

Department of Education
INSTITUTE OF EDUCATION SCIENCES
Fiscal Year 2013 Budget Request

CONTENTS

	<u>Page</u>
Appropriations Language	X-1
Analysis of Language Provisions and Changes.....	X-2
Amounts Available for Obligation	X-3
Obligations by Object Classification	X-4
Summary of Changes	X-5
Authorizing Legislation	X-6
Appropriations History.....	X-7
Significant Items in FY 2012 Appropriations Reports.....	X-8
Summary of Request	X-11
Activities:	
Research, development, and dissemination	X-13
Statistics.....	X-26
Regional educational laboratories	X-42
Assessment	X-47
Research in special education.....	X-56
Statewide data systems	X-63
Special education studies and evaluations	X-70

INSTITUTE OF EDUCATION SCIENCES

For carrying out activities authorized by the Education Sciences Reform Act of 2002, the National Assessment of Educational Progress Authorization Act, section 208 of the Educational Technical Assistance Act of 2002, and section 664 of the Individuals with Disabilities Education Act, [\$594,788,000] \$621,150,000, which shall remain available through September 30, [2013]2014:¹ *Provided*, That funds available to carry out section 208 of the Educational Technical Assistance Act may be used to link Statewide elementary and secondary data systems with early childhood, postsecondary, and workforce data systems, or to further develop such systems:² *Provided further*, That up to [\$11,000,000] \$26,000,000 of the funds available to carry out section 208 of the Educational Technical Assistance Act may be used for awards to public or private organizations or agencies to support activities to improve data coordination, quality, and use at the local, State, and national levels.³ (*Department of Education Appropriations Act, 2012.*)

NOTE

Each language provision that is followed by a footnote reference is explained in the Analysis of Language Provisions and Changes document which follows the appropriation language.

INSTITUTE OF EDUCATION SCIENCES

Analysis of Language Provisions and Changes

Language Provision	Explanation
<p>¹ [\$594,788,000] \$621,150,000, to remain available through September 30, [2013] <u>2014</u>:</p>	<p>This proposed language provides 2-year availability of funds for the account. This language is needed to facilitate the planning of long-term programs of research and to accommodate cyclical surveys and assessments.</p>
<p>² <i>Provided</i>, That funds available to carry out section 208 of the Educational Technical Assistance Act may be used to link Statewide elementary and secondary data systems with early childhood, postsecondary, and workforce data systems, or to further develop such systems</p>	<p>This language continues the authority provided in 2012 to use funds to expand State data systems to include postsecondary and workforce information and information on early childhood.</p>
<p>³ <i>Provided further</i>, That up to [\$11,000,000] \$26,000,000 of the funds available to carry out section 208 of the Educational Technical Assistance Act may be used for awards to public or private organizations or agencies to support activities to improve data coordination, quality, and use at the local, State, and national levels.</p>	<p>This language continues the authority provided in 2012 to make awards to agencies and organizations in addition to State educational agencies in order to further the purposes of the program.</p>

INSTITUTE OF EDUCATION SCIENCES

Amounts Available for Obligation
(dollars in thousands)

Appropriations and Adjustments	2011	2012	2013
Discretionary appropriation:			
Annual appropriation	\$610,006	\$594,788	\$621,150
Across-the-board reduction (P.L. 112-10)	-1,220	0	0
Across-the-board reduction (P.L. 112-74)	<u>0</u>	<u>-1,124</u>	<u>0</u>
Subtotal, discretionary appropriation	608,786	593,664	621,150
Unobligated balance, start of year	22,840	61,511	23,624
Recovery of prior-year obligations	7,503	0	0
Unobligated balance expiring	-30	0	0
Unobligated balance, end of year	<u>-61,511</u>	<u>-23,624</u>	<u>-19,039</u>
Subtotal, direct obligations,	577,589	631,551	625,735
Total, direct obligations	577,589	631,551	625,735

INSTITUTE OF EDUCATION SCIENCES

Obligations by Object Classification
(dollars in thousands)

Object Class	2011	2012	2013
Personnel compensation and benefits:			
Personnel compensation:			
Full-time permanent	\$842	\$922	\$939
Other than full-time permanent	903	1,041	1,061
Awards.....	25	25	25
Civilian personnel benefits.....	<u>457</u>	<u>501</u>	<u>514</u>
Subtotal	2,227	2,489	2,539
Travel	229	236	236
Transportation of things.....	0		
Rent.....	144	215	215
Communications, utilities, and misc.	3	13	9
Printing and reproduction	444	454	454
Other contractual services:			
Advisory and assistance services	28,098	28,021	26,909
Peer review	4,936	4,750	5,000
Other services	231,143	239,941	243,128
Training	3	5	3
Purchases of goods and services from Government accounts.....	155	143	174
Research and development contracts	68,869	99,109	95,849
Operation/maintenance of facilities.....			
Operation/maintenance of equipment	25	45	63
Information technology services/contracts	<u>813</u>	<u>786</u>	<u>785</u>
Subtotal	334,042	372,800	371,911
Supplies and materials	35	30	30
Equipment	251	235	235
Building alterations	0	100	0
Interest and dividends	1	0	0
Grants, subsidies, and contributions.....	<u>240,213</u>	<u>254,979</u>	<u>250,106</u>
Total, obligations	577,589	631,551	625,735

INSTITUTE OF EDUCATION SCIENCES

Summary of Changes
(dollars in thousands)

2012	\$593,664
2013	<u>621,150</u>
Net change.....	+27,486

Increases:	<u>2012 base</u>	<u>Change from base</u>
<u>Program:</u>		
Increase for Research, Development, and Dissemination to conduct additional research, development, dissemination, and evaluation activities.	\$189,787	+\$12,486
Increase for Statistics to allow NCES to collect State-level Program for International Student Assessment data.	108,748	+6,000
Increase for Statewide Data Systems to provide funding to support postsecondary data initiatives designed to improve information on students as they progress from high school to postsecondary education and the workforce.	38,077	<u>+15,000</u>
Subtotal, increases		+33,486
 Decreases		
<u>Program:</u>		
Decrease for National Assessment to reflect need to focus the program on key assessments	129,616	-5,000
Decrease for National Assessment Governing Board to reflect need to focus on key activities	<u>8,690</u>	<u>-1,000</u>
Subtotal, decreases		-6,000
Net change		+27,486

INSTITUTE OF EDUCATION SCIENCES

Authorizing Legislation
(dollars in thousands)

Activity	2012 Authorized	2012 Estimate	2013 Authorized	2013 Request
Research and Statistics				
Research, development, and dissemination (ESRA, parts A, B, and D, except section 174)	0 ^{1,2}	\$189,787	0 ²	\$202,273
Statistics (ESRA, part C)	0 ^{1,2}	108,748	0 ²	114,748
Regional educational laboratories (ESRA, section 174)	0 ²	57,426	0 ²	57,426
Assessment				
National Assessment of Educational Progress (NAEPAA, section 303)	0 ²	129,616	0 ²	124,616
National Assessment Governing Board (NAEPAA, section 302)	0 ²	8,690	0 ²	7,690
Research in special education (ESRA, part E)	Indefinite ³	49,905	0 ³	49,905
Statewide data systems (ETAA, section 208)	0 ²	38,077	0 ²	53,077
Special education studies and evaluations (IDEA, section 664)	<u>Indefinite³</u>	<u>11,415</u>	<u>0³</u>	<u>11,415</u>
Total definite authorization	0		0	
Total appropriation (request not authorized)				
Portion of request subject to reauthorization		0		0
Portion of request not authorized		593,664		621,150

¹ Section 194(a) of the Education Sciences Reform Act provides that not more than the lesser of 2 percent of the amount appropriated to carry out the Act (except the Regional Educational Laboratories) or \$1,000 thousand shall be made available for the National Board of Education Sciences and that the National Center for Education Statistics shall be provided not less than its fiscal year 2002 amount (\$85,000 thousand).

² The GEPA extension expired September 30, 2009. The program is proposed for authorization in FY 2013 under appropriations language.

³ The GEPA extension expired September 30, 2011. The program is proposed for authorization in FY 2013 under appropriations language.

INSTITUTE OF EDUCATION SCIENCES

Appropriations History (dollars in thousands)

Year	Budget Estimate to Congress	House Allowance	Senate Allowance	Appropriation
2003	\$432,923	\$397,887	\$397,387	\$447,956
2004	375,915	500,599	532,956	475,893
2005	449,621	526,804	536,804	523,233
2006	479,064	522,696	529,695	517,468
2007	554,468	N/A ¹	N/A ¹	517,485
2008	594,262	535,103	589,826	546,105
2009	658,247	615,747 ²	642,442 ²	617,175
Recovery Act Supplemental (PL 111-5)	0	250,000	0	250,000
2010	689,256	664,256	679,256 ³	659,006
2011	738,756	659,006 ⁴	722,756 ⁵	608,786
2012	760,473	620,903 ⁶	609,788	593,664
2013	621,150			

¹ This account operated under a full-year continuing resolution (P.L. 110-5). House and Senate Allowance amounts are shown as N/A (Not Available) because neither body passed a separate appropriations bill.

² The levels for the House and Senate allowances reflect action on the regular annual 2009 appropriations bill, which proceeded in the 110th Congress only through the House Subcommittee and the Senate Committee.

³ The level for the Senate allowance reflects Committee action only.

⁴ The level for the House allowance reflects the House-passed full-year continuing resolution.

⁵ The level for the Senate allowance reflects Committee action only.

⁶ The level for the House allowance reflects an introduced bill; the level for the Senate allowance reflects Senate Committee action only.

INSTITUTE OF EDUCATION SCIENCES

Significant Items in FY 2012 Appropriations Reports

Research on Academic Achievement of Students with Mental, Emotional, and Behavioral Disorders

Senate: Report 112-084. The Committee commends IES's attempts to improve the utilization of education research and to enhance classroom practices and collaborations between researchers and practitioners. The Committee believes more needs to be done, particularly with regard to research intended to improve academic achievement for students with mental, emotional and behavioral disorders as well as physical, intellectual and developmental disabilities. The Committee requests that IES describe its current and planned activities in these areas in the fiscal year 2013 congressional budget justification.

Response: The request for the Research in Special Education provides the requested information.

Strengthening Connections Between Practitioners and the Research Community

Senate: The Committee appreciates the efforts of IES to strengthen the connections between practitioners and the research community, so that federally supported research is practical and meets the needs of the field. The Committee requests that IES describe in the fiscal year 2013 congressional budget justification its efforts in this area, as well as how IES measures the extent of progress being achieved.

Response: The request for the Regional Educational Laboratories provides the requested information.

Statistics

Senate: Report 112-84. The Committee recommendation includes sufficient resources for NCES to update the report, Condition of America's Public School Facilities: 1999. The Committee expects a First Look report on this topic to be published in calendar year 2013.

Response: IES is developing plans for producing this report and anticipates completing the report in late 2013 or early 2014.

Statewide Data Systems

Senate: Report 112-84. The Committee bill allows up to \$12,500,000 to be used for awards to public or private agencies or organizations to support activities to improve data coordination, quality and use at the local, State and national levels. The Committee requests that, prior to obligating any funds for this purpose, the

INSTITUTE OF EDUCATION SCIENCES

Department provide to the Committee an operating plan describing the proposed purpose and use of such funds.

Response: The Department will comply with this request.

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U.S. DEPARTMENT OF EDUCATION FISCAL YEAR 2013 PRESIDENT'S BUDGET

(in thousands of dollars)						
Account, Program and Activity	Category Code	2011 Appropriation	2012 Appropriation	2013 President's Budget	2013 President's Budget Compared to 2012 Appropriation	
					Amount	Percent
<i>Institute of Education Sciences</i>						
1. Research and statistics:						
(a) Research, development, and dissemination (ESRA I-A, B and D)	D	199,796	189,787	202,273	12,486	6.579%
(b) Statistics (ESRA I-C)	D	108,304	108,748	114,748	6,000	5.517%
2. Regional educational laboratories (ESRA section 174)	D	57,535	57,426	57,426	0	0.000%
3. Assessment (NAEPAA):						
(a) National assessment (section 303)	D	129,861	129,616	124,616	(5,000)	-3.858%
(b) National Assessment Governing Board (section 302)	D	8,706	8,690	7,690	(1,000)	-11.507%
Subtotal		138,567	138,306	132,306	(6,000)	-4.338%
4. Research in special education (ESRA I-E)	D	50,983	49,905	49,905	0	0.000%
5. Statewide data systems (ETAA section 208)	D	42,166	38,077	53,077	15,000	39.394%
6. Special education studies and evaluations (IDEA, section 664)	D	11,437	11,415	11,415	0	0.000%
Total	D	608,786	593,664	621,150	27,486	4.630%

NOTES: -Category Codes are as follows: D = discretionary program; M = mandatory program.
 -Detail may not add to totals due to rounding.

INSTITUTE OF EDUCATION SCIENCES

Summary of Request

The Institute of Education Sciences (IES) supports research, data collection and analysis activities, and the assessment of student progress. The Administration requests \$621.2 million for this account for fiscal year 2013, an increase of \$27.5 million over the 2012 level.

The Administration requests \$202.3 million for research, development, and dissemination, an increase of \$12.5 million over the 2012 level. The requested increase would support critical investments in education research, development, dissemination, and evaluation that provide parents, teachers, and schools with evidence-based information on effective educational practice. The request would enable IES to invest in new grants under existing programs of research and development in areas where our knowledge of learning and instruction is inadequate. The request for 2013 would also support ongoing dissemination activities including the What Works Clearinghouse, the Education Resources Information Center, and the National Library of Education.

An increase of \$6.0 million over the 2012 level, to \$114.7 million, is requested for the Statistics program, which collects, analyzes, and reports data related to education at all levels. The request would allow the National Center for Education Statistics (NCES) to obtain State Program for International Student Assessment (PISA) data.

The Administration requests \$57.4 million for the Regional Educational Laboratories (REL) program. The requested funds would be used to support the second year of the 5-year REL contracts at the 2012 level. The RELs serve as a necessary bridge between education research and practice, with an emphasis on providing technical assistance on performing data analysis functions, evaluating programs, and using data from State longitudinal data systems for research and evaluation that addresses important issues of policy and practice.

The Administration requests \$132.3 million for Assessment in 2013, a decrease of \$6.0 million over the 2012 level. Of this amount, \$124.6 million would provide support for the National Assessment of Educational Progress (NAEP) and \$7.7 million would support the National Assessment Governing Board (NAGB). Funding would allow the Department to conduct 2013 reading and math assessments at grades 4, 8, and 12. The request also would fund preparations for future assessments and for continued analysis and reporting of assessments conducted prior to 2013.

The Administration requests \$49.9 million for Research in Special Education. The requested funds would maintain the 2012 level of support for new programs of research on families of children with disabilities and technology for special education, as well as ongoing programs of research, including research intended to improve the developmental outcomes and school readiness of infants, toddlers, and young children with disabilities; to improve educational outcomes in core subject areas for children with disabilities; and to improve social and behavioral outcomes.

The Administration requests \$53.1 million for the Statewide Data Systems program, an increase of \$15.0 million. The request would support awards to States to allow them to improve their data systems, including ensuring that information is available at the pre-school, postsecondary, and workforce levels in addition to kindergarten through grade 12. Pre-school data will allow researchers and educators to determine what practices are effective in helping children to be

INSTITUTE OF EDUCATION SCIENCES

Summary of Request

ready to learn; postsecondary and workforce data will provide information on whether students leave high school prepared for further education and work. Up to \$11.0 million would be used for awards to public and private agencies and organizations to improve data coordination, quality, and use at the national, State, and local levels, and \$15.0 million would allow the Department to support postsecondary data initiatives designed to improve information on students as they progress from high school to postsecondary education and the workforce.

The request includes level funding of \$11.4 million for Special Education Studies and Evaluations to support a new evaluation of Positive Behavioral Interventions and Supports, a school-wide approach to address problem behaviors and to provide continued support for ongoing studies, evaluations, and assessments related to the implementation of the Individuals with Disabilities Education Act (IDEA).

INSTITUTE OF EDUCATION SCIENCES

Research, development, and dissemination

(Education Sciences Reform Act of 2002, Parts A, B, and D)

(dollars in thousands)

FY 2013 Authorization: 0 ^{1,2,3}

Budget Authority:

<u>2012</u>	<u>2013</u>	<u>Change</u>
\$189,787	\$202,273	+\$12,486

¹ The GEPA extension expired September 30, 2009. The program is proposed for authorization in FY 2013 under appropriations language.

² The authorizing law provides that not more than the lesser of 2 percent of the amount appropriated to carry out the Education Sciences Reform Act (except the Regional Educational Laboratories) or \$1.0 million shall be made available for the National Board for Education Sciences (NBES).

³ The authorizing law requires that of the amount appropriated for the Education Sciences Reform Act (except the Regional Educational Laboratories), the National Center for Education Statistics shall be provided not less than its fiscal year 2002 amount (\$85,000 thousand).

PROGRAM DESCRIPTION

Authorized by the Education Sciences Reform Act (ESRA), the Institute of Education Sciences (IES) promotes excellence and equity in education by providing information needed to ensure that all students meet or exceed challenging academic standards and master skills they will need throughout their lives. Fiscal year 2013 will be the 10th anniversary of IES' first competition under the ESRA authority. In the past 10 years, IES has significantly expanded its investments in research and development that is both rigorous and relevant to the needs of educators and policymakers. As these investments have begun to yield promising and significant findings, IES has also transformed the way that the Federal Government disseminates research information, translating complex methodological and statistical details into materials that can be more easily accessed and applied to classroom instruction and policy decisions.

IES includes four national centers: the National Center for Education Research (NCER), the National Center for Education Statistics (NCES), the National Center for Education Evaluation and Regional Assistance (NCEE), and the National Center for Special Education Research (NCSE). The request for research, development, and dissemination includes activities in NCER and NCEE. The Director of IES is responsible for coordinating the activities of the centers, establishing and maintaining peer review standards, and ensuring that all publications are based on sound research. The National Board for Education Sciences (NBES), which is funded from this appropriation, is composed of leaders in business and public affairs as well as

INSTITUTE OF EDUCATION SCIENCES

Research, development, and dissemination

researchers and educators, approves priorities and peer review procedures, and provides guidance to IES.

NCER conducts sustained programs of scientifically rigorous research that will produce the knowledge on which more effective education practice can be based. Activities within NCER are organized around focal research topics such as reading and writing, early learning, mathematics and science education, effective teachers and effective teaching, and education systems and policies. Since 2002, IES has awarded over 700 grants and contracts to build a NCER research portfolio that includes national research and development centers, field-initiated research projects, research training projects, field-initiated evaluations of State and local programs and policies, and research on statistical and research methodology.

IES has taken a leadership role in promoting the use of experimental research designs to examine claims of causal relationships in education, but its investments are not limited to randomized controlled trials. For example, projects that employ experimental or quasi-experimental research designs to test whether or not programs, practices, and policies have positive impacts on the education outcomes currently represent almost 30 percent of the Education Research Grants program portfolio. An additional 46 percent of grant awards under this program have been for projects that explore factors affecting education outcomes, develop innovative approaches to improve these outcomes, or develop and validate instruments to measure progress on these outcomes. This research serves as the building blocks for experimental or quasi-experimental projects that are critical to establishing whether or not a particular approach or intervention *causes* positive or negative effects for the students it is designed to help. IES remains committed to supporting a broad range of research and development activities, while ensuring that it funds only projects that employ research designs and methods that are appropriate to the research question posed.

NCEE is responsible for evaluating the effectiveness of key Federal education programs and serves as a standards and validation body for education evaluations. To date, NCEE has launched over 30 studies designed to produce unbiased estimates of program impact on such topics as early literacy, mathematics, teacher quality, school choice, English learners, educational technology, afterschool programs, drug and violence prevention adult education, and mentoring. Most of these evaluations have been supported through evaluation set-asides or specific appropriations for evaluations under other programs. NCEE is also responsible for translating research findings into information that is accessible to education practitioners and for enhancing the use of research knowledge by policymakers and practitioners. Current NCEE dissemination programs are the What Works Clearinghouse, the Education Resources Information Center, and the National Library of Education. These programs work with NCES, NCER, and NCSER to promote and make accessible the results of their work.

INSTITUTE OF EDUCATION SCIENCES

Research, development, and dissemination

Funding levels for the past 5 fiscal years were as follows:

	(dollars in thousands)
2008	\$159,696
2009	167,196
2010	200,196
2011	199,796
2012	189,787

FY 2013 BUDGET REQUEST

The Administration requests \$202.2 million, an increase of \$12.5 million above the 2012 level, to support its investments in research, development, and evaluation to build a rich evidence base on what works and make this evidence more accessible to practitioners and policymakers. Despite decades of education research and the recent growth in research that explicitly addresses improving learning in areas such as reading and mathematics, there continue to be many unanswered questions about how children and adults learn in these areas and how best to support that learning. Continued investment in the long-term programs of research is necessary to accumulate empirical knowledge and develop theories that will ultimately result in improved academic achievement. The requested funds would enable the IES to sustain its efforts to develop and identify interventions and approaches that are effective for improving student learning and achievement from early childhood through postsecondary and adult education.

The Administration's request for 2013 would enable IES to invest approximately \$30.0 million in new awards in fiscal year 2013 across topic areas and types of research. The Administration's request for 2013 would restore this program to its 2010 funding level, which is critical for maintaining a regular cycle of research grant competitions and providing ongoing support for IES' dissemination efforts to ensure that evidence from research informs practice. The requested funds would also support a rigorous evaluation of two experiments to test whether expanding Pell grant eligibility to persons with Bachelor's degrees or who are participating in short-term training programs improves employment and earnings among unemployed adults.

In order to provide the flexibility IES needs to plan and administer a regular cycle of research competitions, the Administration requests that funding be available for 2 years, as it has been in previous years.

NCER Programs of Research

The requested funds would enable IES to support approximately \$30.0 million in new awards under the following NCER programs of research. This is roughly the amount IES expects to invest in new research and development projects in 2012.

IES funds research and research training through eight programs: Education Research Grants, Research Training Programs in the Education Sciences, National Research and Development Centers, Statistical and Research Methodology in Education, Evaluation of State and Local

INSTITUTE OF EDUCATION SCIENCES

Research, development, and dissemination

Education Programs and Policies, Reading for Understanding, Research Partnerships, and Small Business Innovation Research. The level of funding and number of grants in each grant program is based on the quality of applications received as rated by panels of scientists. IES expects to publish its Requests for Applications for fiscal year 2013 in February 2012 on its Web site at: <http://ies.ed.gov/funding/>.

Education Research Grants. Through the Education Research Grants program, IES invites applications each year for research on the following topics:

- Reading and Writing
- Mathematics and Science Education
- Cognition and Student Learning
- Effective Teachers and Effective Teaching
- Social and Behavioral Context for Academic Learning
- Early Learning Programs and Policies
- English Learners
- Postsecondary and Adult Education
- Education Technology
- Improving Education Systems: Organization, Management, and Policy

Although IES identifies broad areas of interest, the research grants competition is field-initiated, with the specific topics for research and methodologies proposed by the applicants. Panels of distinguished scientists review the proposals and then IES funds the very best proposals submitted.

Under each of these topics, IES supports a range of field-initiated research, development, and evaluation activities necessary for building a scientific enterprise that can provide solutions to the Nation's education challenges. *Exploratory research projects* uncover underlying processes and identify promising approaches to test. This research, although at times quite basic, is intended to inform the development of new and more powerful interventions. *Development and innovation projects* create potent and innovative interventions to address continuing problems that the Nation has not yet solved (e.g., the achievement gap) and emerging problems and challenges (e.g., integrating new technologies into effective classroom instruction). *Efficacy and replication projects* examine whether programs and policies actually produce positive effects on education outcomes, which need more work to become more potent or more robust, and which should be discarded. *Scale-up evaluation projects* determine whether a program or policy is effective when implemented under routine conditions (e.g. if a district implemented an intervention on its own without special support from the developer or research team). *Measurement projects* support research to develop and validate measurement instruments, which are needed for screening, progress monitoring, and outcome assessments.

Research Training. There are significant capacity issues within the education research community. In general, schools of education have not provided rigorous research training for doctoral students. While such training is often provided elsewhere in universities, such as in psychology departments, these training programs are seldom focused on topics in education, and students are pointed towards other careers and research topics. Through the Predoctoral and Postdoctoral training programs, IES supports grants to institutions of higher education to develop programs to train graduate students or researchers, respectively, who are prepared to conduct exploratory research, implement rigorous evaluation studies, develop and evaluate new

INSTITUTE OF EDUCATION SCIENCES

Research, development, and dissemination

products and approaches that are grounded in a science of learning, design and validate tests and measures, and contribute to the advancement of knowledge and theory in education.

National Research and Development Centers. The Education Sciences Reform Act requires that IES support not less than eight national research and development centers. Each center is to carry out research related to 1 or more of 11 research topics that the statute requires IES to address. Previous and current centers have produced research on topics such as policies regarding the hiring, compensation, certification, recruitment, retention, and assignment of teachers; strategies for improving education outcomes for English learners; school choice; and programs for improving behavioral and educational outcomes for youth in rural areas. IES also has centers that conduct directed research—for example, to modify mathematics and science curricula according to principles of learning derived from cognitive science and evaluate the impact of these curricula, and to develop “serious games” designed to challenge and motivate students, particularly underperforming ones, to participate and learn mathematics and science knowledge and skills. Information on all of the National Research and Development Centers is available on the IES Web site at: <http://ies.ed.gov/ncer/RandD/>.

Statistical and Research Methodology in Education. A critical aspect of IES’ mission is to provide education scientists with the tools they need to conduct rigorous applied research. This program of research supports the development of new statistical and methodological approaches, the extension and improvement of existing methods, and the creation of other tools that would enhance the ability of researchers to conduct the types of research that IES funds. IES encourages applications on a wide range of issues, such as improving the design and analysis of the evaluation of education interventions in order to increase the generalizability of studies or improving value-added models. IES also encourages research that addresses methods typically used in special education studies on low-incidence disabilities, such as single-case experimental designs. This program also supports the development of reference tools that would support the design of evaluations (e.g., estimates of intra-correlations for common achievement and behavioral measures reported by grade or estimates of typical gains across a wide variety of measures relevant to education and special education).

Evaluation of State and Local Education Programs and Policies. Evidence-based answers for all of the decisions that education policymakers and practitioners must make every day do not yet exist. Furthermore, education leaders cannot always wait for scientists to provide answers. One solution to this dilemma is for the education system to integrate rigorous research and evaluation into the core of its activities. IES believes that substantial improvements in student outcomes can be achieved if State and local educational agencies rigorously evaluate their education programs and policies. Through this program, IES provides resources to support rigorous evaluations of programs and policies that are selected and implemented by State or local educational agencies to improve student outcomes directly or indirectly, rather than interventions that are selected by researchers at institutions of higher education or research firms.

Research Partnerships. IES plans to initiate a new research program in 2013 to capitalize on the investment that has been made over the last decade and more in the development of statewide, longitudinal data systems. There is more to be done with regard to building these

INSTITUTE OF EDUCATION SCIENCES

Research, development, and dissemination

systems, but there is also a great need to maximize the use of the data systems to support reform and data-based decision making. For that to happen, the analytic capacity of the field to use the data must be improved. IES will seek applications for initial funding of research-school partnerships in which State and local educational agencies partner with researchers to use data to address local problems and issues. Grant funds would be used to carry out initial analyses of SLDS data to answer questions of interest to schools and districts involved in the partnership and to identify an important problem that the partnership would hope to solve with a longer term effort. The end product of initial funding through this program would be a well-designed research study around the problem identified, for which funding subsequently could be sought in a regular IES research grant competition.

Small Business Innovation Research. The Small Business Innovation Research (SBIR) program provides support for qualified small businesses to conduct innovative research and development projects. Under the SBIR program, small businesses can receive Federal support for the first two phases of research and development. Phase I awards are designed to determine the scientific or technical merit of ideas by testing the feasibility of a technological approach. Phase II awards are designed to expand on the results of and to further pursue the development of Phase I projects. Phase II awards require a more comprehensive plan for research and development and must include a description of the commercial potential of the technological approach. More information on the SBIR program is available on the IES Web site at: <http://ies.ed.gov/ncer/sbir/>.

NCEE Evaluation Activities

With funds requested for 2013, the Administration would continue support for an impact evaluation of two experiments to test whether expanding eligibility for Pell grants to persons who already have a Bachelor's degree or who are participating in a short-term training program improves employment and earnings for unemployed adults. In 2012, the Department invited applications from institutions of higher education through the Experimental Sites Initiative (<https://experimentalsites.ed.gov/exp/index.html>), which provides grants to support these and other experiments involving Federal student assistance. IES will employ random assignment to ensure that differences in observed earnings or employment are due to receipt of the Pell grant. The Department will initiate this evaluation in 2012 using other funds but estimates that IES will need approximately \$1.8 million from the funds requested under this program to complete the evaluation.

Since the 2012 Appropriations Act reduced funding for this program by \$10.0 million from the 2011 level and also provided the Secretary with the authority to set aside funds under the Race to the Top and Investing in Innovation programs to support evaluations of program activities, the Department will continue to support the Evaluation of Reform Models under Race to the Top and School Improvement Grants and the Evaluation of the Investing in Innovation program with funds set aside under those programs. No funds are needed in 2012 or 2013 for the Integrated Evaluation of Recovery Act Funds, Implementation, and Outcomes. In 2012, IES determined that it was not necessary to exercise an option to support additional data collection. In addition to the 2 years of data that will be collected, IES can analyze data collected through the Race to the Top and School Improvement Grants evaluation, as well as data collected through the Study

INSTITUTE OF EDUCATION SCIENCES

Research, development, and dissemination

of the Implementation of Titles I and II of the Elementary and Secondary Education Act, to provide additional information on the implementation of Recovery Act programs.

NCEE Dissemination Activities

What Works Clearinghouse (WWC). The WWC was established in 2002 to serve as a central and trusted source of scientific evidence of what works in education. To date, the WWC has published reports that assess the rigor of the research evidence on the effectiveness of 166 interventions across the topics of reading, mathematics, dropout prevention, character education, early childhood education, early childhood education for children with disabilities, students with learning disabilities, and English learners. Other products and services provided by WWC include user-friendly practice guides that provide research-based recommendations that educators can use to address instructional challenges within schools and classrooms and *Bridge Events*, which bring the latest findings from WWC reviews directly to practitioners and educators at events organized in partnership with the Regional Educational Laboratories. The WWC now offers training on its evidence standards to outside researchers. The response from researchers employed by government agencies, institutions of higher education, research firms, and technical assistance providers has been very strong.

The WWC recently redesigned its Web site (<http://ies.ed.gov/ncee/wwc/>) to improve access and usefulness for practitioners, policymakers and researchers. The new “find what works tool” allows visitors to enter a topic, such as dropout prevention, and find information on effective interventions. Visitors can also use the searchable database to find information on a particular intervention or to narrow their search by criteria of interest (e.g., grade level, type of program, or extent of evidence).

In fiscal year 2012, IES will award new 5-year contracts related to the administration of the WWC. To inform this competition, IES has conducted focus groups with WWC users to determine ways to strengthen and improve the quality of products and services during the next contract period.

Education Resources Information Center (ERIC). The ERIC online system (<http://www.eric.ed.gov>) provides access to more than 1.3 million bibliographic records of journal and non-journal literature from 1966 to the present. ERIC also contains a growing collection of materials in Adobe PDF format. ERIC's mission is to provide a comprehensive, easy-to-use, searchable Internet-based bibliographic and full-text database of education research and information for educators, researchers, and the general public. ERIC recently introduced a new feature, Shared Search, which is part of the My ERIC customization tool. My ERIC users can now select a community of interest (e.g., science education), and a role related to that community, such as teacher. With these selections in place, ERIC users can choose to share their searches with others in the community, browse others' searches in *My Community Research*, and/or receive email notifications whenever any new ERIC records meeting search specifications are added to the ERIC Collection. Community members are invited to tag and describe their searches to help others understand their parameters. Fiscal year 2013 will be the fifth and final year of the contract for ERIC.

INSTITUTE OF EDUCATION SCIENCES

Research, development, and dissemination

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2011</u>	<u>2012</u>	<u>2013</u>
Research activities:			
Education research grants			
Number of new grant awards	74	TBD	TBD
Average new grant award	\$496	TBD	TBD
Total new grant awards	\$36,704	TBD	TBD
Total award continuations	\$67,728	\$65,572	\$54,543 ¹
Research partnerships			
Number of new grant awards	0	0	TBD
Average new grant award	0	0	TBD
Total new grant awards	0	0	TBD
Research training			
Number of new grant awards	5	TBD	TBD
Average new grant award	\$129	TBD	TBD
Total new grant awards	\$643	TBD	TBD
Total grant award continuations	\$11,553	\$13,152	\$13,559 ¹
Statistical and research methodology in education			
Number of new grant awards	9	TBD	TBD
Average new grant award	\$263	TBD	TBD
Total new grant awards	\$2,365	TBD	TBD
Total grant award continuations	\$5,058	\$2,806	\$1,736 ¹
National research and development centers			
Number of new grant awards	1	TBD	TBD
Average new grant award	\$1,786	TBD	TBD
Total new grant awards	\$1,786	TBD	TBD
Total grant award continuations	\$7,577	\$8,205	\$10,882 ¹
Evaluation of State and local education programs and policies			
Number of new grant awards	1	TBD	TBD
Average new grant award	\$273	TBD	TBD
Total new grant awards	\$273	TBD	TBD
Total grant award continuations	\$4,067	\$8,117	\$7,654 ¹

INSTITUTE OF EDUCATION SCIENCES

Research, development, and dissemination

<u>Measures, Continued</u>	<u>2011</u>	<u>2012</u>	<u>2013</u>
Research initiative on reading for understanding Grant award continuations	\$21,912	\$23,052	\$23,748 ¹
Small business innovation research (SBIR)			
Number of new SBIR contract awards	9	10	TBD
Average new SBIR contract award	\$616	\$375	TBD
Total new SBIR contract awards	\$5,549	\$3,750	\$3,750
Other research			
New	\$271	TBD	TBD
Continuation	<u>\$2,612</u>	<u>0</u>	<u>\$546</u>
Subtotal, Research activities	\$168,098	\$164,434 ²	\$175,797 ³
Evaluation activities			
Integrated assessment of Recovery Act funds, implementation, and outcomes	\$2,780	0	0
Evaluation of reform models under Race to the Top and School Improvement Grants	\$4,885	0 ⁴	0
Evaluation of Investing in Innovation Fund	\$1,875	0 ⁵	0
Experimental Sites Initiative Evaluation	<u>0</u>	<u>0⁶</u>	<u>\$1,775</u>
Subtotal, Evaluation activities	\$9,540	0	\$1,775
Dissemination activities:			
Education Resources Information Center	\$7,179	\$6,259	\$6,552
What Works Clearinghouse	\$6,280	\$8,380	\$7,500
National Library of Education	\$2,000	\$2,000	\$2,000
Dissemination/Logistical/Technical Support	<u>\$2,555</u>	<u>\$4,865</u>	<u>\$4,800</u>
Subtotal, Dissemination activities	\$18,014	\$21,504	\$20,852

INSTITUTE OF EDUCATION SCIENCES

Research, development, and dissemination

Measures, Continued	2011	2012	2013
Other activities	\$490 ^Z	0	0
Peer review of applications for new awards	\$3,437	\$3,500	\$3,500
National Board for Education Sciences	<u>\$217</u>	<u>\$349</u>	<u>\$349</u>
Total, Research, development, and dissemination	<u>\$199,796</u>	<u>\$189,787</u>	<u>\$202,273</u>
Number of full-time equivalent personnel associated with NBES	1	1	1

NOTE: Amounts listed as “TBD” are still to be determined. The number and size of new research awards will depend on the quality of applications received.

¹ Includes only 2013 continuation costs for grants awarded prior to 2012. Actual 2013 continuation costs will be higher due to the continuation costs for new 2012 awards, which are likely to be roughly equivalent to the estimated \$30.0 million available for new awards in 2012 across the programs of research.

² The amount available for research activities is estimated by subtracting planned investments in dissemination, other activities, peer review, and funding for the National Board for Education Sciences from the total appropriation for the program. After providing continuation awards for existing research grants and contracts, IES estimates that approximately \$30.0 million of the \$164.4 million shown for research activities would be available for new research awards across the programs of research, excluding SBIR.

³ The amount available for research activities is estimated by subtracting planned investments in dissemination, other activities, peer review, and funding for the National Board for Education Sciences from the total appropriation for the program. After providing continuation awards for existing research grants and contracts (including continuation awards for new grants awarded in 2012), IES estimates that approximately \$30.0 million of the \$175.8 million shown for research activities would be available for new research and evaluation awards across the programs of research, excluding SBIR.

⁴ FY 2012 continuation costs of \$3.7 million for this evaluation will be supported through the Race to the Top program.

⁵ FY 2012 continuation costs of \$3.6 million for this evaluation will be supported through the Investing in Innovation program.

⁶ The initial design and implementation costs in 2012 for this evaluation will be supported with funds from another account.

^Z Includes \$490 thousand for a study of minority male achievement in FY 2011.

PROGRAM PERFORMANCE INFORMATION

Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2013 and future years, and the resources and efforts invested by those served by the program.

Goal: Transform education into an evidence-based field. Decisionmakers will routinely seek out the best available research and data in adopting and implementing programs and practices that will affect significant numbers of children.

INSTITUTE OF EDUCATION SCIENCES

Research, development, and dissemination

Objective: *Raise the quality of research funded or conducted by the Department.*

Long-term Measures

Measure: By 2013, at least 15 IES-supported interventions on reading or writing will have been reported by the What Works Clearinghouse to be effective at improving student outcomes.

Measure: By 2013, at least 12 IES-supported interventions on mathematics or science education will have been reported by the What Works Clearinghouse to be effective at improving student outcomes.

Measure: By 2013, at least 10 IES-supported interventions on teacher quality will have been reported by the What Works Clearinghouse to be effective at improving student outcomes.

Measure: By 2013, at least 200 individuals who have completed IES-supported pre- or post-doctoral research training programs will be actively engaged in education research.

Measure: By 2013, 25 percent of decisionmakers surveyed will indicate that they consult the What Works Clearinghouse prior to making decisions on interventions in reading, writing, mathematics, science, or teacher quality.

Annual Measures

Measure: The cumulative number of IES-supported interventions with evidence of efficacy in improving student outcomes in reading or writing.

Year	Target	Actual
2008	11	11
2009	13	13
2010	15	15
2011	17	17
2012	20	
2013	22	

Measure: The cumulative number of IES-supported interventions with evidence of efficacy in improving student outcomes in mathematics or science.

Year	Target	Actual
2008	7	8
2009	10	11
2010	12	15
2011	15	16
2012	18	
2013	20	

INSTITUTE OF EDUCATION SCIENCES

Research, development, and dissemination

Measure: The cumulative number of IES-supported interventions with evidence of efficacy in enhancing teacher characteristics with demonstrated positive effects on student outcomes.

Year	Target	Actual
2008	5	5
2009	7	7
2010	10	10
2011	12	12
2012	15	
2013	18	

Additional information: For these measures, research specialists from the What Works Clearinghouse (WWC) review reports from IES-supported projects and evaluate them using the WWC published evidence standards to determine whether these findings meet the evidence standards and demonstrate a statistically significant positive effect in improving achievement outcomes for students. Although the targets for each of these measures may appear to be modest, they represent significant expansions to the evidence base in these areas. Before the establishment of NCER in 2003, very few existing research studies in these areas would have met the WWC's quality standards and even fewer studies showed statistically significant positive effects. IES sets targets for these measures based on the number of NCER-funded studies that are designed to test efficacy or effectiveness of interventions designed to improve outcomes of students on each of these topics and the anticipated time to completion of the studies. IES has met or exceeded the targets for each of these measures every year and appears to be well-positioned to meet its long-term outcome measures by 2013. Reported numbers are cumulative.

Measure: The cumulative number of individuals who have been or are being trained in IES-funded research training programs.

Year	Target	Actual
2008	230	263
2009	265	360
2010	325	556
2011	600	725
2012	650	
2013	700	

Additional information: This measure tracks IES' efforts to expand the capacity of the education research field to conduct high-quality research and suggests that IES is well-positioned to meet its long-term goal of producing 200 researchers who are actively engaged in education research by 2013. Data for this measure are compiled from grantee reports and then confirmed by IES grants program officers. The actual data exceeded IES' initial targets for 2008 and 2009, so the targets for 2011 and beyond have been increased accordingly.

INSTITUTE OF EDUCATION SCIENCES

Research, development, and dissemination

Efficiency Measures

Measure: The average number of research grants administered per each program officer employed in the National Center for Education Research.

Year	Target	Actual
2008	32	28
2009	34	35
2010	36	36
2011	38	35
2012	40	
2013	41	

Additional information: IES' principal efficiency measure is the ratio of research staff to research grants. In 2001, the Department's predecessor research organization employed 69 staff in its 5 national research institutes. Those staff administered 89 active research grants. By 2007, 13 staff in the IES National Center for Education Research administered 417 active research grants with support from 4 staff in the IES Standards and Review and Grants Administration Staff offices. From fiscal year 2001 to 2011, funding for the Research, Development, and Dissemination program increased significantly from \$120.6 million to \$199.8 million, but the number of grants administered by each program officer has increased from 1.3 to 35 during that period. The number of grants per program officer has increased significantly without sacrificing the quality of IES research, as indicated by its excellent performance on the outcome measures described above.

INSTITUTE OF EDUCATION SCIENCES

Statistics

(Education Sciences Reform Act of 2002, Part C)

(dollars in thousands)

FY 2013 Authorization: 0 ^{1,2}

Budget Authority:

<u>2012</u>	<u>2013</u>	<u>Change</u>
\$108,748	\$114,748	+ \$6,000

¹ The GEPA extension expired September 30, 2009; the Administration proposes to continue funding in FY 2013 under appropriations language.

² The statute authorizes such sums as may be necessary for all of title I, of which not less than the amount provided to the National Center for Education Statistics for fiscal year 2002 shall be available for Part C, which is \$85,000 thousand.

PROGRAM DESCRIPTION

The National Center for Education Statistics (NCES) is the chief Federal entity engaged in collecting, analyzing, and reporting data related to education in the United States and, as such, makes a unique contribution to our understanding of the American educational system. NCES is one of four Centers in the Institute of Education Sciences (IES), which was established by the Education Sciences Reform Act of 2002.

NCES is authorized to collect, acquire, compile, and disseminate full and complete statistics on the condition and progress of education in the United States; conduct and publish reports on the meaning and significance of such statistics; collect, analyze, cross-tabulate, and report data, where feasible, by demographic characteristics, including gender, race, ethnicity, socioeconomic status, limited English proficiency, mobility, disability, and urbanicity; help public and private educational agencies and organizations improve their statistical systems; acquire and disseminate data on education activities and student achievement in the United States compared with foreign nations; conduct longitudinal and special data collections necessary to report on the condition and progress of education; and help the IES Director prepare a biennial report describing the activities of IES. NCES may also establish a program to train employees of public and private educational agencies, organizations, and institutions in the use of statistical procedures and concepts and may establish a fellowship program to allow such employees to work as temporary fellows at NCES.

Statistical information collected by NCES contributes to the identification of needs; the development of policy priorities; and the formulation, evaluation, and refinement of programs. The authorizing statute requires the Commissioner of NCES to issue regular reports on

INSTITUTE OF EDUCATION SCIENCES

Statistics

education topics, particularly in the core academic areas of reading, mathematics, and science, and to produce an annual statistical report on the condition and progress of education in the United States. Over the last few years, NCES-sponsored studies have provided information to inform debate surrounding issues such as preparation for higher education, college costs, student financial aid, distance learning, high school dropouts, school crime, school expenditures, academic standards, literacy, teacher shortages, teacher mobility and attrition, and the achievement of students in the United States compared with that of other nations. NCES coordinates with other Federal agencies when carrying out surveys to ensure that information collected is valuable to relevant agencies. For example, the United States Department of Health and Human Services participates in the Kindergarten Cohort of the *2010–11 Early Childhood Longitudinal Survey (ECLS-K)*, and the National Science Foundation participates in the 2009 High School Longitudinal Study. Most work is conducted through competitively awarded contracts.

The Education Sciences Reform Act authorizes the National Board for Education Sciences to provide advice to the NCES Commissioner, and the Board may establish a standing committee to advise the Center.

Five areas, each with a set of specific activities, make up the Statistics budget:

- *Elementary and Secondary Education* surveys provide information on both public and private education in the United States. These surveys provide extensive information about State and local educational agencies, schools, teachers, and funding for education.
- *Postsecondary and Adult Education* surveys provide comprehensive information on the Nation's postsecondary institutions, faculty, and students; postsecondary financial aid; and adult workforce credentials, skills, and literacy.
- *Elementary and Secondary Longitudinal Surveys* are designed to collect in-depth information on the same students as they progress over time. This provides analysts with a tool for understanding the processes by which education leads individuals to develop their abilities, and can ultimately provide parents, educators, and policymakers with information to improve the quality of education.
- *International Studies* provide insights into the educational practices and outcomes in the United States by enabling comparisons with other countries. Interest in these studies has grown with the increasing concern about global economic competition and the role education plays in ensuring economic growth.
- *Cross-cutting Surveys and Other Activities* include the National Household Education Survey (NHES), NCES items in the Bureau of the Census Current Population Survey, activities designed to enhance the quality and usefulness of statistical data collections, key publications, and printing.

INSTITUTE OF EDUCATION SCIENCES

Statistics

Funding levels for the past 5 fiscal years were as follows:

	(dollars in thousands)
2008	\$88,449
2009	98,521
2010	108,521
2011	108,304
2012	108,748

FY 2013 BUDGET REQUEST

The Administration requests \$114.7 million for Statistics, an increase of \$6.0 million over the 2012 level. The request includes funds for a program of statistics that has evolved over the past decade in response to legislation and to the particular needs of data providers, data users, and educational researchers. The Administration requests that funding be available for 2 years, as it was in prior years.

The Statistics program provides general statistics about trends in education, collects data to monitor educational reform and progress, and informs the Department's research agenda. The National Center for Education Statistics (NCES) also is planning to meet the statistical needs of the future with new technologies, training, data development and analysis, and methodological studies that will support more efficient data collection and produce information that is more useful for parents, teachers, administrators, and policymakers.

The increase would allow NCES to provide States the opportunity to participate in a pilot Program for International Student Assessment (PISA) study, which would allow the participating States to benchmark the performance of their 15-year-old students against international standards. PISA is a system of international assessments that focuses on 15-year-olds' capabilities in reading literacy, mathematics literacy, and science literacy. PISA is administered every 3 years, with the next assessment, which has a special focus on mathematics, scheduled for 2012. (Additional information on PISA is provided below.) The \$6.0 million increase would pay for a special, pilot administration in the fall of 2013 that would provide State-level results. The Department would ask States to pay for a portion of the costs, with the specific proportion determined by the number of States participating. The total cost per State would be approximately \$600,000.

In addition, the requested funding would allow NCES to maintain its core activities and would support the following surveys and activities:

Elementary and Secondary Education

The *Elementary and Secondary Education* program, which provides information on both public and private education in the United States, would receive approximately \$26.7 million in 2013. Activities to be supported in 2013 include:

INSTITUTE OF EDUCATION SCIENCES

Statistics

- The *Common Core of Data (CCD)* (<http://nces.ed.gov/ccd/>), the Department's primary database on public elementary and secondary education in the United States, provides comprehensive, annual information on all school districts and public elementary and secondary schools (including public charter schools). The CCD contains basic descriptive information, including student enrollment, demographic, dropout, and high school completion data; numbers of teachers and other staff; and fiscal data, including revenues and expenditures. CCD data are available on the Web and users can construct custom tables using the "Build A Table" tool (<http://nces.ed.gov/ccd/bat/>). The CCD data collection is coordinated with the EdFacts Education Data Exchange Network (EDEN), and States report non-fiscal CCD data through the EDEN portal.
- The *Private School Survey* (<http://nces.ed.gov/surveys/pss/>), conducted every 2 years, provides information on the number of private schools, teachers, and students. The survey, which includes all private schools, is being conducted in 2011-2012 and will be conducted again in 2013-2014.
- The *Schools and Staffing Survey (SASS)* (<http://nces.ed.gov/surveys/sass/>), which was last conducted in 2007-08 and is being conducted in 2011-2012, is an extensive survey that provides information on kindergarten through 12th-grade public and private schools, the principals who head these schools, and the teachers who work in them. The survey is conducted every 4 years. The Teacher Follow-up Survey (TFS), which follows a sample of the teachers who were respondents to SASS in the previous school year, is designed to measure attrition from the teaching profession and teacher mobility. The funds requested for 2013 would pay for analysis of the 2011-2012 SASS collection, the TFS collection, and planning for future collections.
- The *Beginning Teacher Longitudinal Study (BTLS)* (<http://nces.ed.gov/surveys/btls/>) follows teachers who were in the 2007-08 Schools and Staffing Survey (SASS) as first-year teachers. While SASS has always produced information about 1-year attrition and mobility of teachers through its Teacher Follow-up Survey, this survey continues to follow the cohort of teachers who were beginning their careers in 2007-08, with the fourth collection conducted in 2010-2011. These new teachers are followed as they move between schools and in and out of the profession. The study will provide much-needed data on various issues related to teacher turnover patterns and rates as well as career trajectories and concerns facing new kindergarten to grade 12 teachers.
- The biennial *School Crime Supplement* to the National Crime Victimization Survey is co-designed by NCES and the Bureau of Justice Statistics and collects information about school-related victimization, crime, and safety in schools through a national survey of students ages 12 to 18 in public and private schools. Previously supported by funding from the Safe and Drug-Free Schools and Communities program, this survey will be supported by the Statistics program in 2012 and 2013.
- The *National Cooperative Education Statistics System* serves as the umbrella for a number of efforts to improve the quality, timeliness, and comparability of statistics used for education policymaking at all levels of government, including the National Forum on Education

INSTITUTE OF EDUCATION SCIENCES

Statistics

Statistics (<http://nces.ed.gov/forum/about.asp>), which is composed of representatives from NCES, other Department offices, and State and local educational agencies from the 50 States, the District of Columbia, Puerto Rico, the Bureau of Indian Affairs, and the Department of Defense dependents schools. Publications include a guide to metadata and a guide to collecting and using attendance data.

Other activities that would continue to receive support in 2013 include the *Census Mapping* project, which uses school district geographic boundaries to map census blocks to school districts; the *Decennial Census School District Project*, which allows users to view aggregated Census data for public school districts across the Nation; and the Fast Response Survey System, which collects issue-oriented data—quickly and with minimal response burden—from elementary and secondary schools and districts. In addition, funds would be used to make enhancements to reporting and data tools to improve data access and transparency.

Elementary and Secondary Longitudinal Surveys

The *Elementary and Secondary Longitudinal Surveys* program is designed to collect in-depth information on the same students as they progress over time. This provides analysts with a tool for understanding the processes by which education leads individuals to develop their abilities, and can ultimately provide parents, educators, and policymakers with information to improve the quality of education. Under the 2013 request, funding for the longitudinal surveys would be an estimated \$22.9 million.

Key activities include the following surveys:

- The *Early Childhood Longitudinal Study, Kindergarten Class of 2010-11* (ECLS-K:11) (<http://nces.ed.gov/ecls/>) is the third in an important series of longitudinal studies that examine child development, school readiness, and early school experiences. The ECLS-K:11 will provide data relevant to emerging policy-related domains not measured fully in previous studies. Coming more than a decade after the inception of the previous kindergarten study, ECLS-K:11 will also allow cross-cohort comparisons of two nationally-representative kindergarten classes experiencing different policy, educational, and demographic environments. The request level includes funding to support fall data collection, which when combined with spring data collection would allow analysts to gauge the effects of different kinds of summer activities (or lack thereof) on academic and social development over the summer, as well as provide a benchmark for a more direct assessment of gains over 1 academic year.
- The *Education Longitudinal Study of 2002* (ELS:2002) (<http://nces.ed.gov/surveys/els2002/>) is following a nationally representative sample of high school students who were 10th graders in 2002. ELS:2002 is the fourth in a series of major secondary school longitudinal studies sponsored by the Department. Data from this study can be used to examine cognitive growth; high school completion; and postsecondary education choice, access, and persistence. The third follow-up, which is scheduled for 2012, will examine postsecondary education, labor force participation, and family formation at age 26, with emphasis on college persistence and attainment.

INSTITUTE OF EDUCATION SCIENCES

Statistics

- The *High School Longitudinal Study of 2009 (HSL:09)* (<http://nces.ed.gov/surveys/hsls09/>), on which the Department began work in 2007, collected data in the fall of 2009 from students in the 9th grade, a crucial transition year for most students and a critical grade in determining their overall high school experience. The second round of data collection will occur at the end of 11th grade in 2012, when most of the students will be completing their junior year. The data collection schedule will allow researchers and policymakers to learn if and how 9th graders' plans are linked to students' subsequent behavior, from course-taking to postsecondary choices, and how these plans evolve over time. In subsequent waves of data collection, the sample members will be followed into college and beyond, providing information on transitions from high school to postsecondary education or work. The study will examine factors that are associated with students' success, with a special focus on mathematics and science, curricular coverage, teacher effects, and at-risk students.

Postsecondary and Adult Education

The *Postsecondary and Adult Education* program, which provides comprehensive information on the Nation's postsecondary institutions, faculty, and students; postsecondary financial aid; and adult education, would receive approximately \$26.4 million in 2013. Key surveys include:

- The *Integrated Postsecondary Education Data System (IPEDS)* (<http://nces.ed.gov/ipeds/>) is a comprehensive collection system for postsecondary institutions, including all Title IV institutions. Components of the survey include institutional characteristics, fall enrollment, completions, salaries, finance (including current fund revenues by source; current fund expenditures by function, assets, and indebtedness; and endowment investments), student financial aid, and staff. IPEDS also collects academic library statistics on a 2-year cycle from approximately 3,700 postsecondary institutions. Policymakers and researchers at the Federal, State, and local levels, as well as the media, use information from IPEDS. Students and families make extensive use of IPEDS data to assist them in college choice through the NCES *College Navigator* Web site. IPEDS retention and graduation rate data are used for performance measurement for a number of the Department's postsecondary education programs, and its data on tuition trends and net price provide important information to key policymakers. IPEDS is conducted annually, although not all data are collected every year. All IPEDS data are available via the Web through the IPEDS Data Center, a suite of online data tools.
- The *National Postsecondary Student Aid Survey (NPSAS)* (<http://nces.ed.gov/surveys/npsas/>) is a comprehensive study conducted approximately every 4 years that examines how students and their families pay for postsecondary education. It includes nationally representative samples of undergraduate, graduate, and first-professional degree students, including students attending public and private less-than-2-year institutions, community colleges, 4-year colleges, and major universities. Students who receive financial aid as well as those who do not receive financial aid participate in NPSAS. The survey provides information on one of the most important issues facing postsecondary education today: tuition increases and their relationship to future enrollment and financial aid. The next NPSAS will be conducted in 2012.

INSTITUTE OF EDUCATION SCIENCES

Statistics

- The *Beginning Postsecondary Student Longitudinal Survey* (BPS) (<http://nces.ed.gov/surveys/bps/>) provides information on the progress of postsecondary students, following first-time postsecondary students through their postsecondary education and into the labor force. The third BPS cohort was based on the 2004 NPSAS, which collected information on students in 2006 and 2009, and is doing so for a final time in 2011. The fourth BPS will use the 2012 NPSAS as a base, and will conduct follow-ups in 2014 and 2017, with revised strata for institution sampling to reflect the recent growth in enrollment in for-profit 4-year institutions.
- The *Baccalaureate and Beyond Survey* (B&B) (<http://nces.ed.gov/surveys/b&b/>) follows students who complete their baccalaureate degrees. Initially, students in the NPSAS surveys who are identified as being in their last year of undergraduate studies are asked questions about their future employment and education expectations, as well as about their undergraduate education. In later follow-ups, students are asked questions about their job search activities, education, and employment experiences after graduation. The survey was conducted in 2009 with a sample of 2008 bachelor's degree recipients from public and private postsecondary institutions and will follow the students over time, with the next data collection scheduled for 2012.
- The *Adult Education and Training Study* will collect information on sub-baccalaureate education and training for adults. NCES traditionally has only collected data on postsecondary certificates and degrees awarded through credit-bearing instruction in traditional institutions of higher education that participate in Title IV Federal student aid programs. These comprise only a portion of sub-baccalaureate education and training. The ultimate goal is to develop the methodology to allow collection of valid information on all postsecondary certificates and training, not just on those that are offered by institutions of higher education.
- The *Survey of Earned Doctorates in the United States* (<http://www.nsf.gov/statistics/>) has collected basic statistics from the universe of doctoral recipients in the United States each year since the 1920's. It is conducted by the National Science Foundation (NSF) and is supported by NCES, as well as several other Federal agencies, including the NSF, the National Endowment for the Humanities, the U.S. Department of Agriculture, the National Institutes of Health, and the National Aeronautics and Space Administration.

International Studies

The *International Studies* program (<http://nces.ed.gov/surveys/international/>) provides insights into the educational practices and outcomes of the United States by allowing comparisons with other countries. Interest in these studies has grown with the increasing concern about global economic competition and the role education plays in ensuring economic growth. The activities of the NCES International Studies program are a vital component of the Department's strategy for providing an up-to-date knowledge base to support education reform. The international studies would receive approximately \$22.8 million in 2013. Surveys and activities include:

INSTITUTE OF EDUCATION SCIENCES

Statistics

- The *Trends in International Mathematics and Science Study* (TIMSS), which is sponsored by the International Association for the Evaluation of Educational Achievement, is a study of 4th and 8th grade students' mathematics and science achievement in the United States and other participating nations across time. The study is conducted every 4 years, with the last data collection in the spring of 2011. The study has gained the attention of educators, policymakers, and the public and has stirred interest in improving middle school mathematics learning and achievement. Because both TIMSS and the National Assessment of Educational Progress (NAEP) were conducted in 2011, NCES is conducting a linking study that will allow States to compare the math achievement of their 8th grade students to that of countries that are economic competitors.
- The *Program for International Student Assessment* (PISA), which is sponsored by the Organisation for Economic Cooperation and Development (OECD), is designed to monitor, on a regular 3-year cycle, the achievement of 15-year-old students in three subject areas: reading literacy, mathematical literacy, and scientific literacy. While some elements covered by PISA are likely to be part of the school curriculum, PISA goes beyond mastery of a defined body of school-based learning to include the knowledge and skills acquired outside of school. The survey had a special focus on reading literacy in 2000, on mathematical literacy in 2003, and on scientific literacy in 2006. This cycle is being repeated in 2009, 2012, and 2015. As noted above, the Administration is requesting an additional \$6 million to support a pilot State-level PISA.
- The *Progress in International Reading Literacy Study* (PIRLS) assesses the reading literacy of 4th-graders and the experiences they had at home and school in learning to read. PIRLS was first conducted in 2001, was next conducted in the spring of 2006 and of 2011, and is scheduled to be conducted every 5 years thereafter.
- The *Program for the International Assessment of Adult Competencies* (PIAAC) will measure adult skills and competencies in the United States, and will provide comparable information from other countries to enable the United States to benchmark its adult skills and abilities relative to those in other economically advanced countries that represent our competitors and trading partners. The central purpose of PIAAC is to measure the extent to which Americans possess literacy, numeracy, and computer-based problem-solving skills that enable them to function successfully and compete in an international marketplace increasingly based on technology and information. This assessment will provide crucial information for the crafting of legislation and policies designed to ensure the continued competitiveness of the American economy. Fiscal year 2013 funds would support continued data analysis and reporting of assessment data collected in 2011–2012.
- The *Teaching and Learning International Survey* (TALIS) is an international survey of teachers and principals focusing on the working conditions of teachers and the teaching and learning practices in schools. TALIS was first administered in 2008 and will be conducted every five years; 2013 will be the first year of participation by the United States. TALIS will provide information to help countries identify policies that support effective schooling.

INSTITUTE OF EDUCATION SCIENCES

Statistics

- The *Indicators of National Education Systems Project (INES)* is a cooperative project among member countries of the OECD to develop an education indicator reporting system. The goal is to improve the comparability of education data across OECD countries and to develop, collect, and report on a key set of indicators measuring the condition of education in these countries. The set of indicators includes measures of student enrollment and achievement, labor force participation, school and school system features, and costs and resources. The primary vehicle for reporting on these indicators is an annual OECD report entitled *Education at a Glance*. The United States plays an active role through participation in OECD working groups formulating and reviewing indicators for the report.

Cross-cutting Surveys and Other Activities

The Cross-cutting Surveys and Other Activities category would receive approximately \$16.0 million in 2013. Activities receiving funding in 2013 would include:

- The *National Household Education Survey (NHES)* (<http://nces.ed.gov/nhes/>) is designed to provide descriptive data on a wide range of education-related issues. Funding in 2013 would be used to support data analysis and reporting for the 2012 surveys, which will examine parent and family involvement in education and early childhood program participation.
- Technical assistance to States developing Statewide longitudinal data systems. Funds from the Statewide Data Systems program also support this activity.
- The *analysis and publication program* features the annual production of three major statistical compilations of critical education indicators (*The Condition of Education*, the *Digest of Education Statistics*, and *Projections of Education Statistics*) as well as short-format statistical briefs on emerging issues in education.
- A *standards and methodology program* provides methodological and statistical support to NCES, as well as to Federal and non-Federal organizations that engage in statistical work in support of NCES's mission. Activities include developing standards that ensure the quality of statistical surveys, analyses, and products; coordinating the review of NCES products; and coordinating revisions to the NCES Statistical Standards.
- Special studies* improve the quality and utility of assessments, including enhancements of survey methodology, assessment development, data analysis, and dissemination, as well as quality control procedures for NCES products.
- A *training program* provides technical training for researchers who use NCES data as well as non-technical information sessions for other users.

INSTITUTE OF EDUCATION SCIENCES

Statistics

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2011</u>	<u>2012</u>	<u>2013</u>
Elementary and Secondary Education	\$25,239	\$25,852	\$26,663
Elementary and Secondary Longitudinal Studies	22,322	22,661	22,892
Postsecondary and Adult Education	26,447	26,447	26,447
International Studies	16,775	16,775	22,775
Cross-cutting Surveys and Activities	<u>17,521</u>	<u>17,013</u>	<u>15,971</u>
Total	108,304	108,748	114,748

PROGRAM PERFORMANCE INFORMATION

Performance Measures

This section presents selected program performance information, including, for example, GPRA goals and objectives, measures, and performance targets and data, and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in 2013 and future years, and the resources and efforts invested by those served by the program.

NCES uses customer survey data to help identify areas where improvements are needed in the data collection and reporting systems. Specifically, NCES collects data from a random sample of visitors to the NCES Web site, who receive a “pop-up box” asking them to complete an online survey. NCES has set the target for each of the measures at 90 percent of customers reporting that they are satisfied or very satisfied.

Goal: To collect, analyze, and disseminate information on the condition of education in the United States and to provide comparative international statistics.

Objective: *Provide timely and useful data that are relevant to policy and educational improvement.*

INSTITUTE OF EDUCATION SCIENCES

Statistics

Measure: The percentage of customer respondents satisfied or very satisfied with the following aspects of NCES data files.

Year	Ease of Understanding Target	Ease of Understanding Actual	Timeliness Target	Timeliness Actual	Relevance Target	Relevance Actual
2008	90	87	90	83	90	94
2009	90	87	90	84	90	92
2010	90	90	90	87	90	96
2011	90	91	90	89	90	94
2012	90		90		90	
2013	90		90		90	

Additional information: The 2010 NCES customer survey showed most users (91 percent) were satisfied with the ease of understanding of NCES data files. The survey also showed that a clear majority of users (89 percent), although slightly less than the target figure of 90 percent, were satisfied with the timeliness of NCES data files. NCES strategies for improving the timeliness of data and publications include online data collections that provide respondents with immediate feedback about out-of-range or questionable items, thus reducing the amount of time needed to edit the data and making them available sooner for analysis and reporting. NCES also is releasing products, including data files, on the Web, which makes it easier for most NCES customers to obtain needed information quickly. In addition, IES has established timeliness goals for the release of data from NCES surveys.

The percentage of customers (94 percent) satisfied with the relevance of NCES data files exceeded the target (90 percent). NCES has devoted considerable effort to working with researchers, educators, and policymakers to ensure that data meet their needs.

Measure: The percentage of customer respondents satisfied or very satisfied with the following aspects of NCES publications.

Year	Ease of Understanding Target	Ease of Understanding Actual	Timeliness Target	Timeliness Actual	Relevance Target	Relevance Actual
2008	90	88	90	86	90	92
2009	90	90	90	84	90	93
2010	90	94	90	88	90	97
2011	90	94	90	91	90	93
2012	90		90		90	
2013	90		90		90	

Additional information: NCES exceeded its targets for the percentage of customers who were satisfied with the ease of understanding or the relevance of the publications, as well as—for the first time—the percentage who found the NCES publications to be timely. NCES’s policy is to solicit advice from providers and users to ensure that materials meet their needs, and it has established an efficiency indicator, discussed below, to track the timeliness of the release of information from its surveys.

INSTITUTE OF EDUCATION SCIENCES

Statistics

Measure: The percentage of customer respondents satisfied or very satisfied with the following aspects of NCES services.

Year	Courtesy of NCES staff providing services Target	Courtesy of NCES staff providing services Actual	Timeliness Target	Timeliness Actual	Ease of finding information on nces.ed.gov Target	Ease of finding information on nces.ed.gov Actual
2008	90	91	90	91	90	78
2009	90	94	90	92	90	81
2010	90	95	90	91	90	83
2011	90	93	90	93	90	87
2012	90		90		90	
2013	90		90		90	

Additional information: Most customers were satisfied with the courtesy of the NCES staff providing services (93 percent) and the timeliness of NCES services (93 percent), but only 87 percent of respondents found it easy to find information on the NCES Web site. While this does not meet the target, it shows continued, steady progress towards the target figure of 90 percent.

A key component of NCES's mission is disseminating statistical information to its constituents. In 2007, NCES added three measures that help assess how well it is fulfilling this part of its mission. These measures—the number of visits to the NCES Web site; the number of users of the NCES Data Analysis System (an online tool for analyzing NCES data sets); and the number of downloads of NCES reports—allow the Department to track use of NCES information. Baselines for the three Web site measures were set in 2008.

Measure: The number of Web visits to the NCES Web site (monthly average).

Year	Target	Actual
2008	Set a baseline	1,161,507
2009	1,161,507	1,304,767
2010	1,161,507	1,516,317
2011	1,161,507	1,773,790
2012	1,161,507	
2013	1,161,507	

INSTITUTE OF EDUCATION SCIENCES

Statistics

Measure: The number of users of the NCES Data Analysis System (monthly average).

Year	Target	Actual
2008	Set a baseline	13,282
2009	13,282	14,325
2010	13,282	13,667
2011	13,282	12,122
2012	13,282	
2013	13,282	

Measure: The number of downloads of electronic versions of reports (monthly average).

Year	Target	Actual
2008	Set a baseline	122,084
2009	122,084	111,377
2010	122,084	157,673
2011	122,084	167,770
2012	122,084	
2013	122,084	

Additional information: NCES exceeded the targets in 2011 for the number of visits to the NCES Web site and the number of downloads of reports, but not for the number of Data Analysis System Users. That number has continued to decline because of the implementation of a new data tool, Powerstats, which houses much of the postsecondary sample survey data. These data previously were included in the Data Analysis System, but were moved to the Powerstats, which was implemented in 2010. NCES will re-examine the measure to consider whether it should be modified to capture Powerstats use as well as Data Analysis System use. NCES also will examine the data for the other two measures to determine whether outyear targets should be revised.

In 2008 NCES also began reporting the number of times NCES Statistics program data are cited on the Web sites of 90 education associations and organizations. This measure provides an additional source of information on use of NCES data.

Measure: The number of times NCES Statistics program data are cited on the Web sites of 90 education associations and organizations.

Year	Target	Actual
2008	Set a baseline	155
2009	155	95
2010	155	111
2011	155	76
2012	155	
2013	155	

Additional information: The number of citations decreased from 2008 to subsequent years, but it is not possible at this point in time to determine why the numbers changed, although it may be reasonable to assume that the figures are influenced by the timing of the release of

INSTITUTE OF EDUCATION SCIENCES

Statistics

high-profile reports. The Department will examine the data to determine appropriate targets for outyears and to determine whether the measure needs to be modified.

One way in which NCES is attempting to ensure the accuracy of its work is by maintaining high survey response rates. High response rates help ensure that survey data are representative of the target populations, and NCES has set specific benchmarks for different types of studies (e.g., universe surveys, cross-sectional surveys, and longitudinal studies). When a survey response rate is lower than 85 percent, the NCES statistical standards require that NCES conduct bias analyses to help determine the effect of the low rate on the survey results.

Measure: The percentage of survey data collections with either a response rate of 85 percent or higher or a nonresponse bias analysis and weight adjustments to adjust for bias identified in the nonresponse bias analysis.

Year	Target	Actual
2007	Set a baseline	100
2008	100	100
2009	100	100
2010	100	100
2011	100	100
2012	100	
2013	100	

Additional information: NCES has met its goal of conducting nonresponse bias analyses and adjusting weights, as needed, for all survey data collections. NCES also provides information on the number of the data collections for which the response rate was below 85 percent. (See table below.) In 2011, NCES released 14 reports that included 29 survey components. The response rates for 69 percent (20 components) were 85 percent or above, and the remaining 31 percent (9 components) had nonresponse bias analyses conducted because their response rates were below 85 percent. While this represents an increase from 2010, the figures will vary from year to year depending on the surveys included. The nonresponse bias analyses, which were conducted for all surveys with a response rate of less than 85 percent, informed the nonresponse weight adjustments to help ensure published results accurately reflected the target population values.

Year	Number of Reports	Number of Survey Components	Number of Survey Components with Response Rates Below 85%	Percent of Survey Components with Response Rates Below 85%
2007	25	45	9	20
2008	19	35	14	40
2009	19	34	15	44
2010	21	29	3	10
2011	14	29	9	31

NCES collects additional customer satisfaction information through the American Customer Satisfaction Index (ACSI) (<http://www.theacsi.org/>), which provides satisfaction scores based on

INSTITUTE OF EDUCATION SCIENCES

Statistics

samples of customers. The measure examines the extent to which respondents would recommend NCES to others and would rely on NCES in the future. The baseline for this measure, 74 percent, was established using 2008 data, and data will be collected every other year. The 2010 value was 76 percent.

Efficiency Measures

NCES has adopted two efficiency measures. One of the measures looks at timeliness; the other examines cost per completed case (e.g., respondent).

The first NCES efficiency measure tracks the time it takes to release survey information. Most initial data releases are in *First Look Reports*, which have taken the place of the E.D. TABS publication format. The prescribed format for the *First Look Reports* is shorter reports that take less time to produce and review. The efficiency measure addresses customers' concerns about the data timeliness and helps assess how efficiently NCES garners its resources to ensure that work is completed in a timely manner.

In 2005, NCES established the following timeliness goal:

- In 2006, 90 percent of initial releases of data will occur (a) within 18 months of the end of data collection or (b) with an improvement of 2 months over the previous time of initial release of data from that survey program if the 18-month deadline is not attainable in 2006.
- In 2007 through 2010, NCES will reduce by 2 months each year the deadline for initial release, until the final goal of 12 months is reached.

For collections where the release date is determined by an entity other than NCES (e.g., OECD for certain international studies), the release date will be the date the report is released to the other entity.

Measure: The percentage of NCES Statistics program initial releases that either meet the target number of months, or show at least a 2-month improvement over the prior release, with the starting point of 18 months in 2006, then declining to 16 months in 2007, 14 months in 2008, and 12 months in 2009 and beyond.

Year	Target	Actual
2008	90	90
2009	90	100
2010	90	95
2011	90	82
2012	90	
2013	90	

Additional information: NCES met or exceeded its target in most years, although there has been year-to-year variation due to differences in the types of reports released each year. In 2009, NCES exceeded its target, with all 19 initial reports released in 12 months or less. In 2010, 20 of 21 initial releases (95 percent) met the target, as did 14 of 17 (82 percent) in 2011.

INSTITUTE OF EDUCATION SCIENCES

Statistics

NCES also has adopted a second efficiency measure, which is the average cost per completed case (response unit) for selected surveys.

Measure: The average cost per completed case, adjusted for inflation.

Year	Fast Response Survey System Target	Fast Response Survey System Actual	National Postsecondary Student Aid Study Target	National Postsecondary Student Aid Study Actual	Trends in Mathematics and Science Study Target	Trends in Mathematics and Science Study Actual
2007		\$159.09			\$177.77	\$180.66
2008	\$159.09	\$158.68	\$174.12	\$166.98	NA	
2009	\$159.09	\$121.69	NA		NA	
2010	\$159.09	\$196.63	NA		NA	
2011	\$159.09	\$131.90	NA		\$177.77	\$132.59
2012	\$159.09		\$174.12		NA	
2013	\$159.09		NA		NA	

Additional information: Baseline data are available for three surveys: the Fast Response Survey System (FRSS), the National Postsecondary Student Aid Study (NPSAS), and the Trends in Mathematics and Science Study (TIMSS). The three collections being monitored were selected because they have alternative modes of operation: the FRSS is a school-based mail survey, NPSAS is administered via the Web with a computer-assisted telephone interview follow-up, and TIMSS is administered in schools. NCES calculates the average cost per completed case by dividing the total survey costs for data collection and processing by the final number of completed cases. The target is no increase from the baseline, which, in 2006 dollars, was \$159.09 per case for the FRSS generic survey (Spring 2006), \$174.12 for the NPSAS Student Component (academic year 2003-04), and \$177.77 for TIMSS (Spring 2003). Data will not be available every year for NPSAS and TIMSS because they are on a 4-year cycle. The FRSS met its targets except in 2010. In that year, all but one of the surveys competed were arts surveys, which required significantly more nonresponse follow-ups and data clarification work than other surveys, which increased the costs. NPSAS met its 2008 target, and TIMSS met its 2011 target. The cost of TIMSS decreased significantly from 2007 to 2011 because TIMSS was administered in conjunction with NAEP in 2011, which reduced recruitment costs.

INSTITUTE OF EDUCATION SCIENCES

Regional educational laboratories

(Education Sciences Reform Act, section 174)

(dollars in thousands)

FY 2013 Authorization: 0 ¹

Budget Authority:

<u>2012</u>	<u>2013</u>	<u>Change</u>
\$57,426	\$57,426	0

¹ The GEPA extension expired September 30, 2009. The program is proposed for authorization in FY 2013 under appropriations language.

PROGRAM DESCRIPTION

The Regional Educational Laboratories (REL) program supports a network of 10 laboratories that serve the needs of their region of the United States by conducting applied research, developing and widely disseminating products and processes based on the best available research findings, and providing training and technical assistance to State educational agencies (SEAs), local educational agencies (LEAs), school boards, and State boards of education to aid their school improvement efforts. The allocation of assistance among the regions is based on the number of local educational agencies and the number of school-age children, as well as the cost of providing services within the geographic area encompassed by the region. The Director of the Institute of Education Sciences (IES) is authorized to enter into 5-year contracts with research organizations, institutions of higher education, or partnerships among such entities or individuals with the demonstrated ability or capacity to carry out these activities. The program is administered by the National Center for Education Evaluation and Regional Assistance.

In response to previous concerns about the quality of some of the products and services provided by laboratories under previous contracts, the Education Sciences Reform Act of 2002 (ESRA) required that IES establish a system for technical and peer review to ensure that applied research activities, research-based reports, and products of the regional educational laboratories are consistent with the rigorous standards applied to all other research grants and contracts administered by IES. IES ensures that all REL reports meet IES standards for scientifically valid research before being published as online reports on the REL Web site at <http://ies.ed.gov/ncee/edlabs>. In this way, policymakers and practitioners, the primary users of REL reports, can be assured that these reports have met high standards for scientific quality, meaning that the information in the reports is valid and reliable. More information on the REL standards and the peer review procedures is available on the IES Web site at: <http://ies.ed.gov/ncee/edlabs/peerreview/index.asp>.

INSTITUTE OF EDUCATION SCIENCES

Regional educational laboratories

The ESRA also required that, before awarding REL contracts, IES develop specific objectives and measureable indicators to assess the performance of the RELs, ensure that the educational needs of the region are met, and that the products and services provided by the RELs are based on the latest and best research and proven practices. In early 2006, the Department awarded 5-year contracts to 10 RELs that, in addition to meeting more rigorous standards, required each REL to develop a 5 year plan describing how they identify and serve the needs of their regions. The 2011 appropriations language permitted the Department to extend these contracts for an additional year to permit the RELs to complete rigorous research studies that are currently underway and to ensure that the new contracts support the Department's efforts to enhance the capacity of States and districts to implement and sustain the education reforms that are critical to improve student outcomes.

IES awarded a contract to evaluate the REL program in 2009. The evaluation is examining (a) how well the RELs respond to the needs of their regions by providing short- and long-term research assistance and evidence-based technical assistance and (b) the effectiveness of the program's coordination activities across the RELs. The evaluation is discussed further in the Program Performance Information section of this request.

Funding levels for the past 5 fiscal years were as follows:

	(dollars in thousands)
2008	\$65,569
2009	67,569
2010	70,650
2011	57,535
2012	57,426

FY 2013 BUDGET REQUEST

The Administration requests \$57.4 million in fiscal year 2013, the same as the 2012 level, for the Regional Educational Laboratories (REL) program. The REL program serves as a necessary bridge between the research community and State and local educational agencies by providing expert advice, including training and technical assistance, to bring the latest and best research and proven practices into school improvement efforts. The requested funds would support the second year of activities under the 5-year contracts the Department awarded in December 2011.

Since the appropriation for fiscal year 2011 was not enacted until April and there were still some 2010 funds remaining unexpended in the current REL contracts, the Department was able to support the extension of the current contracts through December 2011 and carry over \$28.2 million from the 2011 appropriation to apply to the new contracts to ensure that the State and local educational agencies served by the RELs receive the almost the same level of service under the new contracts as they received in 2010, despite the reduction in the overall appropriation.

INSTITUTE OF EDUCATION SCIENCES

Regional educational laboratories

The Department's request for proposals for the new REL contracts emphasized the continued need for conducting and disseminating rigorous research, while also addressing stakeholder concerns and ensuring that REL activities are aligned with other Federal education investments and initiatives. One of the Department's goals for this competition was to ensure that RELs help States and districts systematically use data and analysis to address important issues of policy and practice with the goal of improving student outcomes. In order to accomplish this goal, IES expects each REL to build research capacity and a knowledge base in States and districts through various means, including:

- Assisting States, districts, and schools in using their data systems;
- Conducting and supporting high quality research and evaluation that focuses on a few key topics related to regional and national needs expressed in the region; and
- Helping education policymakers and practitioners incorporate data-based inquiry practices into regular decisionmaking.

RELs will work with new or existing partnerships of practitioners, policymakers, and others, referred to as "research alliances." These alliances may include regional, cross-State, and cross-district research partnerships. With their regional governing boards, RELs will also identify core priority areas on which to focus their activities. By focusing REL services on priority areas and establishing research alliances, IES expects that the next cycle of REL contracts will produce significant benefits for their regions and the Nation as a whole, including the:

- Development of a cohesive and potentially deep body of knowledge in core priority areas that address regional and, often, national needs, rather than spreading REL work thinly over many issues;
- Increased use of evaluation, data, and analysis by educators and education policymakers to identify problems, choose programs and strategies, and learn from initiatives;
- Completion of a range of rigorous evaluation and research studies, methodologically appropriate to the questions the studies attempt to answer;
- Expansion of the capacity of States and localities to use their own data, conduct high quality research and evaluation, and appropriately incorporate findings into policy and practice;
- Distribution of REL work across each region through a transparent and equitable process for determining where REL assistance is applied; and
- Establishment of strong partnerships among practitioners, policymakers, and researchers that do not depend upon ongoing REL support.

INSTITUTE OF EDUCATION SCIENCES

Regional educational laboratories

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2011</u>	<u>2012</u>	<u>2013</u>
Northeastern Region	\$3,316	\$7,440	\$7,440
Mid-Atlantic Region	2,991	5,208	5,208
Southeastern Region	2,887	8,122	8,122
Appalachian Region	2,222	5,084	5,084
Midwestern Region	3,862	5,890	5,890
Central Region	2,834	5,270	5,270
Southwestern Region	3,073	6,448	6,448
Western Region	4,449	4,340	4,340
Northwestern Region	2,415	6,944	6,944
Pacific Basin Region	<u>1,754</u>	<u>7,254</u>	<u>7,254</u>
Total, Regional educational laboratories	29,803 ¹	62,000 ¹	62,000 ¹

¹ The total amounts shown do not add to the total appropriation for the program because they reflect funds carried over from 2011 that will be applied to the new contracts.

PROGRAM PERFORMANCE INFORMATION

The Education Sciences Reform Act of 2002 established standards for the REL program. IES awarded the first contracts subject to these requirements in early 2006, and the new contracts for the administration of the RELs, beginning in fiscal year 2012, will continue to reflect those standards. The Department has established common performance indicators for its technical assistance programs that will be used to measure the extent to which the products and services delivered by the RELs are of high quality, are relevant to the needs of practitioners and policymakers, and are being used by their target audiences to inform education policy and practice. IES is also considering establishing additional program performance indicators that would assess whether or not the RELs meet the production targets in their contracts (e.g., the number of technical assistance or applied research reports that meet IES standards) as well as customer satisfaction measures that will gauge the extent to which the RELs are meeting the needs of the States, districts, and other stakeholders in their regions.

In developing additional performance indicators and measurement approaches for the RELs, IES will draw upon the work of the independent evaluation of the program, begun in 2009. The evaluation is examining the quality, relevance, and utility of REL products. An interim report, scheduled for publication in spring 2012, will address the technical quality and relevance of the fast response reports produced by each of the RELs, the alignment of each REL's work with the needs of its region, and the extent to which the RELs collaborated and coordinated technical assistance services with the other RELs and with other technical assistance providers supported by the Department. The interim report's findings will be based on interviews with REL directors and staff about their projects and activities and reviews of REL products by an outside panel of content and methodological experts.

INSTITUTE OF EDUCATION SCIENCES

Regional educational laboratories

A final report is scheduled to be completed by spring 2013. This report will assess the technical quality of the rigorous applied research studies conducted by the RELs using expert panels similar to those conducting reviews of the fast response reports. The final report will also include an analysis of information collected through a survey of REL customers about their satisfaction with REL products and activities.

INSTITUTE OF EDUCATION SCIENCES

Assessment

(National Assessment of Educational Progress Authorization Act)

(dollars in thousands)

FY 2013 Authorization: 0 ¹

Budget Authority:

	<u>2012</u>	<u>2013</u>	<u>Change</u>
National Assessment of Educational Progress	\$129,616	\$124,616	-\$5,000
National Assessment Governing Board	<u>8,690</u>	<u>7,690</u>	<u>-1,000</u>
Total	138,306	132,306	-6,000

¹ The GEPA extension expired September 30, 2009; the Administration proposes to continue funding in FY 2013 under appropriations language.

PROGRAM DESCRIPTION

The National Assessment of Educational Progress (NAEP) is the only nationally representative and continuing assessment of what American students know and can do. Also known as *The Nation's Report Card*, NAEP collects and analyzes data on, measures, and reports on the status of and trends in student learning over time, subject-by-subject. By making objective information on student performance available to policymakers, educators, parents, and others, NAEP has become an integral part of the Nation's measurement of educational progress.

Assessment frequency is specified in the authorizing statute. The Commissioner for Education Statistics must conduct:

- National reading and mathematics assessments in public and private schools at grades 4 and 8 at least once every 2 years;
- National grade 12 reading and mathematics assessments in public and private schools on a regular schedule; and
- Biennial State assessments of student achievement in reading and mathematics in grades 4 and 8.

If time and resources allow, the Commissioner may conduct additional national and State assessments in grades 4, 8, and 12 in public and private schools at regularly scheduled intervals in additional subject matters, including writing, science, history, geography, civics, economics, foreign languages, and arts; may conduct grade 12 State reading and mathematics assessments; and may conduct long-term trend assessments of academic achievement at ages 9, 13, and 17 in reading and mathematics. Whenever feasible, information must be collected

INSTITUTE OF EDUCATION SCIENCES

Assessment

and reported by race, ethnicity, socioeconomic status, gender, disability, and limited-English proficiency. The NAEP schedule is publicly available at <http://www.nagb.org/>.

The National Assessment Governing Board (NAGB) is responsible for formulating policy for NAEP. NAGB is composed of 25 voting members including Governors, State legislators, chief State school officers, a superintendent, State and local board of education members, testing and measurement experts, a representative of business or industry, curriculum specialists, principals, classroom teachers, and parents. The Director of the Institute of Education Sciences serves as an ex officio, nonvoting member of the Board. Using a national consensus approach, NAGB develops appropriate assessment objectives and achievement levels for each grade in each subject area to be assessed. The Assessment budget supports the following major program components:

- *National NAEP.* The main NAEP assessments report results for the Nation and are designed to follow the curriculum frameworks developed by NAGB. They periodically measure student achievement in reading, mathematics, science, writing, U.S. history, civics, geography, and other subjects;
- *Grade 4 and 8 State NAEP.* State assessments address the needs of State-level policymakers for reliable data concerning student achievement in their States in reading, mathematics, science, and writing. In 2002, the Department began paying for State participation in biennial reading and mathematics assessments in grades 4 and 8. Periodic assessments also are administered in science and writing;
- *Grade 4 and 8 Trial Urban District Assessment (TUDA).* Begun in 2002, the TUDA provides information on student achievement in a small number of urban school districts. Participation is voluntary;
- *Long-term NAEP.* In its long-term trend program, NAEP administers identical instruments from one assessment year to the next, measuring student achievement in reading and mathematics. These assessments do not evolve based on changes in curricular or educational practices; and
- *Evaluation and validation studies.* Congress mandates that the Secretary provide for continuing review of the national and State assessments and student performance levels by one or more nationally recognized evaluation organizations. NAEP funds also support studies to examine critical validity issues involving NAEP design, interpretation, and operations.

In order to inform the American public about the performance of the Nation's students, NAEP produces a series of public audience and technical reports. All NAEP reports are available through the Internet (<http://nces.ed.gov/nationsreportcard/>). In addition, an online data tool (<http://nces.ed.gov/nationsreportcard/naepdata/>) allows users to create their own data tables with national and State data.

The statute requires biennial State assessments in reading and mathematics in grades 4 and 8 and requires reporting NAEP results, where feasible, by disability and limited-English proficiency as well as by race, ethnicity, socioeconomic status, and gender. The Federal Government is

INSTITUTE OF EDUCATION SCIENCES

Assessment

specifically prohibited from using NAEP to influence standards, assessments, curriculum, or instructional practices at the State and local levels, or from using NAEP to evaluate individual students or teachers or provide rewards or sanctions for individual students, teachers, schools, or school districts. In addition, the statute specifies that nothing in the law shall be construed to prescribe the use of NAEP for student promotion or graduation purposes, and that NAEP should not affect home schools. Maintenance of a system of records containing personally identifiable information on students is prohibited, and assessments must not evaluate or assess personal or family beliefs or attitudes.

The statute ensures the Department's ability to maintain test integrity by allowing the Statistics Commissioner to decline to release cognitive test items that will be used in future assessments for 10 years (and longer if important to protect long-term trend data) while continuing to provide for public access to assessment materials in secure settings. The statute requires that the public be notified about such access; requires that access be provided within 45 days in a mutually convenient setting; and establishes procedures for receiving, reviewing, and reporting complaints. The law provides criminal penalties for unauthorized release of assessment instruments.

The statute also mandates that participation is voluntary for students and schools, as well as for local educational agencies. Each participating State must give permission for the release of the results of its State assessment. However, under Title I of ESEA, each State participating in the Title I program must develop a State plan that demonstrates, among other things, that the State has developed high quality assessments that will be used to determine student progress (ESEA, Title I, Part A, Section 1111). In addition, each State, in its plan, had to agree to participate in the biennial grades 4 and 8 reading and mathematics NAEP assessments beginning in the 2002-2003 school year, if the Secretary paid for the costs of participation. Any State with an approved plan under section 1111 is deemed to have given its permission for the release of its grades 4 and 8 reading and mathematics NAEP data.

Funding levels for both NAEP and NAGB for the past 5 fiscal years were:

	(dollars in thousands)
2008	\$104,053
2009	138,844
2010	138,844
2011	138,566
2012	138,306

FY 2013 BUDGET REQUEST

The Administration requests \$132.3 million for Assessment in 2013, a decrease of \$6.0 million from 2012. Of this amount, \$124.6 million would provide support for the National Assessment of Educational Progress (NAEP) program and \$7.7 million would support the National Assessment Governing Board (NAGB). NAGB is responsible for formulating policy for NAEP and develops appropriate assessment objectives and achievement levels for each grade in each subject area to be assessed. The NAEP State-level assessments are held every other year, meaning that

INSTITUTE OF EDUCATION SCIENCES

Assessment

costs are considerably higher in some years and lower in others. The Administration requests that these funds remain available for 2 years, as they have been in recent years. Extending the availability of funds for an additional year allows the Department the flexibility it needs to fund the assessments. The Administration believes that the funds requested are sufficient to enable NAEP to fulfill its mission and continue to provide the critically important information needed on student achievement over time.

NAEP funds for a particular fiscal year provide support for the analysis and reporting of assessments conducted in prior fiscal years, the administration of current year assessments, and preparation for future assessments. The current plans are to use the 2013 funds for:

- Conducting the 2013 national and State reading and math assessments at grades 4, 8, and 12. State participation in 12th grade NAEP is voluntary, with 11 States participating in 2009. In addition, the 2013 assessments will once again include data for certain large urban districts. In 2009, 18 urban districts participated; 21 participated in 2011.
- Analysis and reporting of assessments conducted in prior years, including the 2012 economics and long-term trend assessments.
- Preparation for 2014 assessments. The current NAGB schedule includes assessments in U.S. history, civics, and geography, as well as a technology and engineering literacy assessment.

The requested funding for NAGB would allow it to carry out its policy-setting responsibilities for NAEP, including selecting subject areas to be assessed; developing student achievement levels for each grade and subject tested; taking appropriate actions to improve the form, content, use, and reporting of NAEP; developing test objectives and specifications for assessments in each subject; handling the initial public release of NAEP reports; ensuring that all NAEP materials are free from racial, cultural, gender, and regional bias and are secular, neutral, and non-ideological; developing and implementing procedures for the review of NAEP methodology, content, frameworks, reporting, and dissemination; and reviewing complaints about NAEP submitted by parents and other members of the public and determining whether revisions to NAEP are necessary and appropriate. NAGB also conducts special studies to inform NAEP. The 2013 request would allow NAGB to finish work on 12th grade preparedness initiated in 2011 and to complete Web-based interactive versions of the reading, mathematics, science, and writing frameworks.

INSTITUTE OF EDUCATION SCIENCES

Assessment

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2011</u>	<u>2012</u>	<u>2013</u>
NAEP	\$129,861	\$129,616	\$124,616
NAGB	<u>8,706</u>	<u>8,690</u>	<u>7,690</u>
Total, Assessment	138,566	138,306	132,306
Number of full-time equivalent permanent personnel associated with NAGB	14	14	14

PROGRAM PERFORMANCE INFORMATION

Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data, and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in fiscal year 2013 and future years, and the resources and efforts invested by those served by this program.

Since 2006, NCES has used an online survey of a random sample of visitors to the NCES Web site to assess customer satisfaction with products and services. Data are reported for the Statistics and Assessment programs as a whole and are presented in the *Statistics* justification.

Three additional measures—the number of visits to the NAEP Web site, the number of users of the NAEP Data Explorer (an online tool for analyzing NAEP data sets), and the number of downloads of NAEP reports—allow the Department to track use of NAEP information.

Goal: To collect, analyze, and disseminate information on the condition of education in the United States.

Objective: *Provide timely and useful data that are relevant to policy and educational improvement.*

INSTITUTE OF EDUCATION SCIENCES

Assessment

Measure: Number of Web visits to the NAEP Web site, monthly average.

Year	Target	Actual
2008	Establish baseline	66,464
2009	66,464	75,208
2010	66,464	88,296
2011	66,464	117,528
2012	66,464	
2013	66,464	

Measure: Number of users of the NAEP Data Explorer data tool, monthly average.

Year	Target	Actual
2008	Establish baseline	7,063
2009	7,063	8,266
2010	7,063	6,810
2011	7,063	11,834
2012	7,063	
2013	7,063	

Measure: Number of downloads of electronic versions of NAEP reports, monthly average.

Year	Target	Actual
2008	Establish baseline	11,702
2009	11,702	13,195
2010	11,702	15,986
2011	11,702	25,324
2012	11,702	
2013	11,702	

Additional information: The Department established baselines for these measures in 2008. Once the Department has collected several years of data, staff will examine the data to determine appropriate targets for outyears. Until then, the targets are to maintain the baselines.

NCES exceeded the targets in 2009, with usage increasing in all three areas. In 2010, NCES exceeded the baselines for the number of Web site visits and downloads of reports, but did not meet the baseline for the number of users of the NAEP Data Explorer data tool. In 2011, it once again exceeded the targets for all three measures.

In 2008, NCES also began reporting the number of times NAEP data are cited on the Web sites of 90 education associations and organizations. This measure provides an additional source of information on use of NAEP.

INSTITUTE OF EDUCATION SCIENCES

Assessment

Measure: Number of times NAEP data are cited on the Web sites of 90 education associations and organizations.

Year	Target	Actual
2008	Establish baseline	41
2009	41	17
2010	41	11
2011	41	
2012	41	
2013	41	

Additional information: In 2008, NAEP data were cited on 41 of the 90 Web sites examined, but in 2009 only 16 of the Web sites cited NAEP data. Once the Department has collected several years of data, staff will examine the data to determine appropriate targets for outyears. Until then, the target is to maintain the baseline. Staff members are examining possible reasons for the decline from 2008 and 2009; one possibility is that the timing of the release of key reports may influence the yearly results.

In addition to the existing customer satisfaction measures, NCES collects customer service information through the American Customer Satisfaction Index (ACSI) (<http://www.theacsi.org/>), which provides satisfaction scores based on samples of customers. The new measure tracks the extent to which respondents would recommend the Nation's Report Card to others and would rely on the Nation's Report Card in the future. The baseline for this measure, which showed that 81 percent of respondents would recommend the Nation's Report Card to others and would rely on it in the future, was established using data for 2008, and data will be collected every other year. The figure for 2010 was 79 percent.

Efficiency Measures

In 2003, NCES added an indicator on timeliness for the Assessment program that measures the actual time from the end of data collection to release of the initial national reading and mathematics assessments to NAGB. The goal is to ensure that NAEP results are available within 6 months of each reading and mathematics assessment, and the measure is an indication of how efficiently the Department is analyzing and reporting NAEP results. Because any year with new frameworks requires additional work to analyze the results (e.g., conducting trend studies and having achievement levels set by NAGB) and produce the final reports, NCES believes that it is appropriate to exempt assessments with new frameworks from the efficiency measure calculations. This provides more comparable measurement from year to year, since different percentages of assessments may have new frameworks each year. Data are available and are presented, however, both for assessments with new frameworks, and for those without.

INSTITUTE OF EDUCATION SCIENCES

Assessment

The measures are:

- The timeliness of National NAEP data for Reading and Mathematics Assessments;
- The percentage of NAEP reports on State-level reading and mathematics assessments ready for release by NAGB within 6 months of the end of data collection.
- The percentage of NAEP initial releases, excluding national and State reading and mathematics assessments, that are ready for release by NAGB within 12 months of the end of data collection.

Timeliness of National NAEP Data for Reading and Mathematics Assessments. NCES has committed to releasing National NAEP results for reading and mathematics to NAGB within 6 months of the end of data collection in any year in which there are not new frameworks. It met this goal for 2009 (grades 4, 8, and 12 mathematics) and 2011 (grades 4, 8, and 12 reading and mathematics). In 2009, the reading assessment had new frameworks, and the results for the grades 4, 8, and 12 reading assessments were released to NAGB in 12 months.

Timeliness of State-level Reading and Mathematics Assessments. NCES also has committed to releasing State-level reading and mathematics assessments to NAGB within 6 months, except when the assessments have new frameworks. NCES met the goal: In 2009, the grades 4, 8, and 12 mathematics results were released in 6 months, and in 2011, both reading (grades 4 and 8) and mathematics (grades 4 and 8) were released within 6 months. (There was not a grade 12 assessment in 2011.) The 2009 State reading results, which had new frameworks, were released in 12 months.

Timeliness of Other Assessments. NCES has committed to releasing results of all other assessments to NAGB within 12 months, except in years with new frameworks. In 2009, the only assessments without new frameworks were the grade 4 and grade 8 mathematics assessments; both were released on time. An additional nine assessments had new frameworks, and were released to NAGB in 14 to 23 months. (The additional assessments were the grades 4 and 8 TUDA; the grades 4, 8, and 12 National science assessments, the grades 4 and 8 State-level science assessments, and the grades 4 and 8 science TUDA.) NCES has until March 2012 to release the results of 2011 assessments to NAGB, and already has released to them the grades 4 and 8 reading and mathematics TUDA, both of which were completed in 8 months.

NCES also is examining the average cost per completed case (respondent) for the assessments.

INSTITUTE OF EDUCATION SCIENCES

Assessment

Measure: After adjustment for inflation, the average cost per completed case for the assessments (in 2006 dollars).

Year	Target	Actual
2007		\$79.68
2009	\$79.68	\$81.79
2011	\$79.68	\$90.54
2013	\$79.68	

Additional information: NCES established a baseline of \$79.68 in 2007, and set the outyear targets at this level. NCES did not meet the target in 2009 or 2011.

Other Performance Information

The Department completed an evaluation of NAEP in 2009 (<http://www.informaworld.com/smpp/title~db=all~content=g915933415>) that provides information on key aspects of the assessment. The study found that the assessment is well-run and of high quality, but it did identify possible areas for improvement, including that the NAEP program should specify the intended uses of NAEP, identify unintended uses, and develop a validity research agenda around current and proposed uses. The study also recommended that technical documentation should be released at the same time as assessment results. In response to concerns regarding an organized program of validation research, NCES has identified staff who will be focused on research and development and has created a steering committee that is responsible for identifying emerging issues and making recommendations for a NAEP research and development agenda. In addition, NCES has established a Technical Documentation Web Site (<http://nces.ed.gov/nationsreportcard/tdw/>) that will provide easy access to assessment documentation.

INSTITUTE OF EDUCATION SCIENCES

Research in special education

(Education Sciences Reform Act of 2002, Part E)

(dollars in thousands)

FY 2013 Authorization: 0 ¹

Budget Authority:

<u>2012</u>	<u>2013</u>	<u>Change</u>
\$49,905	\$49,905	0

¹ The GEPA extension expired September 30, 2011. The program is proposed for authorization in FY 2013 under appropriations language.

PROGRAM DESCRIPTION

The Research in Special Education program supports research to address gaps in scientific knowledge in order to improve special education and early intervention services and results for infants, toddlers, and children with disabilities. The National Center for Special Education Research (NCSEER), established within the Institute of Education Sciences (IES) in 2005, conducts sustained programs of scientifically rigorous research that focus on developmental outcomes for infants and toddlers with disabilities; school readiness; achievement in core academic content areas (reading, writing, mathematics, science); behaviors that support learning in academic contexts for students with disabilities or at risk for disabilities; and functional skills that improve education outcomes and transitions to employment, independent living, and postsecondary education.

Funding levels for the past 5 fiscal years were as follows:

	(dollars in thousands)
2008	\$70,585
2009	70,585
2010	71,085
2011	50,983
2012	49,905

FY 2013 BUDGET REQUEST

The Administration requests \$49.9 million for special education research in fiscal year 2013, the same as the 2012 level. Despite decades of research and the development of promising approaches to improve learning and behavior outcomes for students with disabilities, there continue to be many unanswered questions about how children and adults with disabilities learn

INSTITUTE OF EDUCATION SCIENCES

Research in special education

and how best to support that learning in the home and in special and general education settings. Continued investment in the long-term programs of research administered by NCSE is necessary to accumulate empirical knowledge and develop theories that will ultimately result in improved academic achievement.

In order to provide the flexibility IES needs to plan and administer a regular cycle of research competitions, the Administration requests that funding be available for 2 years, as it has been in previous years.

The 2013 request would support IES' ongoing research and research training in special education through three grant programs: Special Education Research Grants, Research Training in Special Education, and Special Education Research and Development Centers. These grant programs are described below. The level of funding and number of grants that would be awarded under each of these programs will be based on the quality of the applications received as rated by panels of scientists, but IES estimates that approximately \$20.0 million would be available to support new research activities in 2013.

Special Education Research Grants. Through the Special Education Research Grants program, IES supports research on topics that are relevant to the needs of students with disabilities, their families, educators, and policymakers, spanning from the early intervention needs of infants and toddlers with disabilities to transition outcomes for students with disabilities leaving programs of secondary education. Under the Special Education Research Grants program, IES invites applications for research and development projects on the following topics:

- Early Intervention and Early Learning in Special Education
- Social and Behavioral Outcomes to Support Learning
- Reading, Writing, and Language Development
- Transition Outcomes for Special Education Secondary Students
- Cognition and Student Learning in Special Education
- Professional Development for Teachers and Related Service Providers
- Mathematics and Science Education
- Families with Children with Disabilities
- Special Education Policy, Finance, and Systems
- Technology for Special Education
- Autism Spectrum Disorders (ASD)

Under each of these topics, IES supports a broad range of field-initiated research, development, and evaluation activities necessary for building a scientific enterprise that can provide solutions to the Nation's special education challenges. *Exploratory research projects* uncover underlying processes and identify promising approaches to test. This research is intended to inform the development of new and more powerful interventions. *Development and innovation projects* create potent and innovative interventions to address continuing problems that the Nation has not yet solved (e.g., improving mathematics instruction to enable children with learning disabilities to succeed) and emerging problems and challenges (e.g., integrating new technologies into effective classroom instruction). *Efficacy and replication projects* examine whether programs and policies actually produce positive effects on education outcomes, which

INSTITUTE OF EDUCATION SCIENCES

Research in special education

need more work to become more potent or more robust, and which should be discarded. *Scale-up evaluation projects* determine whether a program or policy is effective when implemented under routine conditions (e.g., a State or local educational agency implementing an intervention on its own without special support from the developer or research team). *Measurement projects* support research to develop and validate measurement instruments, which are needed for screening, progress monitoring, and assessment of students with or at-risk for disabilities.

Research Training. Through this program, IES supports grants to institutions of higher education to develop research training programs to increase the supply of scientists and researchers in special education who are prepared to conduct exploratory research, implement rigorous evaluation studies, develop and evaluate new products and approaches that are grounded in a science of learning, design and validate tests and measures for students in special education, and contribute to the advancement of knowledge and theory in special education.

Special Education Research and Development Centers. IES currently supports 4 special education research and development centers that are intended to contribute significantly to the solution of special education problems in the United States by engaging in research, development, evaluation, and national leadership activities. Each of the research and development centers conducts a focused program of research in its topic area. As needed, each research and development center conducts additional research and analyses within its broad topic area and provides national leadership in advancing evidence-based practice and policy within its topic area. Unlike education research grants that support a single research study, the research and development center grants support a focused program of research that may include several researchers working on separate studies that are designed to contribute to our understanding of a particular topic. In 2013 IES will invite applications for new research and development centers that would focus on accelerating the academic achievement of children with disabilities.

INSTITUTE OF EDUCATION SCIENCES

Research in special education

PROGRAM DESCRIPTION (dollars in thousands)

<u>Measures</u>	<u>2011</u>	<u>2012</u>	<u>2013</u>
Special Education Research Grants			
Number of new grant awards	39	TBD	TBD
Average new grant award	\$548	TBD	TBD
Total new grant awards	\$21,370	TBD	TBD
Total grant award continuations	\$23,206	0	TBD
Special Education Research and Development Centers			
Number of new grant awards	1	TBD	TBD
Total new grant awards	\$2,141	TBD	TBD
Total grant award continuations	\$5,601	0	TBD
Research Training			
Number of new grant awards	2	TBD	TBD
Total new grant awards	\$257	TBD	TBD
Total grant award continuations	\$657	0	TBD
Subtotal, Research activities	<u>\$53,232</u>	<u>\$39,983¹</u>	<u>\$44,933¹</u>
Contracts			
Small Business Innovation Research	\$1,749	\$6,750	\$1,800
What Works Clearinghouse	\$2,500	\$2,500	\$2,500
Logistics and Analytical Support/Other	\$500	\$500	\$500
Peer review of new award applications	<u>\$1,250</u>	<u>\$1,250</u>	<u>\$1,250</u>
Subtotal, Dissemination Activities	\$5,549	\$11,000	\$6,050
Funds carried over from previous fiscal year (-)	<u>-\$7,798</u>	<u>0</u>	<u>0</u>
Total, Research in special education	\$50,983	\$50,983	\$50,983

NOTE: Amounts listed as "TBD" are still to be determined. The number and size of new research awards will depend on the quality of applications received.

¹ The total amount, number, and size of awards in 2012 and 2013 will depend upon the quality of applications received. The subtotals shown for research activities represent estimates of funds needed to cover both new grant awards and continuation costs for grants awarded in previous years.

INSTITUTE OF EDUCATION SCIENCES

Research in special education

PROGRAM PERFORMANCE INFORMATION

Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data, and an assessment of the progress made toward achieving program results. Achievement of results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2013 and future years, and the resources and efforts invested by those served by the program.

Goal: Transform education into an evidence-based field.

Objective: *Raise the quality of research funded or conducted by the Department.*

Long-term Measures

Measure: By 2017, at least 15 IES-supported interventions on improving reading, writing, or language outcomes for students with disabilities will have been reported by the What Works Clearinghouse to be effective.

Measure: By 2017, at least 12 IES-supported interventions on improving school readiness outcomes for students with disabilities will have been reported by the What Works Clearinghouse to be effective.

Measure: By 2017, at least 10 IES-supported interventions on improving behavior outcomes for students with disabilities will have been reported by the What Works Clearinghouse to be effective.

Measure: By 2017, at least 125 individuals who have completed IES-supported pre- or post-doctoral research training programs will be actively engaged in research on special education.

Measure: By 2017, 25 percent of decisionmakers surveyed will indicate that they consult the What Works Clearinghouse prior to making decision(s) on interventions in reading, writing, language, school readiness, or behavior interventions for special education.

Annual Measures

Measure: The number of IES-supported interventions with evidence of efficacy in improving reading, writing, or language outcomes for students with disabilities.

Year	Target	Actual
2009	1	1
2010	3	3
2011	6	4
2012	11	

INSTITUTE OF EDUCATION SCIENCES

Research in special education

2013	13	
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Measure: The number of IES-supported interventions with evidence of efficacy in improving school readiness outcomes for students with disabilities.

Year	Target	Actual
2009	1	1
2010	3	1
2011	7	4
2012	10	
2013	13	

Measure: The number of IES-supported interventions with evidence of efficacy in improving behavior outcomes for students with disabilities.

Year	Target	Actual
2009	1	1
2010	3	3
2011	5	5
2012	7	
2013	9	

Additional information: For these measures, research specialists from the What Works Clearinghouse (WWC) review reports from IES-supported projects and evaluate them to determine whether these findings meet the WWC published evidence standards and whether a statistically significant positive effect in improving achievement outcomes for students with disabilities has been demonstrated. Although the targets for each of these measures may appear to be modest, they represent significant expansions to the evidence base in these areas: reading, writing or language outcomes, school readiness, and behavior outcomes. NCSER awarded its first efficacy and replication project grants in 2006 and these projects need time before they can produce reports for WWC review.

The targets set for these measures were determined by identifying the number of NCSER-funded studies that test the efficacy or effectiveness of interventions designed to improve outcomes of students with disabilities in each of these areas, and taking into account the anticipated time to complete the studies. Reported numbers are cumulative. IES met its 2010 targets for reading, writing, or language and behavior outcomes and its 2011 target for behavior outcomes. IES did not meet its 2011 target for school readiness outcomes and for reading, writing, or language outcomes. However, since 2006, IES has awarded 43 grants for research on early intervention and early learning in special education and 24 grants and 1 research and development center in reading, writing, or language development and expects that, as more of these grants reach completion, the evidence base on school readiness and reading, writing, or language outcomes will expand more rapidly.

INSTITUTE OF EDUCATION SCIENCES

Research in special education

Measure: The number of individuals who have been or are being trained in IES-funded special education research training programs.

Year	Target	Actual
2009	6	14
2010	15	21
2011	30	
2012	40	
2013	41	

Additional information: These data are reported by grantees administering research training program reports and confirmed by IES program officers. Targets were based on the postdoctoral research training grant program. In 2013, IES will invite applications for a broader range of research training programs, such as predoctoral or early career research training programs based. Since the number of individuals trained may depend on the type of research training program supported, IES may adjust the targets for future years based on the outcome of the 2013 competition.

Efficiency Measures

Measure: The average number of research grants administered per each program officer employed in the National Center for Special Education Research.

Year	Target	Actual
2009	20	24
2010	22	36
2011	25	37
2012	38	
2013	40	

Assessment of progress: IES' principal efficiency measure is the ratio of research staff to research grants. These data will be collected from the official grant files for the National Center for Special Education Research. The targets for 2012 and 2013 have been increased because the actual data for 2010 are higher than the previous targets.

INSTITUTE OF EDUCATION SCIENCES

Statewide data systems

(Educational Technical Assistance Act, Section 208)

(dollars in thousands)

FY 2013 Authorization: 0 ¹

Budget Authority:

<u>2012</u>	<u>2013</u>	<u>Change</u>
\$38,077	\$53,077	+\$15,000

¹ The GEPA extension expired September 30, 2009. The program is proposed for authorization in FY 2013 under appropriations language.

PROGRAM DESCRIPTION

Section 208 of the Educational Technical Assistance Act (ETAA) authorizes the Secretary to make competitive grants to State educational agencies (SEAs) to enable them to design, develop, and implement Statewide longitudinal data systems to efficiently and accurately manage, analyze, disaggregate, and use student data, consistent with the Elementary and Secondary Education Act (ESEA) of 1965. The goals of the program are to improve data quality, promote linkages across States, promote the generation and accurate and timely use of data for reporting and improving student achievement, and facilitate research to improve student achievement and close achievement gaps.

The grants are expected to help SEAs develop, expand, or improve data systems, and may support necessary training, technical assistance, and other activities to promote effective use of data. Funds must supplement, not supplant, other State or local funds used for developing State data systems and may not be used to support ongoing implementation and maintenance of such systems. The Statewide longitudinal data systems developed with grant funds must be capable of meeting the reporting requirements of *EDFacts*, the Common Core of Data, and reporting requirements under the ESEA. States are encouraged to develop systems that can be used by State and local administrators to improve the quality of education. Grants are awarded competitively, based on the technical quality of the proposals.

The Institute of Education Sciences (IES) convened a team of experts to design the program and plan the 2005 competition so that it would accomplish the goals set out in the ETAA and in the conference report accompanying the 2005 appropriations bill. The conference report specified that Congress expected the Department to develop and implement the program so that it served the key goals of generating and using accurate and timely data to facilitate research needed to improve student achievement, eliminate achievement gaps, and comply with and meet reporting requirements of the ESEA, as stated in section 208(c) of the Education Technical Assistance Act. IES awarded the first set of grants, to 14 States, in November 2005;

INSTITUTE OF EDUCATION SCIENCES

Statewide data systems

the second competition was conducted in fiscal year 2007 and resulted in 13 new awards. The third competition made awards to 27 States in the spring of 2009. The American Recovery and Reinvestment Act of 2009 (the Recovery Act) provided an additional \$250.0 million for the program, which was used for 2010 grant awards to 20 States. After all four competitions for funding, 41 States and the District of Columbia have received at least one SLDS grant. Sixteen States have received two awards, and 8 have received three awards. The nine States with no award after four competitions are Alabama, Delaware, New Jersey, New Mexico, Oklahoma, South Dakota, Vermont, West Virginia, and Wyoming.

The Department established three distinct topics for the 2012 grant competition, with States permitted to apply to address only one topic. Grants will be awarded for 3-year periods, and the maximum awards will vary by topic. States applying for awards to develop and improve a K-12 data system are eligible to receive up to \$5.0 million for the entire grant period; those applying for awards to develop and link early childhood data with the State's K-12 data system or to develop and link postsecondary or workforce data with K-12 data may receive up to \$4.0 million.

The Department of Education Appropriations Act of 2008 authorized the program to use up to \$5.0 million of its 2008 appropriation for State data coordinators and for awards to entities other than States to improve data coordination, as did the 2009 Appropriations Act. In addition, the 2009 Appropriations Act authorized the use of funds for Statewide data systems that include postsecondary and workforce information. The 2010 Appropriations Act added inclusion of information on children of all ages as an authorized activity; this language continued in 2011. In 2012, the appropriations language authorized the use of funds to link Statewide elementary and secondary data systems with early childhood, postsecondary, and workforce data systems, or to further develop such systems.

The Department expects States to use Statewide data systems funds to significantly improve the ability of such systems to provide information needed to support education reform, improve instruction, promote accountability, and make information available to parents and the public. States must develop the linkages with other agencies and States that are needed to provide information on high school completion, college completion, and workforce participation. Systems developed with support from the Department must improve States' ability to report required data to the Department and, in addition, should include information needed to help assess the effectiveness of Federal education programs, including Federal education programs for which the State is not the grantee. Funded data systems also must improve the ability to provide regular feedback to teachers to enable them to use educational data to improve instruction, allow State and local educational agencies to devise methods for identifying effective teachers and teaching practices, and provide accurate information about student and school progress.

INSTITUTE OF EDUCATION SCIENCES

Statewide data systems

Funding levels for the past 5 fiscal years were as follows:

	(dollars in thousands)
2008	\$48,293
2009	65,000
Recovery Act.....	250,000
2010	58,250
2011	42,166
2012	38,077

FY 2013 BUDGET REQUEST

The Administration requests \$53.1 million for Statewide data systems in fiscal year 2013, an increase of \$15.0 million over 2012. The 2013 funds for this program would provide support to States to improve the availability and use of data on student learning, teacher performance, and college- and career-readiness through the development of enhanced data systems that can link data on student progress over time and across multiple educational environments. At the request level, the Department would fund continuations of grants awarded in 2012 and activities designed to promote data coordination, quality, and use.

In addition, the increase of \$15.0 million would allow the Department to support postsecondary data initiatives designed to improve information on students as they progress from high school to postsecondary education and the workforce. Measuring the success of many of our programs and initiatives, as well as State education reform activities, requires high-quality data on students as they move from high school to postsecondary education and training, and into the workforce.

The Administration requests that funding for fiscal year 2013 be available for 2 years, as it has been in prior years. The Administration also requests language to allow awards to support activities to improve data coordination, quality, and use at the local, State, and national levels, as well as language that permits the use of funds for inclusion of early childhood, postsecondary, and workforce information. This language is the same language included in the 2012 appropriation Act.

The longitudinal data systems funded through this program support the Department's goal of improving student achievement by ensuring data quality and promoting the generation and accurate and timely use of student achievement data. Such data help States meet reporting requirements (including data elements required for the U.S. Department of Education's *EDFacts* and the Consolidated State Performance Report); support decisionmaking at the State, district, school, and classroom levels; facilitate research needed to eliminate achievement gaps and improve student learning; and provide critical information on education to parents and the public.

The longitudinal data systems can serve as a vital source of information for parents and the public on the performance of schools and students, and can help State and local educational agencies identify effective teaching practices. Such systems also can serve as a source of

INSTITUTE OF EDUCATION SCIENCES

Statewide data systems

information on participation in, and the effectiveness of, Federal education programs. In addition, longitudinal data are key to helping educators examine student progress and outcomes over time. For example, longitudinal data can be used to identify early childhood programs that are associated with strong school readiness outcomes for children and to determine whether students leave high school with the skills needed for success in college and the workplace.

Allowing inclusion of early childhood information in Statewide data systems will ensure that the data systems provide information needed to assess the effects of early childhood education programs and early interventions. Including postsecondary and workforce data will allow States to better determine what courses and supports are most effective in helping students make successful transitions to college and the workplace. The postsecondary information maintained by States in their data systems is likely to include enrollment status, courses taken and grades received—including whether students took remedial coursework—college major, degree completion, and time to degree completion. Postsecondary information also could include data on postsecondary certificates and training—such as that required for specific jobs—and other types of sub-baccalaureate education for adults, in order to determine the effectiveness of such programs for improving employment outcomes.

Examples of State activities funded by prior grants (see <http://nces.ed.gov/programs/slids/stateinfo.asp>) include the following:

- Iowa, a 2009 grantee, is creating a system to electronically transmit students' high school transcripts to colleges and universities within Iowa, thus reducing administrative costs, improving data quality, and reducing processing time.
- Minnesota, which received an award in 2006 as well as a Recovery Act award, is creating a linkable preschool through postsecondary completion interagency warehouse containing data from preschool, elementary and secondary, postsecondary, and workforce systems and is developing analytic portals for educational research and evaluation.
- Maine, which received an award in 2007 and a Recovery Act award, is using Recovery Act funds to expand its core system to include information on early childhood programs, teacher effectiveness, and adult education, and to create linkages to postsecondary data from the University of Maine system and to workforce data. Maine is expanding its training program to include a wider variety of stakeholders—including the general public as well as educators and researchers—thus helping ensure that they make appropriate use of data to improve student achievement and evaluate programs.
- Oregon, which has received three awards to date, is using its latest grant funds for system enhancements, including developing the capability to link information on teachers and students, thus allowing examination of the relationship between teacher training and qualifications and student achievement gains.
- Texas, which has received two awards, is using its 2009 grant to establish student-teacher linkages and will use its Recovery Act grant to add college readiness scores to its

INSTITUTE OF EDUCATION SCIENCES

Statewide data systems

longitudinal data system and to expand the system to include pre-kindergarten, kindergarten, and workforce data.

At the request level, the following activities would be supported:

- At least \$26.8 million would support continuation costs for the new State awards to be made in 2012.
- Up to \$26.0 million would support activities to improve data quality, coordination, and use. The activities would include:
 - \$15.0 million to support postsecondary and workforce initiatives designed to improve information linkages between and among secondary and postsecondary institutions, as well as to develop linkages to workforce data. States and institutions need such information to assess the extent to which they are ensuring that students leave high school prepared for further education and for employment, as well as to assess the effects of postsecondary education and training on certificate and degree attainment and successful employment. In addition, the information could help assess the effectiveness of Federal education programs and initiatives, enhance the ability of consumers and institutions to evaluate the costs and benefits of postsecondary education and training, or to help us measure progress towards the President's 2020 goal for college completion.
 - \$5.4 million to continue support for three on-going activities designed to improve data quality, coordination, and use for all States. The Education Data Technical Assistance Program would receive approximately \$3.0 million to provide assistance to State educational agencies in the planning, development, expansion, and implementation of their longitudinal data systems. The Privacy Technical Assistance Center (PTAC) would receive approximately \$1.4 million to serve as a resource center to State and local educational agencies, the postsecondary community, and other parties engaged in building and using education databases on issues related to the privacy, security, and confidentiality of student records. Additional information on the PTAC and resource materials are available on the Web at <http://www.ed.gov/ptac>. The Common Education Data Standards contract would receive approximately \$1.0 million of Statewide data systems money to support the development of common data standards for a core set of early childhood education and K-12 student, staff, postsecondary, and institutional variables.
 - Up to \$5.6 million to support additional data quality, coordination, and use activities, depending on identified needs. For example, more support may be needed for the PTAC to help States address privacy issues, or for additional assistance to ensure that they have the data needed to monitor the effectiveness of their early learning and development systems. The Department also is developing plans to identify and promote models of effective longitudinal data system development and best practices for data use and may use 2013 funds to continue this work.
- Approximately \$250,000 would support peer review costs of new awards.

INSTITUTE OF EDUCATION SCIENCES

Statewide data systems

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2011</u>	<u>2012</u>	<u>2013</u>
Statewide data systems development awards			
Grants awarded in FY 2009	\$32,526	0	0
Grants to be awarded in FY 2012	<u>5,168¹</u>	<u>\$33,048¹</u>	<u>\$26,827²</u>
Subtotal	37,694	33,048	26,827
On-going awards to improve data coordination, quality, and use	4,222 ¹	5,029 ¹	5,372
Other awards to improve data coordination, quality, and use	0	0	5,628 ²
Postsecondary and workforce data initiatives	<u>0</u>	<u>0</u>	<u>15,000³</u>
Subtotal	4,222	5,029	26,000
Peer review of new award applications	<u>250</u>	<u>0</u>	<u>250</u>
Total	42,166	38,077	53,077

<u>Number of Awards</u>	<u>2011</u>	<u>2012</u>	<u>2013</u>
Statewide data systems development awards			
Grants awarded in FY 2009	21 ⁴	0	0
Grants to be awarded in FY 2012	<u>TBD</u>	<u>TBD</u>	<u>TBD</u>
Subtotal	21	TBD	TBD
Awards to improve data coordination, quality, and use	4	0 ²	TBD
Postsecondary and workforce data initiative awards	TBD	TBD	TBD

<u>Range of Awards (Entire Grant Period)</u>	<u>Low</u>	<u>High</u>
Statewide data systems development awards		
Grants awarded in FY 2009	\$2,450	\$9,000
Grants awarded in FY 2012	\$1,000	\$5,000

¹ The Department may use more funding for awards to improve data coordination, quality, and use, depending on State and local need for assistance. In that case, the amount for Statewide data system development grants would be decreased.

² The Department may use less funding for awards to improve data coordination, quality, and use, depending on State and local need for assistance. In that case, the amount for Statewide data system development grants would be increased.

³ If the Department awards a portion of the funds as grants, it will use part of the \$15 million to pay for peer review costs.

⁴ The Department made 27 awards in 2009. However, only 21 will receive 2011 funds.

INSTITUTE OF EDUCATION SCIENCES

Statewide data systems

PROGRAM PERFORMANCE INFORMATION

Performance Measures

To evaluate the overall success of this program, the Department will determine at the end of each grant whether the State educational agency has in operation a Statewide longitudinal data system that meets certain requirements.

For grants awarded in fiscal years in 2006 through 2009, the goal was that 100 percent of States receiving grants under the program would have an operational Statewide longitudinal data system at the end of the grant period. All 14 of the 2006 grants have ended, and all 14 of the States have a functional K-12 longitudinal data system. NCES considered a State to have a functional longitudinal data system if it met the required system components as well as the required policy and implementation components identified in the grant application announcement. Applicants' grant proposals addressed their plan to complete the requirements and their progress was closely monitored and verified by the program staff.

Grants awarded in fiscal year 2010 with funds provided under the American Recovery and Reinvestment Act will be judged based on the extent to which their State longitudinal data systems contain each of the 12 required data system elements contained in the COMPETES Act, as specified in their approved State Fiscal Stabilization Fund (SFSF) plan. States are required to submit the data as part of their annual reporting for SFSF grants. (See <http://www2.ed.gov/programs/statestabilization/annual-reports.html>.) SFSF staff will review the data during State monitoring visits, and the Department will compile the results for all States (those without SLDS grants as well as those with grants).

Under the original SFSF grant agreements, States were required to have all 12 COMPETES Act data system elements in place by September 30, 2011. This deadline proved to be problematic, and on September 23, 2011, the Department published a Federal Register notice that changed the deadline to January 31, 2012. The Department has proposed, under certain circumstances, to extend that date to December 31, 2013. Elements that States have found particularly challenging to implement include: (1) student-level transcript information, including data on courses completed and grades earned; (2) information regarding the extent to which students transition successfully from secondary school to postsecondary education, including whether students enroll in remedial coursework; and (3) other information needed to address alignment and adequate preparation for success in postsecondary education. To help States address these issues, the Department is providing technical assistance and amended the regulations implementing the Family Educational Rights and Privacy Act (FERPA) to allow more effective use of data, while continuing to protect the privacy of education records.

INSTITUTE OF EDUCATION SCIENCES

Special education studies and evaluations

(Individuals with Disabilities Education Act, Section 664)

(dollars in thousands)

FY 2013 Authorization: 0 ¹

Budget Authority:

<u>2012</u>	<u>2013</u>	<u>Change</u>
\$11,415	\$11,415	0

¹ The GEPA extension expired on September 30, 2011; this program is proposed for authorization in FY 2013 under appropriations language.

PROGRAM DESCRIPTION

The Special Education Studies and Evaluation program awards competitive grants, contracts, and cooperative agreements to assess the implementation of the Individuals with Disabilities Education Act (IDEA) and the effectiveness of State and local efforts to provide special education and early intervention programs and services to infants, toddlers, and children with disabilities. Studies required by the authorizing statute include an assessment of national activities supported with Federal special education funds and a study of alternate achievement standards. These studies are administered by the National Center for Education Evaluation and Regional Assistance (NCEE) and the National Center for Special Education Research (NCSE) in the Institute of Education Sciences (IES).

The **National Assessment** must address both the extent to which schools, districts, States, and other recipients of Federal funds are implementing the programs and services authorized under IDEA and the effect of these programs and services on the attainment of developmental goals and academic achievement for children with disabilities. Outcomes identified in the authorizing statute include the academic achievement of children with disabilities relative to nondisabled children, their reading and literacy levels, successful transition between education levels and to the workforce, and dropout rates. The National Assessment must also address the extent to which children with disabilities have access to the general curriculum and are educated in the least restrictive environment possible and whether children from racial or ethnic minorities or with limited English proficiency are subject to inappropriate over-identification. The National Assessment must also examine whether programs and services supported under IDEA are improving the participation of parents of children with disabilities in the education of their children and fostering the resolution of disputes between education personnel and parents through alternative dispute resolution.

The **National Study of Alternate Achievement Standards** must address how States select students to be assessed using alternate assessments based on alternate academic achievement standards; how these standards are aligned with State academic content

INSTITUTE OF EDUCATION SCIENCES

Special education studies and evaluations

standards in reading, mathematics, and science; and the validity and reliability of instruments used to assess student proficiency. The study must also examine whether alternate academic achievement standards appropriately measure student progress on outcomes related to their individual instructional needs.

The IDEA requires the Secretary to delegate responsibility for the administration of most studies and evaluations in special education to the Director of the Institute of Education Sciences (IES). Not delegated to IES are the required annual report and the study of the extent to which States adopt policies under which parents of children with disabilities may choose to continue to have their children receive early intervention services until the children enter or are eligible under State law to enter kindergarten or elementary school.

Funding levels for the past 5 fiscal years were as follows:

	(dollars in thousands)
2008	\$9,460
2009	9,460
2010	11,460
2011	11,437
2012	11,415

FY 2013 BUDGET REQUEST

The Administration requests \$11.4 million to support studies, evaluations, and assessments related to the implementation of the Individuals with Disabilities Education Act (IDEA), the same as the 2012 level. To identify topics for studies and evaluations and to ensure that studies and data collections are designed to be relevant to the needs of policymakers and practitioners, IES works closely with the Office of Special Education Programs (OSEP) to develop a plan for the investments under this program. The request for 2013 would be used to support ongoing studies and new evaluations of the Positive Behavioral Interventions and Supports framework and outcomes from preschool special education. In 2012, IES is conducting design tasks that will be used to identify options for the design of these studies.

New studies

Study of School-wide Positive Behavioral Interventions and Supports. Administrators and teachers need effective strategies to address problematic behaviors in order to improve classroom management and support effective academic instruction. Positive Behavioral Interventions and Supports is a school-wide strategy to improve classroom and school climate, student behavioral competence, and academic achievement, as well as to reduce the number of students referred and/or identified for special education. This strategy serves as a framework to assist school personnel in adopting and organizing evidence-based behavioral interventions that are integrated with the overall management and instructional approaches employed by the school with the goal of promoting positive academic and social behavior outcomes for all students. Since 1998, the Office of Special Education Programs (OSEP) has supported a National Technical Assistance Center on Positive Behavioral Interventions and Supports and

INSTITUTE OF EDUCATION SCIENCES

Special education studies and evaluations

the approach is employed in 16,000 schools nationwide. Although previous evaluations of the Positive Behavioral Interventions and Supports framework have found positive outcomes, such as reductions in the number of disciplinary referrals, these evaluations have been conducted on a relatively small scale. At OSEP's request, IES will conduct a design study in 2012 to prepare for an impact evaluation in 2013 of the Positive Behavioral Interventions and Supports framework when it is implemented at scale in schools throughout the country under typical conditions.

Study of Outcomes from Preschool Special Education. IES is conducting a design task to determine whether or not it would be feasible to conduct an outcome or impact evaluation of special education and related services for young children with disabilities. If IES identifies feasible options for conducting a study to examine the relationship between service receipt and outcomes for children receiving services under the IDEA Grants for Infants and Families program (Part C) and/or the IDEA Preschool Grants program (Part B Section 619), then it plans to award a contract for this evaluation by the end of 2012 or early 2013. The design work, which is being conducted under the Design and IDEA-related Analyses for the National Assessment contract described below, is considering what detailed research questions could be addressed, whether the primary target population should include infants and toddlers with disabilities served under Part C, children with disabilities who are between the ages of 3 and 5 served under Part B Section 619, or both, and the methodologies that could be used for the new study.

Continuing studies

Study of Promising Teacher Preparation Programs. In fiscal year 2011, as part of a larger effort to evaluate teacher preparation for all teachers funded by multiple program offices within the Department, IES awarded a contract for a study of promising teacher preparation programs. Funds from this program are enabling IES to study the preparation general education teachers receive in the area of special education as well as collect information on the preparation of special education teachers. With funds from this program, IES also plans to collect data on the performance of students with disabilities taught by graduates of the teacher preparation programs that are being examined through this study.

Study of Transition Outcomes for Youth with Disabilities. Since 1987, the Department has invested in several studies and evaluations of transition outcomes for students with disabilities, including the National Longitudinal Transition Study (NLTS) (1987-1993) and the National Longitudinal Transition Study 2 (2001-2011), both of which tracked a cohort of secondary school students with disabilities and collected data on high school graduation and completion, postsecondary education, employment, social integration, arrest rates, and quality of life. Since 2004, the National Center for Education Statistics (NCES) has collected longitudinal data on a cohort of incoming college students, including students with disabilities.

In 2010, IES awarded a 5-year contract to begin data collection for the *Study of Transition Outcomes for Youth with Disabilities*. The study will rely on administrative records and new data on a sample of students with disabilities with Individualized Education Programs (IEPs) who will be between 13 and 21 years old as of December 2011, which is a comparable population to the students in the original NLTS sample from 1987. The study will also collect data on a

INSTITUTE OF EDUCATION SCIENCES

Special education studies and evaluations

comparison group of students who do not have IEPs (but who may have Section 504 plans) and who are enrolled in the same school districts. The research questions for this study will include:

- What are the personal, family, and school characteristics for youth with disabilities in this study?
- What are their courses of study, services and accommodations to support learning, and preparation for transition? What barriers and challenges do they encounter?
- What are the key academic, social, and economic outcomes for youth with disabilities both while they are in school and after they leave?
- How do the services received, courses of study, barriers, and outcomes vary for subgroups defined by the nature of the youth's disability, age, sex, race/ethnicity or characteristics of the student's school or community?
- How do academic, social, and economic outcomes for youth with disabilities vary by their course of study and receipt of services and accommodations, accounting for preexisting youth characteristics?
- How does receipt of services and accommodations and youth outcomes of the current cohort of special education students differ from those of previous cohorts of special education students?
- What are the characteristics, school and transition experiences, and postsecondary outcomes of youth with plans that provide accommodations under Section 504 of the Rehabilitation Act of 1973?
- How do characteristics, courses of study, receipt of services and accommodations, and key outcomes for transition-age youth with an IEP differ from *students with Section 504 plans* and from *students with no Section 504 Plan and no IEP*?

The study will rely on administrative records of youth and their schools, as well as surveys of youth, their parents or guardians, school administrators, and teachers. Based on the expert guidance of the technical working group, the study will administer performance assessments to youth in the sample to measure their proficiency in reading/language arts, mathematics, and functional and social/emotional behavior. The nationally representative sample will include 15,000 youth, including 12,000 youth with IEPs and the remainder without IEPs. Baseline data for the study will be collected in the spring of 2012 with follow-up data collected in the spring of 2014. Based on the findings of the first phase described above, a second phase of the study could be initiated in 2016 to study postsecondary attendance, postsecondary completion, and earnings for youth in the sample.

Design and IDEA-related Analyses for the National Assessment. This 5-year contract, awarded in fiscal year 2010, provides technical support to IES for the National Assessment of IDEA. Activities supported through this contract include: consultation with early intervention, special education, and evaluation experts; literature reviews; analyses of extant data; and

INSTITUTE OF EDUCATION SCIENCES

Special education studies and evaluations

identification of options for new data collections related to the National Assessment of IDEA. The design tasks under this contract include identifying options for two studies discussed above on the preparation and performance of teachers who teach students with disabilities and outcomes for infants, toddlers, and preschool-age children with disabilities.

Impact Evaluation of Response to Intervention Strategies. Response to Intervention (RTI) is a “multi-tiered” approach to providing early and more intensive intervention and monitoring within the general education setting. In principle, RTI begins with research-based instruction and behavioral support provided to students in the general education classroom, followed by screening of all students to identify those who may need systematic progress monitoring, intervention, or support. Students who are not responding to the general education curriculum and instruction are provided with increasingly intense research-based interventions through a multi-tiered system. The students are monitored frequently to assess their progress and inform the choice of future interventions, which may include special education for students determined to have a disability. IDEA permits some Part B special education funds to be used for “coordinated early intervening services” such as RTI and also permits districts to use RTI to inform decisions regarding a child’s eligibility for special education.

The impact evaluation of RTI strategies for elementary school reading is addressing the following research questions:

- How are RTI strategies for elementary school reading designed and operated in schools experienced with these practices?
- What are the effects of school-wide RTI practices on academic outcomes—such as reading achievement, grade promotion, and special education identification—for students in elementary school?
- What are the effects of additional, more intensive reading interventions on academic outcomes for elementary school students at risk for reading difficulties?

To address these questions, the study will collect data during the 2011-12 school year. A final report is scheduled to be completed in 2013.

Early Childhood Longitudinal Study. As it has done previously, IES would use funds from this program to collect data on special education teachers through the National Center on Education Statistics’ Early Childhood Longitudinal Study of the Kindergarten Class of 2010-11 (ECLS-K:11) in each grade between kindergarten and grade 5. With the funds requested in 2012, IES would also collect data through ECLS-K:11 on the implementation of RTI strategies in these schools. The focus of the data collection will be on RTI practices in the following areas for grades 1 and 2: (a) universal screening of children in academics (including reading/language arts and mathematics) and behavior; (b) the selection, range, and intensity of interventions for children needing assistance beyond that provided in the regular education classroom; and (c) the school’s use of RTI data to inform the evaluation of children for special education.

As described above, IES is also conducting an impact evaluation of RTI strategies, which focuses on the effects on student outcomes of schools implementing RTI practices in early

INSTITUTE OF EDUCATION SCIENCES

Special education studies and evaluations

reading. In order to ensure that the effects of RTI strategies could be assessed, elementary schools selected to participate in this study already had experience implementing RTI in reading and had data systems in place that would allow the effects of these practices to be estimated. The ECLS-K:11, in contrast, follows a nationally representative sample of kindergarten students as they progress through elementary school, and will include schools with a wider range of experiences in implementing RTI in different subjects and with diverse kinds of local data systems. The data collected through ECLS-K:11 could be used for descriptive analyses of the implementation of RTI practices and to identify associations between these practices and child outcomes for a nationally representative population of elementary school students.

Impacts of School Improvement Status on Students with Disabilities. As part of the National Assessment of IDEA, IES is evaluating the effectiveness of improvement efforts in schools that have failed repeatedly to make adequate yearly progress for students with disabilities in particular grades and subjects. The evaluation is addressing the following research questions:

- How does the identification of a school as in need of improvement to raise the academic performance of children with disabilities relate to subsequent educational outcomes for students with disabilities? (Outcomes of interest include academic achievement in reading and mathematics, grade transitions, participation in the general education curriculum, and receipt of special education services in the least restrictive appropriate environment.)
- How does the identification of a school as in need of improvement to raise the academic performance of children with disabilities relate to school-wide policies regarding the choice of general education curriculum, the assessment of children with disabilities, the provision of special education services, and the hiring and training of staff to assist students with disabilities?
- Does the identification of a school as in need of improvement to raise the academic performance of children with disabilities relate to differences in school practices or student outcomes that vary according to school or child characteristics?

The evaluation relies on existing State mathematics and reading assessment data and surveys of school staff that were conducted during spring 2011. It will also draw on data from schools in this sample that are either eligible for or implementing a School Improvement Grant (SIG) to analyze the types of services and supports that schools implementing a school intervention model under the SIG program are providing to students with disabilities. A final report is scheduled to be completed in 2013.

IDEA Technical Assistance and Dissemination Evaluation. In fiscal year 2009, IES awarded a 5-year contract for a study of the implementation of special education programs and services by States and school districts across the country. The study includes descriptive research on the technical assistance needs of State educational agencies (SEAs) and the assistance SEA officials receive from grantees supported with IDEA Technical Assistance and Dissemination funds. The study is also investigating how the implementation of special education and related practices at the local level varies with the receipt of technical assistance

INSTITUTE OF EDUCATION SCIENCES

Special education studies and evaluations

from IDEA Technical Assistance and Dissemination grantees, and how outcomes for children with disabilities vary with the receipt of such assistance. The final report is scheduled to be published in 2014.

Studies that will be completed by 2013

Evaluation of the Personnel Preparation Program. The Personnel Preparation program, authorized under Part D, subpart 2, Section 662 of the IDEA, supports projects to prepare special education personnel as well as regular education teachers to work successfully with children with disabilities. A portion of the funds are awarded to National Centers, which are designed to provide a variety of national capacity-building and scientifically-based products and services to a variety of audiences. Grants are also awarded competitively to institutions of higher education to develop courses of study for special education personnel. These grants can be used to improve the quality of personnel preparation programs and for stipends that support students enrolled in the programs.

This 4-year study, initiated in late 2007, includes two components, an evaluation of grants to improve pre-service preparation programs and an evaluation of the National Centers. The descriptive study of the 12 National Centers catalogued the products and services provided by the Centers and the types of and numbers of customers targeted and served. In addition, panels of experts reviewed samples of products and services from each of the Centers along the dimensions of quality and relevance/usefulness. The descriptive study of the grants to improve pre-service preparation programs included a survey of approximately 450 applicants for these grants. The data collected from both funded and non-funded applicants included information on program focus, student entry and completion requirements, the numbers of students enrolled and completing the course, standardized exit exam scores, and information about additions or modifications made to the course of study since the time of the application. Panels of experts reviewed documentation of the additions and modifications to each course of study and rated the quality of those changes. IES expects to publish the final report in early 2012.

IDEA National Assessment Implementation Study. This contract supported data collection from State agencies and school districts to address implementation questions for the IDEA National Assessment in the four broad areas targeted for this study: (1) identification of children for early intervention and special education; (2) early intervention service delivery systems and coordination with special education; (3) academic standards and personnel qualifications; and (4) dispute resolution and mediation. Data collection during the 2008-2009 school year included three surveys of State administrators: (1) Part B administrators responsible for programs providing special education services to children with disabilities ages 6-21; (2) Part B Section 619 coordinators overseeing preschool programs for children with disabilities ages 3-5; and (3) Part C coordinators responsible for early intervention programs serving infants and toddlers. A fourth survey collected district level data from a nationally representative sample of local special education administrators about preschool and school-age programs for children with disabilities ages 3-21. The final report for this study was published in July 2011 and is available on the IES Web site (<http://ies.ed.gov/ncee/pubs/20114026/index.asp>).

INSTITUTE OF EDUCATION SCIENCES

Special education studies and evaluations

PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2011</u>	<u>2012</u>	<u>2013</u>
Study of Teacher Preparation Programs (Special Education Supplement)	\$108	\$790	0
Study of Outcomes from Preschool Special Education	0	0	\$5,815 ¹
Study of Transition Outcomes for Youth with Disabilities	10,387	4,800	0
Design and IDEA-related Analyses for the National Assessment	37	730	0
Impact Evaluation of Response to Intervention Strategies	0	3,300	0
Early Childhood Longitudinal Study - Kindergarten, 2010	859	1,295	0
Design Options for Impact Evaluation of Positive Behavioral Interventions and Supports	0	500 ¹	0
Impact Evaluation of Positive Behavioral Interventions and Supports	0	0	5,600 ¹
IDEA National Assessment Implementation Study	<u>46</u>	<u>0</u>	<u>0</u>
Total, Special education studies and evaluations	<u>11,437</u>	<u>11,415</u>	<u>11,415</u>

¹ Estimated cost. Contract(s) for this evaluation have not yet been awarded.