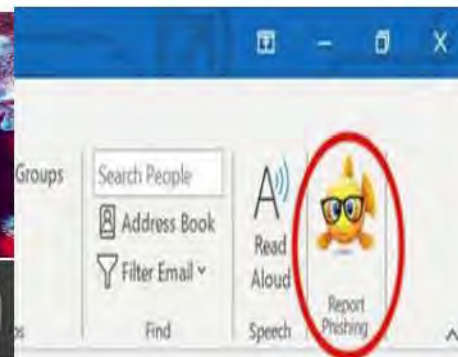
	EDUCATE		PIVOT	
LAPTOPS	Standard laptop included 8GB of RAM and a 500GB hard drive with slow connectivity.	➡➡➡	Improved the quality and footprint for laptops with newer faster models. PIVOT laptops include 16GB of RAM and a Solid State Drive (SSD) for fast data retrieval.	Increased Productivity
	~20 Minute Boot Time		~50 Second Boot Time	~19 minutes/day for 4,970 devices ~1600 hrs/day
PRINTERS	Printing services paid for per device and consumable.	➡➡➡	Reduced the number of deployed printers and replaced printers with high efficiency PIV-enabled "pay-per-print" models to streamline paper and toner usage.	Cost Avoidance
	\$2,370,000/yr		\$2,122,000	2,153,944 pages not printed \$248,000/yr
STORAGE	High server storage costs at \$1.43/GB for standard services above the storage baseline.	➡➡➡	Reduced server storage costs to \$0.12/GB for standard services representing a 92% reduction in price.	Cost Avoidance
	\$2,160,000/yr		\$180,000/yr	\$1,980,000/yr

Coronavirus (COVID-19)



- Implemented Personal Identity Verification Alternate (PIVA)-A Solution for new onboarding employees and contractors. Have virtually onboarded over 700+ new staff in 9 months
- Increased Guest WiFi in 3 DC buildings by 5X in 3-week period
- Increasing VPN Capacity by 16,000 concurrent seats
- Have increased number of monthly Skype/Teams calls from 60K before March to over 350K monthly calls during Pandemic with less than 2% poor quality rate. Users have also gone from 1500 average users on a daily basis before March to nearly 4000 daily users in May-June
- Successfully completed the Cloud 4 Migration/Upgrade
- Supported largest ever FSA All Staff Meeting virtually with over 1500 attendees
- Upgraded the Managed Trusted Internet Protocol Service (MTIPS)/Multi-Protocol Label Switching (MPLS) circuits that triples the Department's internet bandwidth

Coronavirus Vigilance Notice



- OCIO alerted the Department of increased phishing and scamming campaigns from malicious actors as a result of the recent trending Coronavirus situation.
- This presents an opportunity for hackers and scammers to capitalize on moments when people are scared and most vulnerable to propagate malware attacks through targeted Coronavirus emails, text messages, and malicious websites
- End users are urged to stay vigilant and report suspected phishing attempts and suspicious emails through the **ED Report Phishing** button

Information Technology (IT) Journey



Cybersecurity

- 2018 Federal Information Systems Security Educators Association's (FISSEA) Security Awareness, Training, and Education Contest winner in Training and Education Exercise category
- Developed Enterprise Security Operations Center (SOC) Optimization Plan in accordance with Office of Management and Budget (OMB) M-19-02
- 2019 Rethink School Initiatives – Transformed relationship with Institutes of Higher Education (IHE) and Non-Government Organizations to enhance Campus Cybersecurity
- Tighten integration of ED Privacy and Cybersecurity Programs by integrating privacy risk into Cybersecurity Risk Scorecard

Accomplishments

IT Modernization



- With General Services Administration (GSA) developed the Federal Technology Business Management (TBM) Playbook
- Developed ED's 5-Year IT Modernization Strategic Roadmap
- Eliminated the use of obsolete ColdFusion software from ED systems to reduce risk
- Modernized ED's IT infrastructure – reduced printer footprint by 50%, reduced storage costs by 92%, upgraded financial management system software and retired its legacy hardware resulting in \$2.3M cost avoidance
- FSA Technology Office developed NextGen visualization for transition to target state as part of NextGen Roadmap displayed at 2019 FSA Conference

Customer Experience



- Used feedback from customer satisfaction surveys to provide targeted training for helpdesk personnel to improve customer experience
- Refreshed laptops and improved productivity by ~1600 hours per day
- FSA improved customer experience through consolidated Digital Customer Care website and 800#
- Published the OCIO Customer Bill of Rights

Workforce and Organizational Health



- Partnered with Federal CIO Council and OMB to sponsor flagship Federal Cyber Reskilling Academy
- Established standard Information System Security Officer (ISSO) performance element
- Established OCIO Women in IT and Cybersecurity forums to inspire and motivate more women to embark on careers in IT and foster a diverse workforce

IT Governance



- One of the first agencies to receive an A+ on Federal IT Acquisition Reform Act (FITARA) Scorecard (FITARA 9.0 Scorecard); 4-time Best Overall and 1-time Best in Data Center Optimization Initiative FITARA Award recipient
- Partnered with the National Archives and Records Administration (NARA) to develop a 21st century data retention policy framework in accordance with OMB M-19-21

Priorities

Cybersecurity



- 2019 Rethink School Initiatives - Engage at least 5 IHEs to improve information sharing, strengthen communications, improve privacy protection for, and transparency of education data, and establish foundation for robust school oversight security program
- Leverage Cybersecurity Risk Scorecard to monitor and report on agency progress towards implementation of Department of Homeland Security (DHS) Continuous Diagnostics and Mitigation (CDM)
- Security Operations Center (SOC) Maturation

IT Modernization

- Modernize ED's websites and digital services in accordance with the 21st Century Integrated Digital Experience Act
- Reduce the number of service management workflow software at ED
- Facilitate collaboration among PO's on the modernization of Case Management, Grants, and Financial Management solutions to broaden ED's use of shared services
- Implement cloud migration strategy for FSA's Next Generation Datacenter (NGDC)
- Technology Business Management (TBM) Implementation

Customer Experience



- Use service management metrics to proactively inform customer needs for targeted training
- Transform approach to Customer Relationship Management from reactive to proactive leveraging regional points of contact, regional technicians, IT POCs, and other stakeholders and data points

Workforce and Organizational Health



- Increase collaboration between OCIO and FSA Technology Office to integrate work efforts and improve communications between teams
- Foster relationship with IT POCs through continuous education and training
- Begin development and implementation of an enhanced internal communications strategy

IT Governance



- Educate and train ED Capital Planning and Enterprise Program Management Review stakeholders to foster understanding, adoption, and implementation of ED's IT project management principles and processes
- Integrate FSA's project management and Governance principles and processes into ED's IT Governance processes
- Implement Phase II of the Controlled Unclassified Information (CUI) Program to ensure documents are properly marked and controlled
- Implement the phased 21st Century Integrated Digital Experience Act (IDEA)







COVID-19 CURRENT DATA COLLECTIONS

AGENDA

- **What we're capturing from performance data-**
Greg Fortelny
- **What we might learn through expanded sample surveys-** Lynn Woodworth
- **What other research and evaluation is telling us-**
Matt Soldner

COVID-19 DATA EFFORTS

OFFICE OF THE CHIEF DATA OFFICER—GREG FORTELNY

Current Data Reporting Efforts:

- The [Education Stabilization Fund Public Transparency Portal](#) (ESF PTP) provides details on prime grantees and subawards using data from USASpending.gov

Current Data Collection Efforts:

- Annual Performance Reports for ESSER, GEER, HEERF and related ESF programs for Outlying Areas
- Data available in late Spring will include:
 - ESSER/GEER: Information on subawards to LEAs and other subgrantees, including the use of funds for distance learning, sanitation, and other purposes; Data on the number of FTE positions for subgrantees for two years prior to COVID-19, for March 13, 2020, and for the end of the reporting period (September 30, 2020)
 - HEERF: Information on emergency grants to students by full-/part-time and Pell status; Data on the uses of funds expended, including for distance learning support and social distancing; Data on the number of FTE positions for IHEs for the year prior to COVID-19, for March 13, 2020, and for the end of the reporting period (December 31, 2020)

COVID-19 DATA EFFORTS

OFFICE OF THE CHIEF DATA OFFICER—GREG FORTELNY

Upcoming Data Work:

- OCDO recommends three additional key indicators to monitor the effect of COVID on schools and students:
 - *Trends in PK-12 school attendance.* A leading indicator of academic gains and declines, this indicator should particularly focus on students with the greatest needs (e.g., low-income, English learners, students with disabilities).
 - *Trends in IHE enrollment.* This indicator describes the short- and longer-term impact of COVID on undergraduate enrollment by institution and student characteristics.
 - *Trends in IT-related investments in learning.* This indicator describes the financial costs of a rapid shift to online learning.
- OCDO is identifying additional indicators and research questions that can leverage the data currently being collected by ED along with extant external sources such as the National Student Clearinghouse.
- OCDO is developing a catalog of ED data related to COVID, starting with the almost 50 ICRs submitted to the Strategic Collections and Clearance Team between March and November.

COVID-19 DATA EFFORTS

OFFICE OF THE CHIEF DATA OFFICER—GREG FORTELNY

Interagency Collaboration:

- Federal Chief Data Officer Council's (CDOC) COVID-19 Working Group is establishing a COVID-19 data resource library for answering agency questions, sharing data, and sharing models. The CDO from every executive branch agency serves on this Council. Before establishing new information collections, these established resources—many of which are the government's authoritative source for that data—should be explored and integrated into ED data.

External Data Sources:

- COVID Impact survey sponsored by the Data Foundation and administered by NORC. This survey asks respondents limited questions about educational impacts, including whether they canceled or postponed school activities, studied from home, and whether their personal plans were affected by school closures.

COVID-19 DATA EFFORTS INSTITUTE OF EDUCATION SCIENCES (IES/NCES)—LYNN WOODWORTH

Education items on Census PULSE survey

- K-12
 - How students receive education
 - Access to a computer
 - Who provided the computer (school, family)
 - Access to high-speed internet
 - Availability of internet for education
 - Hours spent working with an adult on education
 - Homeschooling rates
- Postsecondary
 - Changes in plans for fall enrollment
 - Reason for changes in fall enrollment
 - Type of program

COVID-19 DATA EFFORTS INSTITUTE OF EDUCATION SCIENCES (IES/NCES)—LYNN WOODWORTH

NPSAS items

- COVID-19 related items captured from institutions
 - Extended spring break, reduced term length, and/or moved to online instruction
 - Offered emergency financial aid
 - Issued refunds of tuition and fees
 - Issued refunds of room and board
 - Continued to pay work-study students during closure
 - Canceled study abroad programs
- COVID-19 related items captured from student sample members
 - Attendance at the NPSAS institution during COVID-19 timeframe
 - General experiences and disruptions due to COVID-19
 - Refunds received from the NPSAS institution due to COVID-19
 - Online technology or technical services received from the NPSAS institution due to COVID-19
 - Communication received from the NPSAS institution due to COVID-19
 - Information received from the NPSAS institution due to COVID-19

COVID-19 DATA EFFORTS INSTITUTE OF EDUCATION SCIENCES (IES)—LYNN WOODWORTH

NAEP items

- Collecting data on schools included in the NAEP sample
- Data on COVID conditions in community of NAEP schools
- Data on school operations (in-person, hybrid, remote)

COVID-19 DATA EFFORTS

INSTITUTE OF EDUCATION SCIENCES (IES/NCEE)—MATTHEW SOLDNER

- **NCEE has two functions, *Education Evaluation* and *Regional Assistance*.** Much of 2020 was spent on the latter given SEA/LEA needs (e.g., [120+ evidence-based resources](#) developed for stakeholders across a range of topics). Will continue in 2021, though perhaps at a slower pace.

- **Understanding impact of COVID on ESEA Implementation.** NCEE will be pivoting its existing longitudinal ESEA implementation study to capture Spring 2021 data from SEAs and LEAs on a range of topics:
 - School operations (e.g., closure status),
 - SEA and LEA Supports for schools (e.g., guidance documents, professional development),
 - Measuring student achievement and school improvement activities (e.g., assessments to determine student needs), and
 - Uses of federal funding (e.g., allocation of ESSER or GEER funds)

COVID-19 DATA EFFORTS INSTITUTE OF EDUCATION SCIENCES (IES/NCEE)—MATTHEW SOLDNER

- **Understanding learning loss.** The Regional Educational Laboratories (REL) program has heard from two jurisdictions with an interest in analyzing their own data to better understand learning loss. Other data may be more valuable here. Several firms that include formative student assessment services (e.g., NWEA, Renaissance Learning, Curriculum Associates) have real-time or near-real-time access to results that can inform our understanding of learning loss. Many have (or will soon) publish reports, such as: [*Understanding Student Needs: Early Results from Fall Assessments \(October 2020\)*](#) and [*How Kids are Performing \(November 2020\)*](#). NWEA has a [*forthcoming webinar*](#) on 15 December to present preliminary findings.

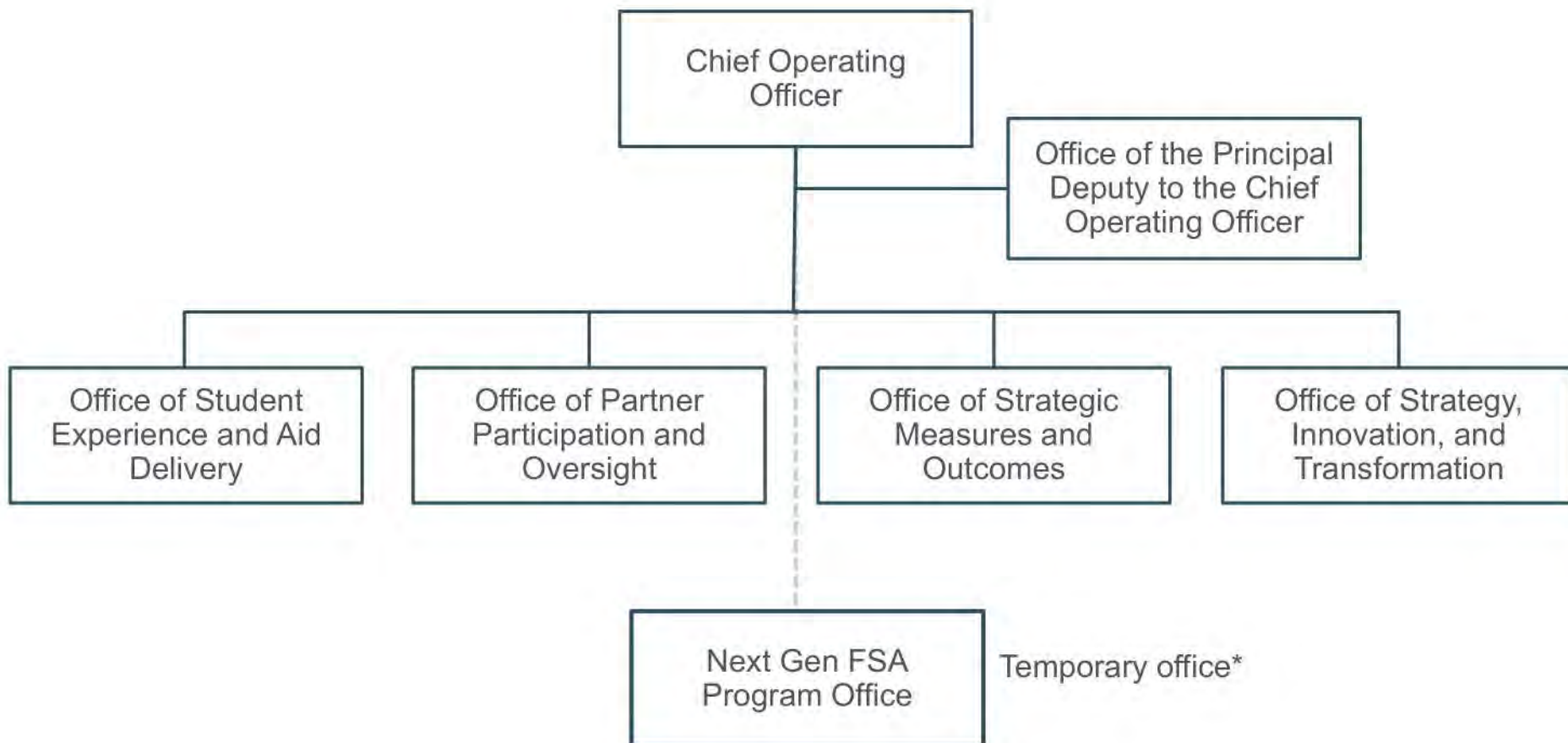
COVID-19 DATA

OFFICE OF THE SECRETARY

- OS coordinates and provides updates to OMB on agency's response to COVID-19, including information on any upcoming decisions that require POTUS OR Task-Force action
- Regular calls with a Community Mitigation Workgroup
- Political appointees in OS and OPEPD coordinate multiple interagency processes

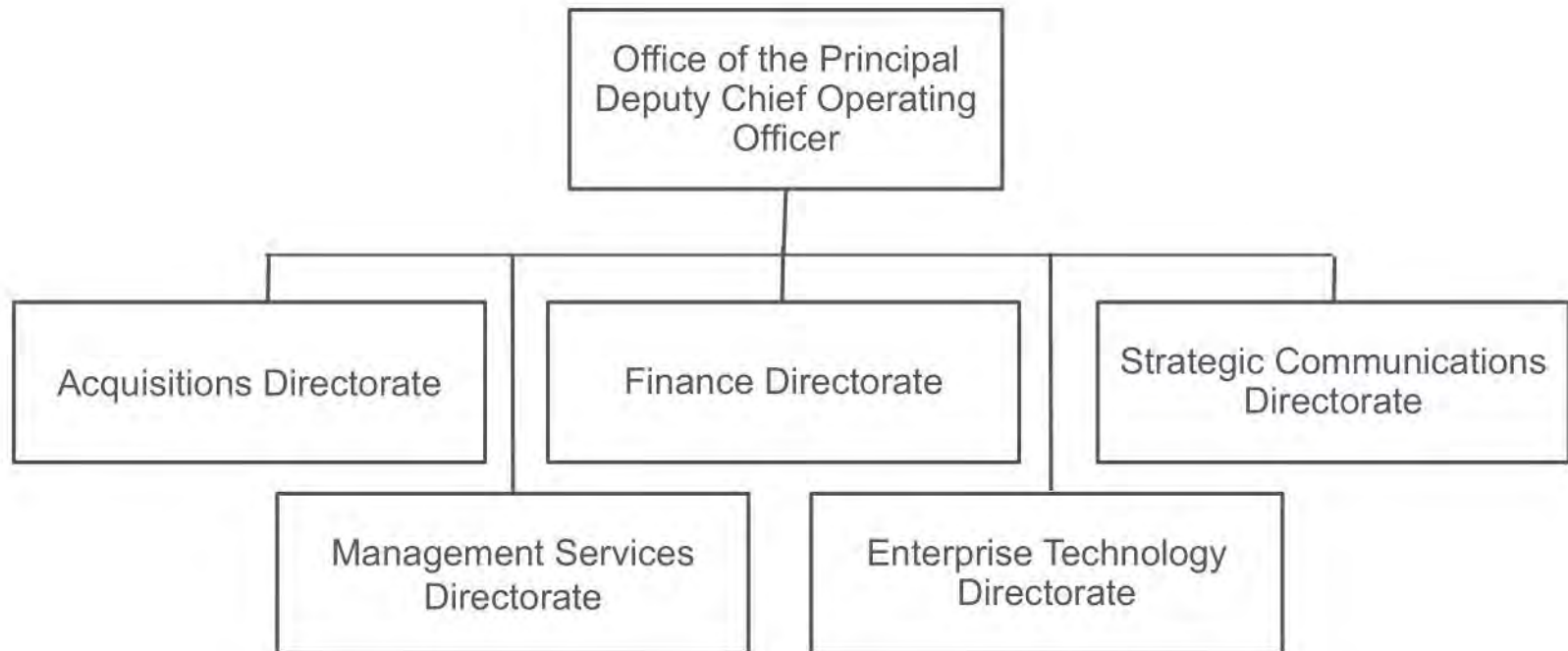
Questions?

A. Federal Student Aid Organizational Chart



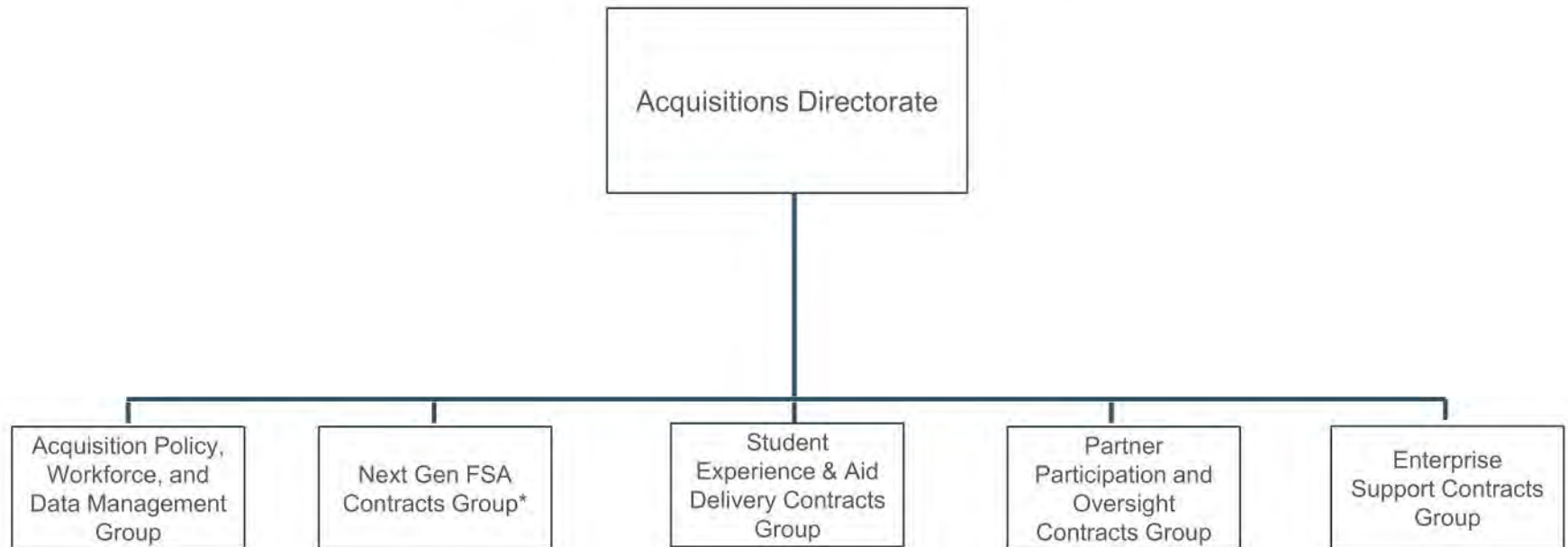
* Sunset date on or about 9/30/2022

B. Organizational Chart – Principal Deputy to the Chief Operating Officer



The Office of the Principal Deputy to the Chief Operating Officer (COO) is led by the COO-empowered official who acts in the COO's absence and strategizes, collaborates across the mission support offices. The Principal Deputy to the COO serves to establish a leadership framework of trust, shared understanding, and strategic guidance.

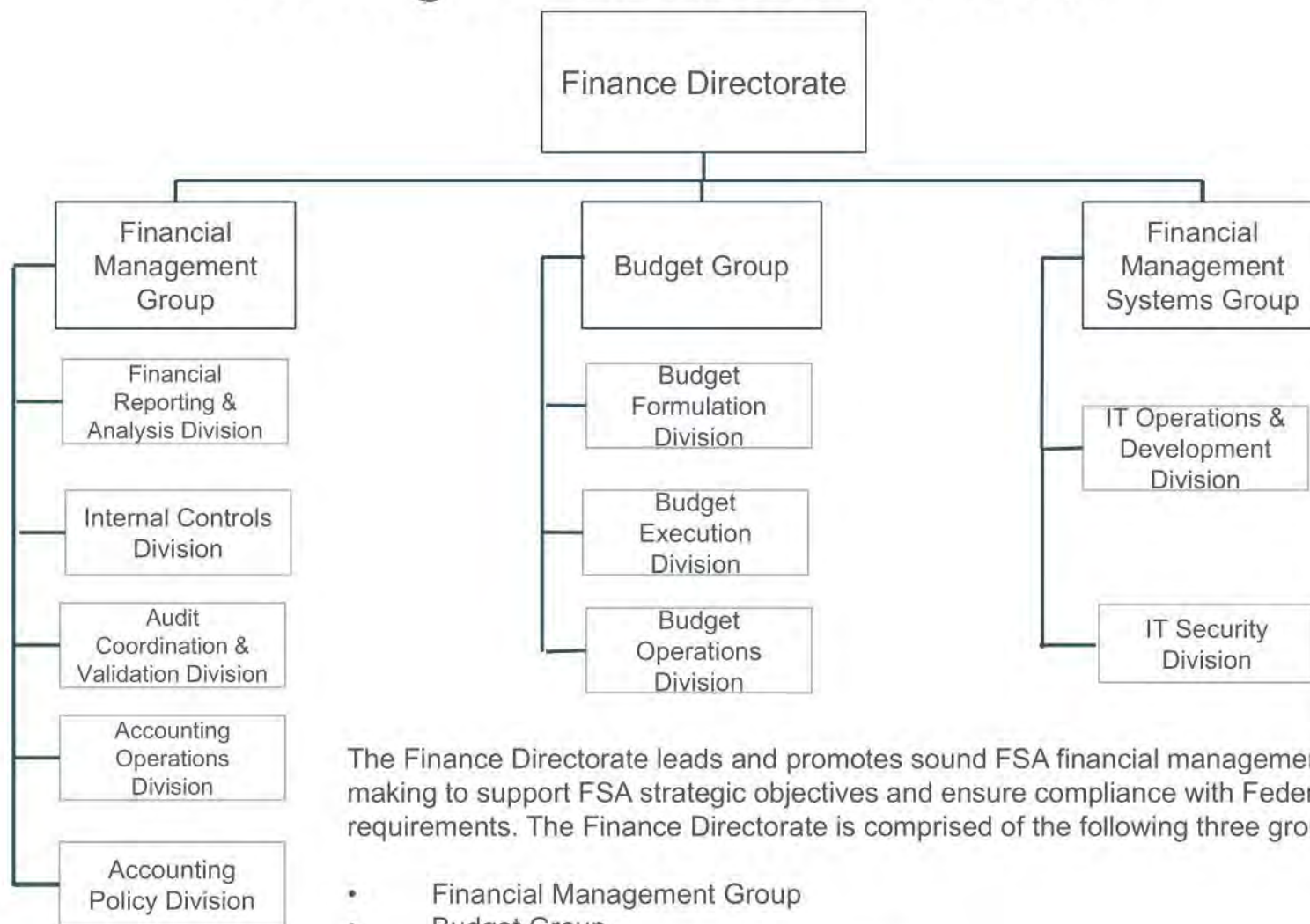
B1. Organizational Chart – Acquisitions



The Acquisitions Directorate is responsible for ensuring the efficient and economic acquisition of products and services for FSA while reducing cost and maintaining compliance with applicable laws, regulations, and Executive Orders. These responsibilities include the following functions: Acquisition Policy, Workforce, and Data Management Group; and, four operational contracting groups: Next Gen FSA Contracts Group; Student Experience and Aid Delivery Contracts Group, Partner Participation and Oversight Contracts Group; and, Enterprise Support Contracts Group.

* Sunset date on or about 9/30/2022 in conjunction with Next Gen FSA Program Office

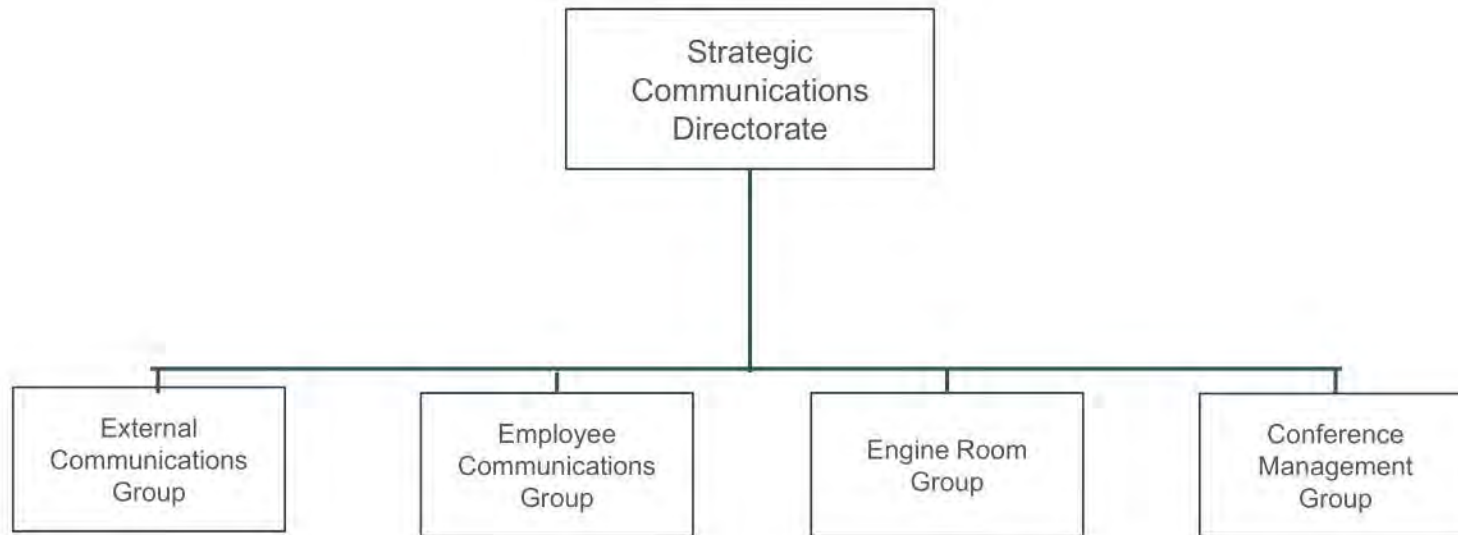
B2. Organizational Chart – Finance



The Finance Directorate leads and promotes sound FSA financial management and decision-making to support FSA strategic objectives and ensure compliance with Federal financial requirements. The Finance Directorate is comprised of the following three groups:

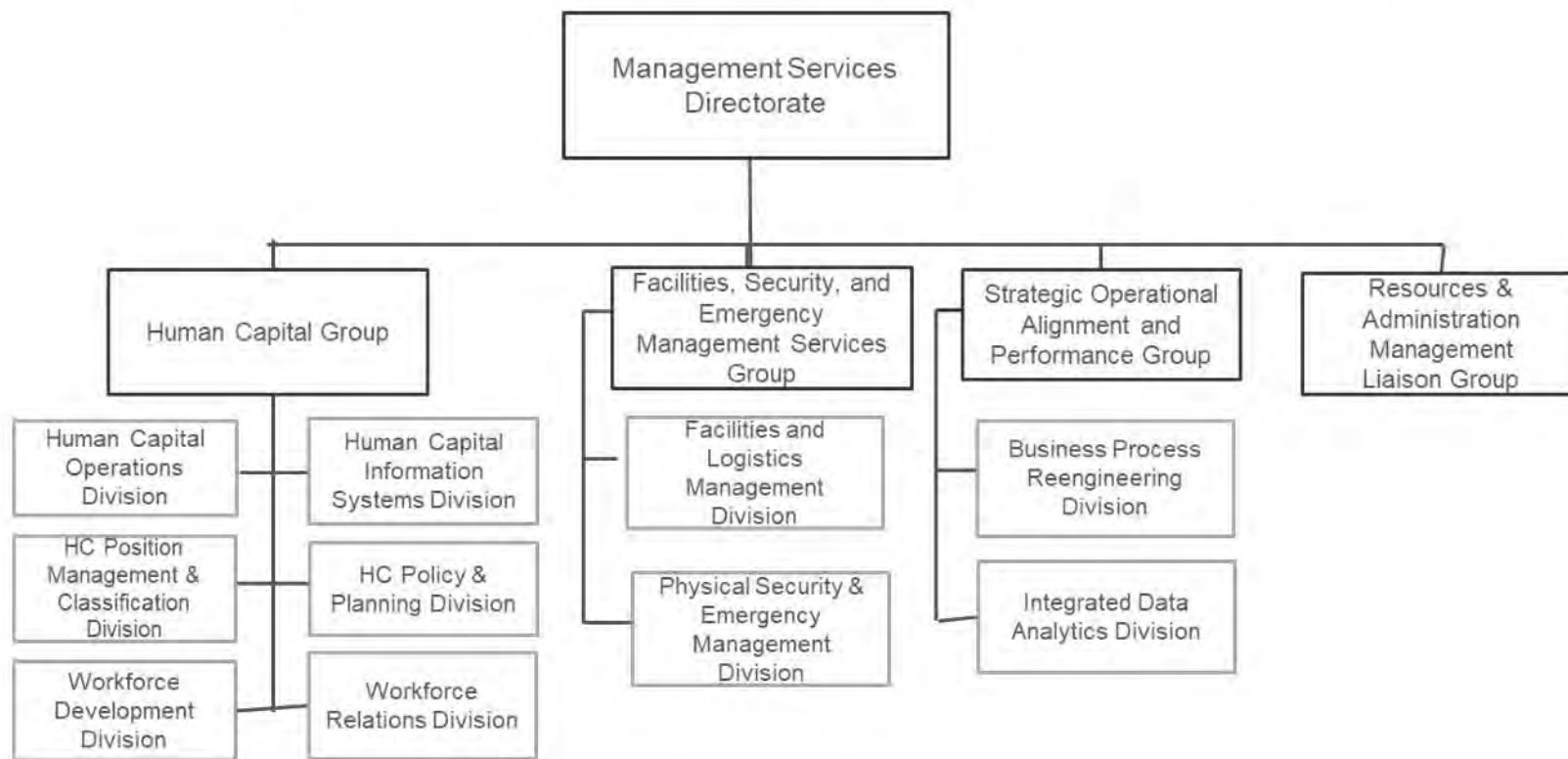
- Financial Management Group
- Budget Group
- Financial Management Systems Group

B3. Organizational Chart – Strategic Communications



The Strategic Communications Directorate includes the Conference Management Group, the Employee Communications Group, the Engine Room Group, and the External Communications Group. The Strategic Communications Directorate selects, leads, integrates, coordinates, activates, and executes communication strategies in support of FSA's mission. As such, the overall goal of the Strategic Communications Directorate is to tell FSA's story internally and externally to elevate public awareness and improve public perception.

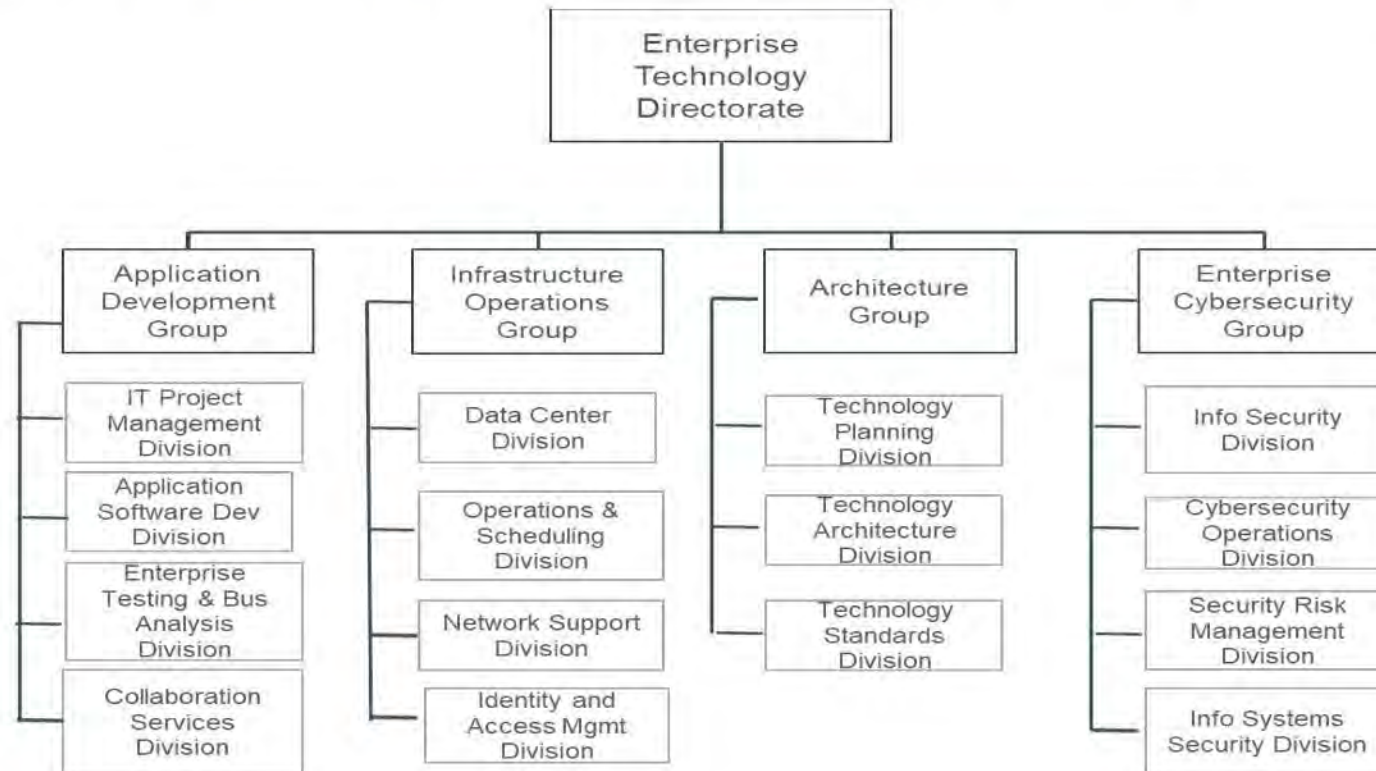
B4. Organizational Chart – Management Services



The Management Services (MS) Directorate is responsible for Federal Student Aid activities related to human resources programs and operations, facilities operations, physical and personal security, emergency management, and training and development. To accomplish this mission, Management Services is divided into the following areas:

- Human Capital Group
- Facilities, Security, and Emergency Management Services Group
- Strategic Operational Alignment and Performance Group
- Resources and Administrative Management Liaison Group

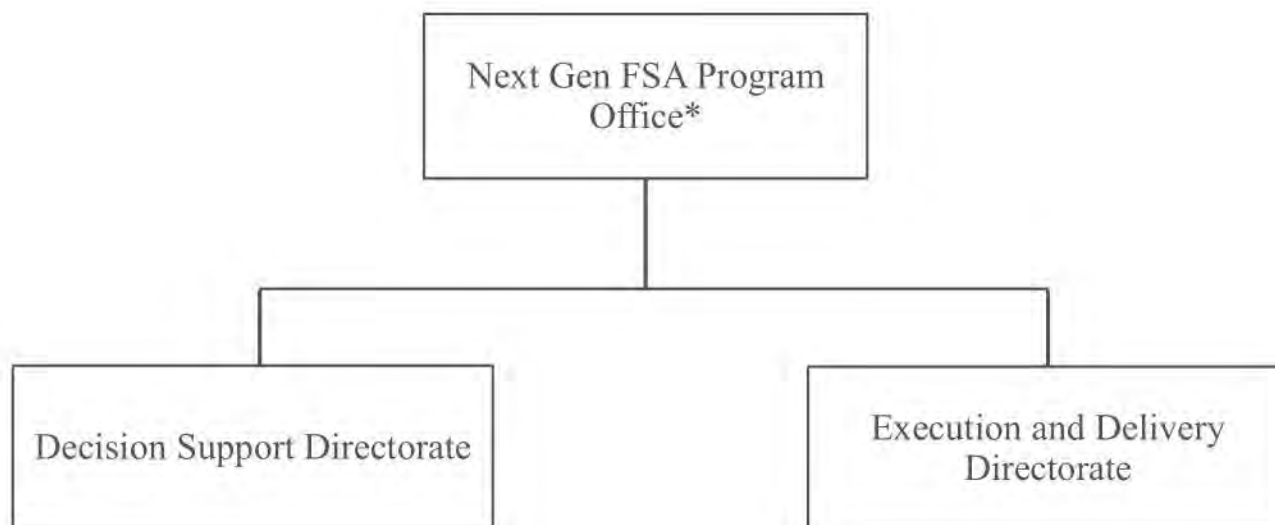
B5. Organizational Chart – Enterprise Technology



The Enterprise Technology Directorate has primary responsibility for providing information technology services for all FSA systems, promoting the effective and secure use of technology to achieve FSA's strategic objectives through sound planning, investments, integrated technology architectures and standards, effective systems development, production support, and cybersecurity services. The Enterprise Technology Office's core business functions and processes are organized into the following organizational groups:

- Immediate Office of Enterprise Technology Directorate
- Application Development Group
- Infrastructure Operations Group
- Architecture Group
- Enterprise Cybersecurity Group

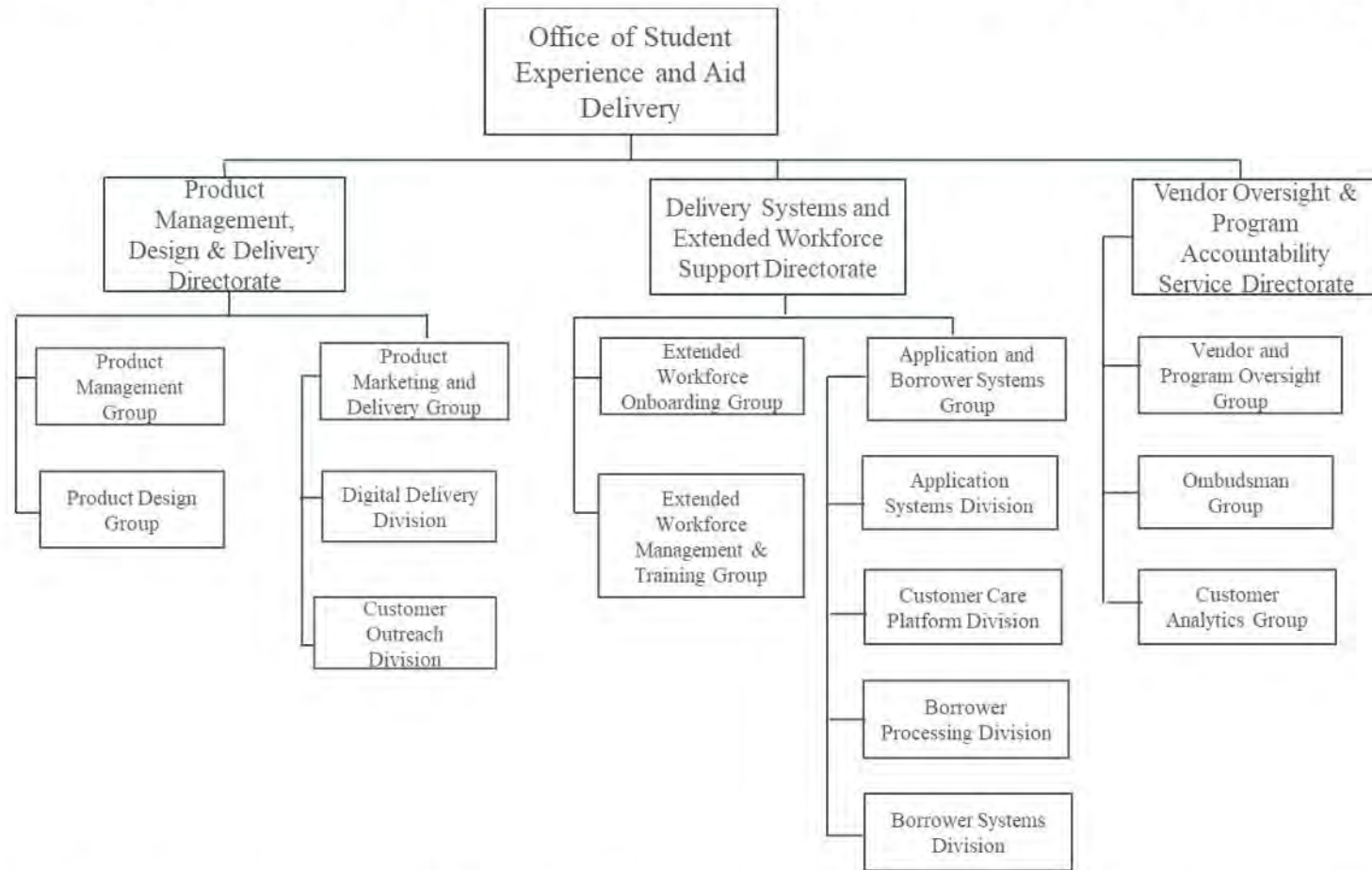
C. Organizational Chart – Next Gen FSA Program Office



The Next Gen FSA Program Office is responsible for the management of all aspects of the Next Gen FSA program. The Next Gen FSA Program Office's mission is to ensure: 1) program strategy, outcomes, goals, and objectives are clearly documented and fully understood by all program participants; 2) program outcomes are delivered within established scope, schedule, and budget; 3) program decisions are made and implemented through a disciplined, fact-based governance process, documented and communicated promptly and accurately across all FSA and contractor staff, reflected in a Master Program Plan and Schedule, and tracked to completion; and 4) all program systems and processes are effectively integrated to avoid duplication, identify and resolve conflicts or gaps, and ensure effective delivery and execution. The Next Gen FSA Program Office is expected to sunset on or about 9/30/2022 and will transition Next Gen FSA elements as they become operational to permanent organizational units within FSA.

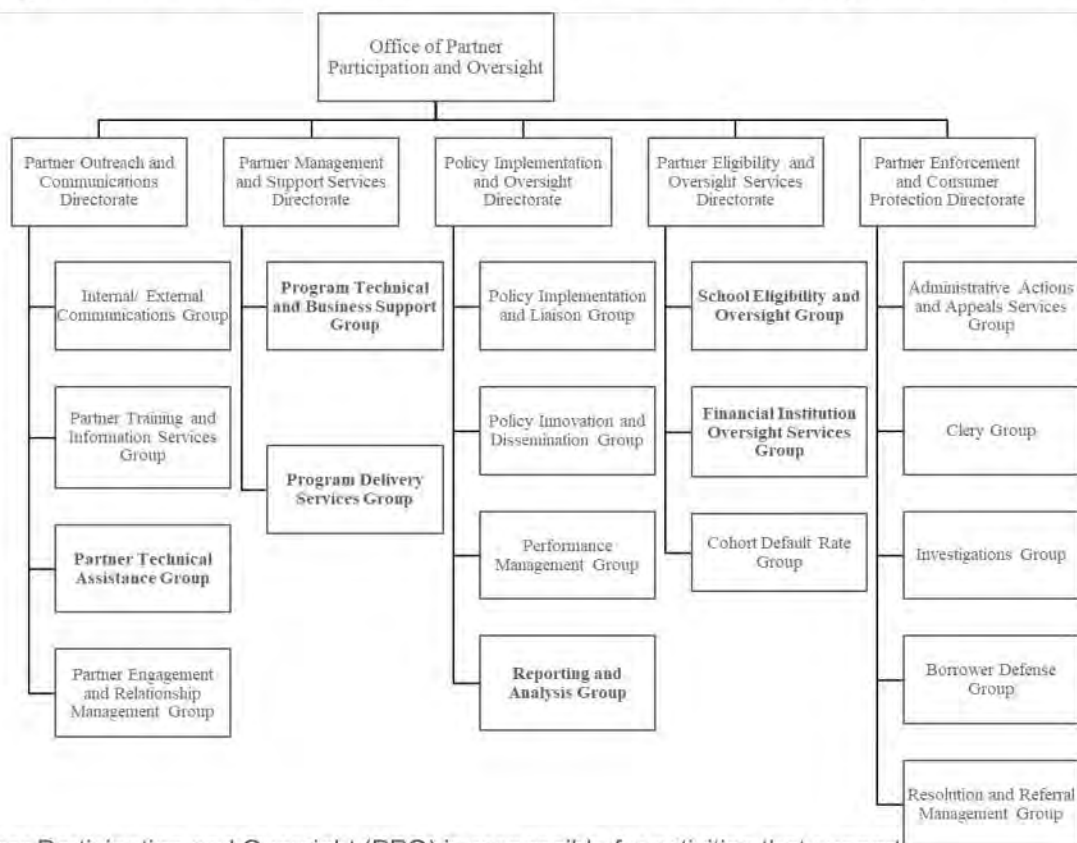
* Sunset date on or about 9/30/2022

D. Organizational Chart –Student Experience and Aid Delivery



The Office of Student Experience and Aid Delivery (SEAD) is responsible for ensuring that students, parents, and borrowers (“customers”) know about the availability of Federal financial aid and how to access this aid. SEAD is also charged with providing borrowers with information, tools, and resources on loan repayment to help them manage their debt. SEAD shares information and engages with customers via multiple communication channels. In addition, SEAD is continuously improving the tools and resources available to customers based on customer feedback and market research.

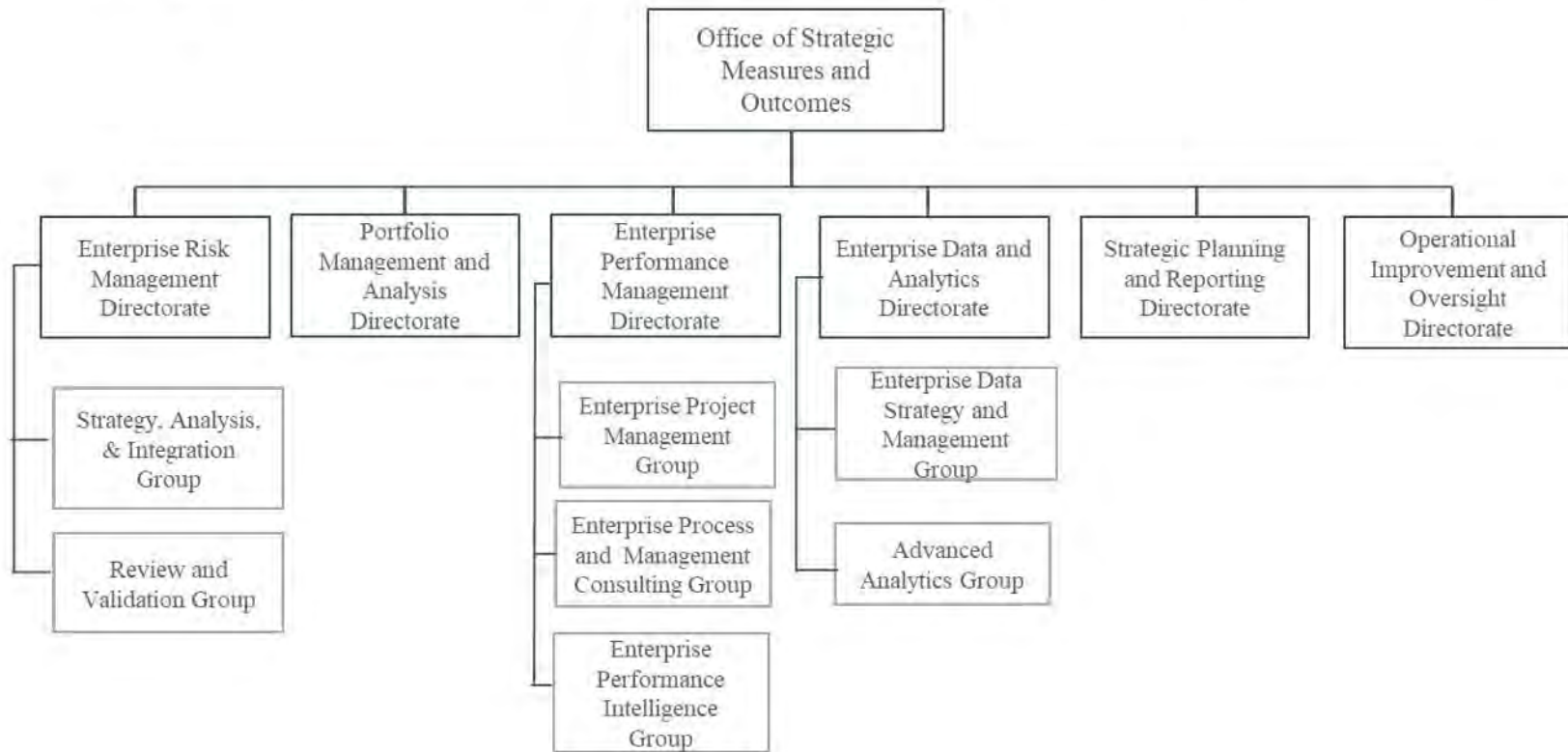
E. Organizational Chart – Partner Participation and Oversight



The Office of Partner Participation and Oversight (PPO) is responsible for activities that support and monitor FSA program participants and enforce compliance with laws and regulations governing student financial assistance programs. The activities within PPO cover the entire lifecycle of program participants. To accomplish the PPO mission, PPO is divided into five units, with an Immediate Office that reports directly to the Deputy Chief Operating Officer for PPO.

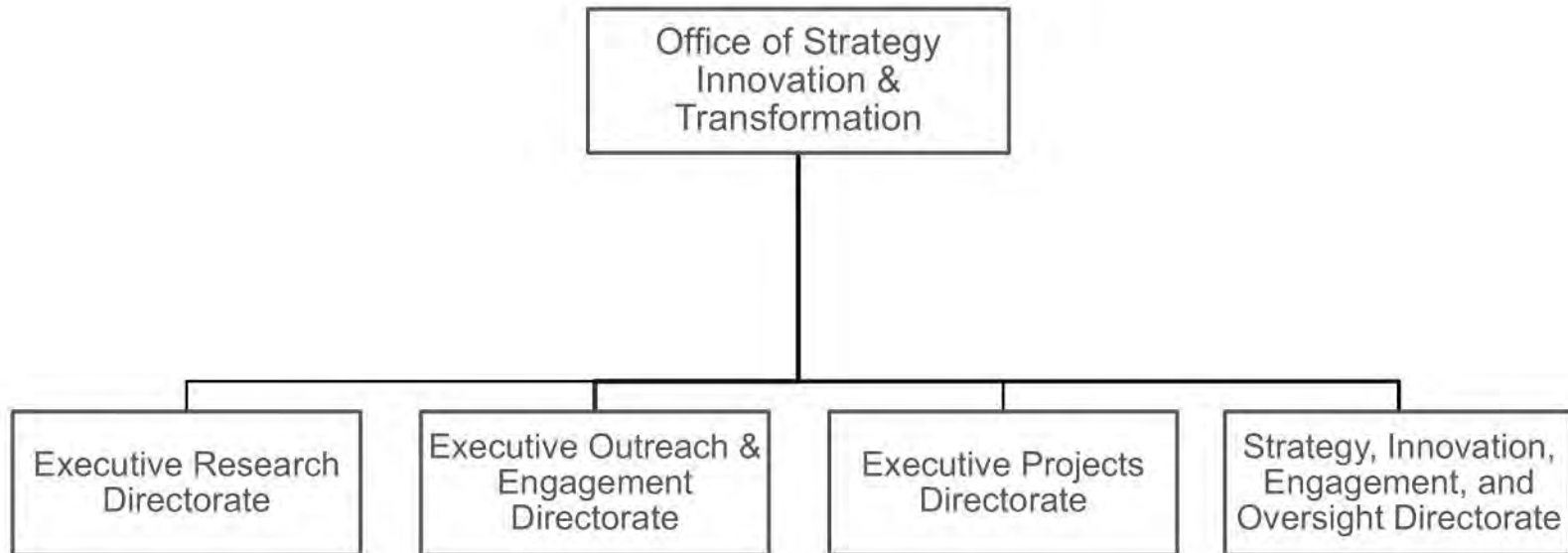
1. Partner Outreach and Communications Directorate
2. Partner Management and Support Services Directorate
3. Policy Implementation and Oversight Directorate
4. Partner Eligibility and Oversight Services Directorate
5. Partner Enforcement and Consumer Protection Directorate

F. Organizational Chart – Strategic Measures and Outcomes



The principal aim of the Office of Strategic Measures and Outcomes' (SMO) is to unify the FSA enterprise on the effectiveness of and accountability for delivering its services and products to achieve its targeted, purpose-driven, strategic goals. The SMO organization consists of six, enterprise-wide, focus areas including strategic planning, performance management, risk management, quality management, data management, and loan portfolio management.

G. Organizational Chart – Strategy, Innovation, and Transformation



The Office of Strategy, Innovation, and Transformation (SIT) will boldly explore and seek new opportunities and will seek to understand challenges of both the present and future so that FSA customers may benefit from these new opportunities and FSA may acquire the financial resources, physical tools, and human capital to meet such challenges.

The office will lead the primary customer management function within FSA. The office is charged with developing and deepening trust-based relationships with key customer groups. These relationships will position FSA to be more proactive in identifying potential issues impacting customers. In addition, the office will provide advice and counsel to key customer groups on various topics required for customers to remain in "good standing" with the Department. The office will work closely with FSA operational and mission support business units to ensure that customer needs and expectations are met. There are also two front office functions; one that performs ongoing transitional and transformational activities, and another that deals with administrative staffing and budget activities.

IES 101: POC Overview

In 2002, Congress established the Institute of Education Sciences (IES) as the statistics, research, and evaluation arm of the U.S. Department of Education.

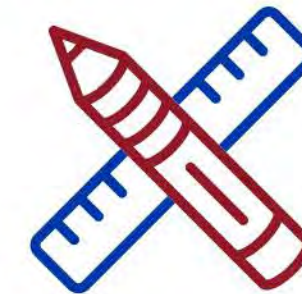
Mission: *“To provide scientific evidence on which to ground education practice and policy and to share this information in formats that are useful and accessible to educators, parents, policymakers, researchers, and the public.”*

Education Sciences Reform Act of 2002 (ESRA)



Independence

“objective, secular, neutral, nonideological, and free from partisan political influence and racial, cultural, gender, and regional bias”



Rigor

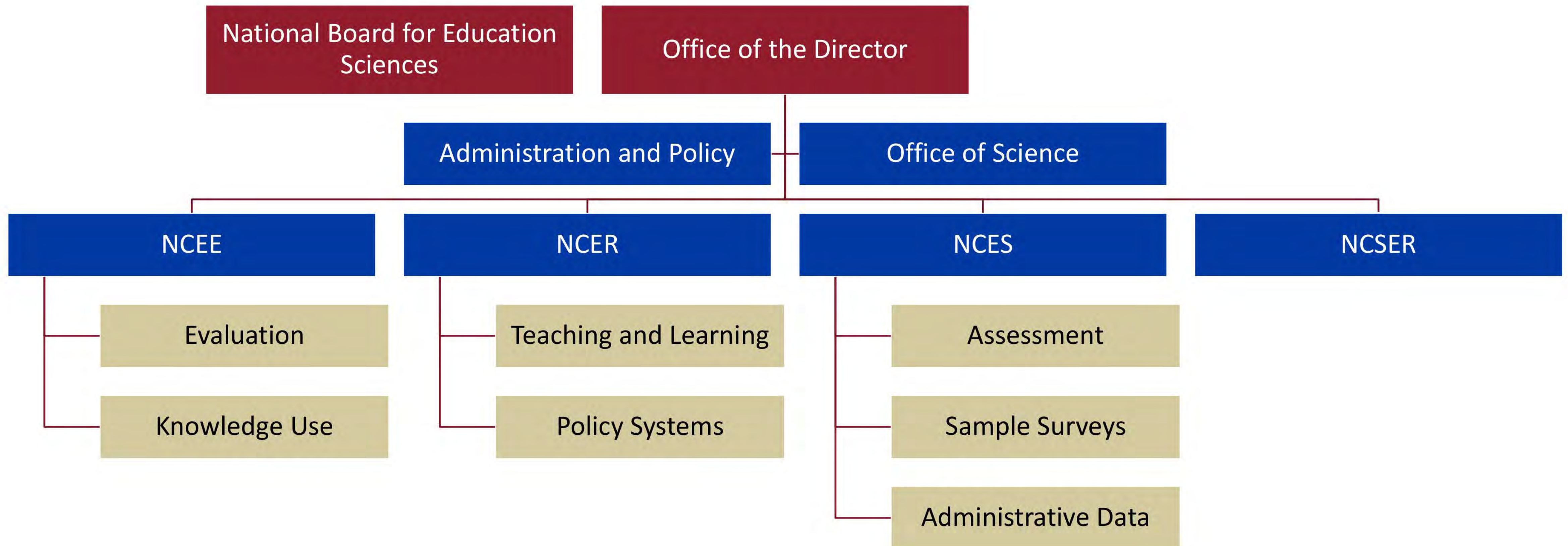
“high standards of quality, integrity, and accuracy”



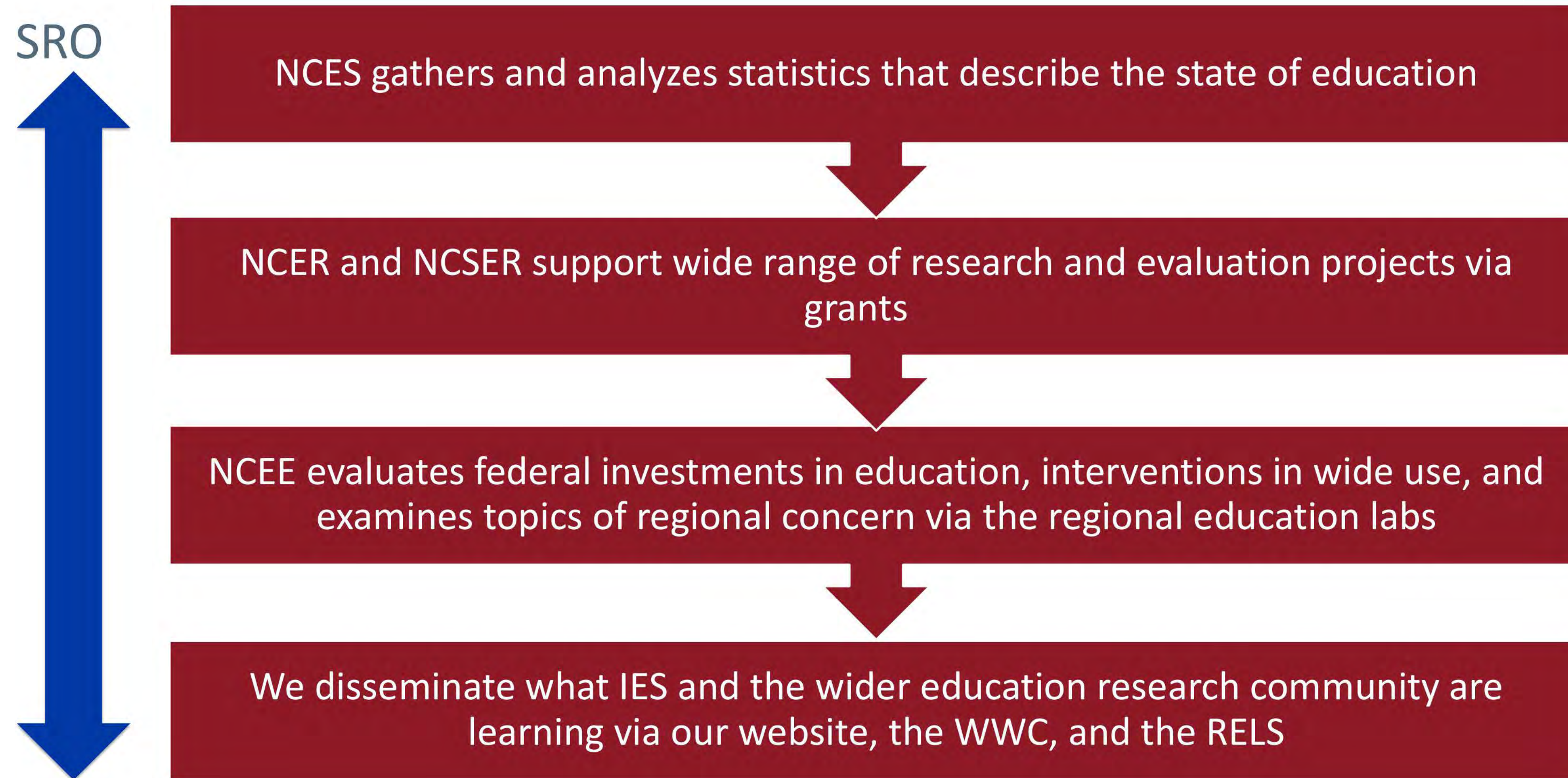
Usefulness

“to education leaders and practitioners, parents and students, researchers, and general public”

IES Organization



What We Do at IES: A Simple Schematic

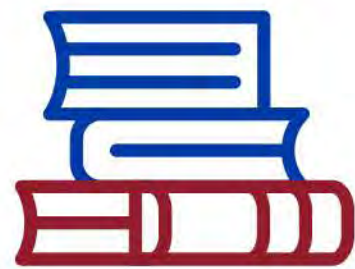


Significant Statutory Authorities of Director (ESRA)



Expert guidance and assistance

Establish scientific peer-reviews and scientific program advisory committees for research and evaluations



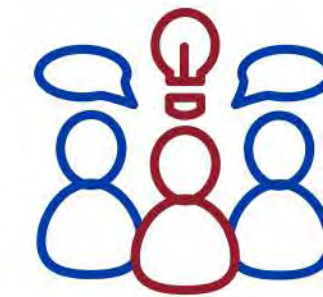
Publication

Prepare and publish research, statistics, and evaluation reports without approval of the Secretary



Rulemaking

Exempt from rulemaking requirements for grant competitions



Hiring

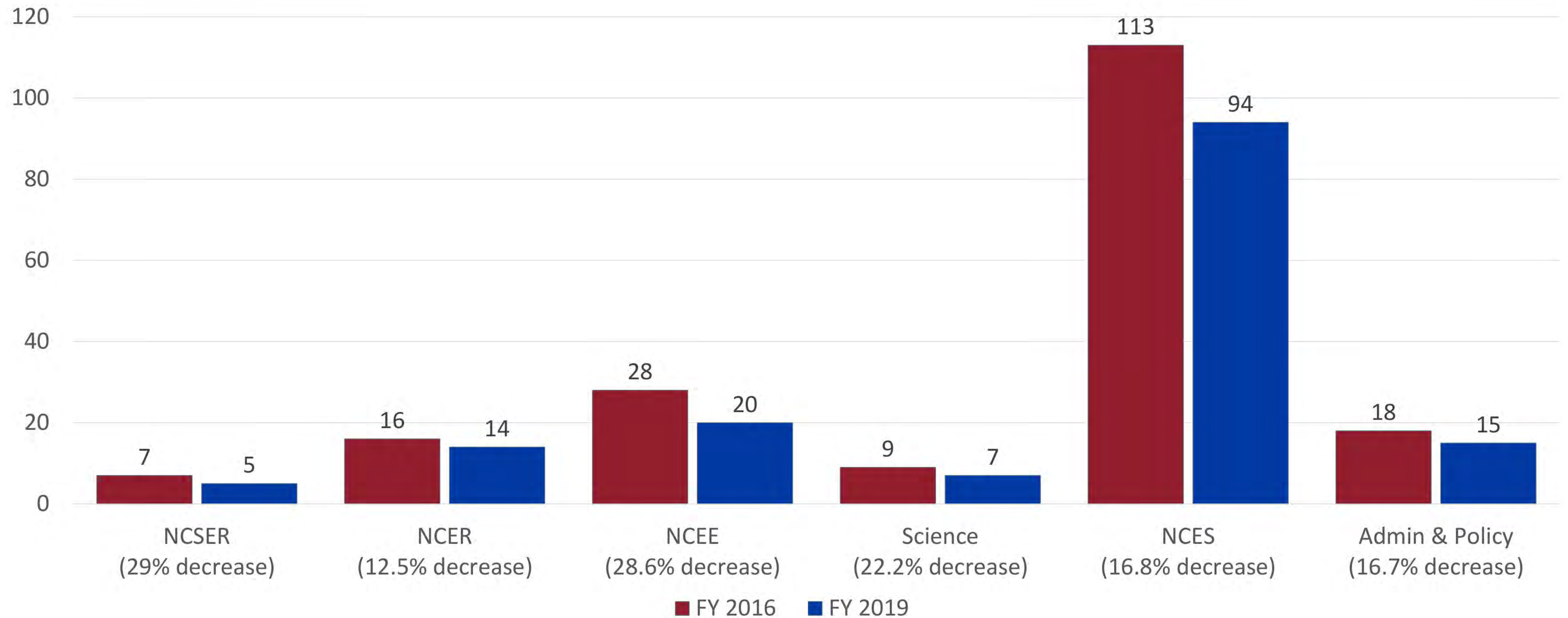
Hire “Administratively Determined” scientific and technical personnel outside of civil service rules, for up to 6-year term

IES Program Budget

Program (statutory authority)	FY 2020 Appropriation (\$000s)	FY 2021 Request (\$000s)	FY 2021 House	FY 2021 Senate
Research, development, and dissemination (ESRA I-A, B and D, except sec. 174)	\$195,877	\$195,877	\$197,877	\$195,877
Statistics (ESRA I-C)	110,500	113,500	111,500	110,500
Regional educational laboratories (ESRA sec. 174)	56,022	0	57,022	56,022
National assessment (sec. 303)	153,000	181,000	153,000	172,645
National assessment governing board	7,745	7,745	7,745	7,745
Research in special education (ESRA, Part E)	56,500	56,500	58,500	56,500
Statewide longitudinal data systems (ETAA sec. 208)	33,000	0	33,500	33,000
Special education studies and evaluations (IDEA, sec. 664)	10,818	10,818	11,318	10,818
Totals	623,462	565,440	630,462	643,107

Amounts in Thousands. Includes National Assessment Governing Board. Does not include federal program evaluation funding from other accounts. Two-year funding.

IES Staffing



Office of the Director

Mark Schneider

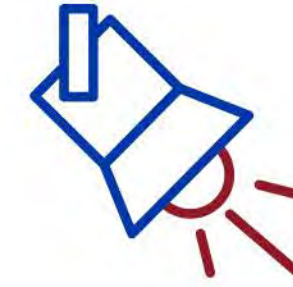
Director of the Institute of Education Sciences

Craig Stanton

Deputy Director for Administration and Policy

Anne Ricciuti

Deputy Director for Science (Standards, Peer Review,
Unsolicited Awards)

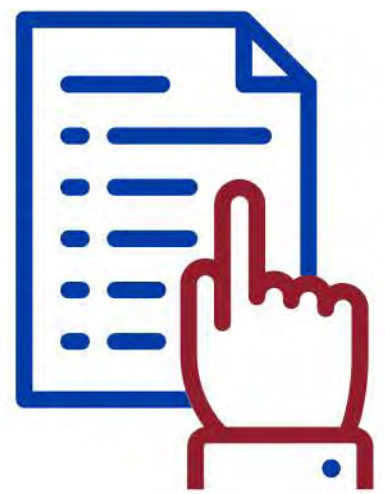


Program Spotlight: Digital Modernization

In February 2020, the central office launched an effort to modernize the IES website and digital tools, aiming to grow the reach and value of the Institute's research and data. Making resources more accessible to educators, policymakers, and families is part of our ongoing campaign to improve outcomes for learners.

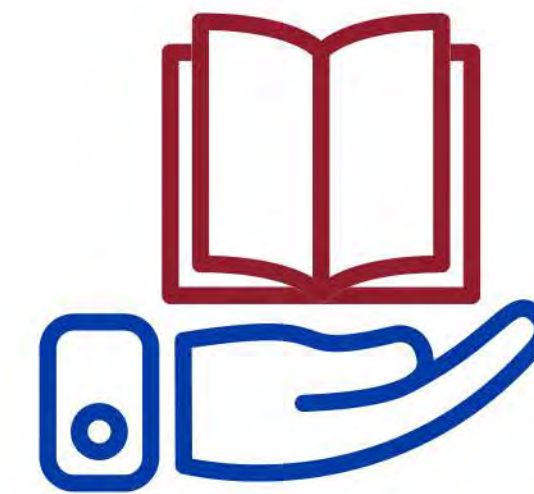
Standards and Review Office

Standards and Review staff are responsible for two primary activities.



Peer Review of Reports

Institute staff are responsible for scientific peer review and approval of reports to keep an independent and objective point of view.



Peer Review of Grant Applications

The Standards and Review staff are responsible for implementing the scientific peer review of grant applications.

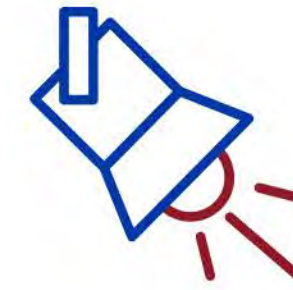
National Center for Education Statistics (NCES)

James “Lynn” Woodworth

Commissioner

Mission:

- collect and analyze education information and statistics in a way that meets the highest methodological standards
- report statistics in a timely manner
- report statistical information in a way that is objective, neutral, nonideological, free from partisan political influence and racial, cultural, gender, or regional bias, and; is relevant and useful to audiences



Program Spotlight: NAEP

The National Assessment of Educational Progress (NAEP) is the only assessment that measures what U.S. students know and can do in various subjects across the nation, states, and in some large urban districts. Also known as The Nation’s Report Card, NAEP has provided information about how students are performing academically since 1969.

Major NCES Activities

Administrative Records

- CCD: Common Core of Data
- EDGE: Education Demographics and Geographic Estimates
- IPEDS: Integrated Post Secondary Education System

Assessments

- NAEP: National Assessment of Education Progress
- International Assessments (e.g., PISA)

Surveys

- Cross-Sectional Surveys
- Longitudinal Surveys

Annual Reports

- Condition of Education
- School Safety

Statistical Standards

- DLDT: Distance Learning Dataset Training

Statewide Longitudinal Data Systems

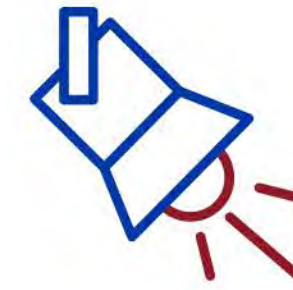
National Center for Education Evaluation and Regional Assistance (NCEE)

Matt Soldner

Commissioner

Mission:

- provide technical assistance
- conduct evaluations of federal education programs administered by the Secretary to determine the impact of such programs
- support synthesis and wide dissemination of results of evaluation, research, and products developed
- encourage use of scientifically valid education research and evaluation throughout the U.S.



Program Spotlight: WWC Practice Guides

A practice guide presents recommendations for educators to address challenges in their classrooms and schools. They are based on reviews of research, the experiences of practitioners, and the expert opinions of a panel of nationally recognized experts.

Major NCEE Activities



Evaluation

Conducts rigorous impact and implementation studies of federal education programs and promising educational practices.

Recent Report: *Can Texting Parents Improve Attendance in Elementary School? A Test of an Adaptive Messaging Strategy*



Knowledge Use

Regional Educational Laboratories (RELs) work in partnership with educators and policymakers to develop and use research that improves academic outcomes for students.

The What Works Clearinghouse (WWC) reviews the existing research on different programs, products, practices, and policies in education. Our goal is to provide educators with the information they need to make evidence-based decisions.

ERIC is an online library of education research and information.

National Education Research Centers

Elizabeth Albro

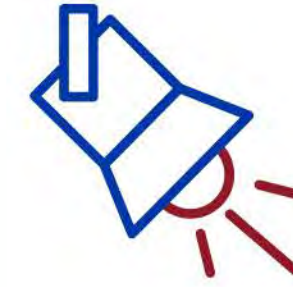
Commissioner, National Center for Education Research (NCER)

Joan McLaughlin

Commissioner, National Center for Special Education Research (NCSER)

Mission:

- sponsor research that leads to the accumulation of knowledge and understanding of effective education practices
- support the synthesis and integration of education research
- promote quality and integrity using accepted practices of scientific inquiry to test the validity of education theories and practices
- disseminate scientifically valid research findings that can provide the basis for improving academic instruction and lifelong learning



Program Spotlight: SBIR

The Small Business Innovation Research (SBIR) program provides up to \$1.1M in funding in 2 phases: Phase I for \$200,000 for 8-months for rapid prototype development and evaluation and Phase II for \$900,000 for full-scale product development and evaluation.

The IES SBIR program releases solicitations for Phase I and Phase II annually, typically in early winter, with proposals due 45 days later. Awards are announced within 90 days of the submission deadline.

Major NCER Activities

Recently Closed Grant Competitions

- Education Research (84.305A)
- Research Training Programs in the Education Sciences (84.305B)
- Education Research and Development Centers (84.305C)
- Statistical and Research Methodology in Education (84.305D)
- Research Grants Focused on Systematic Replication (84.305R)
- Using Longitudinal Data to Support State Education Policymaking (84.305S)

Current and Upcoming Grant Competitions

- Transformative Research in the Education Sciences (84.305T)
- Research Networks Focused on Critical Problems of Education Policy and Practice (84.305N)

Current SBIR Competitions

- Education Phase I Solicitation

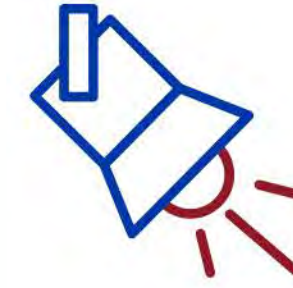
Major NCSEER Activities

Recently Closed Grant Competitions

- Special Education Research (84.324A)
- Research Training Programs in Special Education (84.324B)
- Research Grants Focused on NAEP Process Data for Learners with Disabilities (84.324P)
- Research Grants Focused on Systematic Replication (84.324R)

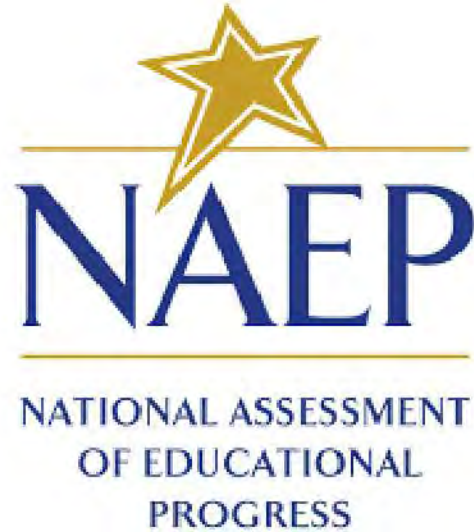
Current SBIR Competitions

- Special Education Phase I Solicitation



Grant Spotlight: Using NAEP Process Data

Under the FY 2021 competition, IES will support research that uses the restricted-use data from the 2017 eighth grade NAEP mathematics assessment, including the NAEP process data, to examine outcomes for students with disabilities.



Agency Review Team Briefing

Peggy Carr, Associate Commissioner, NCES
Lesley Muldoon, Executive Director, NAGB

December 8, 2020



Contents

- ❑ National Assessment Governing Board 101
 - Authorizing legislation – P.L. 107-279
 - Who We Are and What We Do
 - NAEP Assessment Schedule
 - COVID-19 Impact on NAEP
- ❑ NAEP Reporting and Data Disaggregation





Authorizing Legislation – Pub. L. 107-279

Elementary and Secondary Education Act (**1965**)

No Child Left Behind (**2001**)

Every Student Succeeds Act (**2015**)



Joint Caretakers of NAEP

- Assessment Methodology
- Develop frameworks
- Review items
- Set achievement levels
- Host release events



- Design assessment
- Develop items
- Sample and collect data
- Score, scale, and analyze data
- Report, release, disseminate data



Governing Board Composition








By law, the Board has 25 voting members and 1 ex-officio (non-voting) member, in the following categories:

- Governors
- Chief State School Officers
- State Legislators
- Teachers
- Principals
- Local superintendent
- State and local school board members
- Testing and measurement experts
- Curriculum specialists
- Representatives of business
- Nonpublic school representatives
- General public
- Director of IES (ex officio)





Governing Board Legislative Mandate

-  Determines the assessment schedule
-  Selects the subjects to be tested
-  Develops frameworks for each assessment
-  Reviews all NAEP questions for appropriateness and bias
-  Oversees assessment methodology to ensure the validity and reliability of results
-  Sets achievement levels
-  Hosts initial release event and disseminates assessment results



NAEP Assessment Schedule

- ❑ A key legislatively-mandated responsibility
- ❑ Specifies subjects, grades, ages, assessment year, and sampling levels for each assessment
- ❑ Typically set 10 years out, informing the public and serving as a road map for NCES
- ❑ Currently extends through 2029
- ❑ Changes forthcoming due to COVID-19 impact

NAEP Assessment Schedule

Year	Subject	National Grades Assessed	State Grades Assessed	TUDA Grades Assessed
2029	Reading	4, 8	4, 8	4, 8
	Mathematics	4, 8	4, 8	4, 8
	CIVICS	4, 8, 12	8	
	U.S. HISTORY	4, 8, 12		
	WRITING	4, 8, 12	4, 8, 12	4, 8
2028	Long-Term Trend*	~		
2027	Reading	4, 8, 12	4, 8, 12	4, 8
	Mathematics	4, 8, 12	4, 8, 12	4, 8
	SCIENCE	4, 8	4, 8	4, 8
	Technology and Engineering Literacy	8	8	
	Transcript Studies			
2026				
2025	READING	4, 8	4, 8	4, 8
	MATHEMATICS	4, 8	4, 8	4, 8
	Civics	8		
	U.S. History	8		
2024	Long-Term Trend*	~		
2023	Reading	4, 8, 12	4, 8	4, 8
	Mathematics	4, 8, 12	4, 8	4, 8
	Science	8		
	Technology and Engineering Literacy	8		
	Transcript Studies			
2022	Civics	8		
	U.S. History	8		
	Long-term Trend	17 year olds		
2021	Reading	4, 8	4, 8	4, 8
	Mathematics	4, 8	4, 8	4, 8
2020	Long-Term Trend*	9, 13 year olds		

Reflects July 2020 Board Actions:

- Updated schedule in response to impacts of COVID-19 on NAEP
- Changes included:
 - Postpone US History and Civics from 2021 to 2022
 - Reschedule Long-Term Trend for 17-year olds to 2022
- Adopted [resolution](#) advising NCES to continue preparation for biennial mandated Reading and Math assessments for 2021
- Full schedule online at <https://www.nagb.gov/about-naep/assessment-schedule.html>





COVID-19 Impacts on NAEP

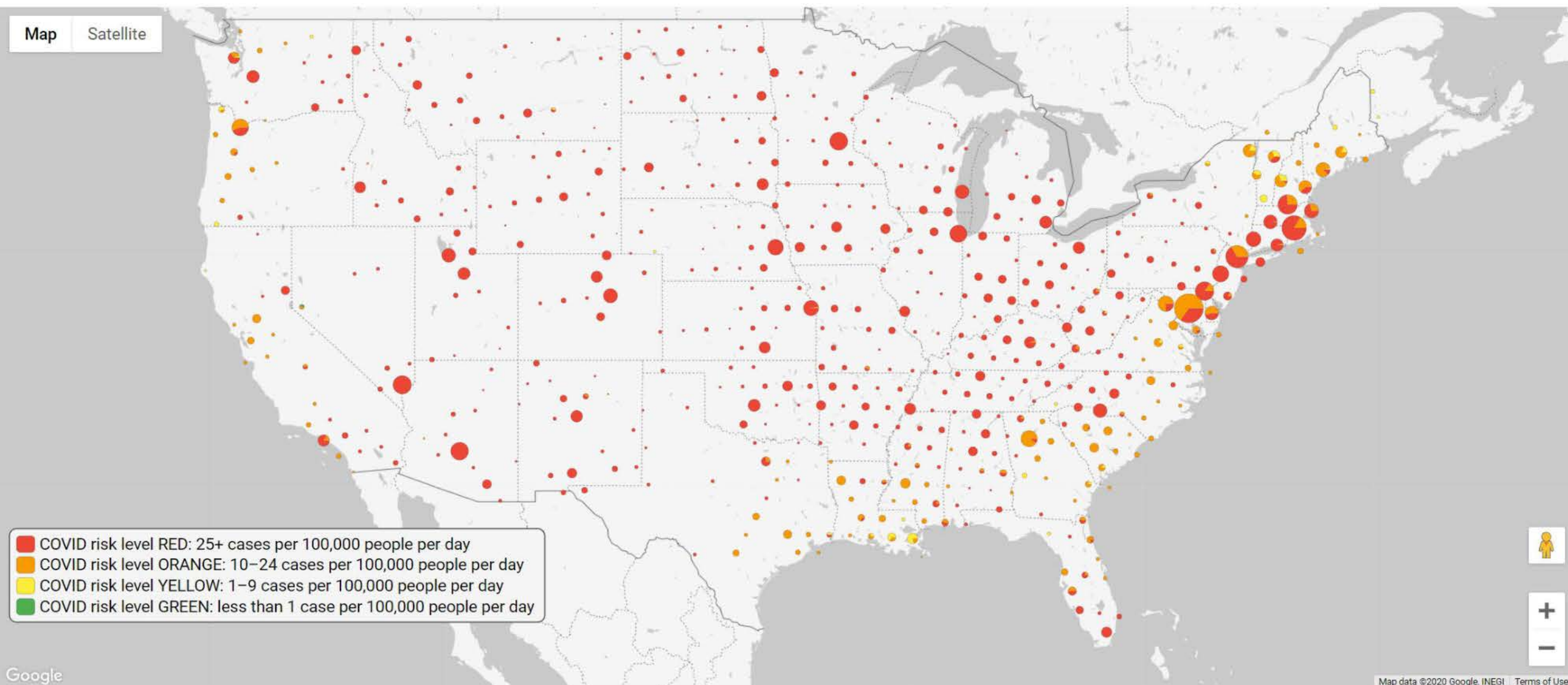
- Due to COVID-19, legislatively mandated biennial reading and math assessments cannot occur in 2021
 - NCES cannot meet statutory requirement to report valid and reliable data from NAEP administration
 - Governing Board supports NCES's determination
- Congress considering request for waiver from 2021 requirement
- Governing Board will consider specific additional changes to NAEP Assessment Schedule at March 2021 Meeting



COVID-19 Risk Levels

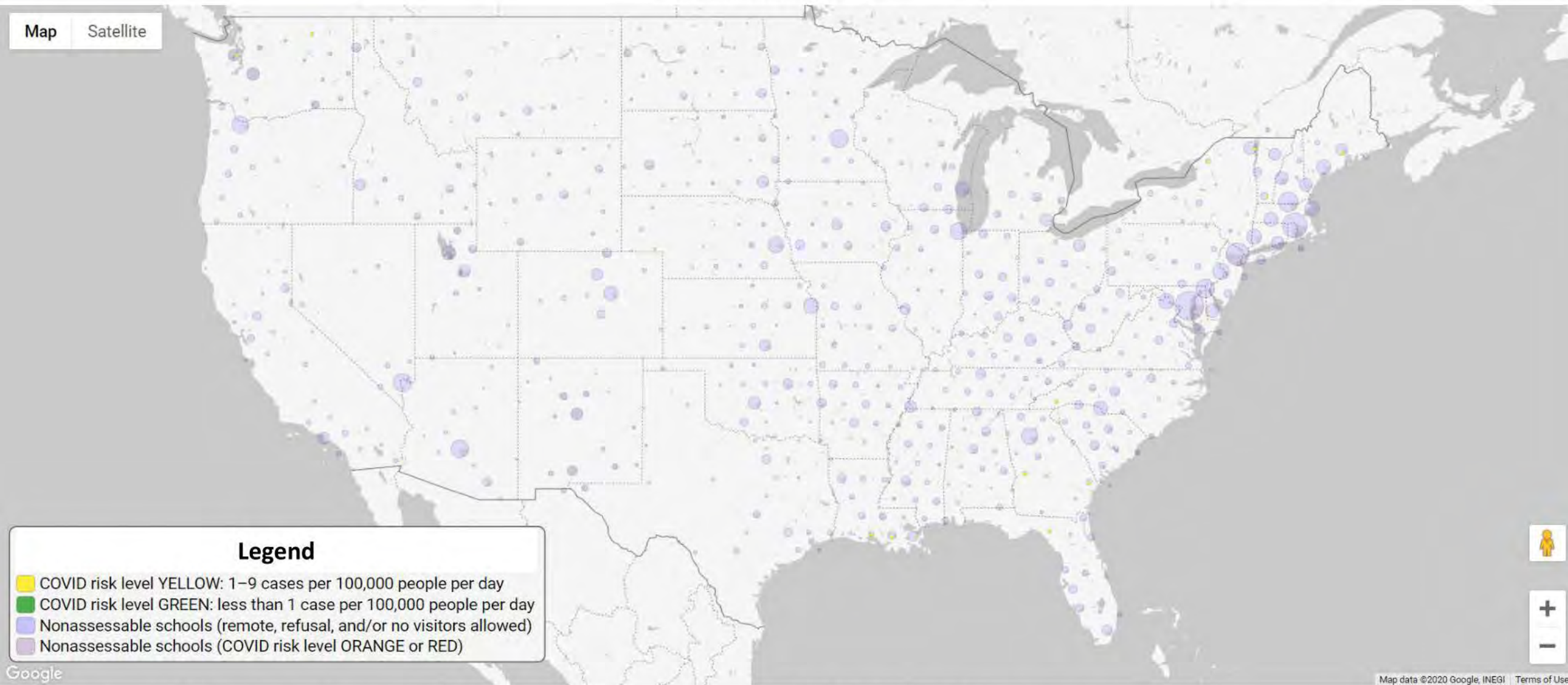
Schools Selected for NAEP Sample at Grade 4

as of 11/17/2020



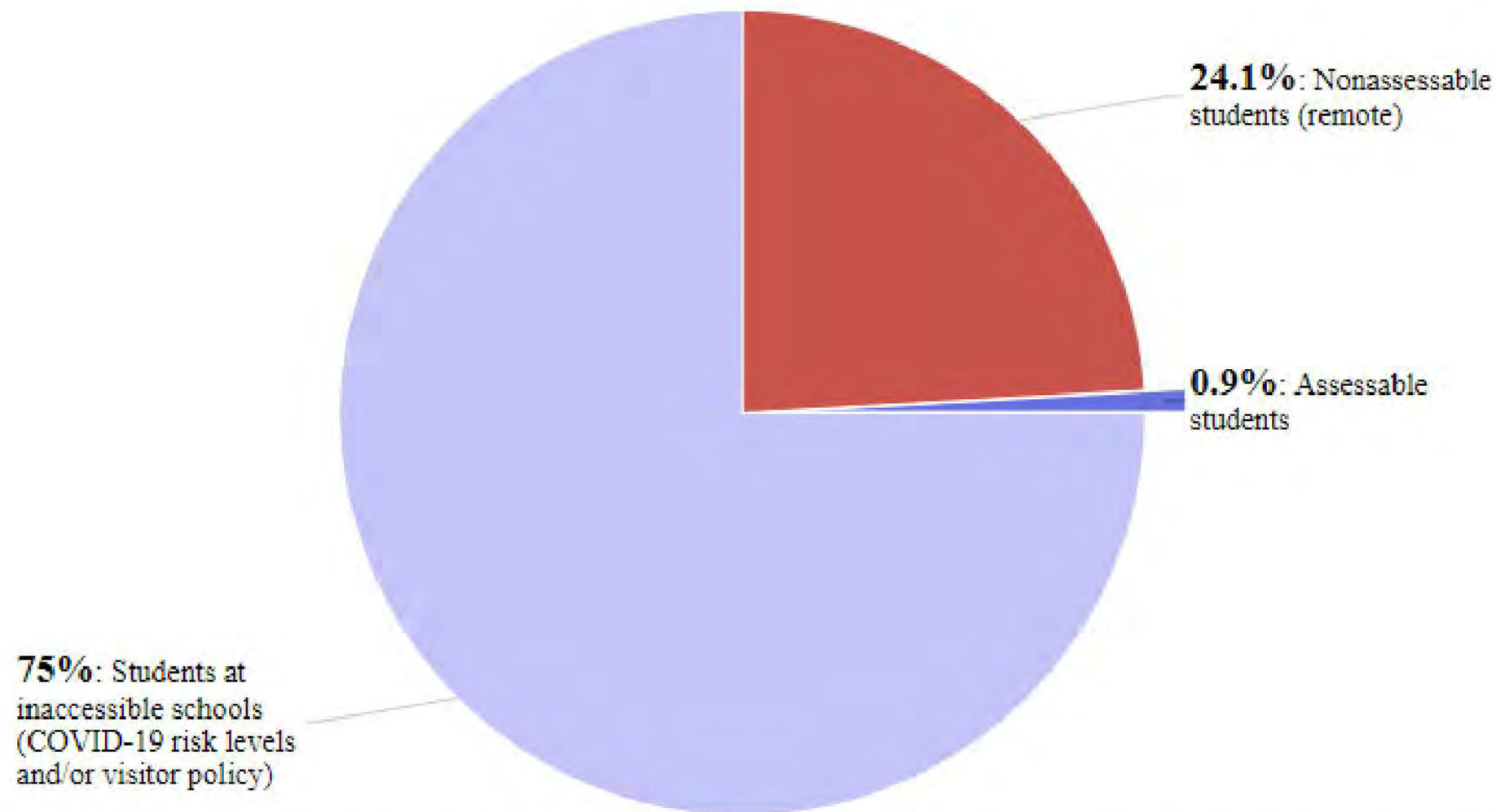
Source: NCES Alliance Contractor COVID-19 Dashboard, 11/17/2020 (available upon request)

Nonassessable Students Schools Selected for NAEP Sample at Grade 4 as of 11/17/2020



Source: NCES Alliance Contractor COVID-19 Dashboard, 11/17/2020 (available upon request)

Which 2021 NAEP sampled students could be assessed?



NOTES: 2021 NAEP Grade 4 sampled students are shown; Grade 8 is similar. COVID-19 risk level framework from "Harvard Global Health Institute Key Metrics for COVID suppression".

SOURCES: NAEP 2021 data collected from sampled schools, 2020-11-17; "USAFacts: US Coronavirus Cases and Deaths - known cases", 2020-11-17.



Priorities Post-COVID

- ❑ Full administration for 4th and 8th grade reading and math with:
 - National results
 - State results
 - TUDA results
- ❑ Sufficient funding to support implementation of Assessment Schedule in 2022 and beyond
- ❑ Communicating NAEP results post-COVID in ways that support policymakers, educators and the public in using data effectively
- ❑ Implementing Governing Board's [Strategic Vision 2025](#)



Data Disaggregation on NAEP

Definitions

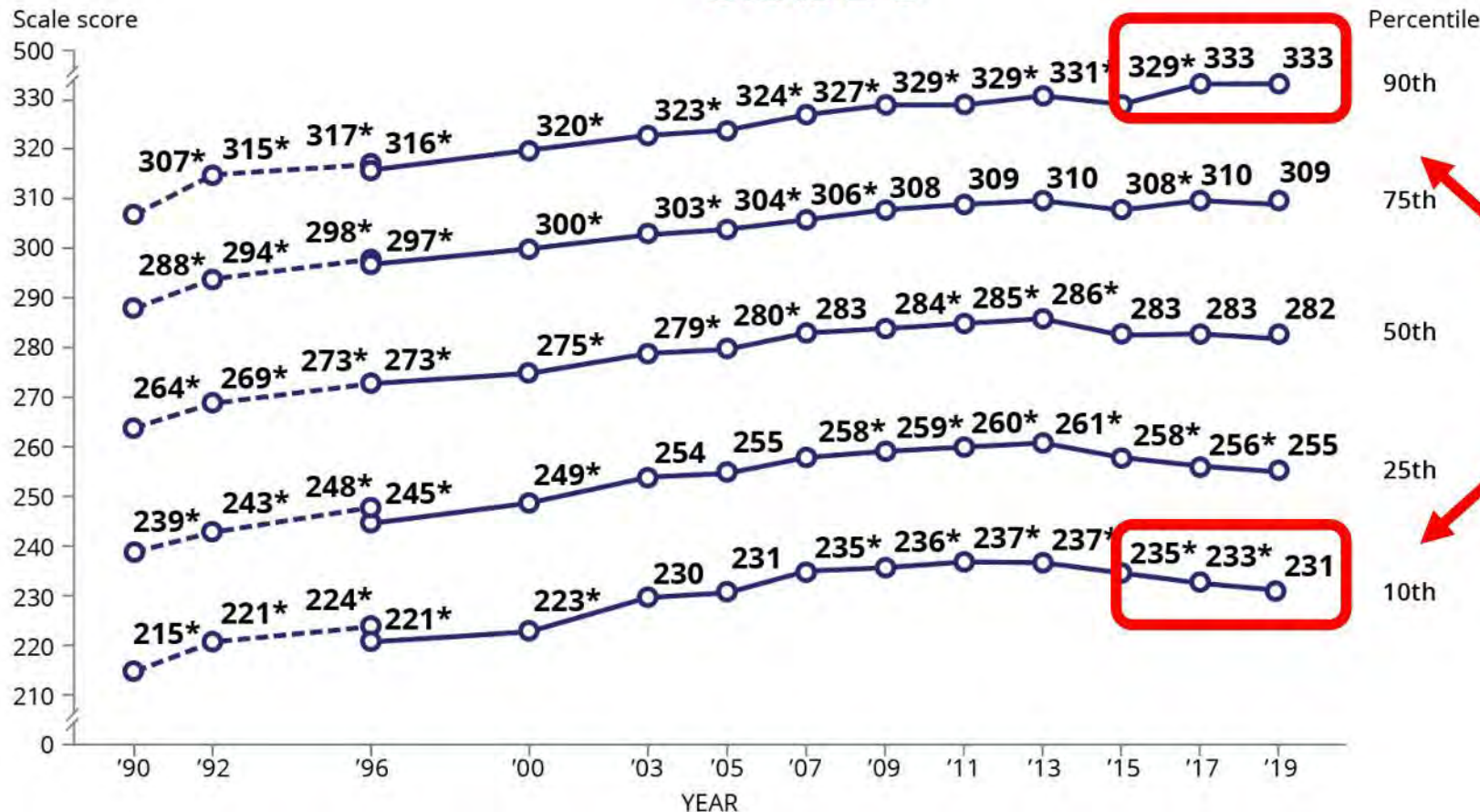
Category	Description
Performance Data	
Scores	0 to 300 and 0 to 500
Percentiles	90 th , 75 th , 50 th , 25 th , and 10 th
Achievement levels	<i>NAEP Advanced, NAEP Proficient, NAEP Basic</i>
High school transcripts	Course taking, course credits, grade point average
Contextual Data	
Student questionnaires	In and out-of-school educational experiences, SES, technology use, noncognitive factors
Teacher questionnaires	Teacher preparation, organization of instruction
School questionnaires	School policies, school climate, resources for learning and instruction, school-level demographics
Focused questionnaires	Charter School Survey, National Indian Education Study, COVID-19 questionnaires, SD/EL worksheets
Administrative data	Common Core of Data, Private School Survey, School records

NAEP's major reporting groups

Variable	Categories
Race/ethnicity	White, Black, Hispanic, Asian, Pacific Islander/Native Hawaiian, American Indian/Alaska Native, Two or more races
Gender	Male, Female
National School Lunch Program eligibility	Eligible, Not eligible, Information not available
Parental education	Graduated from college, Some education after high school, Graduated from high school, Did not finish high school, Unknown
Type of school	Public, Private, Catholic (subset of Private), Charter (subset of Public)
School location	City, Suburban, Town, Rural
Census region	Northeast, Midwest, South, West
Student with disabilities status	Students identified as having a disability, Students not identified as having a disability
English learner status	English learners, Not English learners

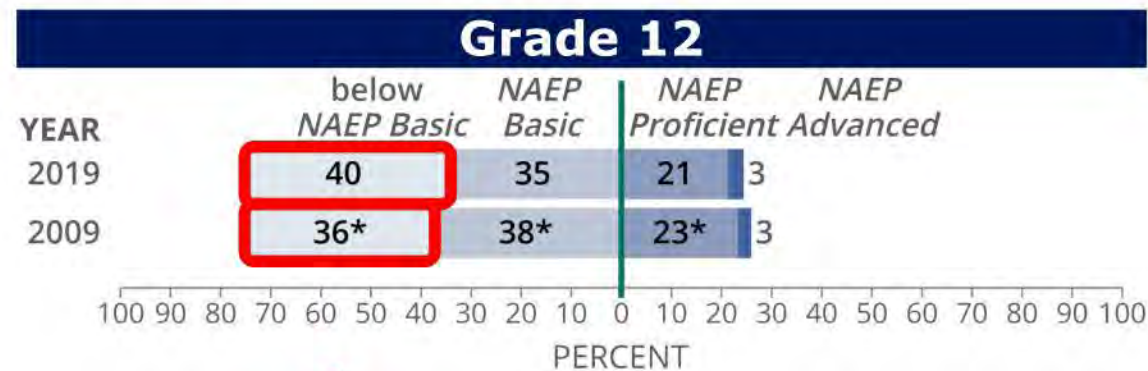
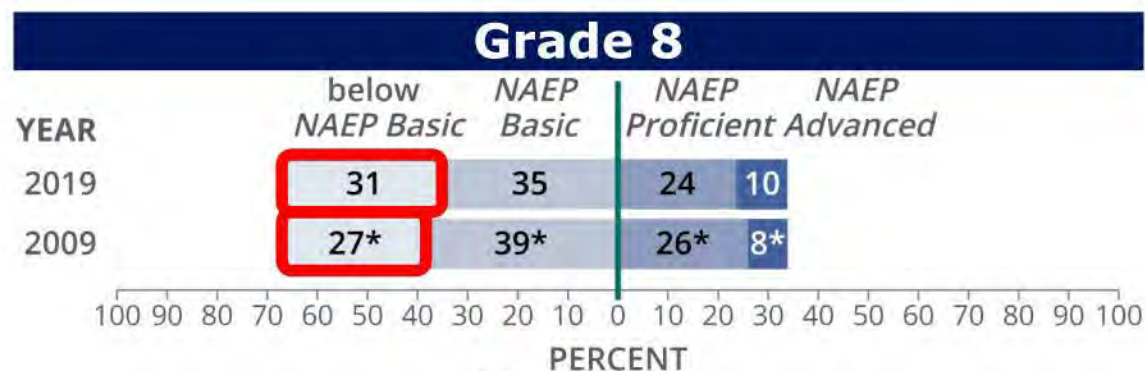
Example: Diverging trends between higher and lower performers

MATHEMATICS GRADE 8



Example: Growth in percent below *NAEP Basic*

MATHEMATICS



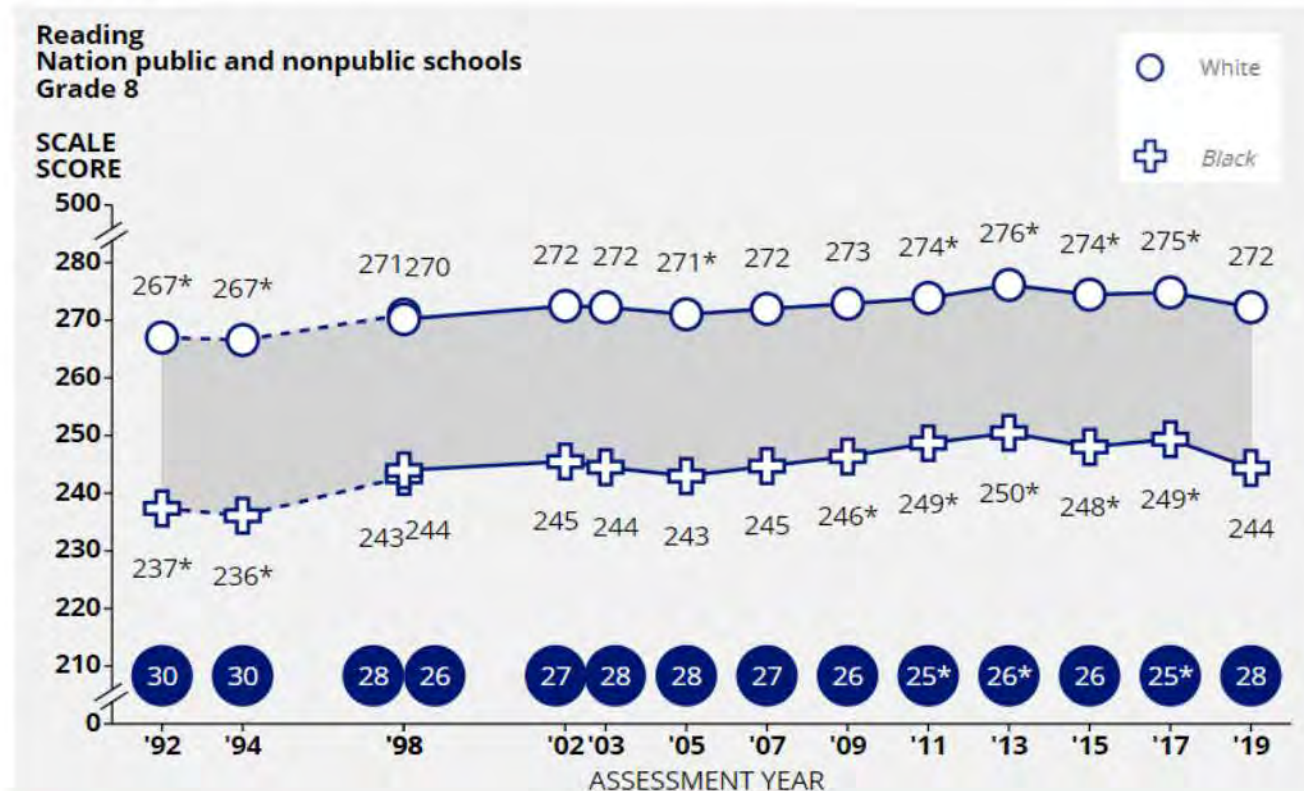
Percentages of **students performing below *NAEP Basic*** on mathematics increased at both grades 8 and 12 from 2009 to 2019

* Significantly different ($p < .05$) from 2019.

SOURCE: U.S. Department of Education, Institute of Education Sciences, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), 2009 and 2019 Mathematics Assessments.

Example: White-Black score gap not changing, but both groups saw declines for lower-performers and gains for higher-performers

READING GRADE 8



Compared to 2009

	10th percentile	90th percentile
White	↓	↑
Black	↓	↑

Special populations

American Indian/Alaska Native students (<https://nces.ed.gov/nationsreportcard/nies/>):

- Can report state-level results for 15 states
- 2019 National Indian Education Study to be released early 2021

English learners (EL) and students with disabilities (SD):

- High inclusion rates: About 90 percent participation for both groups in 2019
- Inclusion rates have risen, even as percent classified has also risen
- Important caveats:
 - Samples not drawn to be representative; exercise caution when generalizing to total population of SD or EL students
 - EL definitions vary widely across jurisdictions; again, exercise caution

Future opportunities for disaggregation

Household composition:

- Developing questions to be more inclusive of students from different household structures and to provide better measures of SES

SES:

- NSLP becoming less useful indicator of SES, though still relevant; only differentiates eligible from not eligible
- Developing new index to allow reporting of multiple levels of SES

Process data:

- Can analyze how students arrive at an answer, not just the answer
- Can group students by their actions (e.g., problem solving behaviors; calculator use)

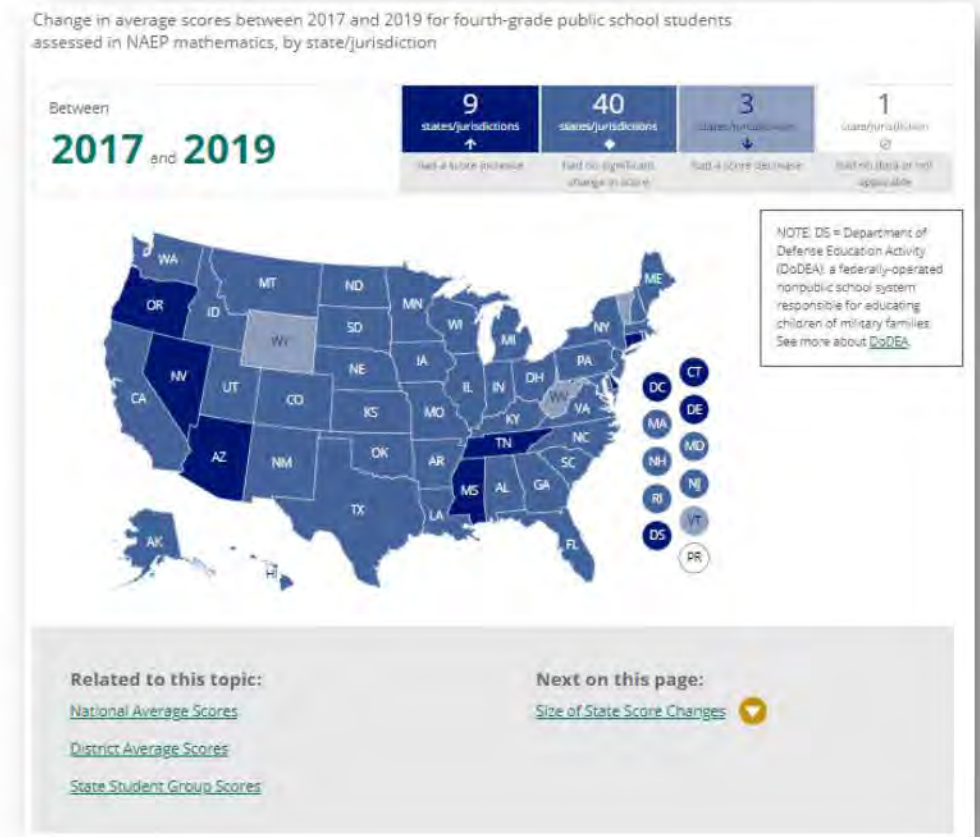
Below *NAEP Basic*:

- New panel to study students performing below *NAEP Basic*

For more NAEP data, explore links below

NationsReportCard.gov

- [Digital report cards](#)
- [NAEP Data Explorer \(NDE\)](#)
- [NAEP Questions Tool](#)
- [Item Maps](#)
- [State Profiles](#)
- [District Profiles](#)
- [Achievement Gap Dashboard](#)
- [Public, Private, and Charter Schools Dashboard](#)
- [Restricted data license](#)
- [Application programming interface \(API\)](#)





OFFICE OF COMMUNICATIONS AND OUTREACH TRANSITION BRIEFING

DECEMBER, 2020

OFFICE OF COMMUNICATIONS AND OUTREACH (OCO)

- **MISSION:** OCO is responsible for overall leadership of the Department's portfolio of communications and outreach activities. OCO is charged with understanding the Department's various audiences and communicating with them using their preferred communication channels. These activities are designed to engage a wide variety of education, community, business, family, student, and other stakeholders, as well as the public, in the Department's mission.



MISSION AND RESPONSIBILITIES

OCO INTERACTS WITH THE MEDIA, INTERGOVERNMENTAL, AND INTERAGENCY ORGANIZATIONS AS WELL AS WITH THE ED WORKFORCE. OCO DIRECTS, COORDINATES, AND RECOMMENDS ACTIVITIES DESIGNED TO:

- ENHANCE AND AMPLIFY THE DEPARTMENT'S POLICIES AND THE SECRETARY'S PRIORITIES;
- INITIATE AND OVERSEE THE CREATION OF PUBLIC OUTREACH AND INFORMATION PROGRAMS;
- DEVELOP PRODUCTIVE WORKING RELATIONSHIPS WITH THE PRESS, MASS MEDIA OUTLETS, STATE AND LOCAL ELECTED OFFICIALS, OTHER FEDERAL AGENCIES, AND NON-GOVERNMENTAL ORGANIZATIONS;
- OVERSEE AND COORDINATE MESSAGING EFFORTS OF ALL PRINCIPAL OFFICES;
- DEVELOP WEB-BASED CONTENT, DIGITAL MEDIA, VIDEO BROADCASTS, PUBLICATIONS, AND WRITTEN DOCUMENTS;
- FOSTER INTERAGENCY COOPERATION WITH OTHER DEPARTMENTS AND AGENCIES;
- DIRECT THE INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS AND RECOGNITION PROGRAMS; AND
- INFORM AND ENGAGE THE AGENCY'S EMPLOYEES.



MISSION AND RESPONSIBILITIES (CONTINUED)

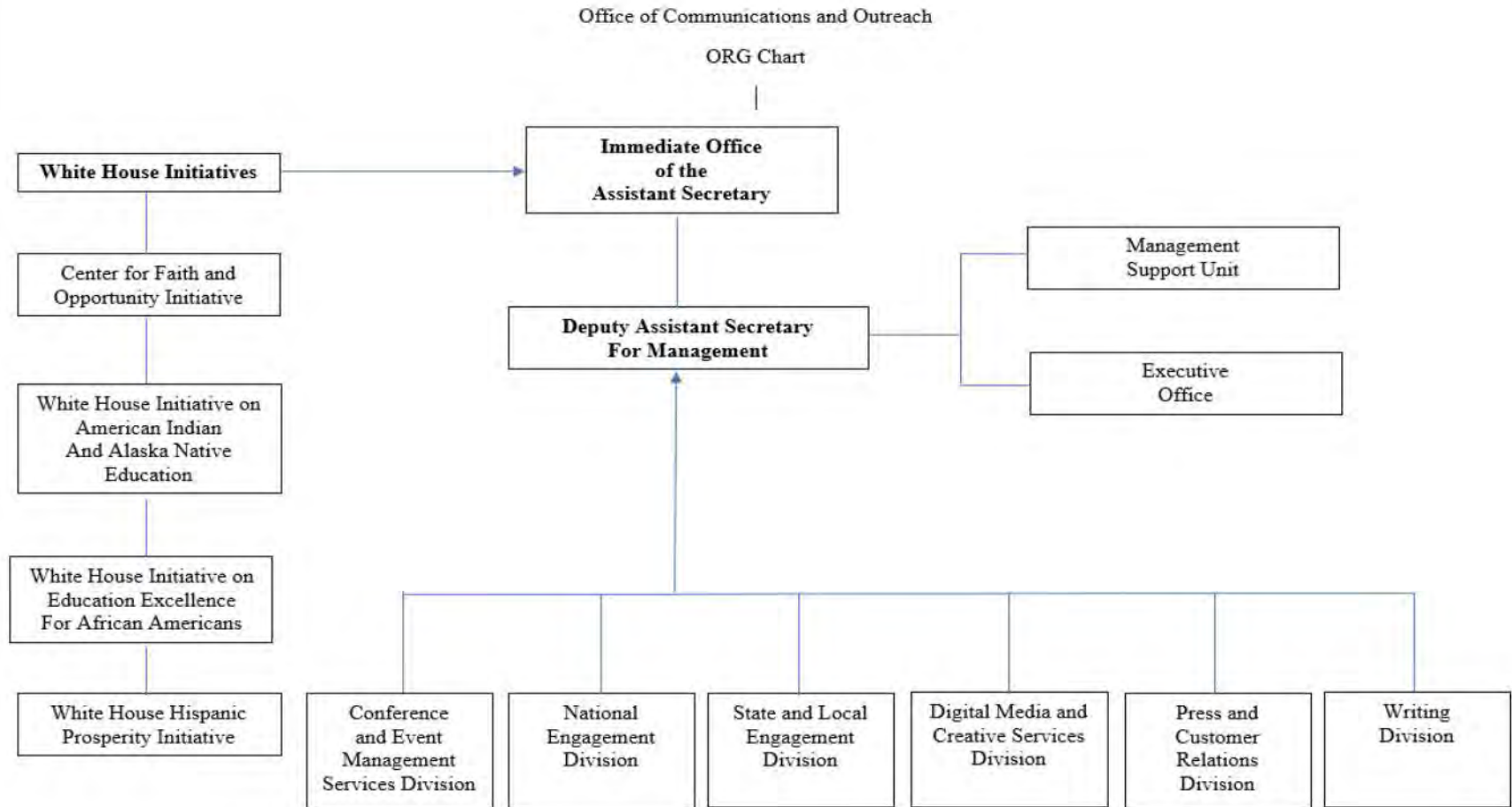
FOUR WHITE HOUSE INITIATIVES ARE SUPPORTED BY OCO

- Educational Excellence for African Americans
- Faith and Opportunity Initiatives
- American Indian and Alaskan Native Education
- Hispanic Prosperity

- Each has a Presidentially appointed Executive Director
- Two have Presidentially appointed commissions:
 - Educational Excellence for African Americans
 - Hispanic Prosperity Initiatives.



ORGANIZATIONAL CHART



STAFFING

■ Full-Time Employees	97
■ Career Staff	79
■ Schedule-C Staff	16
■ CARES Act	2
■ Vacant Career	6



BUDGET

FY 2021 PROJECTED

OCO Salaries and Expenses Budget (dollars in 000s)	FY 2020 Enacted	FY 2021 Budget Request	FY 2022 Budget Request
Salaries and Benefits	\$13,610.0	\$14,402.0	\$14,687.0
Non-Pay (contracts, travel, training, etc.)	\$4,134.0	\$3,867.0	\$4,119.0
OCO Salaries and Expenses Budget Total	\$17,744.0	\$18,269.0	\$18,806.0

Gift Funds:

NOTE: OCO staff members have delegated authority to accept gifts to the Secretary. Such funds are used for food and other goods and services not allowed under federal regulations.



RECOGNITION PROGRAMS

- National Blue Ribbon Schools
- U.S. Presidential Scholars Program
- President's Education Awards Program (PEAP)
- U.S. Department of Education Green Ribbon Schools
- Recognizing Inspiring School Employees (RISE)



ANNUAL EVENTS

February – Budget Briefing for Stakeholders

March—President’s Education Awards Program

April—Holocaust Remembrance

April—Take Our Children to Work Day

June—U.S. Presidential Scholars Recognition Program

September—ED Green Ribbon Schools Award Ceremony

September—Secretary’s Back-to-School Events

September—Constitution Day

November—National Blue Ribbon Schools Awards Ceremony

November - Veteran’s Day Program



PRIORITIES AND DECISIONS

- Modernization of ED's Internal Communications
- Improvements to ED.gov website
- Rethinking Connections to National Organizations
- Rethinking Post-Pandemic State and Local Outreach



ADMINISTRATIVE SUPPORTS

- Press & Press Secretary
- Social Media Support
- 800 USA LEARN Citizen Contact Center
- Speechwriting
- Conference & Event Planning
- Gift Funds
- Web Content
- Blast E-mail Messages and Newsletters
- Translating Content for Audiences with Limited English
- Writing, Editing, and Graphic Design for Publications
- Internal Communications
- Secretary Invitations Review



WORK VOLUME

FISCAL YEAR 2020

- Press releases/advisories: 498
- Events for the Secretary & Senior Staff: 41
- Stakeholder Briefings: 5
- Event photography: 92
- In-house video production: 75
- Social media published assets: 650+
- Q & A: 375,110 phone calls & 2,564 emails to IRC
- Newsletters: 96 issues
- Email blasts: 200+
- Publication editing, designing, and printing: 423
- In-person & Virtual Event Facilitation: 40
- Conference Requests Reviewed: 200+
- connectED intranet blogs: 58







Office for Civil Rights (OCR)

Mission Statement

The mission of the Office for Civil Rights is to ensure equal access to education and to promote educational excellence throughout the nation through vigorous enforcement of civil rights laws.

Contents

- I. Background
- II. Staffing and Budget
- III. Major Initiatives

Background

- A) Statutory Authorities
- B) OCR's Core Functions
- C) OCR Staff Structure (Organization Chart)

Statutory Authorities

The Office for Civil Rights enforces several Federal civil rights laws that prohibit discrimination in programs or activities that receive federal financial assistance from the Department of Education.

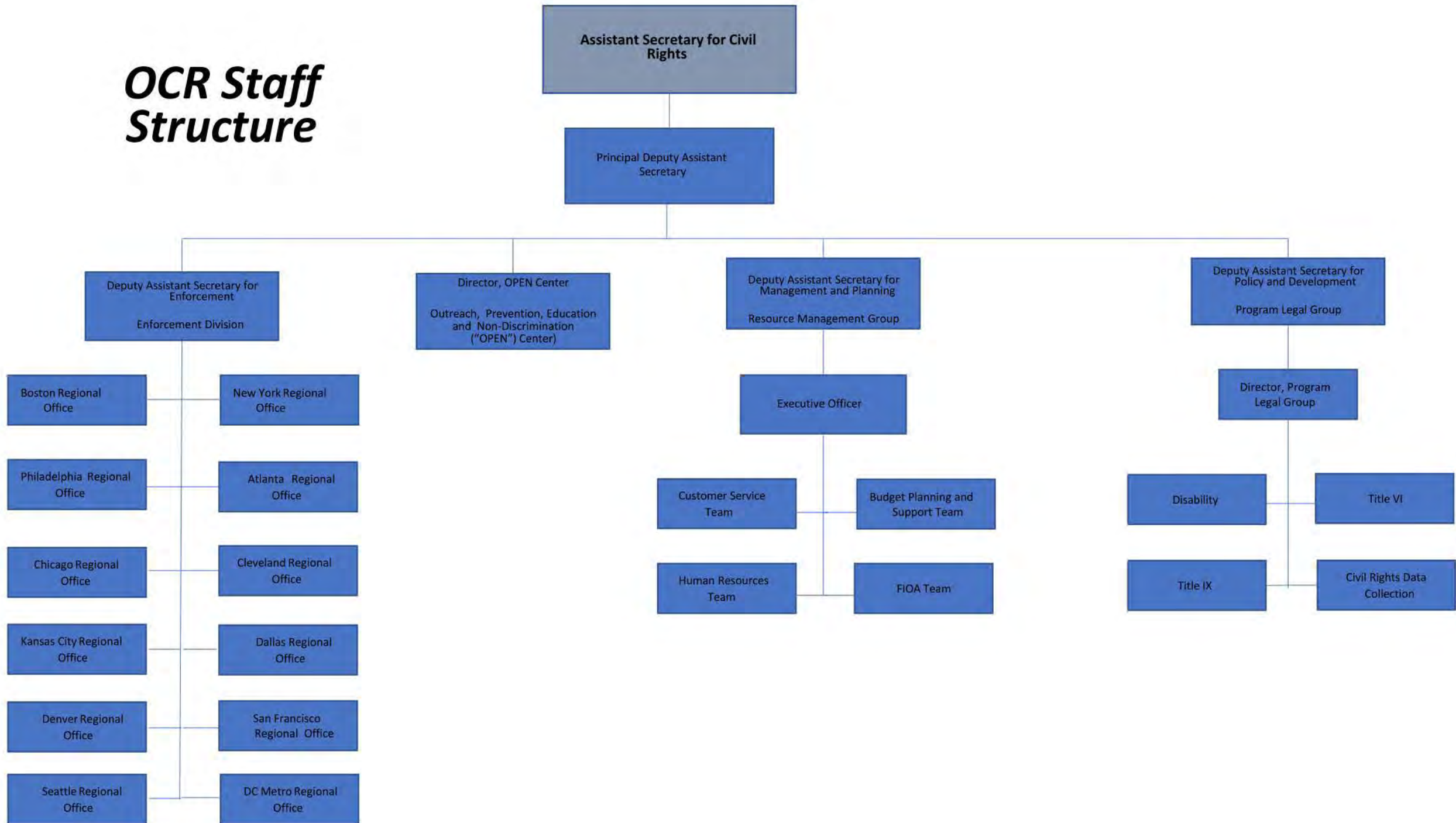
- **Title VI of the Civil Rights Act of 1964**, which prohibits discrimination on the basis of race, color or national origin;
- **Title IX of the Education Amendments of 1972**, which prohibits discrimination on the basis of sex;
- **Section 504 of the Rehabilitation Act of 1973**, which prohibits discrimination on the basis of disability;
- **Age Discrimination Act of 1975**, which prohibits discrimination on the basis of age;
- **Title II of the Americans with Disabilities Act of 1990**, which prohibits discrimination on the basis of disability;
- **Boy Scouts of America Equal Access Act**, which prohibits denial of access to or other discrimination against the Boy Scouts or other Title 36 U.S.C. youth groups in public elementary schools, public secondary schools, local education agencies, and state education agencies that have a designated open forum or limited public forum.

OCR's Core Functions

We meet our mission through:

- Resolving complaints of discrimination
- Agency-initiated cases, typically called compliance reviews or directed investigations
- Technical assistance to help institutions achieve voluntary compliance with the civil rights laws
- Collecting and publishing the biennial Civil Rights Data Collection

OCR Staff Structure



Regional Offices



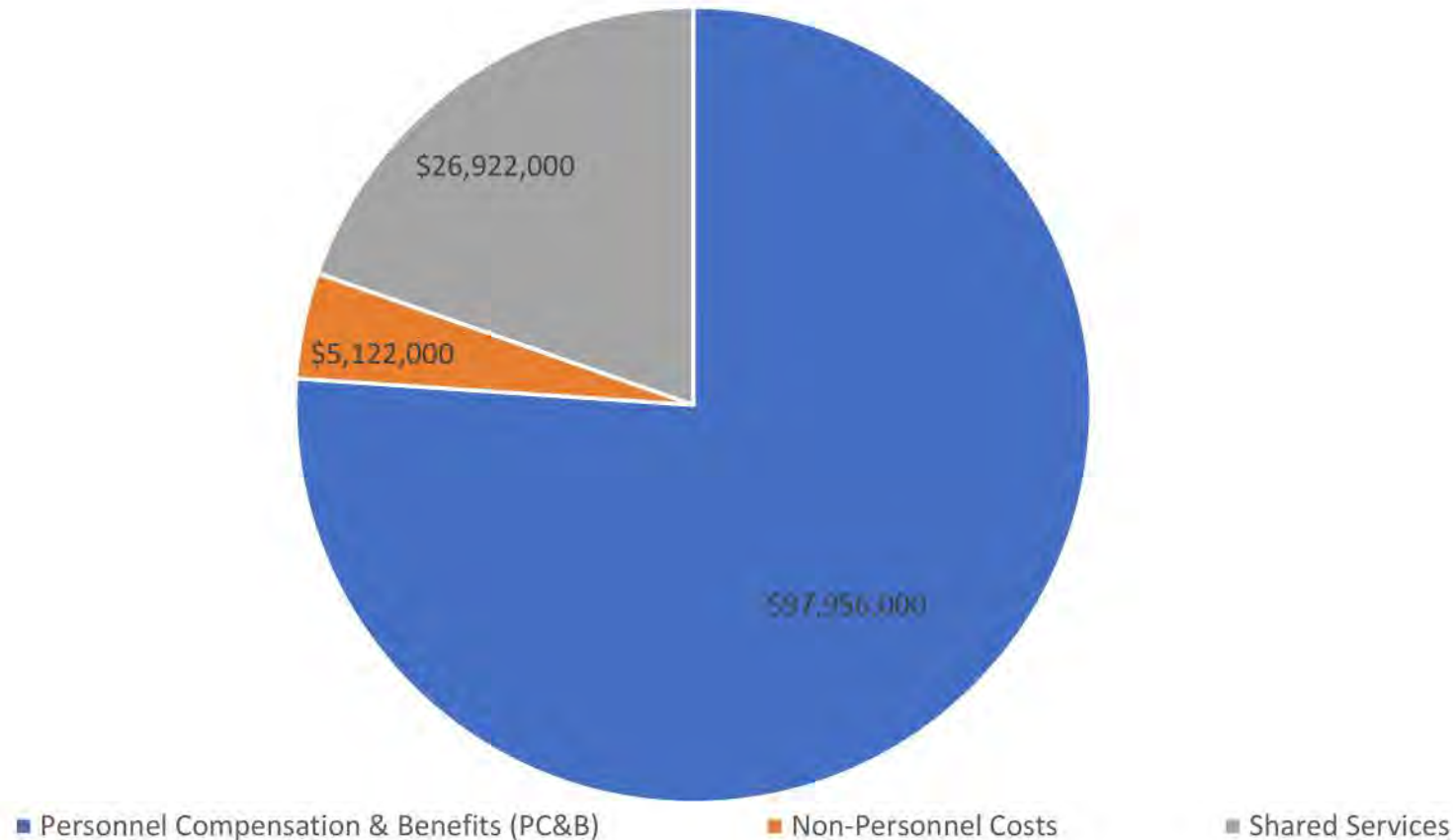
Staffing and Budget

- A) OCR Budget Overview
- B) OCR Staffing Levels
- C) OCR Staffing Distribution

OCR Budget Overview

The vast majority of OCR's Budget is designated for personnel and centralized services (rent, IT, etc.).

OCR FY 2021 Budget Request

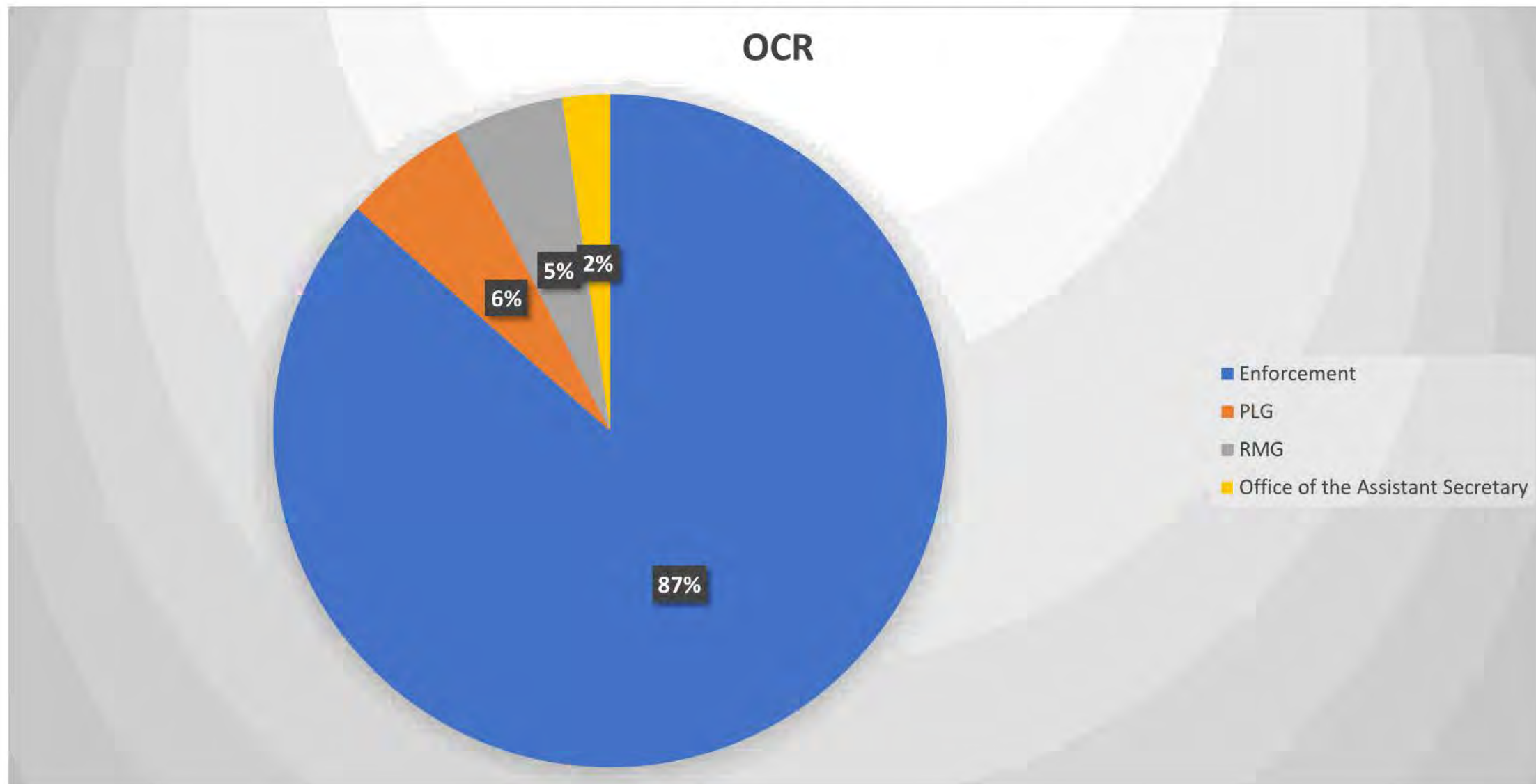


OCR Staffing Levels

Fiscal Year	Appropriation	FTE Level
2016	\$107,000,000	563
2017	\$108,500,000	579
2018	\$117,000,000	534
2019	\$125,000,000	508
2020	\$130,000,000	542*

**Estimated at conclusion of Fiscal Year*

OCR Staffing Distribution



Major Initiatives

- A) Continued Enforcement of Civil Rights Laws
 - 1. Complaint Processing (See slides 14-17)
 - 2. Restraint & Seclusion Initiative
 - 3. Sexual Violence in K-12 Schools Initiative
- B) Continuing to Protect Survivors Rights Through OCR's Title IX Rule
- C) Collect and Disseminate the 2020-2021 Civil Rights Data Collection (CRDC)
- D) Continued Provision of Technical Assistance Through the OPEN Center
- E) Helping Recipients Increase Compliance in Website Accessibility with The National Digital Access Team (NDAT)

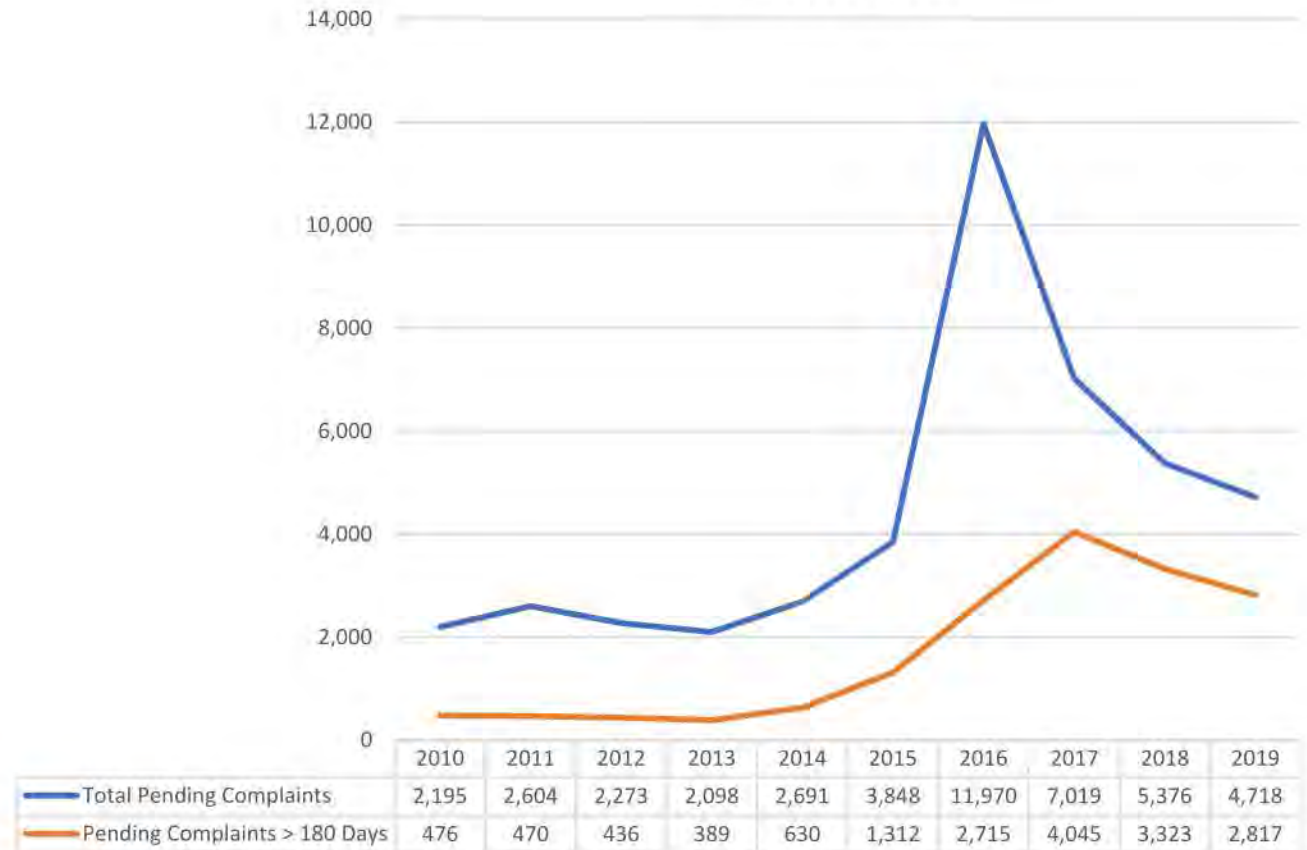
Continued Enforcement of Civil Rights Laws

- The majority of OCR's caseload from year to year involves evaluating, investigating, and resolving civil rights complaints filed by parents, students, stakeholders, individuals and advocates. The resolution of complaints is OCR's most significant priority.
- Resolving civil rights complaints in an effective and timely manner is important for families and students, and schools.
- In FY 2019, OCR received 9,990 new civil rights complaints and resolved 10,644 complaints – 654 more complaints than OCR received.
- In FY 2020, OCR received 9,706 new civil rights complaints and resolved 10,184 complaints—478 more complaints than OCR received.
- FY 2019 and FY 2020 were the third and fourth consecutive years that OCR's complaint resolutions outpaced the number of complaints received.

Enforcement of Civil Rights Laws (continued)

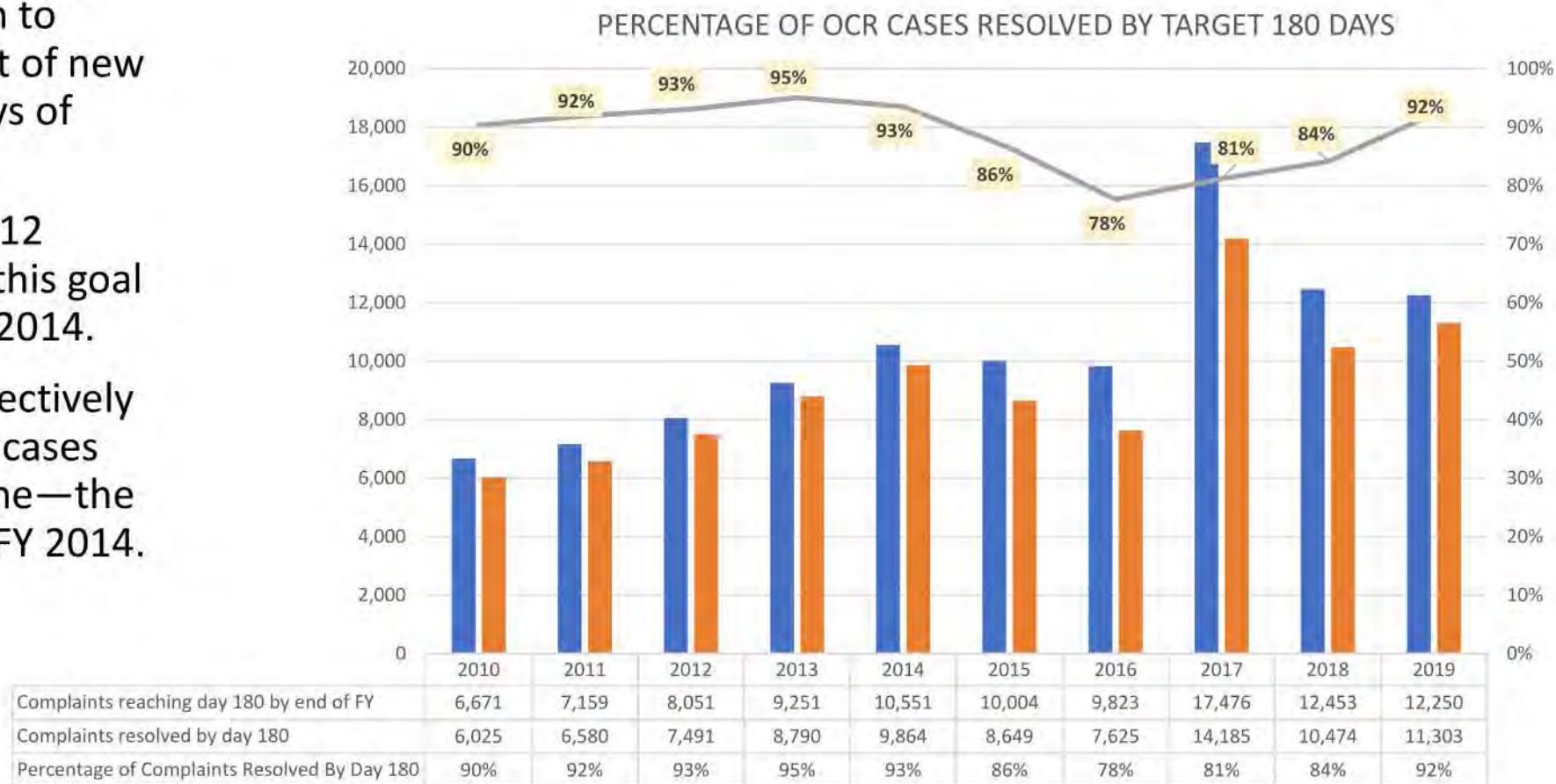
- In addition to the over 10,000 new complaints filed with OCR each year, OCR has also worked through the backlog of cases inherited from previous years.
- On January 20, 2017, OCR had a backlog of 7,854 pending civil rights complaints. Of these pending complaints, 3,397 were over 180 days old.
- By the end of FY 2019, OCR had resolved 6,431 of the inherited complaints and reduced the overall number of pending complaints to 4,718.
- OCR has reduced the number of pending complaints older than 180 days from 4,000 complaints to 2,817.
- After two years of digging out from the backlog of cases, including cases older than 180 days, in FY 2019, OCR began to focus on reducing the number of pending complaints older than two years.

Complaint Backlog at the End of Each FY
FYs 2010 - 2019



Enforcement of Civil Rights Laws (continued)

- Under the Government Performance and Results Act of 1993, OCR's goal has been to resolve at least 80 percent of new complaints within 180 days of receipt.
- In FY 2019, each of OCR's 12 regional offices achieved this goal for the first time since FY 2014.
- OCR's regional offices collectively resolved 92 percent of its cases within the 180-day timeline—the highest percentage since FY 2014.



Enforcement Process

Once a complaint is filed,

- Evaluation: OCR evaluates each complaint that it receives in order to determine whether to open the complaint for investigation, considering if OCR has jurisdiction over the complaint under the laws enforced by OCR and whether the complaint was timely filed.
 - As a threshold issue and throughout the processing of the complaint, OCR interprets its statutes and regulations consistent with the requirements of the First Amendment, and all actions taken by OCR—including the decision to open or dismiss a complaint—must comport with First Amendment principles.
- Investigation: OCR may use a variety of fact-finding techniques in its investigation of a complaint to determine if a recipient is in violation of the law.
- Resolution: OCR can resolve a complaint through: (1) Facilitated Resolution Between Parties (FRBP) (which facilitates resolution by providing the parties involved an opportunity to voluntarily resolve the complaint), (2) a resolution agreement signed prior to the end of an investigation, (3) a finding of violation that would include a resolution agreement, and (4) a finding of no violation.
 - OCR will not require recipient schools to encroach upon the exercise of First Amendment rights.
- Appeal: Following the resolution of a complaint, OCR allows for the possibility of an appeal by the parties involved.

Restraint & Seclusion Initiative

- In 2019, the Department launched an initiative to address the possible inappropriate use of restraint and seclusion in our nation's schools. The initiative is comprised of three components:
 - Compliance Reviews;
 - CRDC Data Quality Reviews; and
 - Providing Support and Technical Assistance for Recipients.
- The restraint & seclusion initiative not only includes components that help schools and districts understand how federal law applies to the use of restraint and seclusion, but also supports schools seeking information related to the appropriate use of interventions and supports to address the behavioral needs of students with disabilities.
- OCR, in partnership with the Office of Special Education and Rehabilitative Services (OSERS), has overseen the proactive initiative which will protect students with disabilities by providing technical assistance to support schools, districts, and state education agencies.

Initiative on Sexual Violence in K-12 Schools

- On February 26, 2020, the Department announced a new Title IX enforcement initiative, led by OCR, to combat the troubling rise of sexual assault in K-12 schools.
- The initiative combines OCR's enforcement, technical assistance, and data-gathering activities to correct current major compliance concerns in schools, proactively working with districts and local education leaders to achieve compliance with Title IX and raise public awareness about the issue.
- As part of this initiative, OCR has opened directed investigations and compliance reviews of the sexual assault and has proposed to collect more detailed data on sexual assault in the 2020-21 CRDC.

Protecting Survivors Through OCR's Title IX Rule

- On May 6, 2020, the Department, led by OCR, took historic action to strengthen Title IX protections for survivors of sexual misconduct and restore due process in campus proceedings to ensure all students can pursue education free from sex discrimination.
- For the first time ever, the new Title IX regulations define sexual harassment, including sexual assault, as unlawful sex discrimination and hold schools accountable for a failure to respond appropriately to allegations of sexual misconduct.
- Importantly, the new Title IX regulations empower survivors to make decisions about how a school responds to incidents of sexual harassment and requires schools to offer survivors supportive measures.
- The Title IX final regulations ensure that schools implement a more reliable adjudication process that is fair to all students, including survivors, and includes basic due process protections, as well as shielding survivors from having to come face-to-face with the accused during a hearing.

The Civil Rights Data Collection (CRDC)

- OCR is permitted under section 203(c)(1) of *the Department of Education Organization Act* (20 U.S.C. 3413(c)(1)), and the regulations implementing several of the civil rights statutes that it implements, to collect data that is necessary to ensure compliance with civil rights laws within the jurisdiction of OCR.
- OCR collects information on civil rights indicators tied to civil rights laws for the nation's schools.
- For the next CRDC, proposed to occur for the 2020-2021 school year, OCR has proposed changes to, among other things, significantly reduce the administrative burden of collecting and reporting civil rights data while prioritizing the collection of data that will further OCR's ability to meet its mission of protecting students' civil rights.
- The CRDC webpage is at <http://ocrdata.ed.gov/>

The OPEN Center

- OCR established the Center for Outreach, Prevention, Education and Non-discrimination (OPEN Center) to strengthen and prioritize proactive outreach— and further build upon OCR’s goal of providing technical assistance *prior* to any type of violation occurring.
- The OPEN Center serves as a resource that educates and informs; it seeks to ensure that schools are aware of their obligations and parents, students, and stakeholders are aware of their rights under federal civil rights law.
- Through the OPEN Center, OCR is:
 - Providing timely and targeted technical assistance, responding to questions submitted to the Department;
 - Ensuring that all technical assistance provided by regional offices is consistent, accurate, thorough, legally sound, and of high quality; and
 - Developing resources that are relevant and directly address the current issues facing schools; particularly as it related to the COVID-19 national emergency and the Title IX Final Rule.

The National Digital Access Team (NDAT)

- In June 2019, OCR created its first full-time dedicated National Digital Access Team (NDAT) of enforcement staff, supported by technology consultants,), to promote consistency, efficiency, and timeliness in OCR's enforcement in the complex and evolving area of digital accessibility.
 - The NDAT conducts in-depth investigations, while offering recipients comprehensive and individualized technical assistance.
- The NDAT furthers OCR's commitment of ensuring equal access to education for people with disabilities while adhering to consistent, validated testing and enforcement protocols.
- As the nation continues to grapple with the COVID-19 pandemic and beyond, the NDAT has been and will continue to be instrumental in ensuring more schools achieve compliance regarding digital accessibility.





THE OFFICE OF CAREER, TECHNICAL, AND ADULT EDUCATION (OCTAE)

OCTAE

WHO WE ARE



- OCTAE manages its work through the Office of the Assistant Secretary and the following program divisions and units:
 - The Division of Academic and Technical Education (DATE)
 - The Division of Adult Education and Literacy (DAEL)
 - The Policy, Research, and Evaluation Staff (PRES)
 - The Community Colleges, Correctional Education, Management and Communications Staff

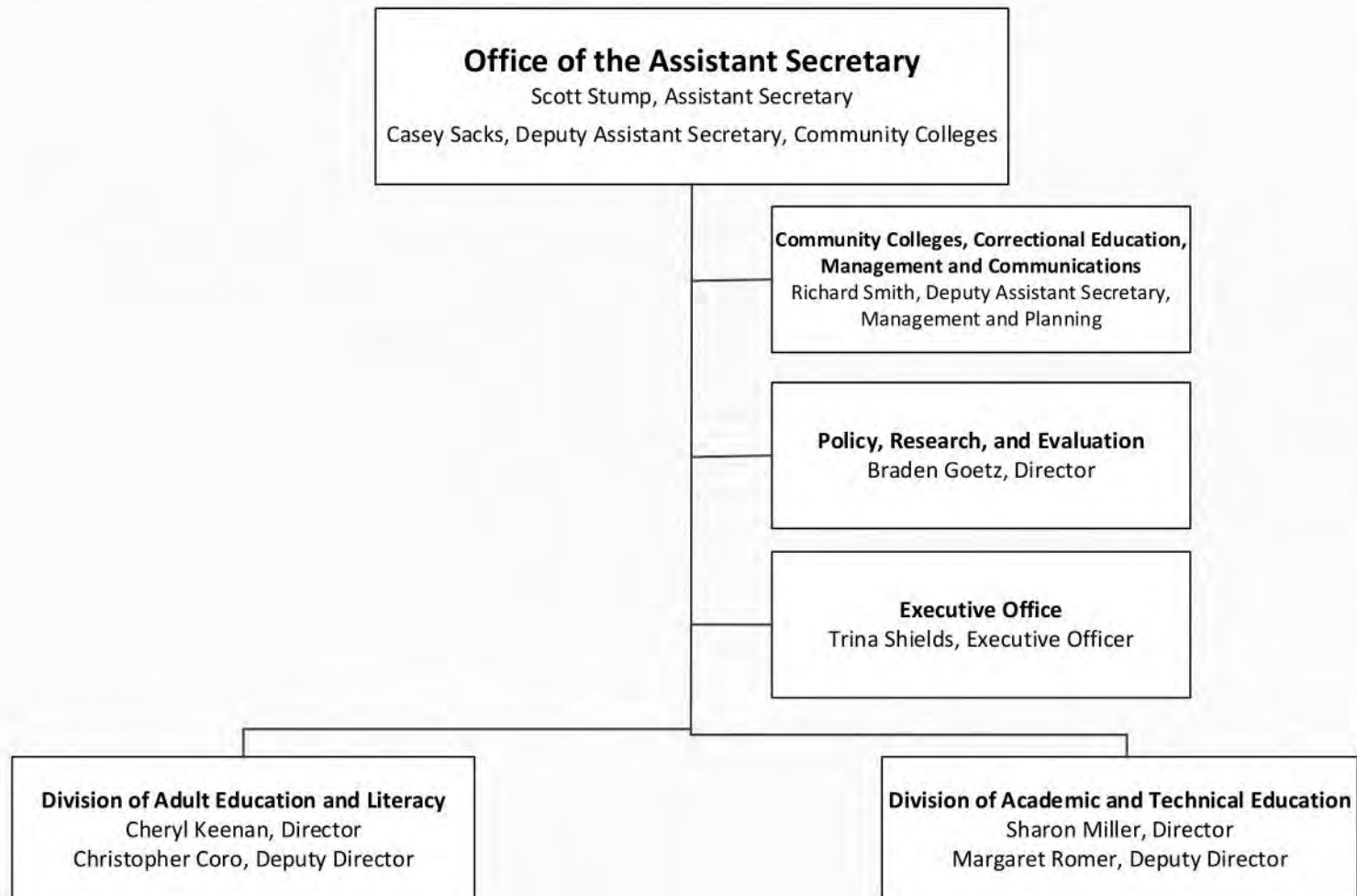
- OCTAE's work touches over 18 million students annually across all states, territories and tribal and native nations

<u>Educational Area</u>	<u># Students Served</u>
Adult Education and Literacy	1,311,058
Secondary Career and Technical Education	8,910,991
Community Colleges	8,200,723
Total	18,422,772



OCTAE

ORGANIZATIONAL STRUCTURE



OCTAE

MAIN AREAS OF WORK

- Administer the Carl D. Perkins Career and Technical Education Act of 2006, as amended by the Strengthening Career and Technical Education for the 21st Century Act (Perkins V)
 - FY 2020 appropriations for Perkins State Formula Grants: \$1.2 billion
- Administer Title II of Workforce Innovation Opportunity Act (WIOA), the Adult Education and Family Literacy Act (AEFLA)
 - FY 2020 appropriations for AEFLA State Formula Grants: \$657 million
- Coordinate Correctional Education work for the Department
- Coordinate Community College work for the Department
- Manage CARES Act Discretionary program: Education Stabilization Fund
 - Reimagine Workforce Preparation



OCTAE

ACADEMIC AND TECHNICAL EDUCATION

- Administer *Perkins V*

- Congress reauthorized *Perkins V* in July 2018. This statute continues Congress' commitment to improving career and technical education (CTE) across the nation.
- *Perkins V* is the Department's largest formula grant program for secondary and postsecondary CTE, providing approximately \$1.2 billion dollars annually to the 50 States, D.C., Puerto Rico, and Palau (collectively referred to as "States").
- State formula grants are awarded through statutory formula based on State's populations in certain age groups and per capita income.
- In 2018-19 (the last year for which data are available), over 12M students participated in CTE programs.

- Administer Statutory Discretionary Grant Programs:

- Native American CTE Program - \$16M annually
- Native Hawaiian CTE Program - \$3M annually
- Tribally Controlled Postsecondary Career Technical Institutions Program - \$10M annually

- Serve on Board of Directors for National Future Farmers of America



OCTAE

ADULT EDUCATION AND LITERACY

- Administer Title II of Workforce Innovation Opportunity Act (WIOA), the Adult Education and Family Literacy Act (AEFLA)
 - Congress reauthorized national workforce legislation in 2014. WIOA strengthens the AEFLA program by positioning adult education services as a key component of the workforce development system and improving alignment among adult education programs, postsecondary education providers, and employers.
 - Based on FY2017 expenditures on adult education, every federal dollar that was awarded to States generated about \$2.38 dollars in non-federal expenditures for adult education.
 - Serves 1.3 million adults with low skills annually.
- Administer the Integrated English Literacy and Civics Education program, section 243 of AEFLA (\$78.8 million), serving English learners, including professionals with degrees and credentials in their native countries.



OCTAE

NATIONAL ACTIVITIES

- Administer over \$20 million dollars in national activities to meet federally-mandated requirements, support innovation, scale best practices and provide technical assistance.
- Current National Activities include:
 - Innovation and Modernization (I&M) Grants
 - CTE Mission: CubeSat
 - CTE CyberNet Initiative
 - National Perkins Performance Reporting System
 - Career and Technical Education Research Network (IES)
 - National Evaluation of Career and Technical Education under Perkins V (IES)
 - National Reporting System for Adult Education
 - National Evaluation of Adult Education (IES)
 - Design Camps for Integrated Education and Training – State Support
 - Improving Quality of Digital Teaching and Learning
 - Pathways to Credentials (Stackable Credentials)



OCTAE

CORRECTIONAL EDUCATION

- Provide technical support to SEAs and LEAs and schools funded by the Bureau of Indian Affairs on correctional education programs and curricula.
- Cooperate with other Federal agencies carrying out correctional education programs to ensure coordination of such programs.
- Consult with, and provide outreach to, State Directors of Correctional Education and correctional educators.
- Oversee discretionary grants and technical assistance contracts involving correctional and reentry education.
- Participate in the Federal Interagency Reentry Council and other Federal cross agency working groups.
- Providing technical assistance to states and localities on WIOA and Perkins legislation and correctional and reentry education.
- Serving as an agency expert and point of contact for issues that arise internally and externally regarding correctional education. A recent example includes work on the Second Chance Pell Pilot Program.
- Representing the Department at conferences and meetings.



OCTAE

COMMUNITY COLLEGES

- **Advise and Report to the Secretary** - The Deputy Assistant Secretary for Community Colleges is required to advise the Secretary on matters related to community and technical colleges.
- **Interagency Working Group on Community Colleges (IWG-CC)** - OCTAE maintains contact list of over 20 agencies/sub-agencies with mission or workforce interests in community college training.
- **Information Dissemination to Community and Technical Colleges** – Via OCTAE Connection newsletter, OCTAE Blog, or direct emails to community college presidents.
- **Intra-Agency Policy Assistance** - Serve on ED working groups to establish policy or technical assistance responses. Recent examples: Ability to Benefit, rural outreach, STEM, COVID-19.
- **OCTAE Project Management** - Assist with Perkins and WIOA National Activities when scopes of projects are community college-focused.



OCTAE - COVID-19 RESPONSE

EDUCATION STABILIZATION FUND – REIMAGINE WORKFORCE PREPARATION

- Purpose: To provide support to help States with the highest coronavirus burden create or expand short-term education and training opportunities and/or career pathways programs that help citizens return to work, become entrepreneurs, or expand their small businesses (as described under Absolute Priority 1);
- Or to enable States to create or expand small business incubators that offer education and training, mentorship, as well as shared facilities and resources that will help small businesses recover and grow and new entrepreneurs thrive (as described under Absolute Priority 2).



OCTAE - COVID-19 RESPONSE

EDUCATION STABILIZATION FUND – REIMAGINE WORKFORCE PREPARATION

- **Eligible Applicants:** State Workforce Boards or a State agency or entity that is designated by the State Workforce Board.
- **Total Amount of Funds Available and Awarded:** Approximately \$126.6 million.
- **Absolute Priorities (APs): Applicants were required to address one of two priorities.**
 - ❖ AP 1 – Short-Term and/or Industry Sector-based Education and Training Models
 - ❖ AP 2 – IHE-Based Small Business Incubators
- **Competition Results:**
 - ❖ Total Awards Made: 8 out of 38 applications received
 - **AP 1** – AL, AR, CA, HI, MI, NY, NV **AP 2** – VA
 - ❖ Average Size of Awards: \$15.8 million
 - ❖ Range of Awards: \$13.3-\$18 million



OCTAE - COVID-19 RESPONSE

CARES ACT – TYDINGS WAIVERS

- The CARES Act authorized waivers to SEAs of section 421(b) of the General Education Provisions Act (GEPA), often referred to as the “Tydings Amendment,” to extend the period of availability of State formula grant funds authorized by the Carl D. Perkins Career and Technical Education Act of 2006 (Perkins Act) and the Adult Education and Family Literacy Act (AEFLA).
 - OCTAE has granted 33 Perkins Act waivers and 21 AEFLA waivers that extended the availability of FY 2018 funds until September 30, 2021.
 - Tydings waivers were not available to State agencies that are not SEAs.
 - 5 of the States in which the Perkins Act is administered by a non-SEA have significant outstanding balances of FY 2018 funds (total=\$5.2 million) and may benefit from Tydings waivers.
 - Non-SEAs that administer AEFLA report that they were able to obligate all of their FY 2018 funds and do not anticipate funds lapsing.



OCTAE - COVID-19 RESPONSE

STATUTORY FLEXIBILITIES

- **State Competition Timelines Extensions** – States conducting grant competitions for July 1 awards, under AEFLA, were given the option to suspend FY 2020 competitions or adjust competition deadlines.
- **Use of virtual assessments** for distance learners.
- **Assessment flexibilities** for pre- and post-testing procedures.
- **State Plan Submission Timeline Extension** - States were given additional time to submit their full Perkins V State Plans, covering FY 2020-23.
- **Local Application and Comprehensive Local Needs Assessments (CLNAs) Extensions** - States were given authority to provide additional time to local recipients to submit their local applications and CLNAs to the State for the upcoming program.



OCTAE - COVID-19 RESPONSE

STAKEHOLDER OUTREACH

- **AEFLA Virtual Town Halls** – Held series of town halls to understand State concerns and identify supports states needed to provide continuity of operations.
- **Shop Talks** – Bi-monthly Shop Talks provided COVID-19 updates, resources, and addressed questions and concerns from states.
- **AskAEFLA@ed.gov** – Dedicated mailbox to receive and respond to inquiries from stakeholders.
- **Stakeholder Engagement**
 - Held meetings with stakeholder groups (Coalition on Adult Basic Education (COABE)).
 - Participation in stakeholder events (COABE, National Training Institute, among others).



OCTAE - COVID-19 RESPONSE

STAKEHOLDER OUTREACH

- **Perkins Town Hall Webinar** - hosted a Webinar to identify State's challenges and needs in continuing operations in light of the COVID-19 pandemic.
- AskCTE@ed.gov - activated a mailbox to receive and respond to inquiries from stakeholders.
- **Virtual Data Quality (DQI) Institute** - transitioned from a two-day in-person annual institute to a virtual event comprising eight, two-hour sessions over a four-month period.



OCTAE - COVID-19 RESPONSE

COORDINATION EFFORTS

- **Interagency Coordination** – coordinated across DOL/ETA and RSA on joint WIOA performance requirements to ensure consistent responses to cross-cutting issues and concerns.
- **Intra-agency Coordination** – coordinated internally across ED on cross-cutting issues related to the COVID-19 response.



OCTAE - COVID-19 RESPONSE

TECHNICAL ASSISTANCE RESOURCES

- Perkins V and COVID-19 Frequently Asked Questions.
- AEFLA and COVID-19 Frequently Asked Questions.
- Provided guidance to CTE programs on their ability to donate or loan personal protective equipment (PPE) and other medical supplies or equipment purchased with Federal funds to health providers.



OCTAE - COVID-19 RESPONSE

TECHNICAL ASSISTANCE RESOURCES

- Micro-courses: Transforming Distance Education
- NRS Tips for Reporting Distance Learning
- COVID-19 Resources
- Integrating Technology Discussion Board
- National Skills Coalition Webinar for State Directors of Adult Education
- LINCS Community Discussions (referencing COVID-19)
- LINCS Learner Center – Stay Healthy Goal



OCTAE

RECENT ACCOMPLISHMENTS

- Continued strong partnerships with DOL and RSA to review and approve PY 2020 – 2023 WIOA Unified and Combined State Plans and implement joint performance requirements.
- Launched \$750,000 ReTHINK Adult Education challenge to advance pre-apprenticeship programs. Up to 100 entrants will be selected to progress to a stage 2 submission. Winners will be announced in January 2021.
- Successfully leveraged existing adult education test vendors to develop new virtual test administration procedures for use in adult education distance education settings.
- Issued a *Federal Register Notice Inviting Applications* to award roughly \$16M in new grants under the Native American CTE Program.
- Implemented a series of national challenges to incentivize the field to advance innovative solutions to problems facing CTE programs.
- Published a Request for Information in the Federal Register on Expanding Work-Based Learning Opportunities for Youth.
- Convened stakeholders and advocates for the Ability to Benefit provisions of the Higher Education Act, prompting increased interest and use by colleges.



OCTAE

FUTURE ACTIONS/PROJECTS

- In January 2021, DOL and ED will begin the regulatory process to issue regulations related to defining the WIOA performance indicator for the effectiveness in serving employers.
- DOL, ED, and HHS continue to work together to support the public workforce development system.
- Publish a Notice Inviting Applications for the Native Hawaiian CTE Program, which is funded at about \$3.2 million.
- Publish a Notice of Final Priorities for the Perkins Innovation and Modernization program.



OCTAE

EMPLOYEE ENGAGEMENT

- **Invest in professional development opportunities**
 - Formal training
 - Career development series
 - Job shadowing
 - Brown bag series
 - Details
- **Engagement initiative that directly connects staff to the impact work has on individuals and communities**
 - Site Visits
 - Facilitating listening sessions
 - Hosting students, teachers, faculty and administrators
- **Celebrate achievements**
 - Peer-to-peer recognition
 - All staff recognition
 - Life events

2019
Employee
Viewpoint
Survey had
the highest
scores ever for
OCTAE

- **87.1%**
participation
- **74%**
employee
engagement
index
- **78%**
intrinsic
work
experience







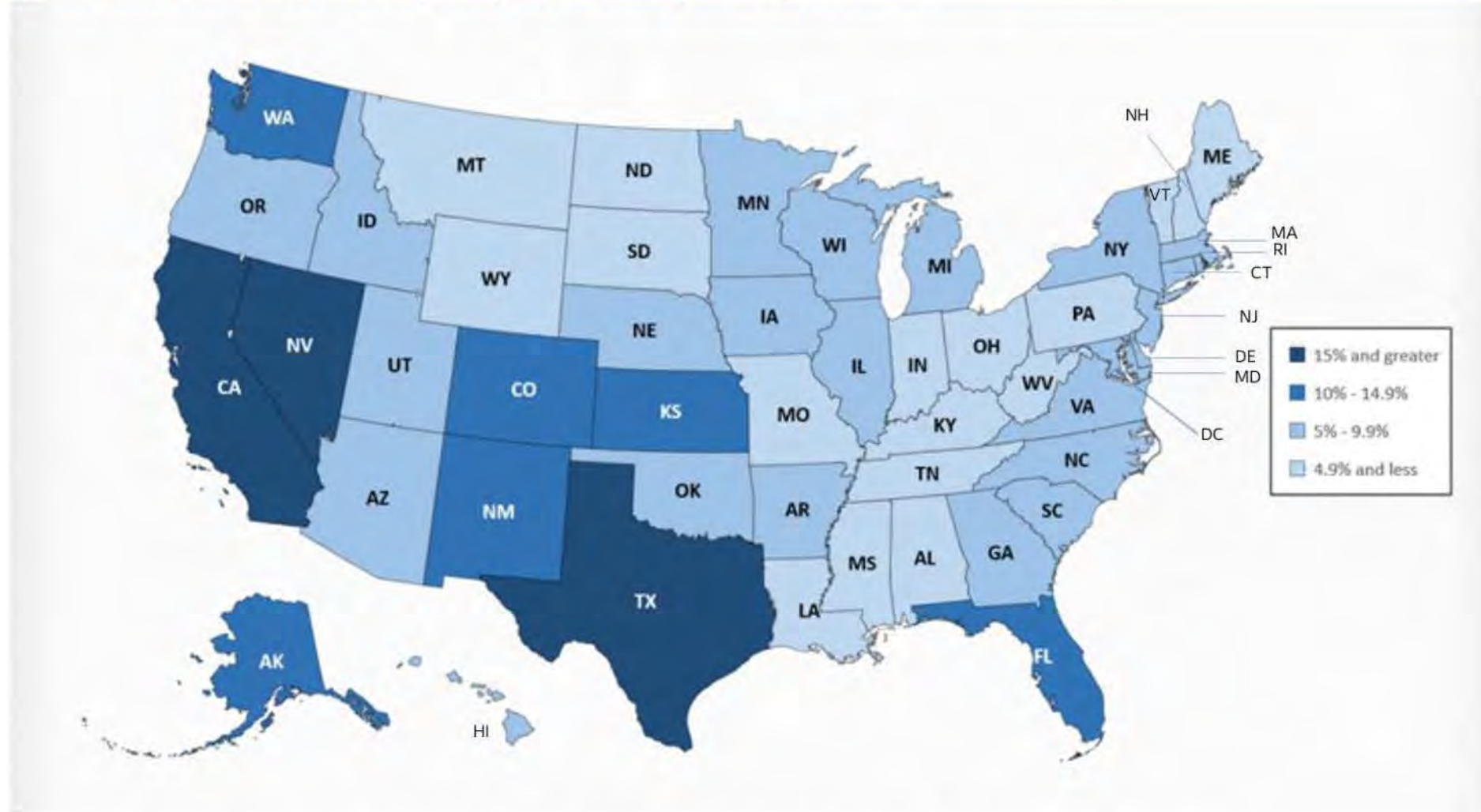
Overview of the Office of English Language Acquisition

Supreet Anand, Ph.D.
Deputy Director



- **English Learners Profile**
 - Geographic Distribution and Growth
 - Language and Academic Trends
- **OELA Functions**
 - Mission and Strategic vision
 - Programs/Other Activities
- **Technical Assistance Products**
 - Toolkits & PD Webinars
 - Fact Sheets and other publications
 - Stakeholder outreach

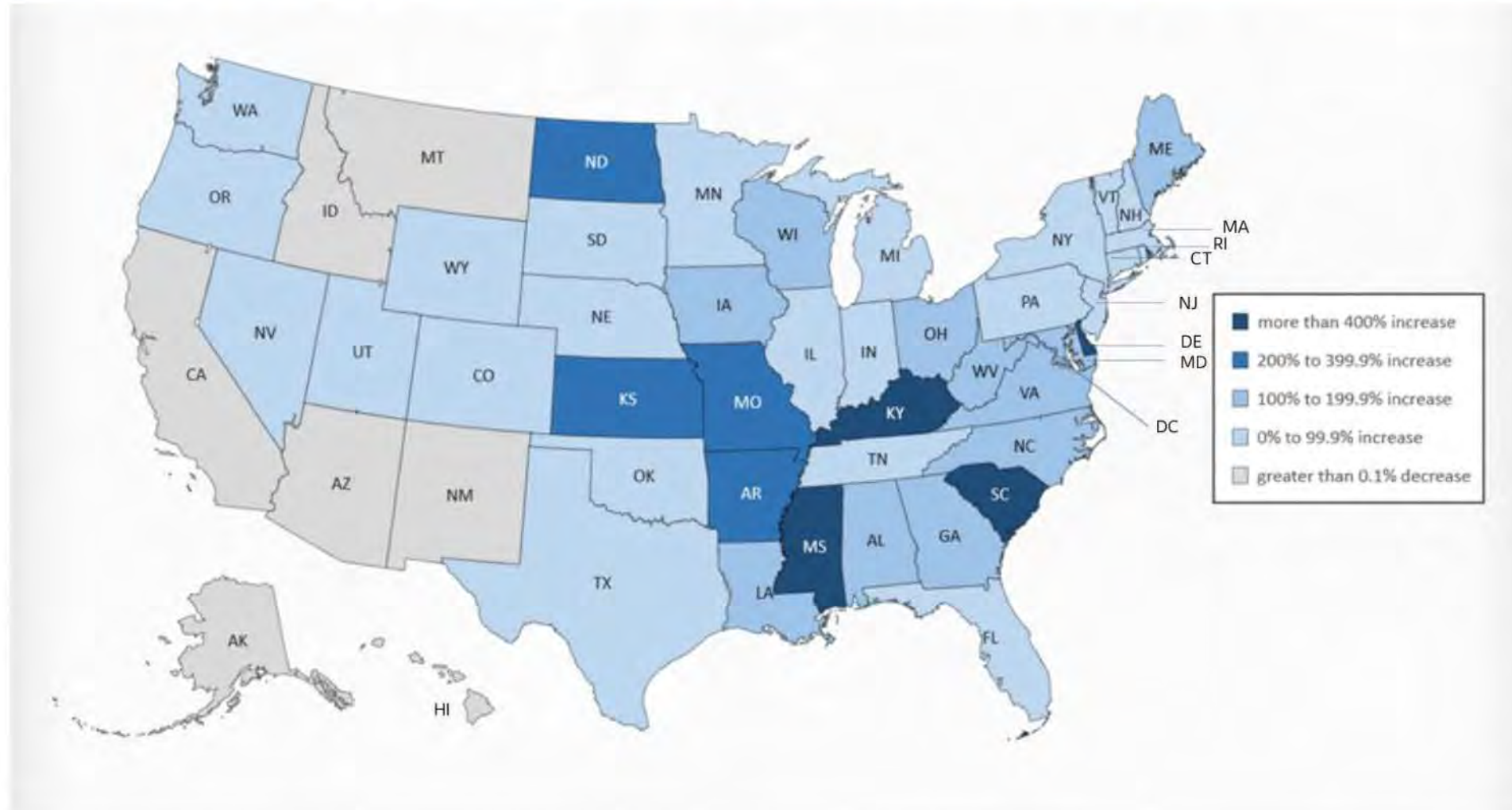
English Learner Demographics: Percentage of Total Enrollment, By State, 2016-17



Source: U.S. Department of Education, National Center for Education Statistics, Common Core of Data (CCD), "Local Education Agency Universe Survey," 2000-01 through 2016-17, Table 204.20, "English language learner (ELL) students enrolled in public elementary and secondary schools, by state: Selected years, fall 2000 through fall 2016." https://nces.ed.gov/ipeds/data/digest/d18/tables/dt18_204.20.asp?current=yes



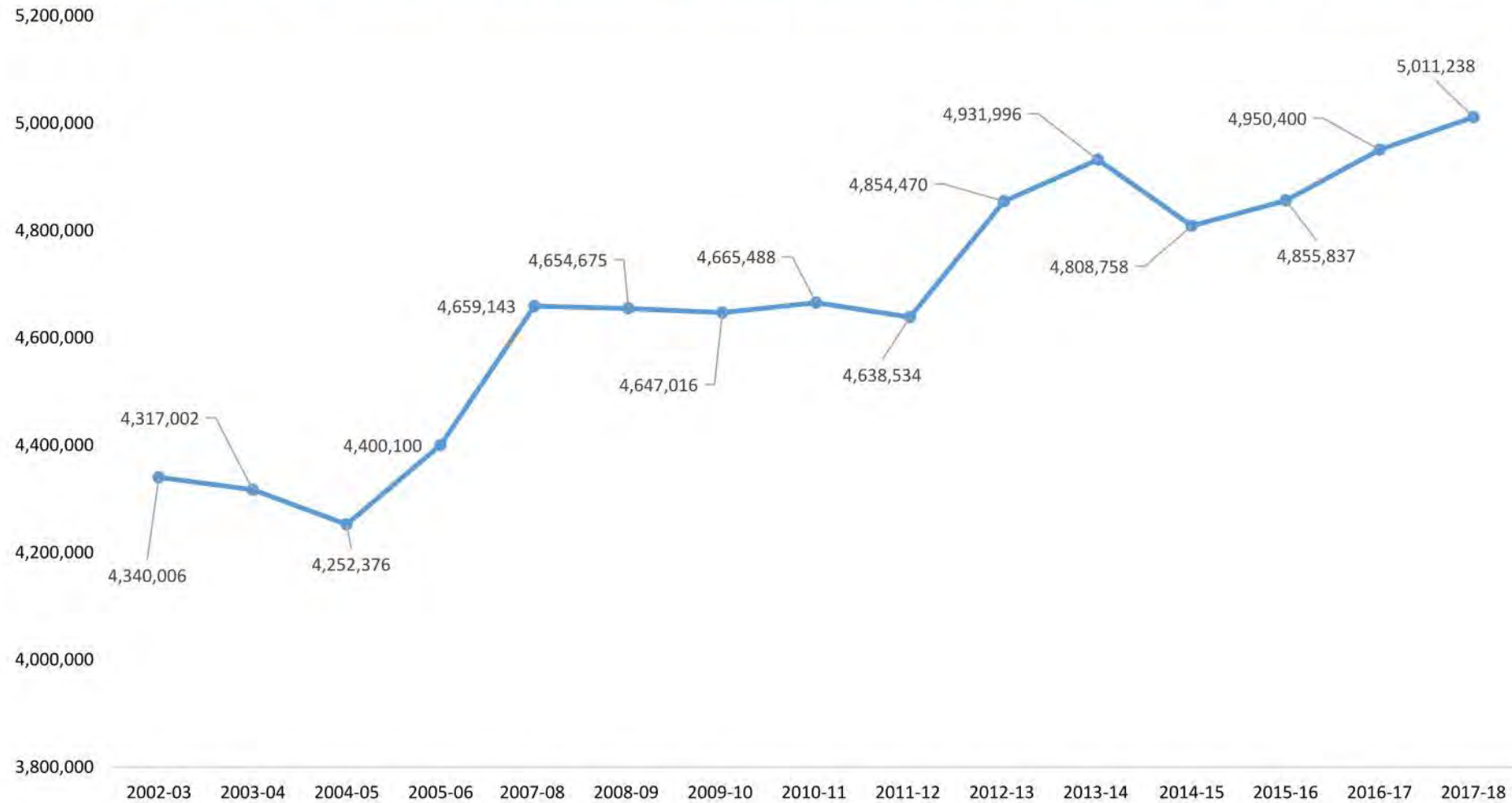
English Learner Demographics : Percentage Increase In Number Of ELs By State, SY 2000-01 to 2016-17



Source: U.S. Department of Education, National Center for Education Statistics, Common Core of Data (CCD), "Local Education Agency Universe Survey," 2000-01 through 2016-17, Table 204.20 "English language learner (ELL) students enrolled in public elementary and secondary schools, by state: Selected years, fall 2000 through fall 2016." https://nces.ed.gov/programs/digest/d18/tables/dt18_204.20.asp?current=yes



Number of ELs (K-12): SY 2002-03 to 2017-18



Source: U.S. Department of Education, ED Data Express, 2003-2018. "Total Number of English Learners." Accessed 2 February 2020.



Most Common Languages Spoken By ELs: SY 2015-16 & 2016-17



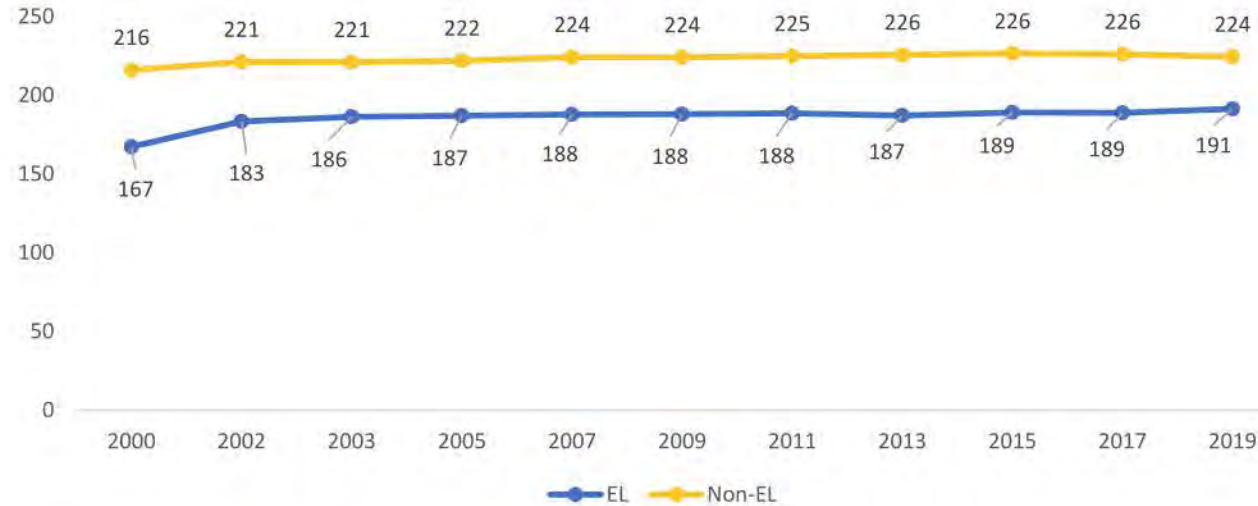
Language	SY 2015-16	SY 2016-17
	Number of ELs	Number of ELs
Spanish	3,741,066	3,790,949
Arabic	114,371	129,386
Chinese	101,347	104,147
Vietnamese	81,157	78,732
Somali	36,028	38,440

Source: U.S. Department of Education, National Center for Education Statistics, EDFACTS file 141, Data Group 678, extracted October 18, 2018 from the ED Facts Data Warehouse (internal U.S. Department of Education source), Table 204.27, "English language learner (ELL) students enrolled in public elementary and secondary schools, by home language, grade, and selected student characteristics: Selected years, 2008-09 through fall 2016."
https://nces.ed.gov/programs/digest/d18/tables/dt18_204.27.asp?current=yes

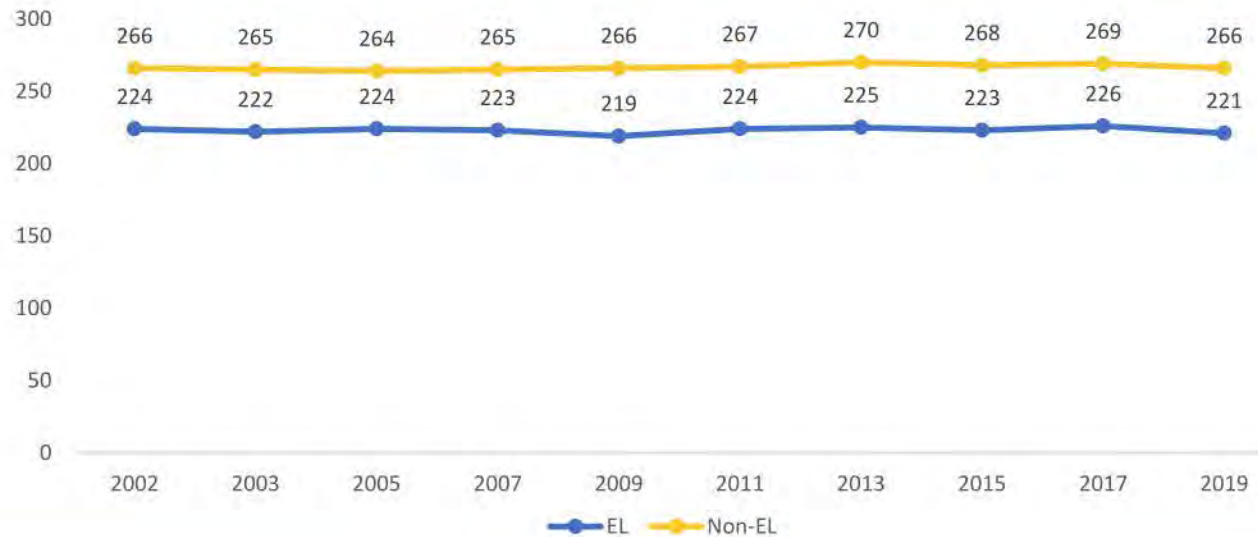


Trend In NAEP Reading Scores For Grades 4 & 8, National Non-ELs And ELs: SY 2000-2019

GRADE 4

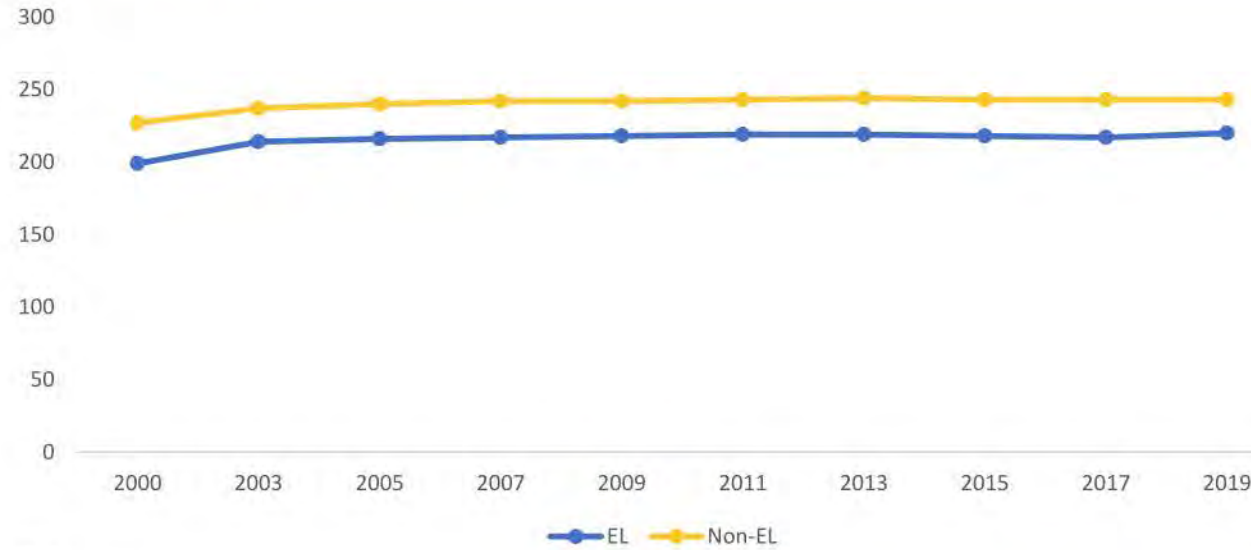


GRADE 8

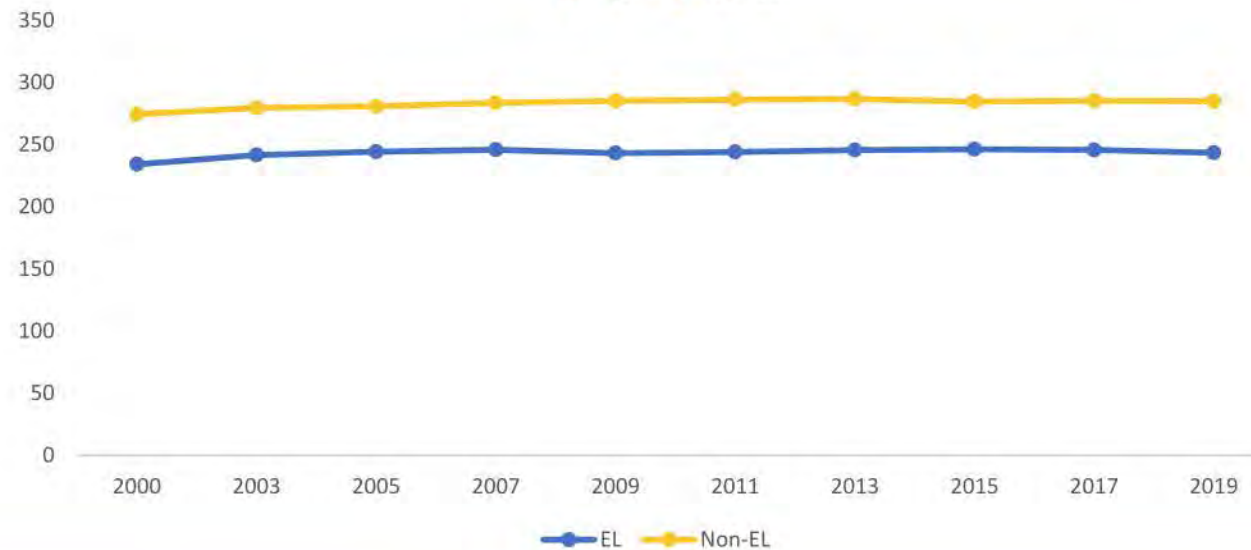


Trend In NAEP Math Scores For Grades 4 & 8, National Non-ELs And ELs: SY 2000-2019

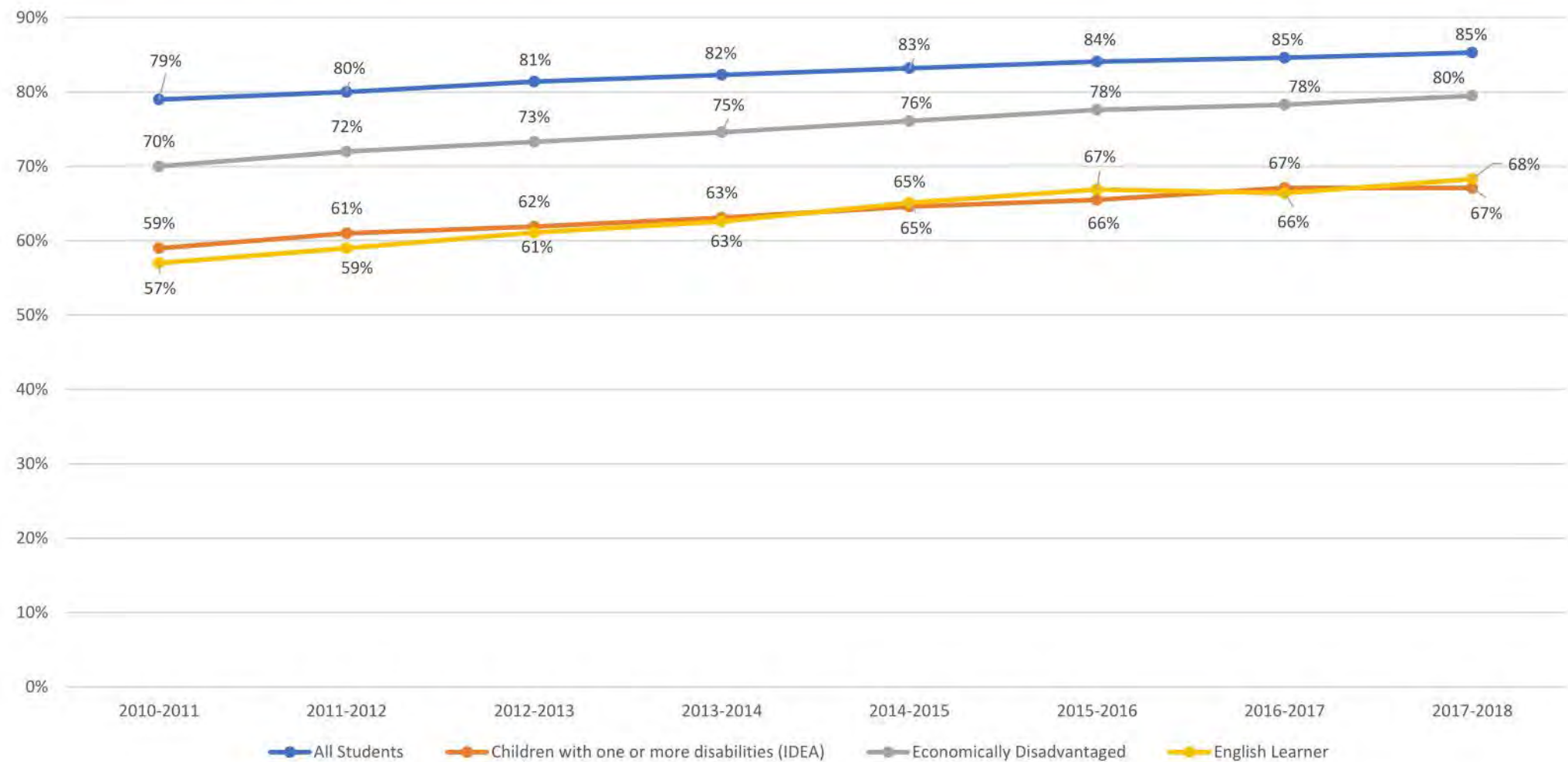
GRADE 4



GRADE 8



Trends In National High School Graduation Rates By Student Group: SY 2010-11 to SY 2017-18



Source: FS150 – Adjusted Cohort Graduation Rate (SY 2017-18), U.S. Department of Education, Washington, DC: EDFacts. Retrieved [2/5/20] from <https://eddataexpress.ed.gov/>



OELA's Vision and Priorities



The U.S. Department of Education's Office of English Language Acquisition (OELA) provides national leadership to help ensure that English Learners (ELs) and immigrant students attain English proficiency and achieve academic success. In addition to preserving heritage languages and cultures, OELA is committed to prompting opportunities for biliteracy or multiliteracy skills for all students. OELA accomplishes this in the following ways:

- Providing national leadership by informing policy decisions
- Administering discretionary grant programs to prepare professionals for teaching and supporting ELs
- Investing in research and evaluation studies that have practical applications for preparing ELs to meet college and career learning standards
- Disseminating information about educational research, practices, and policies for ELs through our [National Clearinghouse for English Language Acquisition \(NCELA\)](#)
- In addition, OELA serves in an advisory capacity to the Secretary of Education on matters related to the services and support of the Nation's ELs.



- Policy – Informing policy on ELs
- Grants (Title III Discretionary program)
 - National Professional Development
 - Native American and Alaska Native Children in School
 - Asian American Pacific Islander Data Disaggregation Initiative (D2)

(Formula State Grants – Office of Elem & Sec Ed.)
- Research – National Evaluation Activities in collaboration with IES, OESE, OSERS
- Dissemination-National Clearinghouse for English Language Acquisition (**NCELA**)

NATIONAL PROFESSIONAL DEVELOPMENT (NPD) ~ 43MIL ANNUALLY

- Supports professional development (preservice and inservice) activities to support ELs.
- Awards to institutions of higher education in consortia with State Educational agencies and local educational agencies. Effective 2017, ESSA includes other public or private entities as eligible applicants
- The 2016 competition resulted in awards to 49 grantees. The 2017 competition resulted in awards to 43 grantees. Priorities includes WWC moderate evidence of effectiveness and Improving Parent/Family Engagement.
- New awards will be granted in 2021

NATIVE AMERICAN AND ALASKA NATIVE CHILDREN IN SCHOOL PROGRAM (NAM) ~ 5MIL ANNUALLY

- Supports the teaching, learning and studying of Native American languages while also increasing the English language proficiency of students served to meet challenging State academic content and achievement standards.
- Awards to eligible entities including tribal schools, BIE funded entities and public schools.
- The 2016 (10) and 2018 (7) competition encouraged applicants to design project with strong theory and more robust evaluations. This program is currently serving 17 grantees. Priorities include: Native language preservation, Early Learning and parent engagement.

ASIAN AMERICAN PACIFIC ISLANDER(AAPI) DATA DISAGGREGATION GRANT (D2)~1MIL ANNUALLY

- Supports disaggregation, collection and analysis of data on English Learner AAPI subpopulations to identify targeted strategies for addressing achievement and opportunity gaps.
- Awards to eligible State educational agencies in consortia with one or more local educational agencies.
- Received six applications for 2016. HI, WA and MN received awards ranging from \$219,000-396,000 in year one.
- Priorities: 1) Disaggregate AAPI subgroup data, analyze and evaluate OR 2) Identify opportunity and achievement gaps, interventions and improvements for underserved AAPI ELs.

OTHER EVALUATION PROJECTS (Examples): _TOTAL ~3.6MIL ANNUALLY

- Fostering School Success for ELs... (OEL;HHS)
- Quality of English Language Proficiency Assessments...(OESE)
- Fast Response Survey System...(OCTAE)
- Review of Extant data of Dual Language Education
- Exploratory Study on the identification of ELs in Gifted...
- Exploratory Study on the identification of ELSWD...(OSERS)
- Analysis of Extant Data on ELs
- Impact Study of Academic Language Interventions
- Study of NAM Program
- Study of Digital Learning Resources for Instructing ELs (OET)
- Supporting the parents of Young Children who are ELs (OEL)
- Civil Rights Data Collection and Analysis – ELs (OCR)
- Review of Extant Data on Exiting ELSWDs (OSERS)

NATIONAL CLEARINGHOUSE FOR ENGLISH LANGUAGE ACQUISITION ~2MIL ANNUALLY

- **Disseminates relevant research, practices and products for public access. Also provides support for critical events and reports.**
- **Awarded five-year contract through competitive process. The contract is currently in year 3 of 5.**
- **Manhattan Strategy Group (MSG) and West Ed are providing contract support.**

Dissemination

Office of English Language Acquisition *Promoting Educational Excellence for English Learners (ELs)*



For more information, visit
ncela.ed.gov

Like Us

@ED.OELA

Follow Us

@ASKNCELA1

Subscribe to Nexus

<https://ncela.ed.gov/ncela-nexus>

SOURCE: U.S. Department of Education, Office of English Language Acquisition (2020)



Dissemination

NEW: Ensuring Continuity Of Learning And Operations

View

Edit

Manage display

Revision operations

Convert



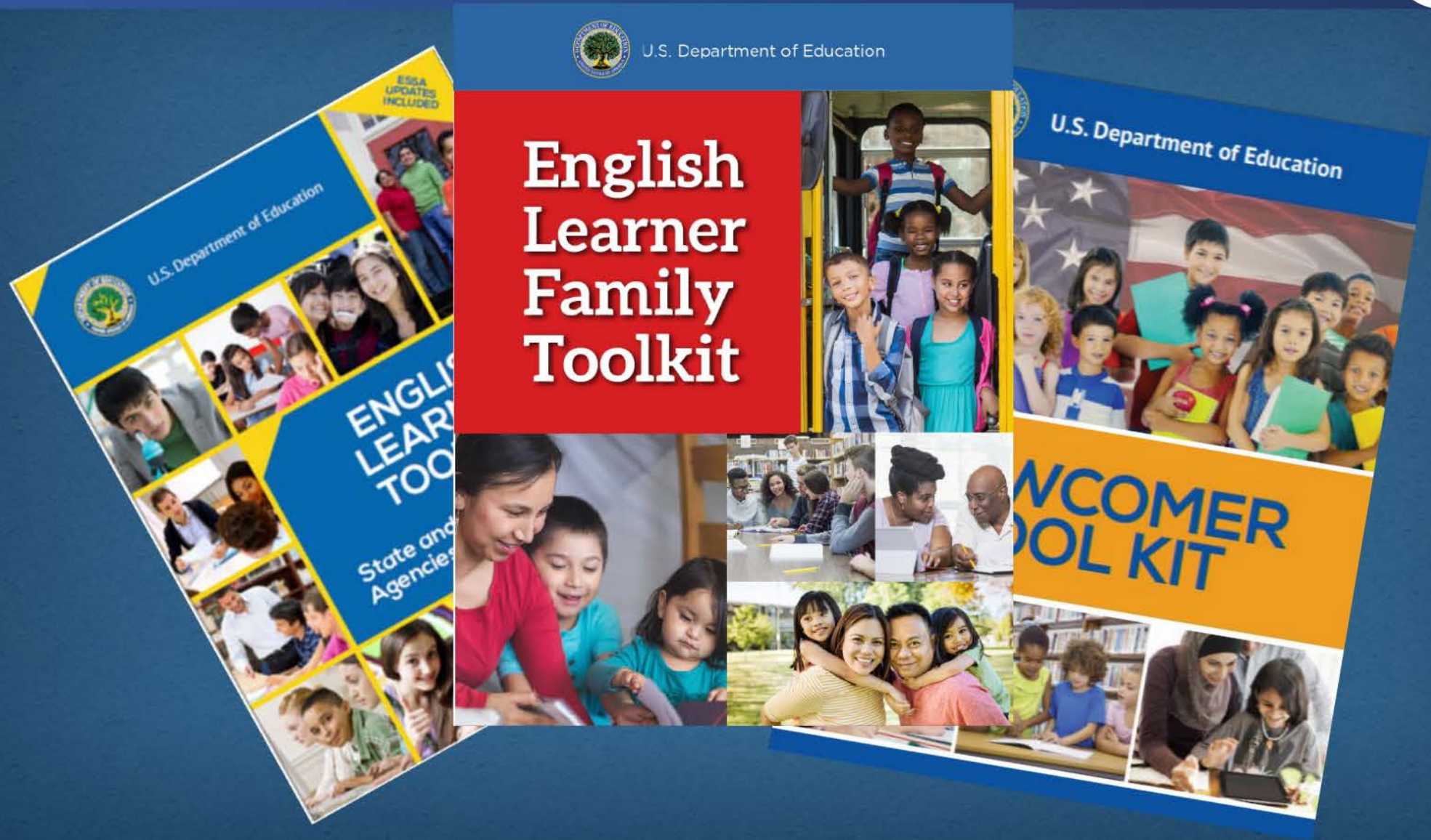
The Office of English Language Acquisition (OELA), knows how important it is that districts and schools have access to resources that recognize the unique learning profiles and needs of English learners in order to facilitate their education during unplanned school closures.

These resources are intended for school personnel and institutions of higher education to improve distance learning and the support of English learners and their families during school closures. All resources are free. Additional resources will be added, please check back periodically. To submit resources for consideration, please complete the Remote Learning Resources Submission Form below.

<https://ncela.ed.gov/new-ensuring-continuity-learning-and-operations>



English Learner, EL Family and Newcomer Toolkits



CONSTITUENTS

- ACTFL - AMERICAN COUNCIL ON THE TEACHING OF FOREIGN LANGUAGES
- AFT - AMERICAN FEDERATION OF TEACHERS
- ALAS - ASSOCIATION OF LATINO ADMINISTRATORS AND SUPERINTENDENTS
- CABE – CALIFORNIA ASSOCIATION FOR BILINGUAL EDUCATION
- CA TOGETHER (LAUNCHED NATIONAL SEAL OF ILLITERACY)
- CGCS –COUNCIL OF GREAT CITY SCHOOLS
- HACU –HISPANIC ASSOCIATION OF COLLEGES AND UNIVERSITIES
- JNCL-NCLIS – LANGUAGE POLICY ORGANIZATION
- LULAC – LEAGUE OF UNITED LATIN AMERICAN CITIZENS
- MPI – MIGRATION POLICY INSTITUTE
- NABE – NATIONAL ASSOCIATION FOR BILINGUAL EDUCATION
- NAELPA- NATIONAL ASSOCIATION PF ENGLISH LEARNER PROGRAM ADMINISTRATORS
- UNIDOS – LATINO CIVIL RIGHTS AND ADVOCACY ORGANIZATION
- NEA- NATIONAL EDUCATION ASSOCIATION
- TESOL – TEACHERS OF ENGLISH TO SPEAKERS OF OTHER LANGUAGES





THANK YOU!



**U.S. DEPARTMENT
OF EDUCATION**



COVID-19 Related Support Office of Elementary and Secondary Education - Transition Briefing November 27, 2020



Introduction

Ruth Ryder

Deputy Assistant Secretary for Formula Grants
Office of Elementary & Secondary Education

David Cantrell

Deputy Director
Office of Special Education Programs

Mark Washington

Deputy Assistant Secretary for Management & Planning
Office of Elementary & Secondary Education

Meredith Miller

Director, Disaster Recovery Unit
Office of Elementary & Secondary Education



Agenda

- Rapid Response Team/Mailbox
- Waivers
- Flexibilities Offered
- Timeline Extensions
- Coordination Efforts
- Stakeholder Outreach
- Technical Assistance and Resources
- OSERS Efforts
- CARES Act
- Questions



Rapid Response Team/Mailbox

- The U.S. Department of Education (Department) launched an email box (COVID-19@ed.gov) to receive inquiries from stakeholders.
 - OESE did intake on all inquiries and directed them to the appropriate offices across the Department.
 - To date over 5,300 inquiries have been received.
 - FSA, OPE, OESE, OSERS, in that order, received the most inquiries.
 - OESE received 873 inquiries from the Department's mailbox, of which 755 (86.5%) are closed.
 - Questions came from State educational agencies (SEAs), local educational agencies (LEAs), Tribes, various organizations, and individuals.
 - OESE inquiries were focused on COVID-19, CARES Act, grant administration flexibilities, formula grants, and requests for financial assistance.



Waivers

Assessments

- On 3/20/20, the Department invited all States to request a waiver of the assessment, accountability, and related reporting requirements for the 2019-2020 school year (SY).
- The invited waiver permitted a State to:
 - Not administer its reading/language arts, mathematics, and science assessments as well as the English language proficiency assessments.
 - Not meet the accountability and school identification requirements (States were required to continue with supports in SY 2020-2021 for previously identified schools).
 - Exclude data on State and local report cards from the assessments or accountability system (except for graduation rates).
 - Due to the time-sensitivity, the State could request the waiver concurrently with soliciting public comment.
- All 50 States, the District of Columbia (DC), Puerto Rico (PR), and the Bureau of Indian Education (BIE) requested and received this waiver.



Waivers

Fiscal and Other Requirements

- On 4/3/20, the Department invited all States to request a waiver of certain fiscal and other requirements.
- The invited waiver permitted a State to:
 - Permit an LEA to carry over more than 15 percent of its fiscal year (FY) 2019 Title I funds.
 - Extend the availability of all FY18 formula funds through 9/30/21.
 - Use Title IV, Part A funds more flexibly without regard to content-area spending requirements, spending limits on technology infrastructure, or completing a needs assessment.
 - Use Federal funds for professional development for one-time or stand-alone training to support the move to distance learning.
 - Due to the time-sensitivity, the State could request the waiver concurrently with soliciting public comment.
- All 50 States, DC, PR, and BIE requested and received this waiver.



Waivers

21st Century Community Learning Centers (21st CCLC)

- On 9/18/20, the Department invited all States to request a waiver regarding the 21st CCLC program for SY 2020-2021.
- The invited waiver permits a State to permit its subgrantees to:
 - Operate their 21st CCLC program during the typical school day while students are not receiving in-person instruction.
 - Provides flexibility for schools and LEAs to provide dedicated personnel and enhanced technological resources to help students with remote lessons, independent work that is assigned, and other academic enrichment.
 - Provide supports during the portion of the week when students are not physically present in school, but school is in session remotely.
 - States were required to complete public comment prior to their waiver being approved.
- As of 11/24/20, 32 States have been approved for this waiver.



Flexibilities Offered

Topic	Date	Summary
Use of Funds	4/8/20	Use of funds with respect to compensation, travel, and conference costs that are otherwise allowable costs under applicable program statutes and regulations.
Annual Data Collection	6/18/20	List of 20 annual data collections the Department of Education would not be collecting for SY 2019-20 due to the Assessment and Accountability waivers.



Flexibilities Offered

Topic	Date	Summary
Serving Migratory Children	5/11/20	Identification of eligible migratory children and provision of services to address their needs, while taking into consideration the health, safety, and well-being of staff and migratory families.
Office of Indian Education Formula Grants	5/13/20	FY19 no cost extension, use of funds with respect to remote learning technology procurement, FY20 application deadline extension, and electronic versus wet isignature flexibilities.
Providing Services to English Learners	5/18/20	English language proficiency assessments; instruction, placement, and identification of English learners (ELs); equitable services to eligible ELs enrolled in private schools; use of funds; exit procedures; and parent communication.
Impact Aid Program	10/1/20	Provided training on permissible way to collect Federally connected student surveys online and held electronic data collection consultation with individual LEAs on their survey process. https://impactaid.ed.gov/surveys-for-the-2020-2021-school-year/

Timeline Extensions

- Extended the annual performance report (APR) due date for several discretionary grant programs (e.g., Native Hawaiian education program, Alaska Native education program, School Climate Transformation Grants), as well as Title VI formula grantees APR for FY19, and the Rural Education Achievement Program late liquidation request due date for FY16 and FY17 funds.
- Extended the performance period for FY18, FY19, and FY20 grantees under the Small, Rural School Achievement grant program from 15 to 27 months.
- Extended the FY21 application amendment period for Impact Aid program applications under sections 7002 and 7003 from 6/30/20 to 8/31/20 to allow LEAs impacted by circumstances related to COVID-19 additional time to submit their amended applications.
- H.R. 8472, the "Impact Aid Coronavirus Relief Act", bipartisan legislation that provides States and LEAs with the option to use their student counts from SY 2018-2019 or 2019-2020, whichever is greater, for upcoming Impact Aid and Migrant Education Programs awards, was presented to the President on 11/24/20. The President has ten days to sign. These entities have experienced difficulties accurately counting students due to the disruptions of COVID-19.



Coordination Efforts

- Internal ED Coordination: Grants Policy Cross-Cutting Issues group meets weekly to ensure consistent implementation of formula and discretionary grant policy. Initial focus was on OMB Memos allowing grant flexibility, use of funds for PPE, and donations of PPE.
- External Education Interest/Advocacy Groups: Met frequently with groups supporting and advocating on behalf of our programs, including CCSSO, NAESPA, NAFIS, Rural Education Association, NIEA, etc.



Coordination Efforts

- FEMA/DHS: National Infrastructure Protection Plan, including the Government Facilities Sector and Education Facilities Subsector (includes work with CISA on cybersafety and cybersecurity). Collaboration with FEMA Regions to provide technical assistance (TA) and support to education partners.
- CDC/HHS: Regular meetings with Team "FALCON" staff to both inform and be informed of efforts related to schools. Regular meetings of the Federal Partners in School Health (including National Association of School Nurses) (led by OESE); Vaccine Confidence Workgroup; and the Long-Term Recovery Interagency Workgroup.
- Interagency working group on COVID-19 and Homelessness: Participated in meetings three times a week with USICH, ASPR, CDC, OPM, FEMA, HHS, HUD, VA, White House staff, and others to ensure consistent communication and share resources to support the needs of homeless children and youth as a result of COVID-19



Stakeholder Outreach

- Listening Sessions: Hosted listening sessions with grantees to learn more about the critical needs of at-risk students and to share peer strategies for meeting these needs within the new paradigm of remote learning and social distancing. Listening sessions were held for the following programs:
 - The Office of Safe and Supportive Schools: Project directors for all OSSS discretionary and formula grant programs.
 - Rural Education Achievement Program: State rural coordinators, in partnership with the Office of Rural and Community Engagement and Office of Educational Technology.
 - The Office of Migrant Education Program: Migrant Education Program, High School Equivalency Program and the College Assistance Migrant Program project directors.
- External Partners: Increased the frequency of meetings with program directors and stakeholder groups to inform guidance and technical assistance related to COVID-19. Utilized feedback to focus policy meeting presentations on how Federal funds can be used for addressing COVID-19 related needs (see [here](#) for example).



Technical Assistance

- Continuity of Learning: In March, shared resource collections to support continuity of learning as school systems responded to school closures and shifts to remote learning.
- Evidence-based Resources: IES' Regional Educational Laboratories, OESE TA Centers, and OSERS TA Centers created over 200 resources, toolkits, tip sheets, practical guides for stakeholder use since March.
- Department Coordination: Formed Technical Assistance Coordination Team (IES, OESE, OSERS) to coordinate technical assistance dissemination and delivery among federally-funded TA Centers and the RELs.



Resources

Resource	Description	Web Address
ED Coronavirus Website	Dedicated website for Department COVID-19 related resources.	https://www.ed.gov/coronavirus
Readiness Emergency Management for Schools Technical Assistance Center	Useful information, resources, trainings, and tools for addressing infectious diseases, related topics, and protecting the school community.	https://rems.ed.gov/Resources_Hazards_Threats_Biological_Hazards.aspx
OESE Resources for Education Providers and Families	Dedicated website for quick links to COVID-19 technical assistance resources from OESE TA centers and partners organized by topic and audience, including continuity of learning, learning at home, safe school environments, social emotional and behavioral support, special populations, and returning to school.	https://oese.ed.gov/resources/



Responding to COVID-19

OSERS Activities to Address the Impact of COVID-19 on the Education
of Children with Disabilities



A Collaborative Multifaceted Approach

Across OSERS

- Timely, accurate information disseminated to a broad audience
 - [OSERS Guidance Documents](#)
- Prioritized continuity of service delivery while providing flexibility where allowable
 - [MFS Waivers](#)

With Our Partners

- Quickly marshalled the expertise and resources of the OSEP-funded technical assistance centers
 - [Early Childhood Technical Assistance Center](#) (infants and toddlers)
 - [National Center on Systemic Improvement](#) (3-21)
 - [Other OSEP-funded technical assistance centers](#)



What Has Been The Outcome?

We're Off To A Good Start

- Guidance and technical assistance is reaching audiences
- Delivering special education and related services during SY 2020-2021 looks much different than during the end of SY 2019-2020

We Have A Ways To Go

- Addressing emerging issues
- Leading the way



CARES Act Compared to Other OESE Grant Awards

What's Different?

This year the **CARES Act** played a significant role in our Grant programs. In the **Formula Grant program**, the **CARES Act contributed 42%** of the dollar volume. In the **Discretionary Grant program**, the **CARES Act contributed 11%** of the dollar volume. Overall, OESE awarded a combined total of over \$40.5B in Grants Awards.



FORMULA GRANTS

TYPE	AWARD DOLLAR AMOUNT	GRANTS AWARDED	PERCENTAGE of DOLLARS AWARDED
REGULAR	\$10.2B	6,087	26%
SUPPLEMENTS	\$12.4B	104	32%
CARES ACT	\$16.2B	111	42%

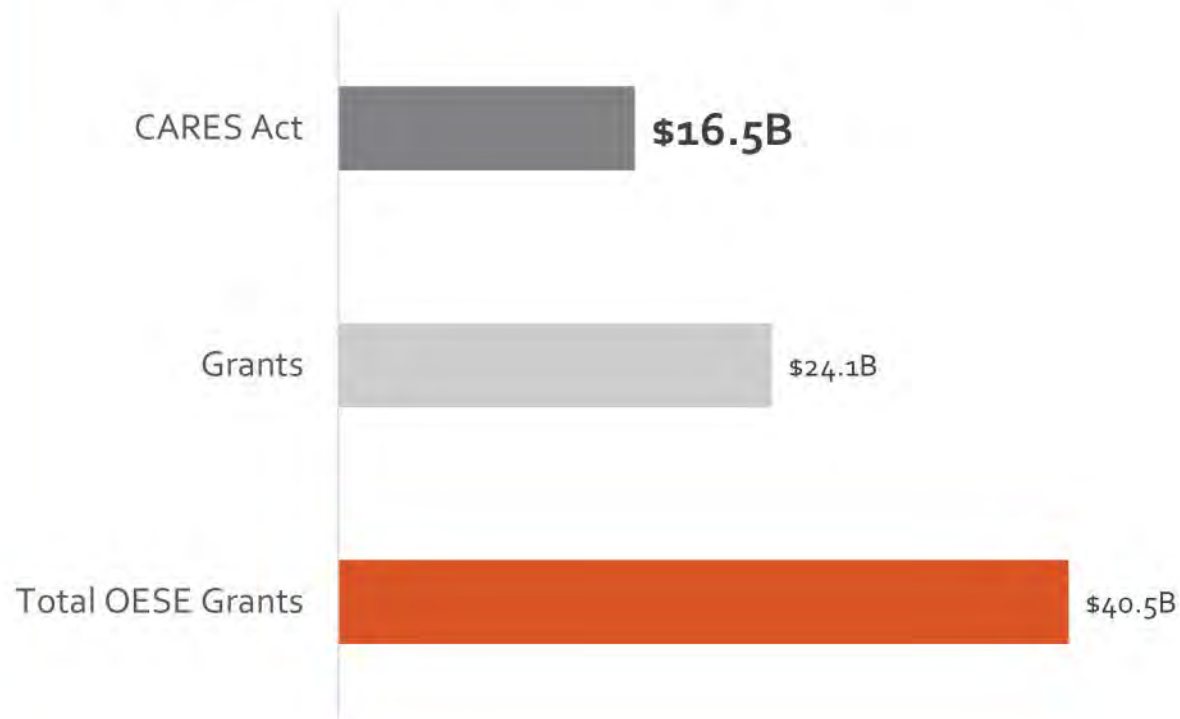


DISCRETIONARY GRANTS

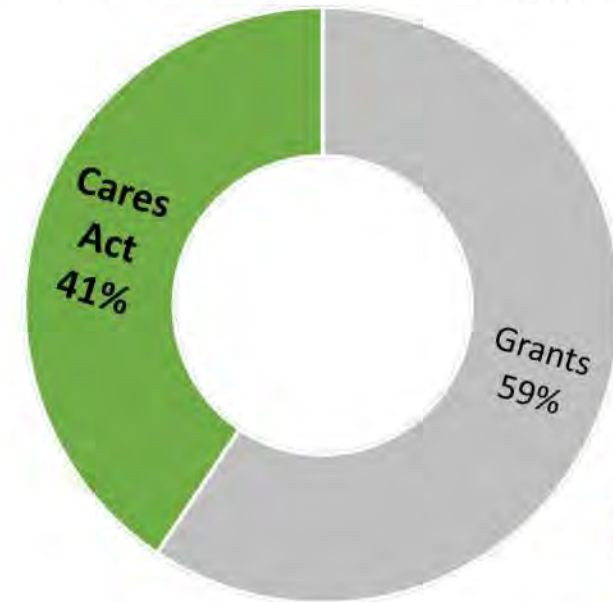
TYPE	AWARD DOLLAR AMOUNT	GRANTS AWARDED	PERCENTAGE of DOLLARS AWARDED
NEW	\$494M	244	31%
NCC	\$913.4M	743	58%
CARES ACT	\$180.6M	11	11%

CARES Act Contribution

How Much Does the CARES Act Contribute to OESE's Grant Programs?



The CARES Act contributes
41% of OESE's Grant programs.



Questions?





OFFICE OF ELEMENTARY AND SECONDARY EDUCATION (OESE)

BACKGROUND – OESE ORGANIZATIONAL STATEMENTS

Vision

Educational Excellence and Equity for All Students

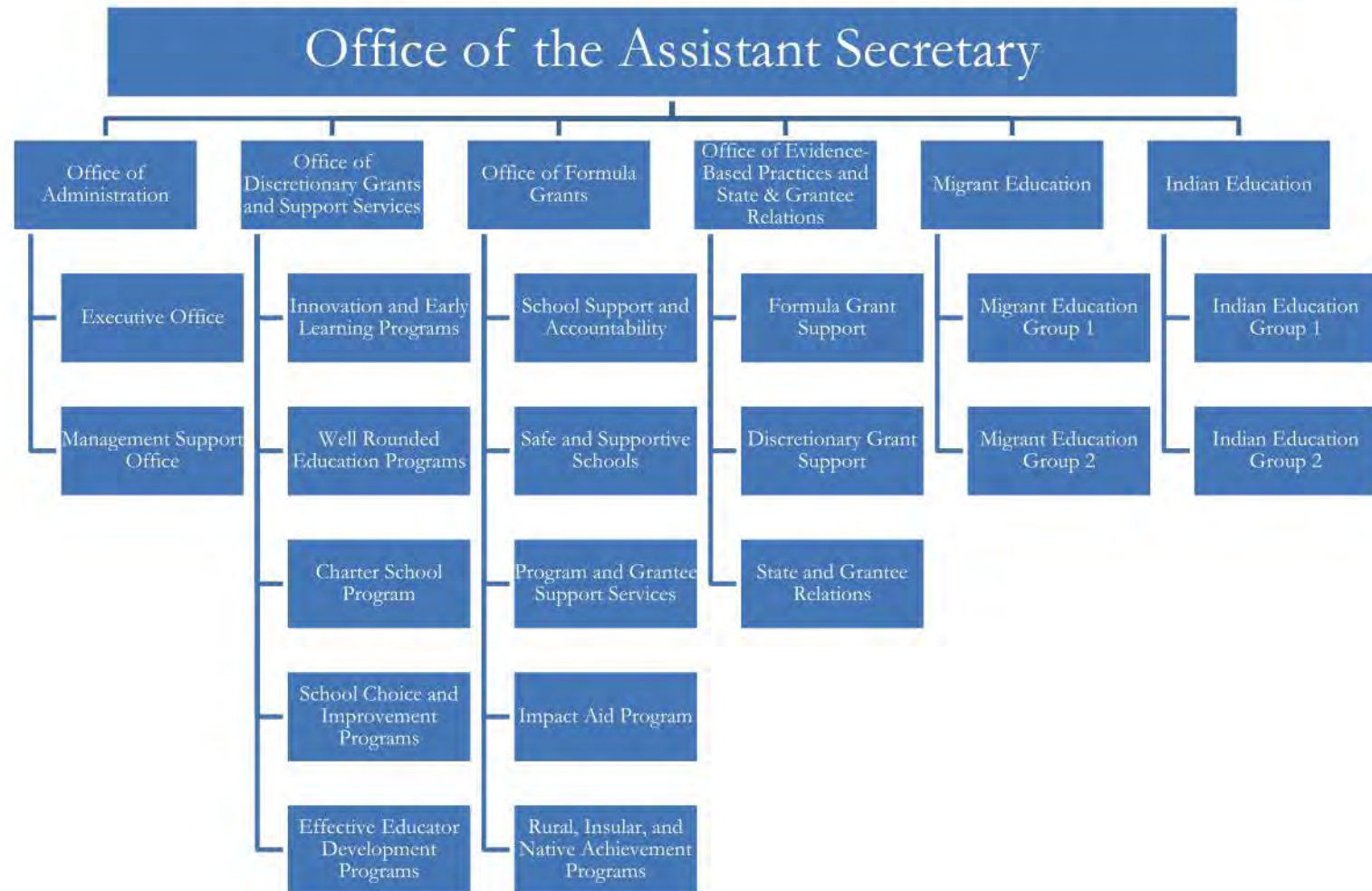
Mission

To empower States, districts, and other organizations to meet the diverse needs of every student by providing leadership, technical assistance, and financial support.

Core Values

Collaboration, Accountability, Diversity, Integrity and Excellence

OESE ORGANIZATIONAL CHART



The organizational structure above reflects OESE's official reorganization in January 2019. This reorganization was designed to ensure timely, efficient and effective support in addressing the needs of grantees and other stakeholders.

OESE GRANT ADMINISTRATION

- OESE administers a \$24.1 billion grant portfolio through 81 grant programs.
- OESE has identified seven key functions (aka "the Seven Sisters") critical to effective grant administration. Those functions are:
 1. Grant Making
 2. Policy Development
 3. Technical Assistance
 4. Performance Review
 5. Data Reporting and Analysis
 6. Program Evaluation
 7. Staff Capacity Building
- The Office of Administration through the Management Support Office and Executive Office support the program offices in successfully completing their work.

OFFICE OF THE ASSISTANT SECRETARY

- Immediate Office of the Assistant Secretary
 - Assistant Secretary: Frank Brogan
 - Principal Deputy Assistant Secretary: Aimee Viana
 - Schedule C Confidential Assistants
- Office of Administration
 - Executive Office
 - Management Support Office
- Disaster Recovery Unit

IMMEDIATE OFFICE OF THE ASSISTANT SECRETARY

Functions

- Establishes the office strategic vision and sets the policy and operational direction for OESE.
- Works with other Department offices and senior leadership to ensure coordination and implementation of policy and programmatic priorities.
- Maintains relationships with external stakeholders including State chiefs, policy experts, other federal agencies, and the White House.

OFFICE OF ADMINISTRATION

DEPUTY ASSISTANT SECRETARY: MARK WASHINGTON

Functions

- Provides strategic direction for the management, planning and administrative policy for OESE's work and execution of other ED or federal requirements
- Leads and ensures the consistent support, efficient management and effective execution of the OESE mission, through programs, grants administration and other operations and related processes and procedures
- Plans, monitors and promotes employee engagement and stakeholder satisfaction with the overall OESE enterprise

EXECUTIVE OFFICE

EXECUTIVE OFFICER: TINA HUNTER

Functions

- Grants Administration
- Human Capital and Personnel Management
- Travel Management
- Budget Planning, Formulation, and Execution
- Contracts and Acquisition Management
- Records Management and FOIA
- Information Technology and Information Management

MANAGEMENT SUPPORT OFFICE

DIRECTOR: KIM OKAHARA

Functions

- Strategic Planning
- Organizational Performance
- Knowledge and Data Management
- Audit Resolution and Liaison
- Program Monitoring and Risk Management
- GAO, OIG and other External Review Engagements
- CARES Act Monitoring, Reporting and Accountability

DISASTER RECOVERY UNIT

DIRECTOR: MEREDITH MILLER

Functions

The DRU supports all school community stakeholders affected by Federally declared natural disasters across the K-12 and higher education spectrum. Additionally, the DRU manages interagency work to support natural disaster recovery (aimed at ensuring a better coordinated response to impacted areas across the feds).

Programs

- Immediate Aid to Restart School Operations (84.938A)
- Assistance for Homeless Children and Youth (84.938B)
- Temporary Emergency Impact Aid for Displaced Students (84.938C)
- Project SERV, Natural Disaster Response (84.184S)

OESE PROGRAM OFFICES

- Office of Discretionary Grants and Support Services
- Office of Formula Grants¹
- Office of Evidence-Based Practices and State and Grantee Relations
- Office of Migrant Education
- Office of Indian Education

1. Office of Formula Grants is in the process of changing its name to the Office of State Grant and Program Support

OFFICE OF DISCRETIONARY GRANTS AND SUPPORT SERVICES (DGSS) DEPUTY ASSISTANT SECRETARY: CHRIS RINKUS (ACTING)

Functions

DGSS leads the implementation and development of effective and efficient policies, processes, and strategies related to the administration and management of the organization's discretionary grant programs.

Program

- Innovation and Early Learning Programs
- Well-Rounded Education Programs
- Charter School Programs
- School Choice and Improvement Programs
- Effective Educator Development Programs

DGSS- INNOVATION AND EARLY LEARNING PROGRAMS

DIRECTOR: JAMILA SMITH

Programs

- Education Innovation and Research Grants - Expansion grants (84.411A)
- Education Innovation and Research Grants - Mid-phase grants (84.411B)
- Education Innovation and Research Grants-Early-phase grants (84.411C)
- Ready to Learn grants (84.295A)
- Preschool Development Grants Birth to Five (93.434) (In coordination with HHS)

DGSS- WELL ROUNDED EDUCATION PROGRAMS

DIRECTOR: SYLVIA LYLES

Programs

- Jacob K. Javits Gifted and Talented Students Education Program (84.206A)
- Innovative Approaches to Literacy (84.215G)
- Advanced Placement Test Fee (84.330B)
- Professional Development for Arts Educators (84.351C)
- Arts in Education National Program (84.351F)
- Assistance for Arts Education Development and Dissemination (84.351D)
- Comprehensive Literacy School Development Grant Program (84.371C)
- Turnaround School Leadership Program Initiative (84.377B)
- Mathematics and Science Partnership (84.366B)

DGSS- CHARTER SCHOOL PROGRAMS

DIRECTOR: ANNA HINTON

Programs

- Charter School Grants - SEA/State Entity (84.282A)
- Charter School Replication and Expansion or CMO Grants (84.282M)
- Charter Schools - Non-SEA/Developer Grants (84.282B/84.282E)
- State Facilities Incentive Grants (84.282D)
- Credit Enhancement Grants (84.354A)
- National Leadership Grants (84.282N)
- National Dissemination Grants (84.282T)
- DC School Choice (84.370B/C)
- Education Stabilization Fund-Rethink K-12 Education Models (ESF-REM) (84.425B)

DGSS- SCHOOL CHOICE AND IMPROVEMENT PROGRAMS

DIRECTOR: ELSON NASH (ACTING)

Programs

- Magnet Schools Assistance Program (84.165A)
- Full-Service Community Schools (84.215J)
- Promise Neighborhoods (84.215N)
- DC Opportunity Scholarship Program (84.370A)
- Statewide Family Engagement Centers (84.310A)

DGSS- EFFECTIVE EDUCATOR DEVELOPMENT PROGRAMS

DIRECTOR: VENITIA RICHARDSON

Programs

- Supporting Effective Educator Development (84.423A)
- Teacher Quality Partnership (84.336S)
- Teacher and School Leader Incentive Program and Teacher Incentive Fund (84.374A and 84.374B)
- American History and Civics Academies (84.422A)
- American History and Civics National Activities (84.422B)
- School Leadership Program (84.363A)

OFFICE OF FORMULA GRANTS (OFG)

DEPUTY ASSISTANT SECRETARY: RUTH RYDER

Functions

OFG leads the implementation and development of effective and efficient policies, processes, and strategies related to the administration and management of the organization's formula grant programs.

Divisions

- School Support and Accountability
- Rural, Insular, and Native Achievement Programs
- Safe and Supportive Schools
- Impact Aid Program
- Program and Grantee Support Services

OFG- SCHOOL SUPPORT AND ACCOUNTABILITY

DIRECTOR: PATRICK ROONEY

Programs

- Grants to LEAs - Title I-A (84.010A)
- Neglected, Delinquent, or At-Risk Youth - Title I-D, Subpart 1 (84.013A)
- McKinney-Vento Education of Homeless Children and Youth (84.196A)
- 21st Century Community Learning Centers - Title IV-B (84.287C)
- English Language Acquisition - Title III-A (84.365A)
- Supporting Effective Instruction - Title II-A (84.367A)
- Competitive Grants for State Assessments - Title I-B competitive (84.368A)
- State Assessment Formula Grants - Title I-B (84.369A)
- Well-Rounded Education through Student Centered Funding (84.424E)
- 21st CCLC Out of School Time Career Pathways Program (84.287D)
- Innovation Assessment Demonstration Authority (IADA)
- Education Stabilization Fund to the BIE (84.425D)

OFG- RURAL, INSULAR, AND NATIVE ACHIEVEMENT PROGRAMS

DIRECTOR: PATRICK CARR

Programs

- Consolidated Grant for Insular Areas (84.403A)
- Republic of Palau Grant (84.256B)
- Small, Rural School Achievement (84.358A)
- Native Hawaiian (84.362A)
- Alaska Native (84.356A)
- Supplemental Education Grants to Freely Associated States
- Rural and Low-Income School (RLIS) (84.358B)
- RLIS-Specially Qualified Agencies (84.358C)
- Education Stabilization Fund to the Outlying Areas (84.425A (SEAs) and 84.425H (Governors))

OFG- SAFE AND SUPPORTIVE SCHOOLS

DIRECTOR: PAUL KESNER

Programs

- School Climate Transformation SEA (84.184F)
- School Climate Transformation LEA (84.184G)
- Project Prevent (84.184M)
- Grants to States for Emergency Management (84.184Q)
- SERV (84.184S)
- Title IVA (84.424A)
- Social Emotional Learning TA Center (84.424B)
- CARES Act Project SERV (84.184C)

OFG- IMPACT AID PROGRAM

DIRECTOR: FAATIMAH MUHAMMAD

Programs

- Payments for Federal Property (84.041A)
- Payments for Federally Connected Children (84.041B)
- Discretionary school construction payments (84.041C)

OFG- PROGRAM AND GRANTEE SUPPORT SERVICES DIRECTOR: DANIELLE SMITH

Programs

- Equity Assistance Centers (84.004D)
- Comprehensive Centers (84.283B)
- National Student Attendance, Engagement, and Success Center (NSAESC) (84.424)
- National Center to Improve Literacy (84.283D) (Funded out of OESE but managed in OSERS)

OFFICE OF INDIAN EDUCATION (OIE)*

DIRECTOR: JULIAN GUERRERO, JR.

Functions

OIE administers the Indian Education Program of ESEA, as amended, (Title VI, Part A), which establishes policies and provides financial and technical assistance for supporting LEAs, Indian tribes and organizations, post- secondary institutions and other entities in meeting the special educational and cultural related academic needs of American Indians and Alaska Natives, 20 U.S.C. 7401 et. seq. Functional alignment to OFG.

Programs

- Indian Education Formula Grants (84.060A)
- Demonstration: Accessing Choice in Education (84.299A)
- Demonstration: Native Youth Community Project (84.299A)
- Professional Development Service Payback (84.299B)
- State Tribal Education Partnership (84.415A)
- Native American Language (84.415B)
- National Indian Education Study (84.850)

OFFICE OF MIGRANT EDUCATION (OME)*

DIRECTOR: LISA GILLETTE

Functions

OME provides excellent leadership, technical assistance, and financial support to improve the educational opportunities and academic success of migrant children, youth, agricultural workers, fishers, and their families. Functional alignment to OFG.

Programs

- Migrant Education Program (MEP) - Title I-C (84.011A)
- MEP Consortium Incentive Grant Program (84.144F)
- High School Equivalency Program (84.141A)
- College Assistance Migrant Program (84.149A)

OFFICE OF EVIDENCE-BASED PRACTICES AND STATE AND GRANTEE RELATIONS (OEBPSGR) DEPUTY ASSISTANT SECRETARY: CHRIS RINKUS

Divisions

- Evidence-Based Practices
 - Discretionary Grant Support
 - Formula Grant Support
- State and Grantee Relations
 - States' access point for all OESE programs
 - CARES Act formula grants administration

OEBPSGR- EVIDENCE-BASED PRACTICES

DISCRETIONARY GRANT SUPPORT

DIRECTOR: ANNA HINTON (ACTING)

FORMULA GRANT SUPPORT

DIRECTOR: VICTORIA HAMMER

Functions

The offices of evidence-based practices identifies and promotes effective practices for internal and external stakeholders to support academic and program excellence; ensures educational opportunities and equity for all children; and improves the quality of teaching and learning.

STATE AND GRANTEE RELATIONS

DIRECTOR: TARA RAMSEY

Functions

State and Grantee Relations (SGR) is the consistent point of contact to help stakeholders access the information they need to understand, apply for, and implement OESE programs. SGR also houses various data on stakeholder inquiries, state education landscapes, customer profiles and journey maps.

Programs

- Elementary and Secondary Schools Emergency Relief Fund (84.425D)
- Governor's Education Emergency Relief Fund (84.425C)
- ED Flex
- CARES Act Monitoring, Reporting and Accountability

Questions?

OFFICE OF THE GENERAL COUNSEL (OGC) Transition briefing

NOVEMBER 30, 2020
U.S. DEPARTMENT OF EDUCATION



PURPOSE OF THE PRESENTATION

- To Provide a Brief Background of the Office of the General Counsel
 - Key Duties
 - Our Structure and Staffing
 - Immediate office
 - Seven Divisions – roles and pressing issues
 - Division of Elementary, Secondary, Adult and Vocational Education
 - Division of Educational Equity
 - Division of Business and Administrative Law
 - Ethics Division
 - Division of Legislative Counsel
 - Division of Regulatory Services
 - Division of Postsecondary Education
 - Crosscutting Considerations
- Questions

OFFICE OF THE GENERAL COUNSEL

- The **Department of Education Organization Act**, 20 U.S.C. § § 3401 et seq., establishes an **Office of General Counsel (OGC)**, section 210 of the DEOA (20 U.S.C. § 3421), headed by a General Counsel who is appointed by the President and confirmed by the Senate, and whose broad statutory mission is to “provide legal assistance to the Secretary concerning the programs and policies of the Department.”
- The Office of the General Counsel’s statutory responsibility includes providing legal services to the Secretary and all other officers and employees of the Department.

OGC's KEY DUTIES

- . OGC:

- provides legal advice and counsel for programs, policy initiatives, and applicable laws;
- represents the Department in federal court litigation (in coordination with the Department of Justice) and in administrative litigation;
- provides legislative services (separate from, but in coordination with, the Department's Office of Legislation and Congressional Affairs);
- manages the Department's ethics program; and
- manages its regulatory and guidance processes (including review and clearance of documents).

OGC's STRUCTURE

- OGC is under the supervision of the General Counsel (now the Principal Deputy General Counsel delegated to perform the functions and duties of the General Counsel), who serves as principal adviser to the Secretary on all legal matters affecting Departmental programs and activities.
- OGC's work is divided into the Immediate Office of the General Counsel and seven operational divisions.
- Each division is headed by an Assistant General Counsel who reports to one of the three Deputy General Counsels.

OGC's STAFFING

- When fully staffed, OGC has had 127 employees. Now OGC has 115.
- A majority of OGC employees are attorneys—currently 92, serving among the seven divisions and the immediate office (front office).
- We have 23 non-attorneys in OGC serving in various roles, such as Program Specialists in Ethics, Regulation Coordinators, a records coordinator, staff assistants, and paralegals (two are being hired), messenger, and specialists in information technology, human resources, budget, and contracts.

IMMEDIATE OFFICE (FRONT OFFICE)

- The Immediate Office staff provides overall direction, coordination, and leadership to the Office of the General Counsel; handles special assignments (such as Section 117 of the Higher Education Act of 1965 (reporting of foreign donations and contracts), and some enforcement matters); and provides support services for the Office of the General Counsel.
- The Immediate Office includes three Deputy General Counsels who assist the General Counsel and supervise the work of the seven operational divisions.
- The Immediate Office also includes a few career senior attorneys in specialty areas, and other staff who handle special assignments including some enforcement matters, and collectively assist the General Counsel in the overall direction, coordination, and leadership for the Office of the General Counsel.
- All political appointees in the Office of the General Counsel serve within the Immediate Office.
- OGC also has an Executive Office (shared with the Office of Legislation and Congressional Affairs).
 - That office includes an Executive Officer and four specialists, working on personnel, budget, contracts, Information Technology, and other support.

DEPUTY GENERAL COUNSEL FOR PROGRAM SERVICE (INCLUDING BUSINESS AND ADMINISTRATIVE LAW)

- Deputy General Counsel: Phil Rosenfelt
- Oversees Three Divisions:
 - Division of Elementary, Secondary, Adult, and Vocational Education
 - Division of Educational Equity
 - Division of Business and Administrative Law
- Oversees three senior attorneys – who advise on such matters as:
 - Providing legal assistance
 - To the Institute for Education Sciences;
 - On accessibility issues (in coordination with the Divisions of Educational Equity and Business and Administrative Law);
 - On cross-cutting legal assistance on general grant issues;
 - On international education issues;
 - On litigation discovery issues and FOIA searches;
 - On cross-cutting review on General Accountability Office (GAO) and Office of Inspector General (OIG) audits; and
 - To the General Counsel as chief of staff.

DIVISION OF ELEMENTARY, SECONDARY, ADULT, AND VOCATIONAL EDUCATION (DESAVE)

- Assistant General Counsel: Dennis Koeppel
- Deputy Assistant General Counsel: Kay Rigling
- Total Number of DESAVE Staff: 15 attorneys
- DESAVE provides legal services for some early childhood programs, as well as elementary, and secondary education programs (including most of the programs under the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act), and career and technical, and adult education programs (including the Perkins Career Education program and the Adult Education and Family Literacy Act program).
- DESAVE's primary clients are the Office of Elementary and Secondary Education and the Office of Career, Technical and Adult Education.
- Among DESAVE's Priorities and Pressing Matters: Implementation of the formula and discretionary grants under the Elementary and Secondary Education Act (as amended by the Every Student Succeeds Act), the CARES Act, the Perkins Career Education program, parts of the Workforce Innovation and Opportunity Act (including the Adult Education Act), flexibilities in the current COVID-19 emergency and other emergencies, and issues involving the outlying areas.

DIVISION OF EDUCATIONAL EQUITY (DEE)

- Assistant General Counsel: Kathryn Ellis
- Deputy Assistant General Counsel: Frank Lopez
- 12 Attorneys (additional 2 pending with vacancy announcement just closed); 1 Reading Assistant; and 1 Paralegal (pending onboarding)
- DEE provides legal assistance to the Secretary in connection with civil rights policy and enforcement activities of the Department pertaining to race, national origin, sex, disability, and age discrimination.
- DEE also provides legal assistance in connection with the administration of equal educational opportunity programs, such as the formula and discretionary grants under the Individuals with Disabilities Education Act (IDEA), the Rehabilitation Act of 1973, parts of the Workforce Innovation and Opportunity Act (especially involving vocational rehabilitation), and the Magnet Schools Assistance Program.
- DEE's primary clients are the Office for Civil Rights, and the Office of Special Education and Rehabilitative Services.
- Among DEE's Priorities and Pressing Matters: Implementation of the formula and discretionary grants under the Individuals with Disabilities Education Act, the Vocational Rehabilitation Services programs, the Workforce Innovation and Opportunity Act (VR program), the Randolph-Sheppard Act, and civil rights issues including litigation under Title IX.

DIVISION OF BUSINESS AND ADMINISTRATIVE LAW (DBAL)

- Assistant General Counsel: Tracey Sasser
- Deputy Assistant General Counsel: Vacant
- 12 Attorneys; Legal Assistant (Vacant)
- DBAL work encompasses about twenty legal practice areas, including business management and administrative activities (e.g., reorganizations, procurement, employment, labor relations, appropriations, budget, advisory committees, and copyright and trademark), the Freedom of Information Act (FOIA), the Privacy Act, the Federal Advisory Committee Act, the Family Educational Rights and Privacy Act (FERPA), the Fair Labor Standards Act, the Protection of Pupil Rights Amendment (PPRA), the Federal Tort Claims Act (FTCA), the Equal Employment Opportunities Act, and the Federal Vacancies Reform Act.
- DBAL represents the Department before administrative tribunals and, in coordination with DOJ, in federal court on a variety of matters including employment, procurement, FERPA, FTCA and FOIA, and other claims by and against the Department.
- Among DBAL's Priorities and Pressing Matters: FSA procurements related to FSA's Next Generation initiative, FERPA, PPRA, and Privacy Act issues, FOIA matters, the Department's collective bargaining agreement, advising on organizational and reorganizations, delegations, and legal advice to the incoming Administration on Vacancies Act requirements and other personnel matters.

DEPUTY GENERAL COUNSEL FOR REGULATIONS, ETHICS AND LEGISLATION

- . Deputy General Counsel: Hilary Malawer
- . Oversees Three Divisions:
 - Division of Ethics
 - Division of Legislative Counsel
 - Division of Regulatory Services
- . Oversees records liaison

ETHICS DIVISION

- Assistant General Counsel: Marcella Goodridge-Keiller
- Deputy Assistant General Counsel: Kristina Spencer
- 5 Ethics Attorneys; 2 Ethics Program Specialists; 1 Ethics Program Assistant
- The Ethics Division is responsible for managing and implementing the Department's ethics program, including ethics counseling for current and past Department employees, ethics training, reviewing and certifying employees' financial disclosure reports; advising on public-private partnerships, gifts to the Department, the Hatch Act and lobbying limitations; and serving as liaison with the Office of Government Ethics (OGE) and the Office of White House Counsel on ethics matters.
- Among the Ethics Division's Priorities and Pressing Matters: Advising and training on ethics issues for departing officials and staffs, and vetting of incoming officials and staff.

DIVISION OF LEGISLATIVE COUNSEL (DLC)

- Assistant General Counsel: Paul Riddle
- 4 Legislative Attorneys; 1 Program Specialist; and 1 Secretary
- DLC drafts proposed legislation and related documents for the Department and Administration, reviews all education-related legislation pending in Congress, and is the Department's liaison to the Office of Management and Budget with respect to the clearance of legislative matters.
- DLC implements the established Executive Branch process for clearing legislative proposals before sending them to Congress as set forth in OMB Circular A-19 (dating back to the early 1970s).
 - OMB Directors typically remind Federal agencies of the Circular's requirements and of their obligation to follow them at the beginning of a new Administration.
- Among DLC's Priorities and Pressing Matters: Assist in reviewing bills being considered by Congress, including emergency measures, and supporting divisions in their review of legislative history, especially as it relates to recently-enacted legislation. In addition, assist in possible consideration of the Higher Education Act (HEA) reauthorization.

DIVISION OF REGULATORY SERVICES (DRS)

- Assistant General Counsel: Lynn Mahaffie
- Deputy Assistant General Counsel: Amanda Amann
- 4 Regulations Attorneys; 4 Regulations Program Specialists
- DRS manages the development and clearance of the Department's regulations and documents related to the Department's discretionary grant programs (e.g., priorities, application notices) that are published in the *Federal Register*.
- DRS gives legal advice on compliance with the Administrative Procedure Act, the rulemaking provisions of the General Education Provisions Act, and other rulemaking requirements; reviews and drafts regulations and associated regulatory documents; and provides legal services with regard to rulemaking policy, non-regulatory guidance, and other regulatory issues.
- DRS serves as the Department's liaison with the Office of Management and Budget for the clearance of regulatory documents and non-regulatory guidance.
- Among DRS' Priorities and Pressing Matters: Managing the review of regulatory and significant guidance materials, which is a key matter early in a new Administration.

DEPUTY GENERAL COUNSEL FOR POSTSECONDARY EDUCATION

- . Deputy General Counsel: Farnaz Thompson
- . Oversees liaison with Federal Student Aid and other divisions
- . Oversees Division of Postsecondary Education

DIVISION OF POSTSECONDARY EDUCATION (DPE)

- Assistant General Counsel: Brian Siegel
- Deputy Assistant General Counsel: Vacant
- Deputy Assistant General Counsel for Enforcement: Vacant
- 14 Attorneys (2 more starting in December); 1 Legal Technician; and 1 Paralegal (starting in December)
- DPE provides legal services for postsecondary education programs administered by Federal Student Aid (FSA) and the Office of Postsecondary Education (OPE), including student financial aid programs, such as the Direct Student Loan, Pell Grant, and Federal Family Education Loan programs, as well as fellowship programs and programs that award grants to institutions of higher education for a variety of statutory purposes.
- DPE also provides counsel on enforcement and regulatory matters involving institutions of higher education, accreditation agencies, and changes in ownership.
- Their primary clients are the Office of Postsecondary Education, and Federal Student Aid.
- Among DPE's Priorities and Pressing Matters: Borrower defense, gainful employment, college conversions, enforcement and compliance, public service loan forgiveness, accreditation issues, and possible HEA reauthorization.

CROSS-DIVISIONAL AND CROSS GOVERNMENTAL PRIORITIES

- Cybersecurity issues (in conjunction with the Office of the Chief Information Officer).
- OGC Discretionary Grants Team meets weekly to help ensure consistent advice on crosscutting discretionary grant competition issues.
- OGC has an active role in working with other Department offices on many oversight matters, including Congressional inquiries and Government Accountability Office audits (an average of 60 ongoing audits), and Office of Inspector General engagements (average of 50 ongoing engagements).
- Enforcement Activities under Executive Order 13892 (“Promoting the Rule of Law Through Transparency and Fairness in Civil Administrative Enforcement and Adjudication”).
- GC Exchange—four weekly meetings during COVID-19, including special meetings on Contracts, Grants, and Employment Law—more than 60 Federal agencies participate.

QUESTIONS



OFFICE OF POSTSECONDARY EDUCATION (OPE)

DECEMBER 3, 2020

OFFICE OF POSTSECONDARY EDUCATION

AGENDA

- Introductions
- Overview of OPE
- COVID-19 Response
- HBCUs and MSIs
- Q&As



OFFICE OF POSTSECONDARY EDUCATION

OVERVIEW

OPE strengthens the capacity of colleges and universities to promote reform, innovation and improvement in postsecondary education, promote and expand access to postsecondary education, increase college completion rates for America's students, and broaden global competencies that drive the economic success and competitiveness of our Nation.



OFFICE OF POSTSECONDARY EDUCATION

WHAT WE DO

1. Higher Education Programs (HEP)

- **Institutional Service:** Administers grant programs designed to improve academic quality, institutional management and fiscal stability, and strengthen physical plants and endowments of institutions of higher education, with an emphasis on institutions that enroll large proportions of minority and financially disadvantaged students.
- **Student Service:** Administers grant programs supporting low-income, first-generation students and individuals with disabilities as they progress through the academic pipeline from middle school to graduate school, in addition to programs focused on college readiness, campus-based childcare and graduate fellowships.

2. International and Foreign Language Education (IFLE)

- Administers domestic and overseas grant programs to strengthen U.S. capacity in area studies, international studies, and modern foreign language training to meet ever-evolving national security needs and prepare individuals for global competitiveness.



OFFICE OF POSTSECONDARY EDUCATION

WHAT WE DO, CONT'D

3. Policy, Planning and Innovation (PPI)

- Develops Federal postsecondary education policy and regulations including policy which supports the Federal student financial assistance programs and programs authorized by the Higher Education Act of 1965, as amended (HEA).
- Administers the review process for accreditation agencies to ensure that the education provided by the institutions of higher education meets acceptable levels of quality.
(Obtaining approval for a new Accreditation Division)

4. Management & Planning (M&P)

- **Management Support Unit:** Responsible for operations management for OPE and serves as the primary catalyst for developing and implementing effective management practices, continuous improvement processes, and organizational capacity building to align and implement OPE's Annual Program Performance Plan in accordance with the Department's Strategic Plan.
- **Executive Office:** Provides general administrative and management support services for OPE.



OPE COVID-19 RESPONSE

REGULATORY RELIEF

- Numerous flexibilities have been extended as the Federally declared emergency has emerged
- Most outlined in three major guidance documents (Electronic Announcements) published on March 5, April 3, and May 15, with a general and inclusive deadline extension* offered in an Electronic Announcement issued August 21, 2020
- March 5, 2020 Electronic Announcement – Issued prior to declaration of the Federal emergency and prior to passage of the CARES Act
 - Distance education flexibilities
 - Accommodations for eligible foreign institutions
 - Payment of Federal Work Study (FWS) to students unable to fulfill FWS obligations as a result of COVID-19 related circumstances
- Some exceptions due to dates specified by Congress in the CARES Act



OPE COVID-19 RESPONSE

REGULATORY RELIEF, CONT'D

- *April 3, 2020 Electronic Announcement*
 - Additional guidance on distance education
 - Academic calendar flexibilities
 - Loan flexibilities for borrowers
- *May 15, 2020 Electronic Announcement*
 - Outlines waivers and flexibilities contained in the CARES Act
 - Emphasis on Return to Title IV waivers extended under the CARES Act
 - Extension of deadlines (sunset provisions)
- *August 21, 2020 Electronic Announcement*
 - Extends deadlines through the end of the payment period that includes December 31, 2020 or the end of the payment period that includes the end date for the Federally declared emergency related to COVID-19, whichever occurs later



OPE COVID-19 RESPONSE

ADMINISTRATION AND OVER-SIGHT OF CARES ACT FUNDS

- The Coronavirus Aid, Relief, and Economic Security (CARES) Act, approximately \$14 billion was given to the OPE as the Higher Education Emergency Relief Fund (HEERF).
- The funding allocations within HEERF include:
 - Higher Education Emergency Relief Fund - Student Aid (84.425E) (a1)
 - Higher Education Emergency Relief Fund - Institutional Portion (84.425F) (a1)
 - Higher Education Emergency Relief Fund - Historically Black Colleges and Universities (84.425J) (a2)
 - Higher Education Emergency Relief Fund - Tribally Controlled Colleges and Universities (84.425K) (a2)
 - Higher Education Emergency Relief Fund - Minority Serving Institutions (84.425L) (a2)
 - Higher Education Emergency Relief Fund - Strengthening Institutions Program (84.425M) (a2)
 - Higher Education Emergency Relief Fund - Fund for the Improvement of Postsecondary Education (84.425N) (a3)
 - Institutional Resilience and Expanded Postsecondary Opportunity (FIPSE - 84.425P – Competitive Grant)



OPE COVID-19 RESPONSE

ADMINISTRATION AND OVER-SIGHT OF CARES ACT FUNDS, CONT'D

HEERF funding as of 12/01/2020

Program	Grant Funding Status	Application Process Status	Number of Awards	Sum of Total Obligated Amount	Sum of Payment Amount
84.425E – Student Aid	Obligated	Process	4920	\$6,190,289,365.89	\$5,816,546,352.41
84.425F - Institutional	Obligated	Process	4760	\$6,138,051,166.50	\$4,074,077,992.70
84.425J - HBCU	Obligated	Process	100	\$576,902,413.00	\$213,011,071.16
84.425K - TCCU	Obligated	Process	35	\$50,469,300.00	\$24,741,638.32
84.425L - MSI	Obligated	Process	563	\$266,175,129.00	\$93,798,587.13
84.425M - SIP	Obligated	Process	1003	\$142,056,873.00	\$69,674,462.43
84.425N - FIPSE	Obligated	Process	681	\$204,679,005.00	\$110,280,746.92
Grand Total			12062	\$13,568,623,252.39	\$10,402,130,851.07



OPE COVID-19 RESPONSE

ADMINISTRATION AND OVER-SIGHT OF CARES ACT FUNDS, CONT'D

- HEERF Reporting Requirements
 - Section 18004(a)(1) Student Portion Public Reporting
 - Section 18004(a)(1) Institutional Portion, (a)(2), and (a)(3) Public Reporting
 - Annual Reporting
- Institutional Resilience and Expanded and Postsecondary Opportunity (IREPO) Grant
 - Financial support of institutions of higher education with the Greatest unmet needs related to coronavirus
- Higher Education Emergency Relief Unit (Temporary Team)



HBCUs AND MSIs PROGRAMS

Historically Black Colleges & Universities

- Historically Black Colleges & Universities, Parts B and F (Formula)
- Historically Black Graduate Institutions (Formula)
- Predominately Black Institutions (Formula and Competitive)

Minority Serving Institutions:

- Alaska Native & Native Hawaiian, Parts A and F
- Native American Serving Non-Tribal Institutions, Parts A and F
- Asian American and Native American Pacific Islander, Parts A and F
- Tribally Controlled Colleges & Universities, Parts A and F (Formula)
- Hispanic-Serving Institutions



Q&As

HEERF Reporting Requirements Overview

	METHOD OF REPORTING	FIRST REPORT DUE TO BE POSTED	FREQUENCY OF REPORTING	AS OF 10/14, NEXT REPORT DUE WHEN?	WHAT DO I DO IF I HAVE EXPENDED ALL MY HEERF GRANT FUNDS?
Section 18004(a)(1) Student Portion Public Reporting	Information is publicly posted on institution's primary website.	First report was generally due 30 days after the Department originally obligated funds to the institution for the Section 18004(a)(1) Student Portion.	Subsequent reports are due quarterly and must be posted no later than 10 days after the calendar quarter (October 10, January 10, April 10, July 10).	By <u>January 10, 2021</u> covering the period from the September 30th quarterly report through December 31.	Indicate that the final quarterly posting is the final report that covers all remaining HEERF fund expenditures for Section 18004(a)(1) Student Portion funds. After posting that report, no more quarterly public reporting for this is required.
Section 18004(a)(1) Institutional Portion, (a)(2), and (a)(3) Public Reporting	Information is publicly posted on institution's primary website in the same place as the Student Portion Public Reporting described above.	First report due October 30, 2020 covering the period from first award through September 30, 2020.	Subsequent reports are then due quarterly and must be posted no later than 10 days after the calendar quarter (January 10, April 10, July 10, October 10).	By <u>October 30, 2020</u> covering the period from the date of the first HEERF award through September 30.	Check the box on the form that it is the "final report" that covers all remaining HEERF fund expenditures for 18004(a)(1) Institutional Portion, (a)(2), and (a)(3) funds. After posting that report, no more quarterly public reporting for 18004(a)(1) Institutional Portion, (a)(2), and (a)(3) funds is required.
Annual Reporting	Report is submitted to the Department via a portal system currently in development.	Intended first annual report due in early 2021.	Yearly. Submission will be required of all HEERF grantees.	Intended first annual report due in early 2021.	All institutions that received any HEERF award will still have to submit an annual report in early 2021 to the Department regardless if at that time they still have HEERF funds or not.





Office of Planning, Evaluation and Policy Development (OPEPD)

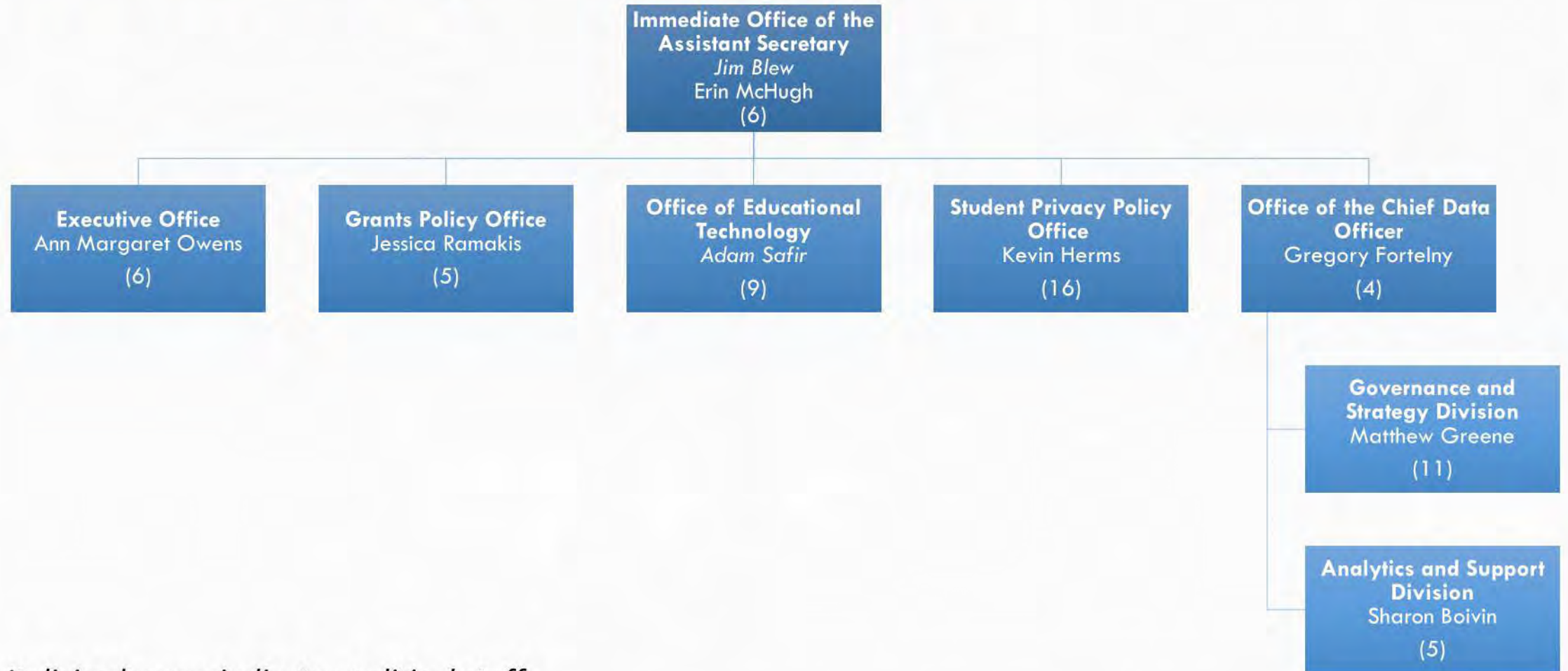
OPEPD – About Us

OPEPD advises the Secretary on all matters relating to policy development, implementation, and review.

- Responsible for developing, reviewing, and coordinating with offices across the Department on budget proposals, regulations, grants, program performance measures, and the Department's Learning Agenda to ensure alignment with the Secretary's and the Administration's goals and priorities.
- Develops and enforces data governance policies and is responsible executing strategies that improve the Department's ability to leverage data as a strategic asset.
- Administers and enforces federal student privacy laws and manages the Department's Privacy Program.
- Manages the Department's strategies concerning education technology and STEM education.



OPEPD – Organizational Chart



Italicized name indicates political staff.

Parentheses indicate total number of staff, including leadership, political staff, and fellows.



OPEPD – Two Reorganizations in 2019

January 2019

- Budget Service moved from OPEPD to Office of Finance and Operations (OFO).
- Executive Office and Grants Policy Office created.
- Student Privacy Policy Office formed, with staff and functions from the former Family Policy Compliance Office.
- Office of Educational Technology moved from Office of the Secretary (OS) to OPEPD.

October 2019

- Office of the Chief Data Officer formed to support the implementation of the Foundations for Evidence-Based Policymaking Act.
- Staff and functions from the Office of the Chief Information Officer (OCIO) related to information collections and privacy safeguards transferred to OPEPD.
- Policy and Program Studies Services (PPSS) dissolved.
- Staff and functions relating to long-term evaluations under the PPSS transferred to the Institute of Education Sciences (IES).



OPEPD – Immediate Office (IO)

Primary Functions

- ☐ Advises the Secretary on policy development, implementation, and review.
- ☐ Develops and reviews the Department's budget proposals.
- ☐ Chairs the Department's Policy Committee and coordinates with the Executive Office of the President on policy priorities.
- ☐ Represents U.S. interests at Organization for Economic Cooperation and Development (OECD) Education Policy Committee (EDPC).
- ☐ Implements ED's STEM education strategy and supports the five-year federal strategic plan.

Transition Top Priorities

- ☐ Finalize and release the FY 2022 budget.
- ☐ Continue to communicate with STEM stakeholders and participate in inter-agency collaborations.



OPEPD – Executive Office (EXO)

Primary Functions

- ☐ Facilitates hiring, processes all personnel actions, and coordinates employee engagement efforts.
- ☐ Manages the salaries and expenses budget, FOIA requests, IT services, and space assignments.
- ☐ Tracks and commits funding for contracts.
- ☐ Coordinates correspondence control.

Transition Top Priorities

- ☐ Carry out decision making on new hires.
- ☐ Clarify the involvement of the Administration on the process for approval of budget related items.
- ☐ Continue the cadence of All-Staff meetings and other employee engagement type activities.
- ☐ Disseminate information about normal onboarding, records management, and use of personal emails/social media accounts.



OPEPD – Grants Policy Office (GPO)

Primary Functions

- ☐ Ensures the Secretary's policy priorities are implemented.
- ☐ Manages clearance of new grant award funding slates.
- ☐ Consults with offices on non-competing continuation (NCC) awards with a focus on substantial progress.
- ☐ Supports a learning culture, including serving as a co-lead of the Evidence Leadership Group.

Transition Top Priorities

- ☐ Review and potentially update or develop the Secretary's Supplemental Priorities.
- ☐ Decide whether to have grant competitions proceed as planned or make any changes.
- ☐ Decide whether to continue or revise approach to the issues in the NCC policy.
- ☐ Support a learning cycle across the Department.
- ☐ Consider whether to have a more standardized and transparent approach focused on outcomes for monitoring and oversight.



OPEPD – Office of Educational Technology (OET)

Primary Functions

- ☐ Develops and implements educational technology strategy within the Department and across government.
 - National Educational Technology Plan (NETP)
- ☐ Advises ED grant-making offices on the effective use of technology to support teaching and learning.

Transition Top Priorities

- ☐ Publish and promote the NETP update.
- ☐ Continue the Blockchain in Education project.
- ☐ Continue work to narrow the digital divide through the legacy Broadband Access workstream integrated with a skills and empowerment focus.
- ☐ Refine and continue work on artificial intelligence (AI) workstream.
- ☐ Create an EdTech optimization resource Library.
- ☐ Redevelop the Blog series into an EdTech in practice interview series.



OPEPD – Student Privacy Policy Office (SPPO)

Primary Functions

- ☐ Administers and enforces federal student privacy laws and provides guidance, technical assistance, and best practices.
 - Family Educational Rights and Privacy Act (FERPA).
 - Protection of Pupil Rights Amendment (PPRA).
 - Military recruiter amendments.
- ☐ Manages the Department's Privacy Program, led by the Senior Agency Official for Privacy.
 - Responsible for compliance with privacy requirements and managing privacy risks.
 - Manages the Department's Disclosure Review Board and Privacy Incident Response Team.

Transition Top Priorities

- ☐ Publish revised FERPA and PPRA regulations.
- ☐ Improve SPPO's capacity by hiring additional staff.
- ☐ Continue privacy safeguards transition and capacity building.
- ☐ Update standard operating procedures (SOPs).
- ☐ Develop a new correspondence/complaint tracking system.



OPEPD – Office of the Chief Data Officer (OCDO)

Primary Functions

- ☐ Responsible for ED's lifecycle data management, developing and enforcing data governance policy.
- ☐ Implements data infrastructure and provides expertise to support high quality data analysis and evaluation.
- ☐ Administers the Department's Data Governance Board (DGB).
- ☐ Oversees ED's information collections and approvals.
- ☐ Develops and executes ED's open data plan.

Transition Top Priorities

- ☐ Start the annual data collection for the Education Stabilization Fund and make scheduled updates to its Transparency Portal.
- ☐ Determine what updates or changes need to be made for the College Scorecard.
- ☐ Execute action plans on the Department's agency-wide Data Strategy.
- ☐ Continue to release data by Department priority through the Open Data Platform.



Resource Appendix

- OPEPD Homepage: <https://www2.ed.gov/about/offices/list/oeped/index.html>
- OPEPD Functional statement: https://www2.ed.gov/about/offices/list/om/fs_po/oeped/home.html
- OET: <https://tech.ed.gov/>
- SPPO: <https://www2.ed.gov/about/offices/list/oeped/sppo/index.html>
- Privacy Technical Assistance Center (PTAC): <https://studentprivacy.ed.gov/>
- Family Educational Rights and Privacy Act (FERPA): <https://studentprivacy.ed.gov/node/548/>
- Protection of Pupil Rights Amendment (PPRA): <https://studentprivacy.ed.gov/content/ppra>
- FERPA Guide for Parents:
https://studentprivacy.ed.gov/sites/default/files/resource_document/file/FERPAGuidanceForParents.pdf
- Foundations for Evidence-Based Policymaking Act of 2018: <https://www.congress.gov/bill/115th-congress/house-bill/4174/text>
- OCDO: <https://www2.ed.gov/about/offices/list/oeped/ocdo/index.html> and <https://www.ed.gov/data>
- Open Data Platform: <https://data.ed.gov/>
- College Scorecard: <https://collegescorecard.ed.gov/>
- Education Stabilization Fund Public Transparency Portal: <https://covid-relief-data.ed.gov>







Office of the Secretary (OS)

Overview

The Office of the Secretary (OS) is a staff office, as opposed to a program or grant making office, with 82 employees (63 career employees) as of November 30, 2020. OS comprises the six offices listed below, which are located on the 4th, 6th and 7th floors in the main building:

- Immediate Office of the Secretary
 - White House Liaison
 - Performance Improvement Officer
- Scheduling and Advance
- Executive Office
- Executive Secretariat
 - Correspondence Control Unit
 - FOIA Service Center
- Office of Non-Public Education
- International Affairs Office



OS FUNCTIONS

Office of the Secretary

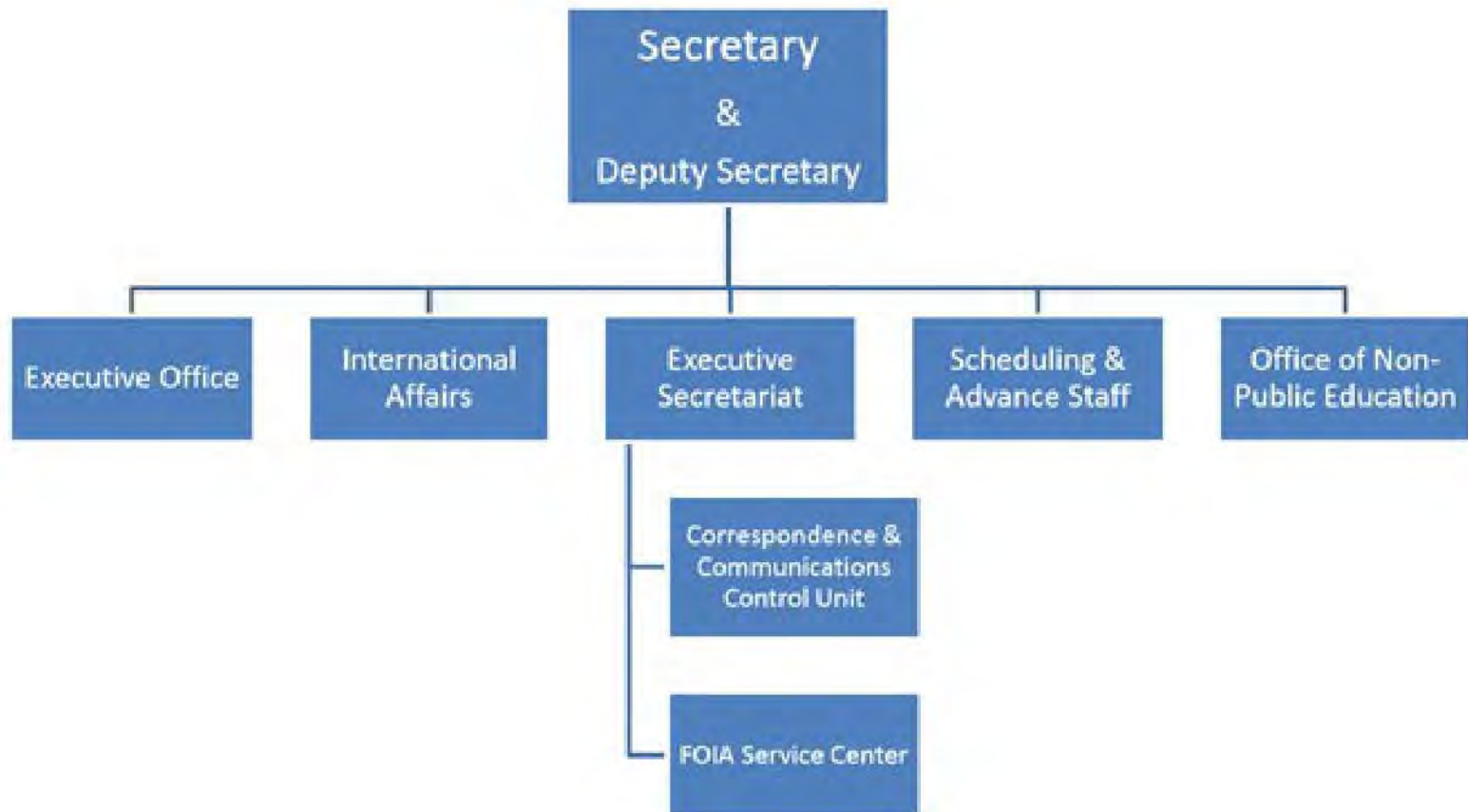
The Secretary:

- Responsible for the overall direction, supervision and coordination of all activities of the Department.
- Principal adviser to the President on Federal policies, programs and activities related to education in the United States.

The Deputy Secretary:

- Assists in the discharge of Secretarial duties and responsibilities.
- Serves as Chief Operating Officer for the Department.
- Acts on behalf of the Secretary with senior Department leaders to develop and execute effective management.
- Executes effective approaches to manage risk across Department's programs, grants, loans, contracts, and services.
- Serves as liaison to the Department's Office of Inspector General.

OS Organizational Chart



Immediate Office of the Secretary

- Provides direct advisory and logistical support to the Secretary and Deputy Secretary.
- OS reviews, and the Secretary decides, on appeals related to matters such as accreditor recognition, federal student aid, civil rights enforcement and funding for individuals with disabilities.
- Current senior staff positions include:
 - Chief of Staff
 - Deputy Chief of Staff for Operations
 - Special Counselor to the Secretary
 - Senior Adviser to the Deputy Secretary
 - Director, White House Liaison
 - Performance Improvement Officer

White House Liaison

- Manages the Department's political appointee portfolio.
- Liaises with the Office of Presidential Personnel.
- Works closely with the Department's Executive Officers and Executive Resources to bring political appointees on board.

Performance Improvement Officer

- Ensures the agency fulfils responsibilities as required by the Government Performance Results Act Modernization Act of 2010 which serves as a foundation for engaging leaders in performance improvement in achieving agency mission.
- Oversees 4-year strategic planning for the agency, development of 2-year agency priority goals, annual performance planning, and program performance improvement by facilitating goal setting, measurement of performance against those goals and reporting publicly on progress.

Scheduling and Advance Staff

- Responsible for managing the logistics and advance work for the Secretary's schedule, travel, and public appearances.
- Coordinates and prepares the Secretary's daily briefing book.
- Manages the Secretary's invitations in conjunction with the Executive Secretariat.
- Works closely with the Secretary's security detail on all events and travel.
- Takes the lead with White House Cabinet Affairs on White House invitations for meetings, events, and travel.

Executive Office

- Responsible for developing, coordinating, and implementing all internal administrative matters relating to the Office of the Secretary and the Office of the Under Secretary (OUS).
- Key responsibilities include personnel, budget, financial management, contracts, facilities, information technology and business analytics.
- Develops the annual Salaries and Expenses (S&E) Budget for OS and OUS.

Executive Secretariat

- Coordinates flow of documents to/from the Secretary, including items requiring the Secretary's approval or signature, and items that require Department-wide clearance.
- Serves as the Department's primary liaison to the Government Accountability Office (GAO).
- The Correspondence Unit manages the Secretary's correspondence, public email account, and official files for records administration purposes.
- The FOIA Service Center manages the Department's Freedom of Information Act (FOIA) program. The ES Director serves as the Chief FOIA Officer.

Executive Secretariat

FY2020 Volume At A Glance

- Correspondence - nearly 12,000 controls.
- Secretary's Emails - 84,000 emails to Secretary's public email account.
- Policy Memoranda - 376 cleared, finalized, and OS approved.
- GAO - 60 open GAO studies at year end, with 42 studies initiated and 29 studies completed.
- Clearances - 489 documents ED-wide
- OS FOIA - 179 new FOIA requests; 230 FOIA responses closed.
 - Trend: Since FY16, OS has seen an average 157% increase in FOIA requests and increased FOIA processing by an average 79%.
- ED FOIA - FY19-20 incoming FOIA requests: -2.6% from 2,448 to 2,384. Processed: +7% from 2,368 (FY19) and 2,537 (FY20). 52 new Appeals received; 82 processed.
 - Trend: Average volume of overall incoming FOIA requests have increased 8% since FY16; processing has increased by 9.6%.

Office of Non-Public Education

- Serves as the Department's liaison to the non-public school community, including independent, faith-based, and home schools.
- Fulfills statutory mission to maximize the participation of private school students and teachers in all Federal education programs for which they are eligible.
- Advises the Secretary and other senior officers on policies, programs, and initiatives regarding nonpublic education and the participation of private school students and teachers in federal education programs.

Office of Non-Public Education

- Provides technical assistance and outreach to state and local education agencies, ESEA State ombudsmen, and private school officials involved with the administration of equitable services under ESEA, IDEA, Disaster Relief Programs, CARES Act, and other federal education programs.
- Develops guidance, regulations, and other resources regarding the participation of private school students and teachers in federal education programs.
- Facilitates communication among national and state private school leaders and the Secretary and other senior officers.
- Hosts annual National Private School Leadership Conference.
- Collaborates with other federal agencies in the provision of services and programs for private school students and teachers.

International Affairs Office

- Advises the Secretary, the Deputy Secretary, and other Senior Officers on international issues and initiatives that may affect U.S. education or the Department's policies and programs.
- Leads and manages the Department's international engagements while working with senior leadership and Principal Offices to develop and oversee the Department's international strategy.
- To carry out the Department's international activities, IAO works closely with other Federal agencies, international organizations, educational stakeholders, and ministries of education in other countries.

International Affairs Office

- Coordinates ED's bilateral engagement, including Memoranda of Understanding with individual countries.
- Leads ED's participation in multilateral forums (e.g., APEC, G7, G20, OAS, OECD, UN), including education ministerial meetings.
- Facilitates knowledge-sharing activities (e.g., seminars, study visits) to promote learning from and with other countries on priority topics.
- Coordinates briefings for international visitors and supports the Secretary and other senior officials when meeting with foreign dignitaries (e.g., ministers).
- Leads engagement on matters related to academic mobility, such as international students, study abroad and degree recognition.
- Manages ED's participation in International Education Week.
- Reviews, coordinates and provides guidance on all ED official international travel.
- Works closely with other federal agencies (e.g., State, Labor, USAID).

International Affairs Office

- The Department's engagement is largely guided by its international strategy, which has three objectives:
 - Increase global and cultural competencies of all U.S. students
 - Learn from and with other countries to strengthen U.S. education
 - Engage in education diplomacy to advance U.S. international priorities
- It may be necessary to update the international strategy and related activities to reflect new goals and priorities for international engagement.

OS Budget at a Glance

FY 20 Salaries & Benefits:	\$12,292,000
FY 20 Non-Pay:	\$10,463,000
FY 20 Total:	\$22,755,000

FY 21 Salaries & Benefits (request)	\$12,239,000
FY 21 Non-Pay (request)	\$ 5,146,000
FY 21 Total:	\$17,385,000

OSERS 101

OFFICE OF THE ASSISTANT SECRETARY

Becca Walawender
OSERS Director of Policy and Planning

Melanie Winston
Executive Officer

OFFICE OF SPECIAL EDUCATION PROGRAMS

David Cantrell
OSEP Deputy Director
OSERS Career Successor

Gregg Corr
Monitoring and State Improvement Planning Director

Larry Wexler
Research to Practice Director

REHABILITATION SERVICES ADMINISTRATION

Carol Dobak
Acting Deputy Commissioner
State Monitoring and Program Improvement Director

Mary Lovley
Training and Services Programs Director

OSERS Mission and Vision

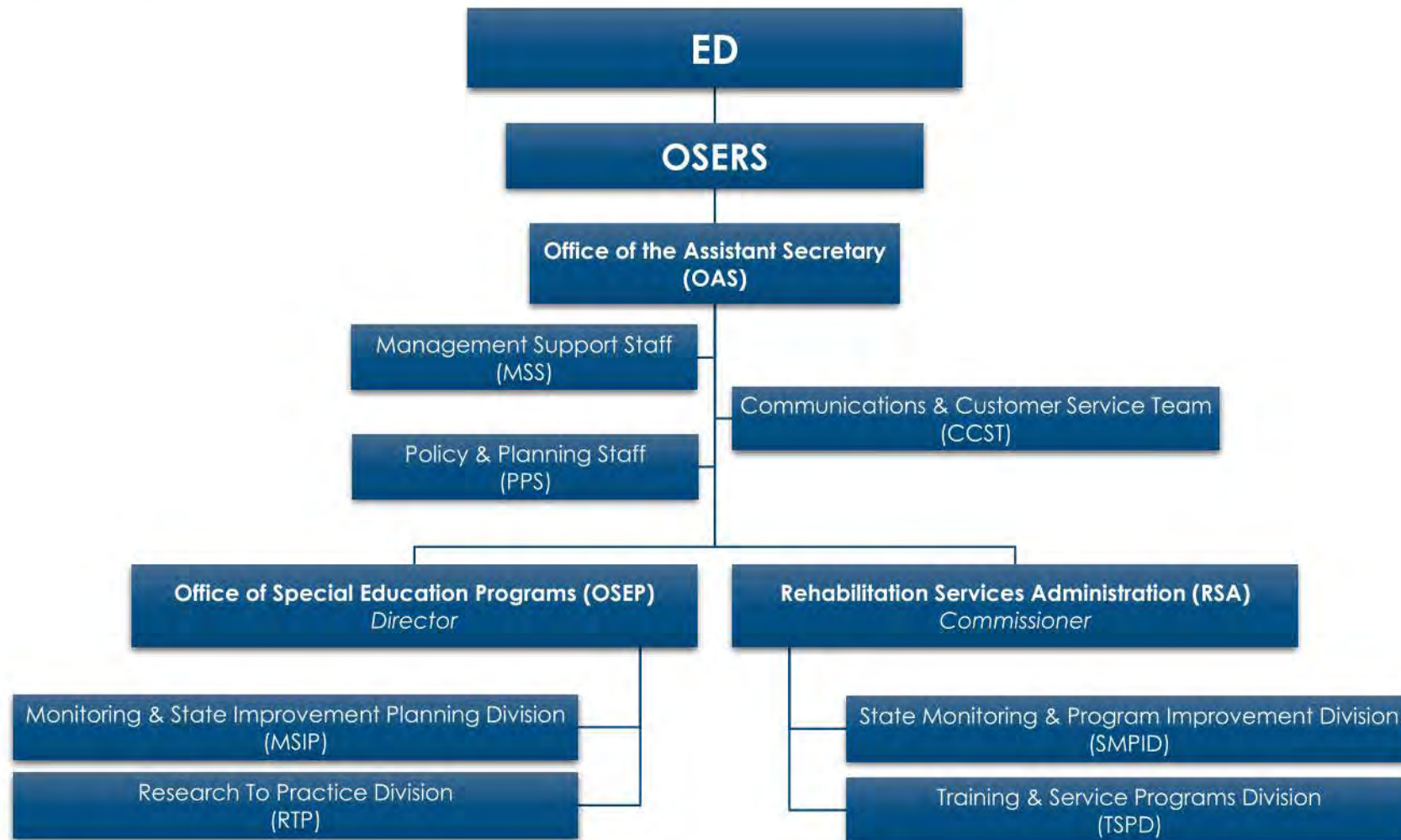
Our Mission

*To improve early childhood, educational, and employment outcomes
and raise expectations for all people with disabilities,
their families, their communities,
and the nation.*

Our Vision

*All Americans with disabilities
will live and thrive with their disabilities
in their own communities.*

Abbreviated Organization Chart



Get to Know Us: Facts and Figures

	2020 Appropriation (in thousands)	Population Served	Workforce Size*
Special Education	\$13,885,228	7.5 million, birth through 21	84
Rehabilitation Services	\$3,672,446	1 million+, 14 and older	63
American Printing House for the Blind	\$32,431	All ages, including 57,031 students with visual impairments	1**
National Technical Institute for the Deaf	\$79,500	1,005, 18 and older	1**
Gallaudet University	\$137,361	1,722, 18 and older	1**
Helen Keller National Center	\$16,000	4,400, individuals, families, and agencies	1**

*OSERS employees. OSERS also includes the Office of the Assistant Secretary (OAS), which has 27 employees.

** One employee manages APH, NTID, Gallaudet University, and HKNC

Get to Know Us: Office of Special Education Programs (OSEP)

- ▶ OSEP empowers and assists States and localities to improve outcomes for children with disabilities, birth through 21, and their families, by ensuring access to fair, equitable, and high-quality education and services.
- ▶ OSEP administers the Individuals with Disabilities Education Act (IDEA)
 - Part B:** Formula grants for State education agencies for preschool and school-age children and youth.
 - Part C:** Formula grants to lead agencies (e.g., State departments of health) for the infants and families program.
 - Part D:** Discretionary grants to institutions of higher education and non-profit organizations to support technical assistance and dissemination, technology, personnel preparation, and parent-training and information centers, and grants to States for personnel development.

Get to Know Us: Rehabilitation Services Administration (RSA)

- ▶ RSA provides leadership and resources to assist States and other agencies in providing vocational rehabilitation (VR) and other services to individuals with disabilities to maximize their employment, independence, and integration into the community and the competitive labor market.
- ▶ RSA administers:
 - The Rehabilitation Act of 1973 as amended by the Workforce Innovation and Opportunity Act (WIOA)
 - The Randolph-Sheppard Act provides persons who are blind with employment and self-support through the operation of vending facilities on Federal and other property
- ▶ RSA is one of six core programs of the workforce development system, as recognized by Congress in WIOA.

Get to Know Us: Special Institutions

OSERS also administers...

► **The Education of the Deaf Act, which supports:**

- Gallaudet University, a federally chartered, private, non-profit educational institution providing elementary, secondary, undergraduate, and continuing education programs for persons who are deaf.
- The National Technical Institute for the Deaf (NTID), which offers a variety of technical programs at the certificate, diploma and associate degree levels to students who are deaf.

► **The Act to Promote Education of the Blind, which supports:**

- The American Printing House for the Blind (APH), to provide high-quality educational materials to legally blind persons enrolled in educational or vocational training programs below the college level so that these students may benefit more fully from their educational programs.

► **The Helen Keller National Center Act, which supports:**

- The Helen Keller National Center (HKNC), to provide referral, employment and independent living skills training, counseling, and transition assistance for individuals who are deafblind and their families, and technical assistance and training for service providers.

Providing Critical Support at a Critical Time

► Individuals with Disabilities in the Labor Force

- In 2019, 19 percent of the population of persons with a disability (ages 16 and older) were employed, compared to 66 percent of those without a disability. Of those employed workers, 32 percent of workers with a disability were employed part-time compared to 17 percent for those with no disability. In 2019, the employment-population ratio for persons with a disability was 19 percent, roughly the same as 2018.
- A large proportion of persons with a disability—about 8 in 10—were not in the labor force in 2019, compared with about 3 in 10 of those with no disability.

► Serving Infants and Toddlers with Disabilities and Their Families

- In SY 2018-2019, there were over 410,000 infants and toddlers (birth through 2) served under IDEA Part C. This is an increase of 37% since 2005. OSEP anticipates implementing model demonstration projects in FY 2021 focused on increasing the identification of infants, toddlers, and young children with disabilities.

► Disseminating Information During the Pandemic

- OSERS investments enhanced their dissemination of technical assistance during the pandemic. The technical assistance centers developed evidence-based tools, briefs, strategies and training modules to support. OSEP is also actively engaged with OESE and IES on the curation and dissemination of COVID-related resources.

► Greater access to and participation in the general education curriculum

- In SY 2018–19 nearly 95% of children with disabilities were educated inside the regular class for a portion of the day. Almost 64% of CWDs are spending 80% or more of their day in the regular class, up from 31% in 1989

► More SWDs exiting high school by graduating with a regular high school diploma

- In SY 2018–19, over 72% of students with disabilities (SWD) exiting school graduated with a regular high school diploma. This is a 26% increase since SY 2005–2006 when only 57% of SWDs graduated with a regular high school diploma

► More SWDs participating in the NAEP

- Since 2009, more SWDs are participating in 4th and 8th grade NAEP assessments in reading and math. This is a key metric for holding students with disabilities to high standards

► Part D investments contribute to improved outcomes

- Positive Behavioral Interventions and Supports (PBIS), a framework for establishing behavioral and social supports for all students, fosters improved school climates, decreases in antisocial behavior (e.g., bullying), reductions in suspensions and expulsions, and improved academic achievement. Data indicate a significant decrease in office discipline referrals when PBIS is employed. This translates into increased instructional time and better academic outcomes
- During the March-May pandemic period, the OSEP-funded BOOKSHARE Center reported 323,000 accessible books were downloaded to individual registered members unable to read standard print, thus providing access to instruction. During that same period BOOKSHARE doubled their registration of new users from 24,000 in 2019 to 48,000 for a total of 425,000 members
- The IRIS Center translates research to practice so that educators, faculty, and service providers have the knowledge and skills to use, and train in the use of evidence-based practices to improve outcomes for all students, especially students with disabilities. In 2020, over 1.5 million users accessed IRIS products more than 3.5 million times.

Vocational Rehabilitation Works...

► Effective career and training services

- In Program Year (PY) 2019, Vocational Rehabilitation (VR) agencies provided services to 872,862 VR program participants. In PY 2019, 80 percent of these individuals received Career Services and 30 percent received Training Services.

► Improved employment outcomes

- In PY 2019, VR agencies assisted 128,892 individuals achieve competitive integrated employment outcomes.
- Of those participants achieving employment outcomes in PY 2019, the median hourly wage was \$12 per hour and individuals worked a median of 30 hours per week
- In PY 2019, the employment rate in the second quarter after exit, for individuals who exited the VR program in PY 2018, was 51.3% while the employment rate in the fourth quarter after exit, for individuals who exited the VR program in calendar year 2018, was 43.6%.

► Improved Measurable Skill Gains

- From PY 2017 to PY 2019, the Measurable Skill Gains (MSG) rate for the VR program improved from 21.1 percent to 31.4 percent. In the same period, the number of participants who earned an MSG increased nearly 50 percent from 43,496 participants to 80,988 participants

► Increase in pre-employment transition services

- From PY 2017 to PY 2019, the number of students with disabilities receiving pre-employment transition services grew by 38 percent from 179,716 to 247,926 students with disabilities. The number of pre-employment transition services VR agencies provided grew by 80 percent from 747,837 to 1,339,877 over the three-year period.

Recent Major Programmatic Accomplishments

► Results Driven Accountability Reworked

- **SPP/APR:** elevate parent voice, meaningful stakeholder engagement, laser focused on improved outcomes
- **Determinations:** exploring options
- **DMS 2.0:** 3-year phased approach, cohorts grouped in 5-year cycle

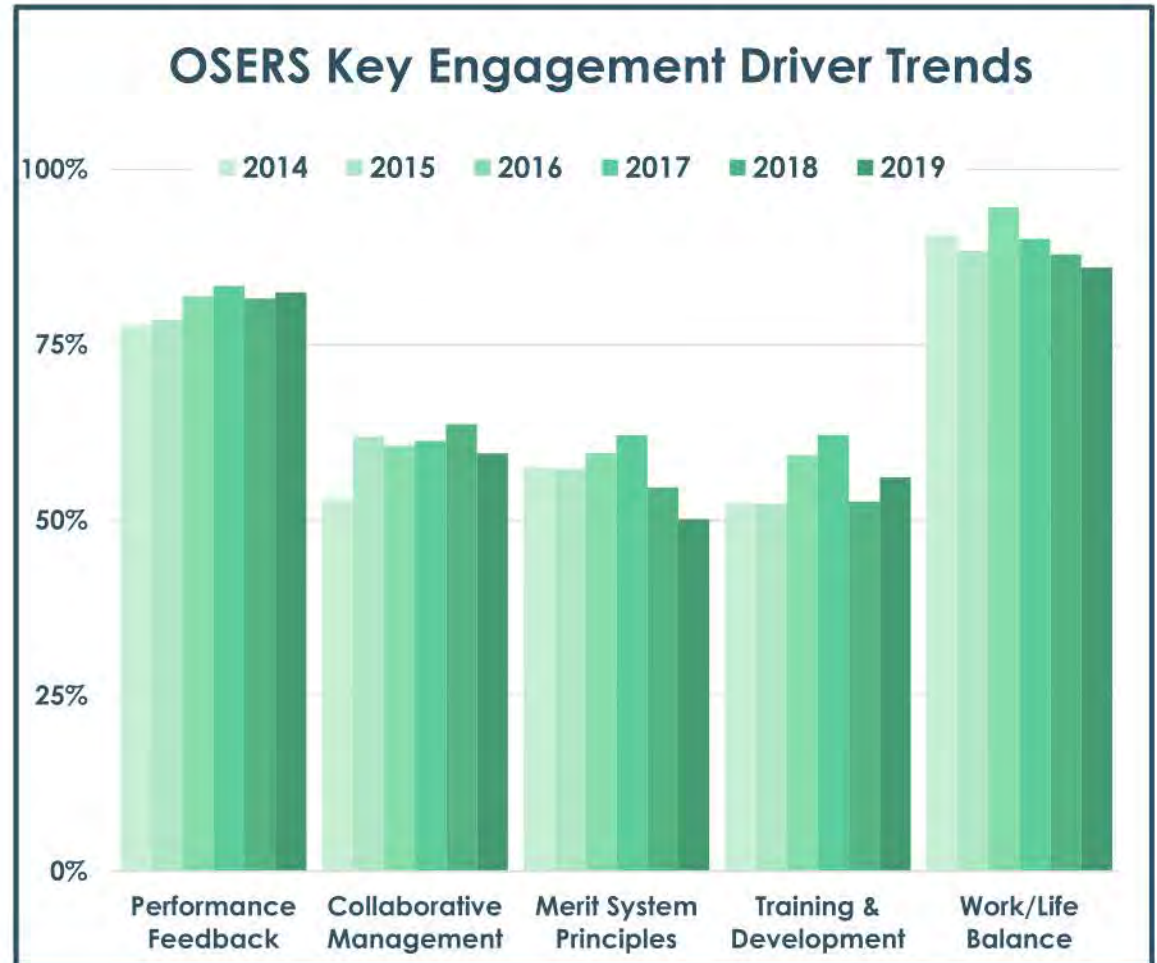
► RSA Sub-Regulatory Guidance

- NOI **providing flexibility to VR agencies** in the use of funds reserved for pre-employment transition services
- Policy statement and FAQs **granting prior approval for two direct cost categories**
- Letter on **reinforcing the importance** of collaboration between special education and vocational rehabilitation related to **secondary transition**
- FAQs related to **implementing RSA programs in the COVID-19 environment**

Recent Major Management Accomplishments

OSERS has made major strides in:

- ▶ building capacity in succession planning to ensure continuity in leadership, vision, and institutional knowledge
- ▶ providing targeted training to staff and management
- ▶ improving its hiring practices to fill vacancies with highly qualified candidates
- ▶ using data from the Federal Employee Viewpoint Survey (FEVS) to drive its employee engagement plans
- ▶ Empowering staff through increased involvement on internal and external working groups



What We're Doing Now

1. Focusing on strategies to attract, prepare, and retain effective personnel

Who owns it: OSEP

Goal: Ensure that children with disabilities are served by general and special education teachers, early intervention and early childhood personnel, and related services providers who have the knowledge and skills needed to provide effective instruction, interventions, supports, and services to children with disabilities and their families.

Current stage: OSEP has provided research, technical assistance and resources for stakeholders to explore potential strategies and innovative approaches to address this critical need. Activities to date included a symposia series, national summit, webinars, virtual meetings and strategic discretionary investments.

2. Improving competitive integrated employment opportunities for individuals with disabilities

Who owns it: RSA

Goal: To assist State VR agencies and stakeholders to focus on competitive integrated employment and informed choice for individuals with disabilities.

Current stage: RSA has been meeting with VR agencies and stakeholders to determine if clarification is needed to existing guidance. Redesigning VR program monitoring with the goal of developing a process that is more meaningful and beneficial for RSA and State VR agencies and fosters quality employment for individuals with disabilities. **(continued...)**

What We're Doing Now *(continued...)*

3. Improving college and career outcomes for students with disabilities through coordinated and collaborative secondary transition work

Who owns it: OSEP and RSA

Goal: To ensure that youth are college and career ready.

Current stage: Promoting coordination between State education agencies and State VR agencies to improve transition services, including pre-employment transition services, for students and youth with disabilities.

4. OSERS fiduciary responsibilities

Who owns it: OSEP and RSA

Goal: To ensure that funds are used legally and effectively to support individuals with disabilities, and to support States in ensuring accountability for Federal funds.

Current stage: OSEP and RSA have dedicated teams charged with fiscal oversight and protecting the Federal interest. OSERS manages audit accountability processes to ensure timely and effective audit resolution.

What We're Doing Now: GAO and Inspector General Audits

GAO Studies:

Lead

- ▶ Distance Learning for Students with Disabilities & English Language Learners during COVID-Related School Closures.
- ▶ Testing Accommodations for Students with Disabilities.

Program Impacted

- ▶ Career and Tech Ed Promising Practices
- ▶ Virtual Charter Schools
- ▶ Pandemic Learning Loss
- ▶ Digital Divide

OIG Audits:

- ▶ The Administration of Vocational Rehabilitation Grants in Puerto Rico.
Status: Resolution in progress.
- ▶ OIG is close to issuing a final report on IEPs in virtual charter schools in Pennsylvania.

Stakeholder Engagement

OSEP

Maintains robust collaborative relationships to advance IDEA programs, and to seek input and feedback:

- OESE, IES, OCTAE, OET
- HHS
- NASDSE and ITCA
- Parent Organizations
- Disability Rights and Advocacy Organizations
- Institutes of Higher Education
- Non-profit organizations
- Grantees

These relationships contribute to the effective administration of IDEA and improved outcomes for infants, toddlers, children and youth with disabilities and their families.

RSA

Engages with a wide variety of Federal agencies, grantees, and stakeholders to improve VR services and competitive integrated employment outcomes for individuals with disabilities:

- OSEP and OCTAE
- Labor — ETA, ODEP, and WHD
- HHS — ACL
- CSAVR and NCSAB
- Consumer Organizations

This engagement promotes collaboration at the State and local levels and informs technical assistance.

OSERS

Office of Special Education and Rehabilitative Services

U.S. Department of Education