

**Department of Education**  
**INNOVATION AND IMPROVEMENT**

**Fiscal Year 2016 Request**

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## INNOVATION AND IMPROVEMENT

[For carrying out activities authorized by part G of title I, subpart 5 of part A and parts C and D of title II, parts B, C, and D of title V of the ESEA, and section 14007 of division A of the American Recovery and Reinvestment Act of 2009, as amended, \$1,102,111,000:<sup>1</sup> *Provided*, That up to \$120,000,000 shall be available through December 31, 2015 for section 14007 of division A of Public Law 111-5, and up to 5 percent of such funds may be used for technical assistance and the evaluation of activities carried out under such section:<sup>2</sup> *Provided further*, That the education facilities clearinghouse established through a competitive award process in fiscal year 2013 is authorized to collect and disseminate information on effective educational practices and the latest research regarding the planning, design, financing, construction, improvement, operation, and maintenance of safe, healthy, high-performance public facilities for early learning programs, kindergarten through grade 12, and higher education:<sup>3</sup> *Provided further*, That \$230,000,000 of the funds for subpart 1 of part D of title V of the ESEA shall be for competitive grants to local educational agencies, including charter schools that are local educational agencies, or States, or partnerships of: (1) a local educational agency, a State, or both; and (2) at least one nonprofit organization to develop and implement performance-based compensation systems for teachers, principals, and other personnel in high-need schools: *Provided further*, That such performance-based compensation systems must consider gains in student academic achievement as well as classroom evaluations conducted multiple times during each school year among other factors and provide educators with incentives to take on additional responsibilities and leadership roles: *Provided further*, That recipients of such grants shall demonstrate that such performance-based compensation systems are developed with the input of teachers and school leaders in the schools and local educational agencies to be served by the grant: *Provided further*, That recipients of such grants may use such funds to develop or improve systems and tools (which may be developed and used for the entire local educational

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agency or only for schools served under the grant) that would enhance the quality and success of the compensation system, such as high-quality teacher evaluations and tools to measure growth in student achievement: *Provided further*, That applications for such grants shall include a plan to sustain financially the activities conducted and systems developed under the grant once the grant period has expired:<sup>4</sup> *Provided further*, That up to 5 percent of such funds for competitive grants shall be available for technical assistance, training, peer review of applications, program outreach, and evaluation activities:<sup>5</sup> *Provided further*, That \$250,000,000 of the funds for part D of title V of the ESEA shall be available through December 31, 2015 for carrying out, in accordance with the applicable requirements of part D of title V of the ESEA, a preschool development grants program: *Provided further*, That the Secretary, jointly with the Secretary of HHS, shall make competitive awards to States for activities that build the capacity within the State to develop, enhance, or expand high-quality preschool programs, including comprehensive services and family engagement, for preschool-aged children from families at or below 200 percent of the Federal poverty line: *Provided further*, That each State may subgrant a portion of such grant funds to local educational agencies and other early learning providers (including, but not limited to, Head Start programs and licensed child care providers), or consortia thereof, for the implementation of high-quality preschool programs for children from families at or below 200 percent of the Federal poverty line: *Provided further*, That subgrantees that are local educational agencies shall form strong partnerships with early learning providers and that subgrantees that are early learning providers shall form strong partnerships with local educational agencies, in order to carry out the requirements of the subgrant:<sup>6</sup> *Provided further*, That up to 3 percent of such funds for preschool development grants shall be available for technical assistance, evaluation, and other national activities related to such grants:<sup>7</sup> *Provided further*, That \$10,000,000 of funds available under part D of title V of the ESEA shall be for the Full-Service Community Schools program:<sup>8</sup> *Provided further*, That of the funds

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available for part B of title V of the ESEA, the Secretary shall use up to \$11,000,000 to carry out activities under section 5205(b) and shall use not less than \$13,000,000 for subpart 2: *Provided further*, That of the funds available for subpart 1 of part B of title V of the ESEA, and notwithstanding section 5205(a), the Secretary shall reserve up to \$75,000,000 to make multiple awards to non-profit charter management organizations and other entities that are not for-profit entities for the replication and expansion of successful charter school models and shall reserve not less than \$11,000,000 to carry out the activities described in section 5205(a), including improving quality and oversight of charter schools and providing technical assistance and grants to authorized public chartering agencies in order to increase the number of high-performing charter schools: *Provided further*, That funds available for part B of title V of the ESEA may be used for grants that support preschool education in charter schools:<sup>9</sup> *Provided further*, That each application submitted pursuant to section 5203(a) shall describe a plan to monitor and hold accountable authorized public chartering agencies through such activities as providing technical assistance or establishing a professional development program, which may include evaluation, planning, training, and systems development for staff of authorized public chartering agencies to improve the capacity of such agencies in the State to authorize, monitor, and hold accountable charter schools: *Provided further*, That each application submitted pursuant to section 5203(a) shall contain assurances that State law, regulations, or other policies require that: (1) each authorized charter school in the State operate under a legally binding charter or performance contract between itself and the school's authorized public chartering agency that describes the rights and responsibilities of the school and the public chartering agency; conduct annual, timely, and independent audits of the school's financial statements that are filed with the school's authorized public chartering agency; and demonstrate improved student academic achievement; and (2) authorized public chartering agencies use increases in student academic achievement for all groups of students described in section 1111(b)(2)(C)(v) of the ESEA as one

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of the most important factors when determining to renew or revoke a school's charter.<sup>10]</sup>

*(Department of Education Appropriations Act, 2015.)*

### NOTES

No language is included for programs authorized under the expired Elementary and Secondary Education Act; when new authorizing legislation for the Elementary and Secondary Education Act is enacted, a budget request for these programs will be proposed.

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.

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### Analysis of Language Provisions and Changes

Language Provision	Explanation
<p><sup>1</sup>[For carrying out activities authorized by part G of title I, subpart 5 of part A and parts C and D of title II, parts B, C, and D of title V of the ESEA, and section 14007 of division A of the American Recovery and Reinvestment Act of 2009, as amended, \$1,102,111,000:]</p>	<p>This language appropriates funds for the following programs: Advanced Placement, School Leadership, Transition to Teaching, Ready-to-Learn Television, Charter Schools Grants, Magnet Schools Assistance, Teacher Incentive Fund, Fund for the Improvement of Education: Programs of National Significance, Arts in Education, and Investing in Innovation.</p>
<p><sup>2</sup>[<i>Provided</i>, That up to \$120,000,000 shall be available through December 31, 2015 for section 14007 of division A of Public Law 111-5, and up to 5 percent of such funds may be used for technical assistance and the evaluation of activities carried out under such section:]</p>	<p>This language earmarks funds for the Investing in Innovation program, gives the Department an additional 3 months beyond the end of fiscal year 2015 to obligate the funding, and allows the Department to use a portion of the funding for technical assistance and evaluation.</p>
<p><sup>3</sup> [<i>Provided further</i>, That the education facilities clearinghouse established through a competitive award process in fiscal year 2013 is authorized to collect and disseminate information on effective educational practices and the latest research regarding the planning, design, financing, construction, improvement, operation, and maintenance of safe, healthy, high-performance public facilities for early learning programs, kindergarten through grade 12, and higher education:]</p>	<p>This language allows funds awarded to the current Educational Facilities Clearinghouse grantee to be used to collect and disseminate information on research and effective practices regarding facilities for early learning programs and higher education, in addition to those activities for kindergarten through grade 12.</p>

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### Analysis of Language Provisions and Changes—continued

Language Provision	Explanation
<p><sup>4</sup> [<i>Provided further</i>, That \$230,000,000 of the funds for subpart 1 of part D of title V of the ESEA shall be for competitive grants to local educational agencies, including charter schools that are local educational agencies, or States, or partnerships of: (1) a local educational agency, a State, or both; and (2) at least one nonprofit organization to develop and implement performance-based compensation systems for teachers, principals, and other personnel in high-need schools: <i>Provided further</i>, That such performance-based compensation systems must consider gains in student academic achievement as well as classroom evaluations conducted multiple times during each school year among other factors and provide educators with incentives to take on additional responsibilities and leadership roles: <i>Provided further</i>, That recipients of such grants shall demonstrate that such performance-based compensation systems are developed with the input of teachers and school leaders in the schools and local educational agencies to be served by the grant: <i>Provided further</i>, That recipients of such grants may use such funds to develop or improve systems and tools (which may be developed and used for the entire local educational agency or only for schools served under the grant) that would enhance the quality and success of the compensation system, such as high-quality teacher evaluations and tools to measure growth in student achievement: <i>Provided further</i>, That applications for such grants shall include a plan to sustain financially the activities conducted and systems developed under the grant once the grant period has expired:]</p>	<p>This language provides funding for the Teacher Incentive Fund and describes eligibility and other requirements for the program.</p>

## INNOVATION AND IMPROVEMENT

### Analysis of Language Provisions and Changes—continued

Language Provision	Explanation
<p><sup>5</sup> [Provided further, That up to 5 percent of such funds for competitive grants shall be available for technical assistance, training, peer review of applications, program outreach, and evaluation activities:]</p>	<p>This language allows the Secretary to use a portion of the amount provided for the Teacher Incentive Fund for technical assistance, training, peer review of applications, program outreach, and evaluation activities.</p>
<p><sup>6</sup> [Provided further, That \$250,000,000 of the funds for part D of title V of the ESEA shall be available through December 31, 2015 for carrying out, in accordance with the applicable requirements of part D of title V of the ESEA, a preschool development grants program: <i>Provided further</i>, That the Secretary, jointly with the Secretary of HHS, shall make competitive awards to States for activities that build the capacity within the State to develop, enhance, or expand high-quality preschool programs, including comprehensive services and family engagement, for preschool-aged children from families at or below 200 percent of the Federal poverty line: <i>Provided further</i>, That each State may subgrant a portion of such grant funds to local educational agencies and other early learning providers (including, but not limited to, Head Start programs and licensed child care providers), or consortia thereof, for the implementation of high-quality preschool programs for children from families at or below 200 percent of the Federal poverty line: <i>Provided further</i>, That subgrantees that are local educational agencies shall form strong partnerships with early learning providers and that subgrantees that are early learning providers shall form strong partnerships with local educational agencies, in order to carry out the requirements of the subgrant: ]</p>	<p>This language provides funds for preschool development grants to build capacity in early childhood care and education, requires the Secretary to jointly administer the grants with the Secretary of Health and Human Services, and establishes eligibility requirements for participants.</p>



## INNOVATION AND IMPROVEMENT

### Analysis of Language Provisions and Changes—continued

<p><sup>7</sup> [Provided further, That up to 3 percent of such funds for preschool development grants shall be available for technical assistance, evaluation, and other national activities related to such grants:]</p>	<p>This language allows the Secretary to use a portion of the funding provided for preschool development grants for technical assistance, evaluation, and other national activities related to such grants.</p>
<p><sup>8</sup> [Provided further, That \$10,000,000 of funds available under part D of title V of the ESEA shall be for the Full-Service Community Schools program:]</p>	<p>This language provides funds for Full-Service Community Schools grants.</p>
<p><sup>9</sup> [Provided further, That of the funds available for part B of title V of the ESEA, the Secretary shall use up to \$11,000,000 to carry out activities under section 5205(b) and shall use not less than \$13,000,000 for subpart 2: <i>Provided further</i>, That of the funds available for subpart 1 of part B of title V of the ESEA, and notwithstanding section 5205(a), the Secretary shall reserve up to \$75,000,000 to make multiple awards to non-profit charter management organizations and other entities that are not for-profit entities for the replication and expansion of successful charter school models and shall reserve not less than \$11,000,000 to carry out the activities described in section 5205(a), including improving quality and oversight of charter schools and providing technical assistance and grants to authorized public chartering agencies in order to increase the number of high-performing charter schools: <i>Provided further</i>, That funds available for part B of title V of the ESEA may be used for grants that support preschool education in charter schools:]</p>	<p>This language establishes, from the Charter Schools Grants appropriation, a maximum amount for State Facilities Incentive grants and a minimum amount for Credit Enhancement for Charter School Facilities grants, allows the Secretary to reserve funds appropriated for Charter Schools Grants to make awards to charter management organizations and other entities for the replication and expansion of successful charter school models, allows the Secretary to reserve a portion of the appropriation for national activities, and allows grants under the program to be used for preschool education.</p>

## INNOVATION AND IMPROVEMENT

### Analysis of Language Provisions and Changes—continued

<p><sup>10</sup> [<i>Provided further</i>, That each application submitted pursuant to section 5203(a) shall describe a plan to monitor and hold accountable authorized public chartering agencies through such activities as providing technical assistance or establishing a professional development program, which may include evaluation, planning, training, and systems development for staff of authorized public chartering agencies to improve the capacity of such agencies in the State to authorize, monitor, and hold accountable charter schools: <i>Provided further</i>, That each application submitted pursuant to section 5203(a) shall contain assurances that State law, regulations, or other policies require that: (1) each authorized charter school in the State operate under a legally binding charter or performance contract between itself and the school's authorized public chartering agency that describes the rights and responsibilities of the school and the public chartering agency; conduct annual, timely, and independent audits of the school's financial statements that are filed with the school's authorized public chartering agency; and demonstrate improved student academic achievement; and (2) authorized public chartering agencies use increases in student academic achievement for all groups of students described in section 1111(b)(2)(C)(v) of the ESEA as one of the most important factors when determining to renew or revoke a school's charter.]</p>	<p>This language establishes application requirements for grants to State educational agencies under the Charter Schools Program that go beyond the requirements in the authorizing statute.</p>
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**INNOVATION AND IMPROVEMENT**

**Appropriation Adjustments and Transfers**  
(dollars in thousands)

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Appropriation/Adjustments/Transfers	2014	2015	2016
<b>Discretionary:</b>			
Appropriation.....	\$931,317	\$852,111	\$1,601,559
<b>Mandatory:</b>			
Appropriation.....	<u>0</u>	<u>0</u>	<u>1,000,000</u>
Total, discretionary and mandatory appropriation .....	931,317	852,111	2,601,559

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## INNOVATION AND IMPROVEMENT

### Summary of Changes (dollars in thousands)

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2015.....	\$852,111
2016.....	<u>2,601,559</u>
Net change from 2015.....	+1,749,448

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<b>Increases:</b>	<u>2015 base</u>	<u>Change from base</u>
<u>Program:</u>		
<p>Increase for Investing in Innovation program to build on the program's demonstrated success in funding innovative strategies and practices that have been shown to be effective in improving educational outcomes for students and expand the number of grant awards in priority areas.</p>	\$120,000	+\$180,000
<p>Increase for Excellent Educators Grants (currently the Teacher Incentive Fund) to support evidence-based State and local initiatives to strengthen systems for preparing, supporting, and retaining effective teachers and principals in high-need districts and schools.</p>	230,000	+120,000
<p>Initial funding for Teacher and Principal Pathways to support the recruitment, competitive selection, preparation, and placement of new teachers and principals for high-need schools.</p>	0	+138,762
<p>Increase for Charter Schools Grants to increase the supply of high-quality public educational options available to students, especially students attending low-performing schools, by creating and expanding effective charter schools.</p>	253,172	+121,828
<p>Initial funding for the Leveraging What Works Pilot to provide grants to local educational agencies (LEAs) to support the innovative use of comprehensive, evidence-based strategies to improve student outcomes.</p>	0	+100,000

## INNOVATION AND IMPROVEMENT

### Summary of Changes—continued (dollars in thousands)

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<b>Increases:</b>	<u>2015 base</u>	<u>Change from base</u>
<u>Program:</u>		
Initial funding for the new Next Generation High Schools program to transform teaching and learning in high schools by encouraging partnerships among LEAs, postsecondary institutions, and other entities such as businesses and nonprofit organizations to prepare students for college and careers.	0	+\$125,000
Mandatory funding for the Teaching for Tomorrow initiative, which would fund competitive grants to support States and districts that transform the ways they recruit and prepare new teachers and support teachers in the classroom.	0	<u>+1,000,000</u>
Subtotal, increases		+1,785,590

## INNOVATION AND IMPROVEMENT

### Summary of Changes—continued (dollars in thousands)

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<b>Decreases:</b>	<u>2015 base</u>	<u>Change from base</u>
<u>Program:</u>		
Consolidation of the Transition to Teaching program into the proposed Teacher and Principal Pathways programs.	\$13,700	-\$13,700
Consolidation of the School Leadership program into the proposed Teacher and Principal Pathways programs.	16,368	-16,368
Decrease for the Fund for the Improvement in Education, which would focus on a non-cognitive skills initiative, interagency strategies to strengthen services to disconnected youth, and an initiative to enhance communities' tracking of and performance on multiple outcomes for youth. The request does not include funding for awards under the Innovative Approaches to Literacy initiative.	48,000	<u>-6,074</u>
Subtotal, decreases		-36,142
Net change		+1,749,448

## INNOVATION AND IMPROVEMENT

### Authorizing Legislation

(dollars in thousands)

Activity	2015 Authorized	2015 Estimate	2016 Authorized	2016 Request
Investing in innovation ( <i>ARRA-XIV-14007</i> )	0 <sup>1</sup>	\$120,000	To be determined <sup>1</sup>	\$300,000
Excellent educators grants ( <i>ESEA V-D-1</i> )	0 <sup>2</sup>	230,000	To be determined <sup>2</sup>	350,000
Teacher and principal pathways:				
Teacher and principal pathways ( <i>proposed legislation</i> )	-- <sup>3</sup>	--	To be determined <sup>3</sup>	138,762
Transition to teaching ( <i>ESEA II-C-1-B</i> )	0 <sup>4</sup>	13,700	0 <sup>4</sup>	0
School leadership ( <i>ESEA II-A-5-2151(b)</i> )	0 <sup>4</sup>	16,368	0 <sup>4</sup>	0
Charter schools grants ( <i>ESEA V-B</i> )	0 <sup>2</sup>	253,172	To be determined <sup>2</sup>	375,000
Magnet schools assistance ( <i>ESEA V-C</i> )	0 <sup>2</sup>	91,647	To be determined <sup>2</sup>	91,647
Advanced placement ( <i>ESEA I-G</i> )	0 <sup>2</sup>	28,483	To be determined <sup>2</sup>	28,483
Ready-to-learn television ( <i>ESEA II-D-3</i> )	0 <sup>2</sup>	25,741	To be determined <sup>2</sup>	25,741
Fund for the Improvement of Education:				
FIE programs of national significance ( <i>ESEA V-D-1</i> )	0 <sup>2</sup>	48,000 <sup>5</sup>	To be determined <sup>2</sup>	41,926
Leveraging what works pilot ( <i>Proposed legislation</i> )	-- <sup>3</sup>	--	To be determined <sup>3</sup>	100,000
Arts in education ( <i>ESEA V-D, subpart 15</i> )	0 <sup>2</sup>	25,000	To be determined <sup>2</sup>	25,000
Next generation high schools ( <i>proposed legislation</i> )	-- <sup>3</sup>	--	To be determined <sup>3</sup>	125,000
Teaching for tomorrow ( <i>proposed legislation</i> )	-- <sup>3</sup>	--	To be determined <sup>3</sup>	1,000,000
<u>Unfunded authorizations</u>				
Advanced credentialing ( <i>ESEA II-A-5-2521(c)</i> )	0 <sup>6</sup>	0	0 <sup>6</sup>	0
Voluntary public school choice ( <i>ESEA V-B-3</i> )	0 <sup>6</sup>	0	0 <sup>6</sup>	0
Ready to teach ( <i>ESEA V-D-8</i> )	0 <sup>6</sup>	0	0 <sup>6</sup>	0
Exchanges with historic whaling and trading partners ( <i>ESEA V-D-12</i> )	0 <sup>6</sup>	0	0 <sup>6</sup>	0

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**INNOVATION AND IMPROVEMENT**

**Authorizing Legislation—continued**  
(dollars in thousands)

Activity	2015 Authorized	2015 Estimate	2016 Authorized	2016 Request
Parental information and resource centers ( <i>ESEA V-D-16</i> )	0 <sup>6</sup>	0	0 <sup>6</sup>	0
Women’s educational equity ( <i>ESEA V-D-21</i> )	<u>0<sup>6</sup></u>	<u>0</u>	<u>0<sup>6</sup></u>	<u>0</u>
Total definite authorization	0		0	
Total discretionary appropriation		\$852,111		\$1,601,559
Portion of request subject to reauthorization				1,376,559
Portion of request not authorized				225,000
Total mandatory appropriation		0		1,000,000

<sup>1</sup> The program is authorized in FY 2015 through appropriations language; authorizing legislation is sought for FY 2016.

<sup>2</sup> The GEPA extension expired September 30, 2008; reauthorizing legislation is sought for FY 2016.

<sup>3</sup> Authorizing legislation is sought for FY 2016.

<sup>4</sup> The GEPA extension expired September 30, 2008. The program is proposed for consolidation in FY 2016 under new legislation.

<sup>5</sup> The FY 2015 Appropriations Act provided \$250,000 thousand under the Fund for the Improvement of Education: Programs of National Significance for competitive awards to States for early childhood care and education. This funding is included as Preschool Development Grants under the proposed School Readiness account.

<sup>6</sup> The GEPA extension expired September 30, 2008. No appropriations language or reauthorizing legislation is sought for FY 2016.



## INNOVATION AND IMPROVEMENT

### Appropriations History (dollars in thousands)

Year	Budget Estimate to Congress	House Allowance	Senate Allowance	Appropriation
2007 Discretionary	\$850,966	N/A <sup>1</sup>	N/A <sup>1</sup>	\$837,686
2008 Discretionary	922,018	\$982,354	\$962,889	985,517
2009 Discretionary	867,517	976,846 <sup>2</sup>	944,314 <sup>2</sup>	996,425
Recovery Act Supplemental (PL 111-5) (Discretionary)	0	225,000	0	200,000
2010 Discretionary Rescission (PL 111-226) (Discretionary)	1,489,949	1,347,363	1,234,787 <sup>3</sup>	1,389,065 -10,700
2011 Discretionary	6,330,000	1,870,123 <sup>4</sup>	2,224,843 <sup>3</sup>	1,856,179 <sup>5</sup>
2012 Discretionary	4,995,000	821,411 <sup>6</sup>	1,740,212 <sup>6</sup>	1,527,536
2013 Discretionary	4,332,166	799,133 <sup>7</sup>	1,545,966 <sup>7</sup>	1,447,637
2014 Discretionary	5,335,000	N/A <sup>8</sup>	1,331,598	931,317
2015 Discretionary	5,335,000	N/A <sup>8</sup>	868,721 <sup>9</sup>	852,111
2015 Mandatory	5,000,000	N/A <sup>8</sup>	0 <sup>9</sup>	0
2016 Discretionary	1,601,559			
2016 Mandatory	1,000,000			

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

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

<sup>3</sup> The level for the Senate allowance reflects Committee action only.

<sup>4</sup> The level for the House allowance reflect the House-passed full-year continuing resolution.

<sup>5</sup> The level for appropriation reflects the Department of Defense and Full-Year Continuing Appropriations Act, 2011 (P.L. 112-10).

<sup>6</sup> The level for the House allowance reflects an introduced bill and the level for the Senate allowance reflects Senate Committee action only.

<sup>7</sup> The levels for the House and Senate allowances reflect action on the regular annual 2013 appropriations bill, which proceeded in the 112<sup>th</sup> Congress only through the House Subcommittee and the Senate Committee.

<sup>8</sup> The House allowance is shown as N/A because there was no Subcommittee action.

<sup>9</sup> The level for the Senate allowance reflects Senate Subcommittee action only.

## INNOVATION AND IMPROVEMENT

### Significant Items in FY 2015 Appropriations Reports

#### Educational Equity

Senate: The Committee believes that the Department will be able to support improved educational equity and opportunity through its 50 State strategy on teacher equity. Research indicates that teacher quality is the biggest in-school factor related to student academic achievement, so a more equitable distribution of effective teachers and school leaders would help reduce educational opportunity gaps that exist today. The Committee believes that the Department should move forward expeditiously in announcing this strategy and engaging stakeholders in this effort. The Committee expects the Department to provide an update on current activity and a timeline for planned activity in this area not later than 30 days after enactment of this act.

Response: In July 2014, the Secretary announced the Excellent Educators for All initiative, designed to move America toward the day when every student in every public school is taught by excellent educators. As part of the initiative, consistent with section 1111(b)(8)(C) of the Elementary and Secondary Education Act of 1965 (ESEA), each State educational agency (SEA) must submit to the Department a State Plan to Ensure Equitable Access to Excellent Educators that ensures “poor and minority children are not taught at higher rates than other children by inexperienced, unqualified, or out-of-field teachers.” These State Plans are due on June 1, 2015. States are expected to conduct meaningful consultation with a wide range of stakeholders, including students, teachers, unions, non-profit teacher organizations, principals, district leaders, parents, civil rights groups, and other key stakeholders. The Department has released draft guidance on developing State Plans and is providing technical assistance through the Center on Great Teachers and Leaders and the Equitable Access Support Network. More information is on the Department’s website at: <http://www2.ed.gov/programs/titleiparta/resources.html>.

#### Early Education and Care

##### Explanatory

Statement: The Departments of Health and Human Services and Education are directed, in consultation with the heads of all federal agencies that administer federal early education and care programs, to provide to the Committees on Appropriations of the House of Representatives and the Senate and relevant authorizing Committees the report on the review of federal early learning and care programs required by section 13 of Public Law 113-186.

Response: The Department will work with the Department of Health and Human Services to provide the Committees on Appropriations of the House of Representatives and the Senate and relevant authorizing Committees the report required by section 13 of Public Law 113-186.

## INNOVATION AND IMPROVEMENT

### Significant Items in FY 2015 Appropriations Reports—continued

#### Investing in Innovation

Senate: The Committee bill continues language from last year's bill providing up to 5 percent of the appropriation for this program to be used for evaluation and technical assistance. The Committee expects to be notified in advance of the proposed uses of these funds.

Response: The Department will notify the committee of its plans for the technical assistance and evaluation funds before carrying out activities with those funds.

Explanatory Statement: The Department is directed to establish an absolute priority in the investing in innovation notice inviting applications for funds available in this act for the implementation of comprehensive high school reform strategies that will increase the number and percentage of students who graduate from high school and enroll in postsecondary education without the need for remediation and with the ability to think critically, solve complex problems, evaluate arguments on the basis of evidence, and communicate effectively. This competition should target schools where not less than 40 percent of the students to be served will be from low-income families as calculated under section 1113 of the Elementary and Secondary Education Act.

Response: The Department will include an absolute priority for high school reform in the 2015 Investing in Innovation grant competition.

DEPARTMENT OF EDUCATION FISCAL YEAR 2016 PRESIDENT'S BUDGET

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(in thousands of dollars)						
Account, Program and Activity	Category Code	2014 Appropriation	2015 Appropriation	2016 President's Budget	2016 President's Budget Compared to 2015 Appropriation Amount	Percent
<b>Innovation and Improvement</b>						
1. Investing in innovation (ARRA section 14007)	D	141,602	120,000	300,000	180,000	150.000%
2. Excellent educators grants (ESEA V-D-1)	D	288,771	230,000	350,000	120,000	52.174%
3. Teacher and principal pathways:						
(a) Teacher and principal pathways (proposed legislation)	D	0	0	138,762	138,762	---
(b) Transition to teaching (ESEA II-C-1-B)	D	13,762	13,700	0	(13,700)	-100.000%
(c) School leadership (ESEA section 2151(b))	D	25,763	16,368	0	(16,368)	-100.000%
Subtotal		39,525	30,068	138,762	108,694	361.494%
4. Charter schools grants (ESEA V-B)	D	248,172	253,172	375,000	121,828	48.121%
5. Magnet schools assistance (ESEA V-C)	D	91,647	91,647	91,647	0	0.000%
6. Advanced placement (ESEA I-G)	D	28,483	28,483	28,483	0	0.000%
7. Ready-to-learn television (ESEA II-D-3)	D	25,741	25,741	25,741	0	0.000%
8. Fund for the Improvement of Education (ESEA V-D):						
(a) Programs of national significance (subpart 1)	D	42,376	48,000	41,926	(6,074)	-12.654%
(b) Leveraging what works (proposed legislation)	D	0	0	100,000	100,000	---
(c) Arts in education (subpart 15)	D	25,000	25,000	25,000	0	0.000%
Subtotal		67,376	73,000	166,926	93,926	128.666%
9. Next generation high schools (proposed legislation)	D	0	0	125,000	125,000	---
10. Teaching for tomorrow (proposed legislation)	M	0	0	1,000,000	1,000,000	---
Total <sup>1</sup>		931,317	852,111	2,601,559	1,749,448	205.308%
Discretionary	D	931,317	852,111	1,601,559	749,448	87.952%
Mandatory	M	0	0	1,000,000	1,000,000	---

NOTES: D = discretionary program; M = mandatory program; FY = fiscal year

Accounts are shown under the administering office that has primary responsibility for most programs in that account; however, there may be some programs that are administered by another office.

For mandatory programs, the levels shown in the 2014 Appropriation column reflect the 7.2 percent sequester that went into effect October 1, 2013, and the levels shown in the 2015 Appropriation column reflect the 7.3 percent sequester that went into effect October 1, 2014, pursuant to the Budget Control Act of 2011 (P.L. 112-25).

Detail may not add to totals due to rounding.

<sup>1</sup> Excludes \$250,000 thousand for Preschool Development Grants provided under Race to the Top in the Department of Education Appropriations Act, 2014, and \$250,000 thousand for Preschool Development Grants provided under the Fund for the Improvement of Education in the Department of Education Appropriations Act, 2015. These funds are shown in the proposed School Readiness account.

## INNOVATION AND IMPROVEMENT

### Summary of Request

Programs in the Innovation and Improvement account support the goal of improving student achievement in four key ways: providing incentives to test, evaluate, and expand innovative educational strategies and practices; increasing the supply of effective teachers and principals; providing parents with expanded options for the education of their children; and transforming high schools through models of real-world experiences and personalized learning. The Administration requests a total of \$1.6 billion in discretionary funds.

### Supporting Research and Innovation

The Administration requests \$521.2 million to support efforts to drive State and local research and innovation. Specifically, the request includes:

- \$300.0 million for the **Investing in Innovation** program, an increase of \$120 million, to build on the program's demonstrated success by supporting a higher number of awards in priority areas and expanding the program's portfolio of evidence-based approaches to tackle common issues facing school districts and communities. In addition, in order to create incentives to leverage existing public education funding, including Federal formula funding, to support activities that are evidence-based and more likely to improve student outcomes, the Administration will seek appropriations language providing grantees with new flexibility to use Federal, State, or local public funds to meet the program's requirement for matching funds.
- \$100.0 million for a new **Leveraging What Works Pilot** for districts that agree to use the grant—as well as a portion of their existing formula funds—to implement evidence based strategies and interventions, evaluate those interventions, and report publicly on school level expenditure and outcome data.
- \$25.7 million for the **Ready-To-Learn Television** program to support the development and distribution of educational video programming for preschool and elementary school children and their parents, caregivers, and teachers to facilitate student academic achievement.
- \$25.0 million for the **Arts in Education** program to support model projects and programs to integrate arts education into the regular elementary school and secondary school curriculum, through grants to support model development and dissemination and professional development for arts educators.
- \$41.9 million for the **Fund for the Improvement of Education: Programs of National Significance (FIE)** to support nationally significant projects to improve the quality of elementary and secondary education, including continuation of a data quality initiative that helps improve the quality, analysis, and reporting of Department of Education elementary and secondary education data. Of the amount requested, the Department would use \$10.0 million for competitive grants to develop and test interventions to improve students' non-cognitive skills like self-control and social and emotional skills; \$5.0 million to support activities to strengthen services provided to disconnected youth; and \$5.0 million to support a youth data pilot that would enhance communities' tracking of and performance on multiple outcomes for at-risk youth using existing data sets.

## INNOVATION AND IMPROVEMENT

### Summary of Request—continued

#### Supporting Educators

The Administration requests \$488.8 million for programs that would provide both formula grants and competitive awards to help States and LEAs increase the effectiveness of teachers and principals.

- \$350.0 million for **Excellent Educators Grants** to support evidence-based State and local initiatives to strengthen systems for preparing, supporting, and retaining effective teachers and principals in high-need districts and schools.
- \$138.8 million for new **Teacher and Principal Pathways** to support investments in the recruitment, competitive selection, preparation, and placement of new teachers and principals for high-need schools.

These new programs would replace several current activities that address teaching and school leadership issues: **Teacher Incentive Fund, Transition to Teaching, School Leadership, and Teacher Quality Partnerships** (in the Higher Education account).

The Administration proposes \$1.0 billion in mandatory funding for the **Teaching for Tomorrow**, which would fund competitive grants to support States and districts that transform the ways they recruit and prepare new teachers and support teachers in the classroom.

#### Expanding Educational Options

The Administration requests \$375.0 million for **Charter Schools Grants** to support the start-up, replication, and expansion of successful charter schools. The requested increase reflects a priority in the President's budget for supporting effective models of school reform and would be coupled by new authority for State grantees to make subgrants to charter management organizations and other nonprofit organizations to replicate and expand schools with demonstrated records of improving student achievement and attainment. Funds would also support information dissemination activities and grants to improve charter schools' access to facilities.

In addition, the Administration requests \$91.6 million for **Magnet Schools Assistance** to LEAs to establish and operate magnet schools that are part of an approved desegregation plan, and \$28.5 million for the **Advanced Placement** programs, which under the Administration's proposal would help provide access for low-income students to an expanded range of advanced course programs and tests, including dual-enrollment programs and early college high schools.

#### Next Generation High Schools

The Administration requests \$125.0 million for a new, competitive **Next Generation High Schools** program to transform the high school experience and more effectively prepare students for college and careers by using Federal, State, and local resources to create learning models that are rigorous, relevant, and focus on real-world experiences and incorporate personalized learning and career and college exploration. Special consideration would be given

## **INNOVATION AND IMPROVEMENT**

### **Summary of Request—continued**

to projects designed to improve readiness for postsecondary education and careers in science, technology, engineering, and mathematics fields.

## INNOVATION AND IMPROVEMENT

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### Investing in innovation

(American Recovery and Reinvestment Act, Section 14007)

(dollars in thousands)

FY 2016 Authorization: To be determined

Budget Authority:

	<u>2015</u>	<u>2016</u>	<u>Change</u>
	\$120,000	\$300,000	+\$180,000

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### PROGRAM DESCRIPTION

The Investing in Innovation (i3) program supports innovative and proven approaches that address persistent education challenges while also building knowledge of what works in education. Authorized under Section 14007 of the American Reinvestment and Recovery Act of 2009 (the Recovery Act), the i3 program uses a tiered-evidence framework to direct larger awards to projects with the strongest evidence base and supports promising projects that are willing to undergo rigorous evaluation. Grantees use funds to: (1) scale up strategies for which there is strong evidence (Scale-up grants); (2) validate and expand efforts for which there is moderate evidence (Validation grants); or (3) develop and test promising approaches for which there is evidence of promise or a strong theory, but for which efficacy has not been systematically studied (Development grants). All i3 grantees are required to obtain matching funds from the private sector (matching requirements also differ by funding tier) to build support for their efforts, and increase their project's potential for sustainability.

Under the program, the Department makes awards on a competitive basis to local educational agencies or to non-profit organizations (in partnership with schools or districts); all grantees must demonstrate that they have had recent success in improving student achievement. Since 2010, the Department has awarded over \$1 billion under the program to 143 grantees that have secured over \$200 million in private sector contributions to their projects.

Implementation of i3-supported projects is accompanied by an evaluation by independent researchers of the projects' impact on student achievement. The program provides significant technical assistance to grantees to ensure evaluations are rigorous and produce information that can be used by researchers and practitioners alike. Evaluations of Validation and Scale-up grants are expected to meet the Institute of Education Science's What Works Clearinghouse standards with or without reservations, so that the largest investments are based on the highest level of rigor regarding efficacy. Findings are shared publically, so that the entire field benefits from lessons learned through i3. The i3 program not only contributes to building the evidence base of what works in education, but also helps education organizations improve their capacity to conduct rigorous research and incorporate evaluation when trying out new strategies, and supports researchers in designing and implementing evaluations that are of real-time, practical use to practitioners.



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### Investing in innovation

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The Department chooses competition priorities based on several criteria. The Department aims to fund projects in priority areas where there is a significant need to build evidence about what works. The Department also seeks to balance the i3 portfolio to ensure that investments span important topic areas over time so that there is a knowledge base across a diverse set of domains, including for priorities for which funding is not available elsewhere. Finally, the Department factors in the final appropriation level to reflect a realistic number of priorities. In response to feedback from the field, the Department plans to scale back the number and specificity of priorities for the fiscal year 2015 competition, creating greater flexibility for the field to seek and obtain funding for its best ideas within a narrower set of priorities. The Department is considering the following priorities for the fiscal year 2015 competition: teacher effectiveness and equity; principal effectiveness; standards and assessments; science, technology, engineering, and mathematics (STEM); technology; and non-cognitive skills. As requested by Congress, there is also a new absolute priority for high schools, and the program will continue supporting rural applicants across all of the absolute priority areas.

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011 .....	\$149,700
2012 .....	149,417
2013 .....	141,602
2014 .....	141,602
2015 .....	120,000

### FY 2016 BUDGET REQUEST

For 2016, the Administration requests \$300 million for the Investing in Innovation (i3) program, an increase of \$180 million over the 2015 appropriation. The request reflects the Administration's commitment to reclaim the role envisioned for i3 when the program was created with an initial investment of \$650 million under the American Recovery and Reinvestment Act of 2009. Since its launch in 2010, i3 has been heavily oversubscribed: the Department has received 4,041 applications or pre-applications, but made only 143 grants through 2014, for a total application-success rate of 3.5 percent. In addition, a portion of the requested funds would be used to support activities to be carried out by the Advanced Research Projects Agency-Education (ARPA-ED).

The proposed increase would allow the program to build on its demonstrated success, reaching more children and building more evidence and capacity. Additional funding would support greater numbers of the larger Scale-up awards that the Department anticipates making as applicants seek to build on the positive results of Development and Validation grants made in previous years that are ready to be taken to scale. The strong evidence required to receive a Scale-up grant ensures that larger amounts of funding are going towards investments that are most effective.

Scale-up grants are demonstrating success to date. There are promising results from rigorous studies of the all three Scale-up grant evaluations that have released preliminary evaluation

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### Investing in innovation

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results (summarized below). The Coalition for Evidence-Based Policy, a nonpartisan organization, notes that these results are “a notable departure from the usual findings of weak or no positive effects in large randomized trials in education. If the findings hold up in longer-term study reports, they would constitute an important validation of i3’s evidence-based approach to scale up.”

As the Coalition notes, results for these three grantees include the following:

- **Reading Recovery:** This program provides struggling first grade readers with one-on-one tutoring by highly-trained, certified teachers for 30 minutes daily for a 3–5 month period. Reading Recovery was found to have a sizable, statistically-significant effect on reading comprehension. On average, the Reading Recovery group scored at the 39<sup>th</sup> percentile nationally on the Iowa Test of Basic Skills (ITBS) versus the 19<sup>th</sup> percentile for the control group.
- **Success for All (SFA):** SFA is a comprehensive school-wide reform program, primarily for high-poverty elementary schools, with a strong emphasis on early detection and prevention of reading problems. After one school year, SFA had a positive effect on students' ability to sound out words which was roughly equal to increasing the average student skills by seven percentage points.
- **Teach for America (TFA):** TFA recruits college seniors and college graduates with strong academic records and provides brief, intense training to teach in low-income schools for a minimum of two years. After one school year, TFA was found to have a statistically significant positive effect on students’ math scores on State tests, roughly equivalent to an extra 2.6 months of learning during the school year.

The next major category of grants is for Validation. All 35 Validation grantees from 2010 through 2013 are on track to have evaluations that meet the What Works Clearinghouse standards without or with reservations. Examples of results among Validation grantees include the following:

- North Carolina New Schools (NCNS), a nonprofit organization focused on high school redesign, leveraged a 2011 i3 Validation award to help more than 1,000 rural, low-income students to enroll in college courses while still in high school. Based on research on the effects of the State’s early college high schools, NCNS also won a Scale-up grant in 2014 to expand this proven early college high school model in North Carolina and four other States. The NCNS Scale-up project will support collaboration between States and other organizations to leverage this success and help more local communities improve graduation rates and college attainment for more students.
- An i3 Validation grant is supporting the expansion of high-performing charter schools in Tennessee’s Achievement School District, which is focused on turning around the bottom 5 percent of the State’s schools. One such i3-supported school, Gestalt Community Schools, helped high-poverty, high-minority student populations from several chronically low-performing schools outperform the State average in 2012 by

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13.7 percentage points in English Language Arts and 9.4 percentage points in mathematics.

- Another i3 Validation grantee, the National Math and Science Initiative's College Readiness Program, has helped enroll more than 6,300 students in college-level Advanced Placement (AP) courses in Colorado and Indiana. In the schools participating in the first cohort, the number of AP passing scores on math, science and English exams increased considerably in the first year. In Colorado, 871 students earned a passing score in the 2013 AP math, science and English exams—a 39 percent increase of the 625 exams passed in 2012. In Indiana schools, 675 students earned a passing score in these exams in 2012, and 1,123 did so in 2013—a 66 percent increase. Overall, participating students in Colorado and Indiana passed nearly 2,000 AP math, science and English exams in 2013.

Lastly, 76 of 77 i3 Development grants awarded from 2010 through 2013 will produce emerging evidence for improving student outcomes. A majority of these Development grantees are on track to meet the WWC standards without or with reservations; the remainder will include at least a correlational study. Examples of innovative approaches supported by i3 Development grants include:

- In east Georgia, Carroll County Schools has expanded a partnership with Southwire, a leading manufacturer of electrical wire and cable, to offer real-world learning opportunities in science, technology, engineering and math (STEM) fields to disadvantaged students. The Carroll County partnership pairs rigorous STEM coursework and student supports with paid apprenticeships at the Southwire manufacturing plant. Although the program targets students at the highest risk of dropping out, and all participating students are economically disadvantaged, the graduation rate is over 10 percentage points higher for participating students (77.8 percent) than the district rate (67.5 percent). With support from the i3 Development grant, Carroll County Schools will expand the program's reach in two neighboring counties, doubling the number of students served, while also participating in an evaluation that will highlight lessons learned for school districts and private sector leaders that want to replicate the Carroll County model.
- St. Vrain Valley Unified School District in St. Vrain, Colorado has leveraged a 2010 i3 Development grant, in part, to develop more rigorous learning opportunities for high school students. The St. Vrain School District has built a partnership with the University of Colorado, IBM, and other private sector leaders to create a new STEM academy at Skyline High School and offer a STEM-focused high school certificate. Between the 2010 and 2012 school years, St. Vrain's graduation rate rose by 10 percentage points overall (from 78.8 percent to 88.4 percent), and by over 20 percentage points for Hispanic students (from 60.7 percent to 81.5 percent).
- In 2014, the Mission HydroScience team at the University of Missouri received an i3 Development grant to create a three-dimensional virtual learning game to support science teaching and learning in small and rural schools. The team will design and create a game that adapts to student learning, assesses student progress, and rewards

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students as their scores rise. As the team develops the game, it will simultaneously create supports for teachers, including a community of practice, that will ensure the learning game is well implemented and provides teachers with key data to inform instruction.

The 2016 budget request includes a proposal to allow Federal, State or local public funds to be used as matching funds, rather than limiting matching funds to private sources. This would create an incentive to leverage existing public education funding, including Federal formula funding, in support of evidence-based practices. Allowing for such leveraging would have a two-fold effect: first, better supporting sustainability of successful interventions, since private funds are more likely to be time-limited; and second, promoting better uses of other public funds to support activities that are evidence-based and more likely to improve student outcomes.

For fiscal year 2016, the Department looks forward to a dialogue with Congress about the appropriate priorities for an i3 funded at the requested level. The Department would reserve up to \$17.5 million for national activities, including providing technical assistance to help grantees develop and implement rigorous evaluation plans. Among other things, this technical assistance has proven critical to ensuring that grantees are able to conduct evaluations that meet What Works Clearinghouse standards.

In addition, the Department would reserve up to \$50 million for ARPA-ED. ARPA-ED would be a new entity within the Department, modeled after similar agencies within the Department of Defense and Department of Energy. The ARPA-ED mission would be to pursue development of breakthrough educational technology and tools that result in improvements for all students (especially those from low-income backgrounds) by increasing educational achievement and attainment for students in both traditional and non-traditional learning environments. Funds for ARPA-ED would be appropriated on a no-year basis to remain available for obligation until expended.

### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Amount for grants	\$135,717	\$112,800	\$279,000
Number of new awards	26	12–20	50–70
Number of grant extensions for evaluation activities	9	0	0
Range of new awards	\$3,000–20,000	\$3,000–20,000	\$3,000–20,000
Peer review of new award applications	\$907	\$1,200	\$3,500
National activities	\$4,978	\$6,000	\$17,500

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<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
ARPA-ED	0	0	\$50,000

NOTE: The fiscal year 2014 appropriations act authorized the Department to pool evaluation funds reserved under section 9601 of the ESEA and use those pooled funds to evaluate any ESEA program. The fiscal year 2015 appropriations act provided the same authority and the Administration's fiscal year 2016 budget would continue this authority. The request for the Investing in Innovation program assumes that this program would be included in the ESEA reauthorization. The Department may reserve funds from this program under the pooled evaluation authority in fiscal year 2016.

### PROGRAM PERFORMANCE INFORMATION

This section presents selected program performance information, including, for example, goals, objectives, measures, and performance targets and data consistent with the requirements of the Government Performance and Results Act (GPRA); as well as 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, funds requested in FY 2016 and future years, and the resources and efforts invested by those served by this program.

**Goal: To improve educational outcomes for students by developing, identifying, and scaling up effective practices that are demonstrated to have an impact on student achievement and other student outcomes.**

**Objective:** *To validate and scale effective solutions for persistent educational challenges across the country to serve a substantially larger numbers of students.*

**Measure:** The percentage of Scale-up grantees that reached their annual target of students.

Year	Target	Actual
<b>2011</b>		67%
<b>2012</b>	70%	60
<b>2013</b>	75	60
<b>2014</b>	80	
<b>2015</b>	60	
<b>2016</b>	66	

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**Measure:** The percentage of Validation grantees that reached their annual target of students.

Year	Target	Actual
2011		46%
2012	50%	70
2013	54	58
2014	60	
2015	65	
2016	68	

**Additional information:** The source of the data is annual grantee performance reports submitted through December 31, 2013. Actual percentages are based on partial data; one grantee did not provide targets for the number of students that would be served. The Department reset some targets in 2013 based on the additional data that was available after 2 years of reporting for one cohort of grantees plus availability of initial data for a second cohort of grantees. The Department will continue providing technical assistance to grantees in order to improve the quality, completeness, and consistency of the data. Data for fiscal year 2014 will be available in summer of 2015.

**Objective:** *To promote rigorous evaluation of i3-funded projects that will generate significant new information about the effectiveness of diverse strategies, practices, and products that address persistent educational challenges.*

**Measure:** The percentage of programs, practices, or strategies supported by a Scale-up grant with ongoing well-designed and independent evaluations that will provide evidence of their effectiveness at improving student outcomes at scale and would meet the WWC Evidence Standards with or without reservations.

Year	Target	Actual
2011		100%
2012	80%	100
2013	80	100
2014	80	
2015	80	
2016	83	

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**Measure:** The percentage of programs, practices, or strategies supported by a Validation grant with ongoing well-designed and independent evaluations that will provide evidence of their effectiveness at improving student outcomes and would meet the WWC Evidence Standards with or without reservations.

Year	Target	Actual
2011		100%
2012	90%	89
2013	92	89
2014	94	
2015	75	
2016	78	

**Measure:** The percentage of programs, practices, or strategies supported by a Development grant with ongoing evaluations that provide evidence of promise for improving student outcomes.

Year	Target	Actual
2011		97%
2012	94%	100
2013	95	100
2014	96	
2015	96	
2016	96	

**Additional information:** The source of the data is the most updated grantee evaluation plan. The Department reset some targets in 2013 based on the additional data available after 2 years of reporting for one cohort of grantees plus availability of initial data for a second cohort of grants. The Department will continue providing technical assistance to grantees in order to improve the quality, completeness, and consistency of the data. Data for fiscal year 2014 will be available in summer of 2015.

The measures for Validation and Scale-up grants assess whether grantee evaluations, and thus their evidence of effectiveness, would meet the What Works Clearinghouse (WWC) Evidence Standards with or without reservations at scale. Assessment of evaluation design and efficacy is based on reviews by external reviewers trained in the WWC standards. A well-designed study is one that is well-implemented and would meet the WWC standards with or without reservations. An independent evaluation means that the organization conducting the evaluation is not responsible for project development and implementation. To meet the Validation and Scale-up grant requirement for providing evidence of effectiveness at improving student outcomes, a study must estimate the impact of the program, practice, or strategy on one or more of the student outcomes specified in the intervention's logic model and meet WWC Outcome Standards in terms of face validity, alignment, reliability, and validity. Actual data may vary each year because a number of factors may affect grantees' capacity to maintain the rigor of the evaluation throughout the life of their projects. For example, differences in attrition

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among students in treatment and control groups could pose a significant challenge to successful implementation of a project evaluation. Furthermore, given the small number of projects in the Scale-up grant category, problems in one project would dramatically change the percentage of projects meeting the measure.

For Development grants, determinations of evidence of promise were based on whether project evaluations used research designs that would provide a comparison to the outcomes of the intervention group. The two types of designs that qualify are: (1) pre-post or interrupted time series designs (without a comparison group); or (2) comparison group designs that compare outcomes between groups.

**Measure:** The percentage of programs, practices, or strategies supported by a Scale-up grant with ongoing evaluations that are providing high-quality implementation data and performance feedback that allow for periodic assessment of progress toward achieving intended outcomes.

Year	Target	Actual
2011		100%
2012	80%	100
2013	80	100
2014	80	
2015	80	
2016	83	

**Measure:** The percentage of programs, practices, or strategies supported by a Validation grant with ongoing evaluations that are providing high-quality implementation data and performance feedback that allow for periodic assessment of progress toward achieving intended outcomes.

Year	Target	Actual
2011		93%
2012	90%	100
2013	90	100
2014	90	
2015	90	
2016	93	



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**Measure:** The percentage of programs, practices, or strategies supported by a Development grant with ongoing evaluations that are providing high-quality implementation data and performance feedback that allow for periodic assessment of progress toward achieving intended outcomes.

Year	Target	Actual
2011		90%
2012	90%	97
2013	90	97
2014	90	
2015	90	
2016	95	

**Additional information:** The source of the data is the most updated grantee evaluation plan. In 2013, the contractor conducting the national evaluation of the i3 program revised the standards for this measure in order to make them clearer and more objective. The Department will continue providing targeted technical assistance to grantees in order to improve the quality, completeness, and consistency of the data. Data for fiscal year 2014 will be available in summer of 2015.

Although the Department's evaluation contractor worked with the i3 grantees and evaluators to develop logic models and fidelity measures of program implementation, it is unlikely that initial program results will be maintained throughout the life of all of the projects. Slight programmatic changes could affect the quality of program implementation data. The Department is providing technical assistance to grantees and their evaluators on this issue.

The Department is not reporting data separately on the percentage of Development grantees that are implementing their projects with fidelity to the approved design. However, the evaluation contractor, in determining which Development projects to count as meeting the elements of the last measure above, examines whether Development projects' evaluation plans include a strategy for measuring implementation fidelity.

### Efficiency Measures

The Department has established cost per student as the efficiency measure for the i3 program. Data for this measure for 2011 are based on aggregate total project costs (including evaluation costs) and the number of students served by all grantees. Aggregate program costs were used to calculate costs per student due to inconsistencies in the data grantees reported. The Department has developed a reporting format and provided technical assistance to grantees in order to improve the quality, completeness, and consistency of the data. Data for this measure for 2012 and subsequent years is based on total project costs minus evaluation costs and the number of students served by all grantees. Separating the evaluation costs is critical because evaluation costs for i3 projects tend to be large due to the complexity of the evaluation designs and the goal of meeting WWC standards. Data for 2012 are partial because not all grantees provided a breakdown of costs for evaluation versus other expenses. Data for 2013 represent

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### Investing in innovation

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all 5 Scale-up grants, 27 out of 28 Validation grants, and 55 of 59 Development grants. Data for fiscal year 2014 will be available in summer of 2015.

Year	Cost per student, Scale-up grants	Cost per student, Validation grants	Cost per student, Development grants
2011	\$53	\$177	\$140
2012	61	159	182
2013	237	181	140
2014			
2015			
2016			

**Additional information:** In 2013, Scale-up grantees missed their targets for serving students by 15 percent, which resulted in a significant increase in the cost per student in that year. The Department continues to provide technical assistance to grantees on program implementation as well as improving the reliability of their data.

## INNOVATION AND IMPROVEMENT

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### Excellent educators grants (currently teacher incentive fund)

(Elementary and Secondary Education Act of 1965, Title V, Part D, Subpart 1)

(dollars in thousands)

FY 2016 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
\$230,000	\$350,000	+\$120,000

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<sup>1</sup>The GEPA extension expired September 30, 2008; reauthorizing legislation is sought for FY 2016.

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### PROGRAM DESCRIPTION

The Excellent Educators Grants proposal for 2016 would strengthen the Teacher Incentive Fund (TIF), which supports State and school district efforts to implement effective personnel strategies that are designed to increase teacher and principal quality and in turn raise student academic outcomes, and close achievement gaps in some of our highest need schools.

Under TIF, the Department makes competitive grants to support the development and implementation of performance-based compensation systems that not only are well-designed, but also are part of a broader plan to evaluate teachers and principals fairly and rigorously, improve career advancement and support decisions, and enhance instruction. TIF projects also provide effective educators with incentives to take on additional responsibilities and leadership roles. Eligible entities include (1) LEAs, including charter schools that are LEAs; (2) States; and (3) nonprofit organizations in partnership with an LEA, a State, or both.

TIF applicants must propose educator evaluation and support systems that consider student achievement as well as other factors, including multiple classroom observations, that provide educators with timely feedback and targeted professional development. Applicants must develop these systems with the input of teachers and school leaders and demonstrate a commitment to ensuring the fiscal and programmatic sustainability of their projects upon completion of their TIF grant.

Under TIF, the Department has emphasized support for projects that propose innovative ways to improve instruction for high-need students, such as English Learners and students with disabilities, and student achievement in high-need fields and subjects, such as science, technology, engineering, and mathematics (STEM). The most recent competition for new grant awards, held in 2012, also specifically supported projects that would build career ladders that include school-based instructional leadership positions (such as master teachers, mentor teachers, or instructional coach roles).

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The Department may also use up to 5 percent of TIF funds for technical assistance, training, peer review of applications, program outreach, and evaluation activities.

Funding is appropriated for TIF under the Fund for the Improvement of Education, authorized by Title V, Part D, Subpart 1 of the Elementary and Secondary Education Act, but key program requirements are established through annual appropriations language.

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011 .....	\$399,200
2012 .....	299,433
2013 .....	283,771
2014 .....	288,771
2015 .....	230,000

### FY 2016 BUDGET REQUEST

The Administration requests \$350.0 million for the Excellent Educators Grants program, \$120.0 million more than the 2015 level for the existing TIF program. The enhanced program would make competitive awards to States and LEAs to create effective human capital systems, including but not limited to changes in compensation. Effective human capital systems are rooted in educator evaluation systems that differentiate performance based on multiple measures, including student growth, and that align evidence-based activities for preparing, supporting, retaining, paying, and advancing effective teachers and school leaders. The revised program would reach more districts by prioritizing support for States that work in partnership with districts. Financial sustainability after the end of the grant would also be a key priority.

As a Nation, we must find ways to support teachers and principals so they—and their students—can succeed, and retain effective educators and expand their reach through new leadership roles, including leading instructional improvements that will benefit all teachers and students. States and school districts have been developing teacher and principal evaluation and support systems to improve hiring practices, provide educators meaningful feedback and targeted professional development, and link personnel decisions to performance, but there is much more work to do so that more effective teachers and principals serve and stay in high-need schools. About 13 percent of teachers change schools or leave the profession every year, costing States up to \$2 billion annually, and between 40 and 50 percent of teachers leave the profession within 5 years.<sup>1</sup> These losses disproportionately affect high-poverty urban and rural schools, where students are more likely to be taught by inexperienced, unqualified, or out-of-field teachers, and high-need students such as English Learners and students with disabilities. Teachers report leaving for a variety of reasons, including inadequate administrative support, isolated working conditions, and limited opportunities to participate in school leadership.

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<sup>1</sup> Mariana Haynes, “On the Path to Equity: Improving the Effectiveness of Beginning Teachers,” Alliance for Excellent Education (2014); Institute of Education Sciences, National Center for Education Statistics, “Teacher Attrition and Mobility: Results from the 2008-09 Teacher Follow-up Survey” (2010).

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States and LEAs are implementing reforms to elevate the overall quality of instruction to improve student achievement. The Administration's request includes a set of initiatives to help States, LEAs, institutions of higher education, and other partners to address each phase of a teacher and school leader's career, including new innovations in how we recognize and support teachers and leaders. The request for Improving Teacher Quality State Grants would provide formula grants for ongoing State and local efforts to strengthen the recruitment, preparation, evaluation, support, and retention of teachers and school leaders to elevate the overall quality of instruction and improve student achievement. In addition, under an expanded Supporting Effective Educator Development (SEED) program, the Department would make new competitive grants to national nonprofit organizations to support teacher and school leader enhancement projects with evidence of effectiveness and conduct related national leadership activities. The Administration's Teaching for Tomorrow proposal would fund competitive grants to assist States in dramatically improving teacher recruitment, selection, and early career supports, and support States and districts in increasing the retention of excellent teachers and implementing innovative, evidence-based models for induction, mentoring, evaluation, and support to improve teacher performance and increase access to effective teachers for all students.

Enhancing State strategies for supporting and retaining excellent educators will also be essential for implementing the teacher equity plans that States are developing under the Administration's Excellent Educators for All initiative. Under this initiative, and consistent with section 1111(b)(8)(C) of the Elementary and Secondary Education Act of 1965 (ESEA), each State must develop a comprehensive plan to ensure that "poor and minority children are not taught at higher rates than other children by inexperienced, unqualified, or out-of-field teachers." A key element of these plans in many States will be improving their systems for recruiting, training, and placing new teachers and school leaders and compensating and retaining effective educators in high-poverty, high-minority schools.

Building on the Teacher Incentive Fund, the Excellent Educators initiative recognizes that the most successful efforts to transform support and retention of teachers and principals have had a sharp focus on improving outcomes for students and educators, ambitious scope, and demonstrated capacity to sustain the work, like District of Columbia Public Schools (DCPS)'s IMPACT and Leadership Initiative for Teachers (LIFT) systems. DCPS's rigorous evaluation system, targeted professional support, and rapidly accelerated pay and career advancement for strong performers have strengthened retention of high-quality educators and helped lead to significant gains in student academic outcomes and decreased achievement gaps.<sup>2</sup> Hillsborough County Public Schools, another TIF grantee, has also successfully implemented an educator evaluation system with performance-based compensation and career advancement (Performance Outcomes with Effective Rewards, or POWER) designed to increase the number of highly effective teachers recruited to and retained in project schools and strengthen teacher leadership in the district.

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<sup>2</sup> Dee & Wyckoff, "Incentives, Selection, and Teacher Performance: Evidence from Impact," National Bureau of Economic Research Working Paper 19529 (2013); U.S. Department of Education, Institute of Education Sciences, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), District Profiles and 2011 and 2013 Assessments.

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Excellent Educators Grants would support States or LEAs with bold plans for improving student outcomes through the use of comprehensive human capital systems. The foundation of any application would be a high-quality evaluation and support system for educators that includes multiple measures, including student growth. States applying for Excellent Educators Grants would conduct an assessment of needs at the State level as well as in their LEAs with the largest gaps in access to effective teachers and principals. Plans would be required to address one or more of the following issues, with a priority for more comprehensive efforts:

- Strengthening certification, licensure, or tenure systems to ensure that teachers are able to meet students' needs, particularly in high-need districts and schools;
- Changing compensation and advancement systems to achieve significantly higher pay for highly effective teachers, particularly in high-need schools, fields, and subjects; and
- Providing incentives and supports to increase the number of highly effective teachers and principals who are placed and remain in high-need districts and schools.

Regardless of which paths they choose, all applicants would be required to improve the quality of professional development and support for teachers, including but not limited to improvements in induction, mentoring, coaching, and common planning time. States could also use resources to lift standards for entry into teacher preparation programs or focus on creating supportive environments for teachers.

The Department would give priority to State applicants that propose to leverage changes across multiple districts and that commit to changing important aspects of State policy, such as strengthening standards for admission to teacher preparation programs, certification, or tenure. The Department would also focus on supporting applicants that propose to leverage funds provided under Improving Teacher Quality State Grants and that have a clear plan to sustain the systems and activities supported by Excellent Educators Grants.

The Department would use up to 5 percent of the appropriation for technical assistance, training, peer review of applications, program outreach, and evaluation activities.

### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Amount for new awards	0	0	\$177,500
Number of new awards	0	0	10
Average new award	0	0	\$17,750
Amount for continuation awards	\$281,273	\$218,500	\$155,000
Number of continuation awards	92	35	35
Average continuation award	\$3,057	\$6,243	\$4,429

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<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Technical assistance, training, outreach, and evaluation	\$7,498	\$11,500	\$17,500

NOTE: The fiscal year 2014 appropriations act authorized the Department to pool evaluation funds reserved under section 9601 of the ESEA and use those pooled funds to evaluate any ESEA program. The fiscal year 2015 appropriations act provided the same authority and the Administration's fiscal year 2016 budget would continue this authority. While the Department did not reserve funds from this program under this authority in fiscal year 2014, it may do so in fiscal years 2015 and 2016.

### 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 FY 2016 and future years, and the resources and efforts invested by those served by this program. The Department has established the following goal and performance measures to assess the impact of the Teacher Incentive Fund.

**Goal: Improve student achievement by increasing teacher and principal effectiveness by reforming teacher and principal compensation systems so that teachers and principals are rewarded for increases in student achievement.**

**Objective:** *Show an increase in the percentage of teachers and principals in high-need schools who have a record of effectiveness.*

**Measure:** The percentage of teachers and principals in high-need schools who have a record of effectiveness.

Year	2006 Cohort Actual	2007 Cohort Actual	2010 Cohort Actual
2011	29.3%	46.3%	70.8%
2012		44.3	79.9
2013			
2014			
2015			
2016			

**Additional information:** The Department collects these data from grantee annual performance reports. Only 14 of the 60 grantees in the 2010 Cohort reported results for this measure for 2011; for the remaining grantees in the 2010 Cohort, 2011 was a planning year. A number of grantees in each cohort reported very high percentages of "effective" teachers and principals based on the percentage of educators who received incentive payments. In those cases,

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grantees made incentive payments to a substantial number of teachers and principals in high-need schools, but the amounts of those payments might have varied by individual. The Department has addressed this reporting issue by establishing new measures for the 2012 Cohort, as described below.

**Objective:** *Show an increase in the percentage of a district's personnel budget that is used for performance-related payments to effective (as measured by student achievement gains) teachers and principals.*

**Measure:** The percentage of a district's personnel budget that is used for performance-related payments to effective teachers and principals (as measured by student achievement gains).

Year	2006 Cohort Actual	2007 Cohort Actual	2010 Cohort Actual
2011	1.2%	0.9%	0.7%
2012		0.9	1.0
2013			
2014			
2015			
2016			

**Additional information:** The Department collects these data from grantee annual performance reports.

### New Measures

The Department established four new measures as part of the 2012 grant competition: (1) the percentage of teachers and principals who are rated at each effectiveness level, as measured by the grantee's evaluation system; (2) the percentage of teachers teaching in a high-need field or subject, such as teaching English Learners, students with disabilities, or STEM, who are rated at each effectiveness level; (3) the percentage of teachers and principals who were rated at each effectiveness level in the previous year and who returned to serve in the same high-need school in the LEA; and (4) the percentage of school districts participating in a TIF grant that use educator evaluation systems to inform key personnel decisions. The teacher and principal evaluation ratings for these measures are based, in significant part, on evidence of improved student outcomes.

Preliminary results for 2013 show that in participating districts, 27 percent of teachers (23,591 out of 87,555) and 31 percent of principals (926 out of 3,031) received the highest effectiveness rating under their district's evaluation system. Most of these highly effective educators (56 percent of the teachers and 62 percent of the principals) were serving in high-need schools.

A similar proportion (25 percent) of teachers of high-need fields or subjects were rated at the highest level of effectiveness. Around 48 percent of these teachers were serving in high-need schools.



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Approximately 71 percent of TIF districts reported using their educator evaluation system to inform professional development. Around 65 percent of TIF districts reported considering evaluations for career advancement decisions, and slightly more than half (50 to 60 percent) of participating districts reported using the systems to inform recruitment, hiring, placement, and retention. A minority of districts also reported using these systems to inform tenure decisions (25 percent) and dismissal decisions (40 percent).

### Other Performance Information

The Institute of Education Sciences (IES) is conducting a rigorous national evaluation, using a randomized controlled methodology, to assess the impact of a pay-for-performance bonus on student achievement and on effective teacher and principal recruitment and retention in high-need schools and subjects. An initial report, published in September 2014, provided implementation information prior to the actual distribution of annual performance information and bonuses to educators.<sup>3</sup> Researchers found that after one year, fewer than half of all TIF districts were fully implementing the program. In a subset of districts that participated in the random assignment study, most educators reported that they were satisfied with their professional opportunities, school environment, and the TIF program, but, on average, educators in schools that offered pay-for-performance bonuses tended to be less satisfied than educators in schools that did not offer such bonuses. While educators in schools offering pay-for-performance bonuses were more satisfied with the opportunity to earn additional pay, a greater percentage indicated feeling increased pressure to perform due to the TIF program. In addition, many educators did not appear to be well-informed about important components of the program, including the size of pay-for-performance bonuses they could earn.

IES is also conducting a study to assess the impact of teacher and leader performance evaluation and support systems.<sup>4</sup> This study will address the effect of these systems on educator practices, supports provided to educators, and student academic achievement. It will also describe districts' and educators' experiences implementing these systems.

In 2012, the Department's Policy and Program Studies Service (PPSS) published an implementation study of the 2006 and 2007 TIF cohorts.<sup>5</sup> The study found, among other things, that most of the 34 grantees recognized the importance of providing teachers opportunities to learn how to improve their practices so they could improve their instruction and earn an award. However, the report noted that in the majority of projects, almost all teachers and administrators were eligible for performance-based bonuses and received awards and that many of the performance-pay projects faced significant challenges to financial sustainability.

In addition, PPSS's "Results in Brief: Providing Effective Teachers for All Students: Examples from Five Districts," also published in 2012, looked at five districts that use data on student achievement growth to identify effective teachers, implement performance pay initiatives or

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<sup>3</sup> "Impact Evaluation of the Teacher Incentive Fund," [http://ies.ed.gov/ncee/projects/evaluation/tq\\_incentive.asp](http://ies.ed.gov/ncee/projects/evaluation/tq_incentive.asp).

<sup>4</sup> "Impact Evaluation of Teacher and Leader Performance Evaluation Systems," [http://ies.ed.gov/ncee/projects/evaluation/tq\\_performance.asp](http://ies.ed.gov/ncee/projects/evaluation/tq_performance.asp).

<sup>5</sup> "Teacher Incentive Fund: First Implementation Report: 2006 and 2007 Grantees," <http://www2.ed.gov/about/offices/list/oepd/ppss/reports.html#tq>.

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other human resource policies, and seek to ensure an equitable distribution of effective teachers, particularly in high-need schools.<sup>6</sup> Three of the districts received TIF grants, and another benefited from TIF support through a State grantee. The report described how these districts measure teacher effectiveness and some of the challenges they faced, such as hurdles in implementing classroom observation systems that were both rigorous and manageable in terms of complexity and time required.

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<sup>6</sup> “Providing Effective Teachers for All Students: Examples from Five Districts,” <http://www2.ed.gov/about/offices/list/oepd/ppss/reports.html#tq>.

## INNOVATION AND IMPROVEMENT

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### Teacher and principal pathways (currently school leadership, teacher quality partnership, and transition to teaching)

(Proposed legislation)

(dollars in thousands)

FY 2016 Authorization: To be determined

Budget Authority:

	<u>2015</u>	<u>2016</u>	<u>Change</u>
Teacher Pathways	0	\$100,000	+\$100,000
Principal Pathways	<u>0</u>	<u>38,762</u>	<u>+38,762</u>
Total	0	138,762	+138,762

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### PROGRAM DESCRIPTION

The proposed Teacher and Principal Pathways program is designed to help institutions of higher education (IHEs) and nonprofit organizations, working closely with school districts, carry out the important work of teacher and principal preparation. Promoting a variety of high-quality pathways into teaching and school leadership is an essential mechanism for providing new teachers and principals the training they need to serve in high-need schools and for addressing inequities in access to effective and highly effective educators.

Teacher Pathways would fund competitive grants to teacher preparation programs operated by IHEs and nonprofit organizations, to support the creation or expansion of high-quality pathways into the teaching profession. These pathways would emphasize partnerships with local educational agencies (LEAs) and increasing the number of effective and highly effective teachers serving in high-need schools and teaching in high-need fields and subjects. The proposal would build on and replace current Department efforts to improve teacher preparation through the Teacher Quality Partnership (TQP) and Transition to Teaching (TTT) programs.

Principal Pathways would fund competitive grants to principal preparation programs operated by IHEs and nonprofit organizations, preferably in partnership with LEAs, to support the creation or expansion of high-quality pathways that prepare participants to serve effectively as principals in high-need schools. The proposed Principal Pathways program would build on and replace current Department efforts under the School Leadership program.

### FY 2016 BUDGET REQUEST

The Administration requests \$138.8 million for the Teacher and Principal Pathways in fiscal year 2016: \$100.0 million for the Teacher Pathways program and \$38.8 million for the Principal

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Pathways program, an overall increase of \$68.1 million above the aggregate of the 2015 levels for the School Leadership, TQP, and TTT programs.

Great teachers and principals matter enormously to the learning and the lives of children. Every parent knows it, and study after study proves it. However, teachers, principals, and researchers have made it clear that too many teacher and principal preparation programs today are not equipping educators with the skills they need to be successful.

The Teacher Pathways program would support evidence-based investments in the recruitment, competitive selection, preparation, and placement of new teachers to meet the specific needs of LEAs with a high share of high-need schools. The Department would give priority to applicants that propose to expand teacher preparation programs with a track record of placing teachers in high-need schools and subjects and whose teachers have high early career retention rates and a positive impact on student learning. The Department also would support applicants that propose to replicate preparation models with evidence of effectiveness or that propose a promising new structure with a rigorous evaluation plan. In addition, applicants would need to demonstrate formal partnerships with LEAs or strong historical demand for a program's graduates from LEA hiring authorities.

The new program would also promote rigorous recruitment practices coupled with a competitive selection process, based on research indicating that these program components are an effective strategy for identifying teacher candidates who are likely to have a positive impact on their students. For example, grantees could raise admission standards to ensure that participants were in the top third of the distribution of all aspiring applicants, accounting for academic measures (such as GPA) or non-academic measures (such as leadership skills). Grantees could also find ways to incorporate significant practical experience in the classroom. Other key goals of the new program include preparing teachers to teach to college- and career-ready (CCR) standards and to meet the needs of high-need schools and areas (including rural areas), hard-to-staff fields and subjects (such as science, technology, engineering, and mathematics, or STEM), or high-need students (such as English Learners and students with disabilities). Grantees would be required to maintain specialized accreditation or to demonstrate that their graduates have content and pedagogical knowledge and high-quality clinical preparation, and have met rigorous exit requirements. Programs preparing teachers under both "traditional" and "alternative" routes to State certification or licensure would be eligible for funding. The Department may give priority to applicants focused on improving the preparation of STEM teachers, consistent with the proposed program's emphasis on preparing more teachers for high-need fields and subjects and the President's goal of developing 100,000 new effective and highly effective STEM teachers while also building evidence on the characteristics and requirements of high-quality STEM teacher preparation programs.

Teaching is one of the most important and challenging careers. Increasingly, research indicates that of all the school-related factors that impact student academic performance, great teachers matter most.<sup>1</sup> Yet new research shows that many teacher preparation programs offer easy A's

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<sup>1</sup> RAND Corp., "Teachers matter: Understanding teachers' impact on student achievement" (2012).

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instead of rigorous training.<sup>2</sup> Far too many teachers report they are unprepared when they first enter the classroom after completing their teacher preparation program. And new teachers will continue to face challenges as their schools transition to rigorous college- and career-ready academic standards. These challenges are exacerbated by an imbalance of supply and demand; far too many candidates are certified in fields with limited job availability, such as elementary education, while there are shortages of teachers in high-need fields and subjects.

The impact of these current weaknesses in teacher preparation on students is extraordinary. It is no surprise that a comparison of top-performing teacher preparation programs to the lowest-performing programs in one study found that the impact on student learning gains in mathematics from teacher preparation can be greater than the impact of poverty.<sup>3</sup> This is a critical finding for Federal education programs, which focus on improving educational opportunities and outcomes for children from low-income families attending high-need schools.

To help address these challenges, the Department has proposed regulations designed to strengthen teacher preparation programs. These proposed regulations call for States to measure the performance of teacher preparation programs, ensure that their graduates are prepared to work in our most challenging schools, identify and reward the top performing programs, and facilitate continuous improvement. In addition, States and communities are developing promising, innovative approaches to preparation focused on equipping teachers with strong content knowledge coupled with robust practical experience. For example, the American Museum of Natural History in New York City, in partnership with New York State, middle and high schools, and the Center for Education Policy, Applied Research, and Evaluation at the University of Southern Maine, received a Teacher Quality Partnership (TQP) grant to refine, expand, and institutionalize its pilot residency program that grants Master of Arts in Teaching degrees with a Specialization in Earth Science for grades 7–12. The project integrates theory with practice and is specifically focused on high-need, urban schools with diverse student populations, including English Learners and students with special needs. Finally, the Department has begun to implement a new initiative focused on increasing access to great teachers and principals. The new Teacher Pathways program would provide States and districts with tools to address the significant need for better, more responsive teacher preparation.

The proposed Principal Pathways program would support the recruitment, competitive selection, preparation, and placement of new principals, especially those who are able to lead the improvement of high-need schools that are chronically low-performing. The proposed program would also include funding for evaluation to build evidence of effectiveness.

Principal Pathways applicants would need to either show that they have partnered with LEAs or demonstrate strong historical demand for program graduates from LEA hiring authorities. Successful applicants would commit to using evidence-based approaches to training effective new principals, especially those who are prepared to take over high-need schools, or to

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<sup>2</sup> National Council on Teacher Quality, “Training Our Teachers: Easy A’s and What’s Behind Them” (2014).

<sup>3</sup> Goldhaber, Dan, et al., “The Gateway to the Profession: Assessing Teacher Preparation Programs Based on Student Achievement,” *Economics of Education Review* (2013).

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conducting rigorous evaluations of innovative strategies to help build the evidence base in this area.

Similar to the Teacher Pathways program, the Principal Pathways proposal would promote rigorous recruitment and competitive selection of principal candidates, including innovative ways to recruit candidates with experience as an effective or highly effective teacher, and to identify those with the strongest potential to be effective school leaders in high-need schools. Projects would provide instruction, practice, and feedback aimed at helping aspiring principals to master essential school leadership skills, such as evaluating and providing feedback to teachers, analyzing student data, developing school leadership teams, strengthening the capacity of building-level staff through distributive leadership models, and creating a supportive school environment and a culture of high expectations. The request would also support projects that deepen aspiring principals' understanding of CCR standards and effective instruction aligned to those standards.

Grantees would involve principal managers, such as by providing coaching or support for district superintendents, based on research showing that district-level staff can play an important role in helping develop and retain strong principals.<sup>4</sup>

Effective principals are also crucial to strengthening teaching and school communities. Second only to classroom instruction, school leadership is the most important school-based variable affecting student achievement.<sup>5</sup> Emerging research shows that effective leaders play a critical role in students' academic success, especially in high-need schools, by creating cultures of high expectations and by recruiting and retaining highly effective teachers.<sup>6</sup> A school leader directly impacts the quality of instruction through hiring decisions of instructional staff and decisions about professional development activities.<sup>7</sup> Effective principals also provide instructional leadership in addition to carrying out administrative responsibilities.<sup>8</sup> Teachers cite a principal's support and effectiveness as a leading factor that contributes to their decisions to remain in the profession.<sup>9</sup> Highly effective school leaders make teachers feel valued and allow them to focus solely on student learning, inducing them to stay in the classroom.<sup>10</sup> Effective leaders also create a vision of academic success for all children in their schools and encourage other educators to take on leadership roles and responsibilities.

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<sup>4</sup> Béteille, Tara, et al., "Stepping Stones: Principal Career Paths and School Outcomes," CALDER Working Paper No. 58 (2011); Mitgang, Lee, "Districts Matter: Cultivating the Principals Urban Schools Need," Wallace Foundation (2013).

<sup>5</sup> Leithwood, Kenneth, et al., "How Leadership Influences Student Learning" (2004).

<sup>6</sup> Loeb, Susanna, et al., "Effective Schools: Teacher Hiring, Assignment, Development, and Retention," Journal of Education Finance and Policy (2012).

<sup>7</sup> Papa, Frank, et al., "Hiring Teachers in New York's Public Schools: Can the Principal Make a Difference?" (2003).

<sup>8</sup> Wallace Foundation, "The School Principal as Leader: Guiding Schools to Better Teaching and Learning" (2013).

<sup>9</sup> Futernick, Ken, "A Possible Dream: Retaining California Teachers So All Students Can Learn," California State University (2007).

<sup>10</sup> Ikemoto, Gina, et al., New Leaders, "Playmakers: How great principals build and lead great teams of teachers" (2012).

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The Department has also begun to help build evidence around what successful principal preparation looks like. For example, the 2013 School Leadership program competition encouraged applicants to address the challenges of preparing and supporting principals through projects that would help expand the evidence base for high-quality principal preparation, professional development for principals, or both. In addition, the Department launched the Turnaround School Leaders Program (TSLP) in fiscal year 2014 using national activities funds under the School Improvement Grants (SIG) program. The TSLP provides grants to LEAs to help ensure that leaders of schools eligible for or receiving SIG funds possess the specialized skills needed to drive successful efforts to turn those schools around.

Greater investment is needed specifically for stronger recruitment, selection, and preparation of leaders for the critical role of principal, especially for high-need schools. In particular, high-poverty and high-minority schools are more likely to be led by principals who are weaker on various quality measures (including leadership ratings from staff and years of experience) than those in lower poverty schools.<sup>11</sup> Strong principals are essential to the improvement of low-performing schools and are vital for schools to retain their strongest teachers.<sup>12</sup> Further, many candidates who enter existing leadership training programs never use their credentials to become a principal or obtain other administrative positions.

The Department would reserve up to 5 percent of the request for national leadership activities, including technical assistance to grantees. A portion of the national leadership activities set-aside would also be used to create survey tools that States could use to gather feedback about teacher preparation programs from graduates and their employers; results would help inform the development of more meaningful teacher preparation accountability systems. The Department would reserve an additional 0.5 percent for evaluation.

The Teacher Pathways and Principal Pathways programs would replace the current School Leadership, TQP, and TTT programs. This proposed consolidation is consistent with a longstanding principle of the Administration's policy to consolidate small, narrowly targeted, categorical programs into broader, more flexible authorities that better meet local needs. Continuation costs for these programs in fiscal year 2016 would be funded from the appropriation for the Teacher and Leader Pathways programs.

#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2016</u>
<b><i>Teacher Pathways</i></b>	
Funding for new awards	\$68,274

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<sup>11</sup> Clotfelter, Charles, et al., "High-Poverty Schools and the Distribution of Teachers and Principals," National Center for Analysis of Longitudinal Data in Education Research (CALDER) Working Paper No. 1 (2007); Horng, Eileen, et al., "Principal Preferences and the Unequal Distribution of Principals Across Schools," CALDER Working Paper No. 36 (2009).

<sup>12</sup> Schleicher, Andreas (Ed.), "Preparing Teachers and Developing School Leaders for the 21st Century: Lessons from around the World," OECD (2012).

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<u>Measures</u>	<u>2016</u>
Number of new awards	20
Average new award	\$3,414
Peer review of new award applications	\$200
National leadership activities	\$5,000
Evaluation	\$500
Continuation costs for Teacher Quality Partnership	\$26,026
<b><i>Principal Pathways</i></b>	
Funding for new awards	\$20,680
Number of new awards	10
Average new award	\$2,068
Peer review of new award applications	\$150
National leadership activities	\$1,938
Evaluation	\$194
Continuation costs for School Leadership	\$15,800

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NOTE: The fiscal year 2014 appropriations act authorized the Department to pool evaluation funds reserved under section 9601 of the ESEA and use those pooled funds to evaluate any ESEA program. The fiscal year 2015 appropriations act provided the same authority and the Administration's fiscal year 2016 budget would continue this authority. The Teacher Principal Pathways program would be authorized by the ESEA; the Department may reserve funds from this program under the pooled evaluation authority in fiscal year 2016.

### PROGRAM PERFORMANCE INFORMATION

#### Performance Measures

The Department will establish goals and performance indicators to assess the impact of the Teacher and Leader Pathways programs. Grantees would report on the placement, retention, and effectiveness of program participants and on the results of new teacher and employer surveys consistent with the Department's proposed regulations to strengthen teacher preparation. Grantees would also report on efficiency measures about program costs.



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### Transition to teaching

(Elementary and Secondary Education Act of 1965, Title II, Part C, Subpart 1, Chapter B)

(dollars in thousands)

FY 2016 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
\$13,700	0	-\$13,700

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<sup>1</sup>The GEPA extension expired September 30, 2008. The program is proposed for consolidation in FY 2016 under new legislation.

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### PROGRAM DESCRIPTION

The Transition to Teaching program helps high-need schools and local educational agencies (LEAs) recruit and employ qualified licensed or certified teachers by encouraging the development and expansion of alternative routes to certification. The program provides 3- to 5-year grants to recruit, train, certify, and place talented individuals into teaching positions and to support them during their first years in the classroom. In particular, the program focuses on encouraging two groups of nontraditional teaching candidates to become classroom teachers: (1) mid-career professionals with substantial career experience, including highly qualified paraprofessionals, and (2) recent college graduates.

Under the program, the Department makes competitive grants to State educational agencies (SEAs), high-need LEAs, for-profit or nonprofit organizations (in partnership with SEAs or high-need LEAs) that have a proven record of effectively recruiting and retaining highly qualified teachers, institutions of higher education (IHEs) (in partnership with SEAs or high-need LEAs), regional consortia of SEAs, or consortia of high-need LEAs. Grantees must develop and implement comprehensive approaches to training, placing, and supporting teacher candidates they have recruited, including ensuring that candidates meet relevant State certification or licensing requirements.

Grantees are expected to ensure that program participants are placed in high-need schools in high-need LEAs and must give priority to schools that are located in areas with the highest percentages of students from families with incomes below the poverty line. A "high-need school" is defined as a school in which at least 30 percent of the students are from low-income families or that is located in an area with a high percentage of out-of-field teachers, is within the top 25 percent of schools statewide with unfilled teacher positions, is located in an area with a high teacher turnover rate, or is located in an area with a high percentage of teachers who are not licensed or certified. A "high-need LEA" is defined as an LEA for which at least 20 percent or 10,000 of the children served are from families with incomes below the poverty line and that has a high percentage of teachers teaching out-of-field or with emergency credentials.

## INNOVATION AND IMPROVEMENT

### Transition to teaching

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Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011.....	\$41,125
2012.....	26,054
2013.....	24,691
2014.....	13,762
2015.....	13,700

### FY 2016 BUDGET REQUEST

The Administration's fiscal year 2016 budget request includes no funding for Transition to Teaching, which would be consolidated into the Teacher and Principal Pathways authority proposed elsewhere in this account. This proposed consolidation is consistent with a longstanding principle of the Administration's budget and legislative policy, which is to consolidate small, narrowly targeted, categorical programs into broader, more flexible authorities that better meet locally determined needs. Promoting a variety of high-quality pathways is an essential mechanism for preparing new teachers and principals to serve high-need schools and addressing inequities in access to effective and highly effective educators. The new Teacher Pathways program would fund competitive grants to teacher preparation programs operated by IHEs and nonprofit organizations to support the creation or expansion of high-quality pathways into the teaching profession, including alternative routes to certification. These pathways would emphasize partnerships with LEAs and increasing the number of effective and highly effective teachers serving in high-need schools and teaching in high-need fields and subjects.

The Administration's budget request acknowledges that teachers and principals are working hard to implement rigorous new college- and career-ready standards and that States and LEAs are implementing reforms in order to elevate the overall quality of instruction to improve student achievement. The request includes a set of initiatives to help States, LEAs, IHEs, and other partners to address each phase of a teacher's preparation and career in order to improve student achievement and ensure access to a high-quality education for all students, and, therefore, builds on the Transition to Teaching program's record of support for teachers early in their careers. The request for Improving Teacher Quality State Grants would provide formula grants for ongoing State and local efforts to strengthen the recruitment, preparation, evaluation, support, and retention of teachers and school leaders. In addition, under an expanded Supporting Effective Educator Development (SEED) program, the Department would make new competitive grants to national nonprofit organizations to support teacher and school leader enhancement projects with evidence of effectiveness and conduct related national leadership activities. Building on lessons learned from the Teacher Incentive Fund, the Department would also make competitive Excellent Educators Grants to States and LEAs to support evidence-based initiatives to strengthen State and local systems for recruiting, developing, and retaining effective teachers and principals in high-need districts and schools. Finally, the Administration's Teaching for Tomorrow proposal would fund competitive grants to assist States in dramatically improving teacher recruitment, selection, and early career supports, and support States and districts in increasing the retention of excellent teachers and implementing innovative, evidence-

## INNOVATION AND IMPROVEMENT

### Transition to teaching

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based models for induction, mentoring, evaluation, and support to improve teacher performance and increase access to effective teachers for all students.

#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Funding for continuation awards	\$13,693	\$13,632	0
Number of continuation awards	30	30	0
Average continuation award	\$456	\$454	0
Evaluation	\$69	\$68 <sup>1</sup>	0
Number of participants	2,696	2,100	0

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<sup>1</sup> The fiscal year 2015 appropriations act authorized the Department to pool evaluation funds reserved under section 9601 of the ESEA and use those pooled funds to evaluate any ESEA program. Some or all of the funds that may be reserved from the Transition to Teaching program under section 9601 may be used under the ESEA pooled evaluation authority in fiscal year 2015.

#### 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 FY 2016 and future years, and the resources and efforts invested by those served by this program.

The Transition to Teaching authorization requires that each grantee submit an interim evaluation report at the end of the third year of the 5-year grant period and a final evaluation report at the end of the grant. This evaluation must describe the extent to which the grantee met program goals relating to teacher recruitment and retention.

The Department established the following goal and performance indicators to assess the impact of the Transition to Teaching program:

**Goal: To increase the number of mid-career professionals, qualified paraprofessionals, and recent college graduates who become highly qualified teachers in high-need schools in high-need LEAs and teach for at least 3 years.**

**Objective:** *Recruit, prepare, and retain highly qualified teachers in high-need schools in high-need LEAs.*

## INNOVATION AND IMPROVEMENT

### Transition to teaching

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**Measure:** The percentage of Transition to Teaching participants who become teachers of record in high-need schools in high-need LEAs.

Year	2006 Cohort Target	2006 Cohort Actual	2007 Cohort Target	2007 Cohort Actual
2011	85%	75%	83%	72%
2012			85	79
2013				
2014				
2015				
2016				

Year	2009 Cohort Target	2009 Cohort Actual	2011 Cohort Target	2011 Cohort Actual
2011	58%	70%		
2012	59	81	55%	74%
2013	60	82	56	82
2014				
2015				
2016				

**Additional information:** Because the Department does not expect participants to become “teachers of record” in the first year of the program, baseline data are not provided for the first year of each cohort. The Department set targets for each cohort of grantees based on the performance of previous cohorts.

**Measure:** The percentage of Transition to Teaching participants receiving certification or licensure within 3 years.

Year	2006 Cohort Target	2006 Cohort Actual	2007 Cohort Target	2007 Cohort Actual
2011	50%	54%	48%	44%
2012			50	77
2013				
2014				
2015				
2016				

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### Transition to teaching

Year	2009 Cohort Target	2009 Cohort Actual	2011 Cohort Target	2011 Cohort Actual
2011	18%	30%		
2012	19	79	25%	54%
2013	20	57	26	45
2014				
2015				
2016				

**Measure:** The percentage of Transition to Teaching teachers of record who teach in high-need schools in high-need LEAs for 3 years.

Year	2006 Cohort Target	2006 Cohort Actual	2007 Cohort Target	2007 Cohort Actual
2011	43%	53%	30%	35%
2012			67	82
2013				
2014				
2015				
2016				

Year	2009 Cohort Target	2009 Cohort Actual	2011 Cohort Target	2011 Cohort Actual
2011				
2012	45%	47%	45%	47%
2013	46	65	46	59
2014				
2015				
2016				

**Additional information:** This measure is the number of teachers of record who are still teaching after 3 years divided by the total number who began teaching 3 years earlier. Since it usually takes at least a year for a participant to find a teaching position, the baseline year for each cohort is 4 years after the start of the grant.

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### Transition to teaching

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#### Efficiency Measures

**Measure:** The cost per participant who teaches in a high-need school in a high-need LEA for 3 years.

Year	2006 Cohort Target	2006 Cohort Actual	2007 Cohort Target	2007 Cohort Actual	2009 Cohort Target	2009 Cohort Actual
2011	\$18,317	\$19,657	\$55,537	\$41,394		
2012	18,317		50,537	25,603		\$22,988
2013						
2014						
2015						
2016						

**Measure:** The cost per participant receiving certification or licensure.

Year	2006 Cohort Target	2006 Cohort Actual	2007 Cohort Target	2007 Cohort Actual
2011	\$18,505	\$10,508	\$32,392	\$14,320
2012	18,505		32,392	15,684
2013			32,392	16,282
2014				
2015				
2016				

Year	2009 Cohort Target	2009 Cohort Actual	2011 Cohort Target	2011 Cohort Actual
2011	\$15,602	\$17,003		
2012	10,602	13,210	\$15,240	\$18,240
2013	9,362	10,209	13,220	15,320
2014				
2015				
2016				

**Additional information:** The numerator for these measures is the cumulative amount of money expended for each cohort. The Department established targets based on performance by prior grantee cohorts. The results of these measures have fluctuated in part because the number of participants in each cohort increased and then fell over the course of individual grant projects. In 2012, for example, 3,241 participants in the 2007 cohort, 1,142 participants in the 2009 cohort, and 595 participants in the 2011 cohort received certification or licensure. That year, 835 participants in the 2007 cohort and 327 participants in the 2009 cohort had taught in a high-need school in a high-need LEA for three years.

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### Transition to teaching

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#### Other Performance Information

Transition to Teaching grantees are required to conduct an interim evaluation at the end of their third year and a final evaluation at the end of their grant period, focused on teacher recruitment and retention.

In 2006, the Department released “Transition to Teaching Program Evaluation: An Interim Report on the fiscal year 2002 Grantees.” Using data collected from November 2004 to February 2006, the report examined the types of activities grantees implemented, the content and outcomes of the activities, and the characteristics and qualifications of participants in the program. The report noted that 74 percent of participants who entered the Transition to Teaching project in 2002 were reported still to be teaching in 2004. In addition, the report found that 20 percent of program participants stated that they would likely not be teaching if they had not been involved in a Transition to Teaching project.

The final report on the 2002 grantee cohort was published in 2013. The report found that of the more than 25,000 individuals recruited to participate in the program, over 19,000 (76 percent) became teachers of record in a high-need school in a high-need LEA, and over 13,000 received State certification. The report noted that many grantees worked closely with school district personnel (through both formal and informal partnerships) to find and place participants, including in positions as special education teachers, bilingual teachers, and teachers in rural school districts. Grantees reported having the most success recruiting mid-career professionals who were interested in beginning a second career as a teacher; a number of grantees also reported working with the Department of Defense’s Troops-to-Teachers program to recruit military personnel. Three grantees also reported that over 500 of their participants earned State certification; these projects attributed their “tremendous success” to strategies such as using an online system to track individuals’ progress towards certification, hiring dedicated staff focused on helping participants earn certification, and providing intensive test preparation. Finally, the report highlighted grantees’ strategies for supporting and retaining participants once they were placed as teachers in high-need schools in high-need districts, including by mentoring, providing workshops and professional development, and establishing support teams. The report found that nearly 80 percent of the participants who began teaching in school year 2006–07 remained in a high-need school in a high-need LEA 3 years later. Grantees reported that participants who left teaching within 3 years did so because of cuts to teaching positions, unsatisfactory evaluations, low salaries, negative student teaching experiences, and dissatisfaction with school culture and leadership. Grantees also reported substantial difficulty in placing and retaining program participants in small, rural, and remote high-need LEAs due to geographic barriers, in addition to generally low teacher salaries and a limited number of positions in those districts.

The Department published an interim report on the fiscal year 2004 grantee cohort in 2009, describing the extent to which those grantees met goals related to teacher recruitment, certification, and retention as described in their application. The report found that when grantees worked closely with their partnering LEAs, they generally identified and selected candidates who better matched the needs of the schools in which they could be placed (than was the case when there was not a close working relationship). In addition, the report noted that projects prepared participants for teaching with courses on a variety of topics, most commonly classroom management and instructional strategies. About half of the grantees

## INNOVATION AND IMPROVEMENT

### Transition to teaching

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reported offering courses online, and more planned to use this method and other distance learning strategies in the future to deliver information to participants. The number of certified teachers across projects varied greatly, due, in part, to differences in State certification requirements and the fact that many projects devoted significant resources to recruiting and preparing teachers in the first 3 years of implementation. Several grantees commented that providing specific test-taking assistance, such as courses tailored to the exam, test preparation workshops, and even staffing a “certification specialist,” helped teachers complete the certification process in a timely manner. Finally, the report also looked at the support grantees provided to new teachers, primarily in the form of mentoring and professional development workshops and seminars, to help them adjust to the challenges of the classroom. The data suggest that a relationship exists between this type of support and high retention rates. However, grantees provided little information about why those who were not retained had left their school or project prior to the 3-year benchmark.

The Department expects to release the final report on the 2004 grantee cohort, an interim report on the 2006 and 2007 grantee cohorts, and an interim report on the 2009 grantee cohort, in spring 2015.



## INNOVATION AND IMPROVEMENT

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### School leadership

(Elementary and Secondary Education Act of 1965, Title II, Part A, Subpart 5, Section 2151(b))

(dollars in thousands)

FY 2016 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
\$16,368	0	-\$16,368

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<sup>1</sup> The GEPA extension expired September 30, 2008. The program is proposed for consolidation in FY 2016 under new legislation.

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### PROGRAM DESCRIPTION

The School Leadership program provides competitive grants to assist high-need local educational agencies (LEAs) in recruiting, training, and retaining principals and assistant principals. A high-need LEA is defined as one that: (1) serves at least 10,000 children from low-income families or serves a community in which at least 20 percent of the children are from low-income families, and (2) has a high percentage of teachers teaching either outside of their area of certification or with emergency, provisional, or temporary certification.

Entities eligible for grants include high-need LEAs, nonprofit organizations, and institutions of higher education (IHEs). Grantees may use their funds to recruit and retain individuals to serve as principals in high-need LEAs by: (1) providing financial incentives to aspiring new principals, (2) providing stipends to principals who mentor new principals, (3) carrying out professional development programs in instructional leadership and management, and (4) providing incentives that are appropriate for teachers or individuals from other fields who want to become principals and that are effective in retaining new principals.

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011 .....	\$29,162
2012 .....	29,107
2013 .....	27,584
2014 .....	25,763
2015 .....	16,368

## INNOVATION AND IMPROVEMENT

### School leadership

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#### FY 2016 BUDGET REQUEST

The Administration's fiscal year 2016 budget request includes no funding for the School Leadership program, which would be consolidated into the Teacher and Principals Pathways authority proposed elsewhere in this account. This proposed consolidation is consistent with a longstanding principle of the Administration's budget and legislative policy, which is to consolidate small, narrowly targeted, categorical programs into broader, more flexible authorities that better meet locally determined needs. Promoting a variety of high-quality pathways is an essential mechanism for preparing new teachers and principals to serve high-need schools and addressing inequities in access to effective and highly effective educators. The new Principal Pathways program would support the recruitment, competitive selection, preparation, and placement of new principals, especially those who are able to lead the improvement of high-need schools that are chronically low-performing. The proposed program would also support evaluation to build evidence of effectiveness.

The Administration's budget request acknowledges that teachers and principals are working hard to implement rigorous new college- and career-ready standards, and that States and LEAs are implementing reforms in order to elevate the overall quality of instruction to improve student achievement. The request includes a set of initiatives to help States, LEAs, IHEs, and other partners address each phase of a school leader's preparation and career in order to improve student achievement and ensure access to a high-quality education for all students, and, therefore, builds on the School Leadership program's record of support for principals early in their careers. The request for Improving Teacher Quality State Grants would provide formula grants for ongoing State and local efforts to strengthen the recruitment, preparation, evaluation, support, and retention of teachers and school leaders. In addition, under an expanded Supporting Effective Educator Development (SEED) program, the Department would make new competitive grants to national nonprofit organizations to support teacher and school leader enhancement projects with evidence of effectiveness and conduct related national leadership activities. Building on lessons learned from the Teacher Incentive Fund, the Department would also make competitive Excellent Educators Grants to States and LEAs to support evidence-based initiatives to strengthen State and local systems for recruiting, developing, and retaining effective teachers and principals in high-need districts and schools. Finally, the Administration's Teaching for Tomorrow (TFT) proposal would fund competitive grants to assist States in dramatically improving teacher recruitment, selection, and early career supports, and support States and districts in increasing the retention of excellent teachers and implementing innovative, evidence-based models for induction, mentoring, evaluation, and support to improve teacher performance and increase access to effective teachers for all students. The TFT program would also support improvements in the quality of school leadership through the use of comprehensive and aligned evaluation, support, compensation, and retention strategies, and increases in principal autonomy to hire and dismiss teachers.

Under the Administration's request, School Leadership continuation grant costs in fiscal year 2016 would be funded from the appropriation for the new Teacher and Principal Pathways programs.

## INNOVATION AND IMPROVEMENT

### School leadership

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#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Funding for continuation awards	\$25,705	\$16,286	0
Number of continuation awards	34	20	0
Average continuation award	\$756	\$814	0
Evaluation	\$58 <sup>1</sup>	\$82 <sup>2</sup>	0

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<sup>1</sup> The fiscal year 2014 appropriations act authorized the Department to pool evaluation funds reserved under section 9601 of the ESEA and use those pooled funds to evaluate any ESEA program. In 2014, the Department combined funds totaling \$4.8 million from a number of ESEA programs, including \$58 thousand from the School Leadership program, in order to support new, high-priority evaluations.

<sup>2</sup> The fiscal year 2015 appropriations act authorized the Department to pool evaluation funds reserved under section 9601 of the ESEA and use those pooled funds to evaluate any ESEA program. Some or all of the funds that may be reserved from the School Leadership program under section 9601 may be used under the ESEA pooled evaluation authority in fiscal year 2015.

#### 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 FY 2016 and future years, and the resources and efforts invested by those served by this program.

The Department has established the following goal with two objectives and corresponding performance indicators to measure the impact of the School Leadership program:

**Goal: To increase the number of new, certified principals and assistant principals and to improve the skills of current practicing principals and assistant principals, all serving in high-need schools in high-need LEAs.**

**Objective:** *To recruit, prepare, and support teachers and individuals from other fields to become principals, including assistant principals, in high-need schools in high-need LEAs.*

## INNOVATION AND IMPROVEMENT

### School leadership

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**Measure:** The percentage of participants who meet certification requirements to become a principal or assistant principal.

Year	2008 Cohort Target	2008 Cohort Actual	2009 Cohort Target	2009 Cohort Actual	2010 Cohort Target	2010 Cohort Actual
2011	50%	69%	40%	32%	30%	57%
2012	60	69	50	35	40	58
2013	70	80	60	34	50	68
2014					60	
2015						
2016						

**Measure:** The percentage of participants who are certified and hired as a principal or assistant principal in a high-need local educational agency.

Year	2008 Cohort Target	2008 Cohort Actual	2009 Cohort Target	2009 Cohort Actual	2010 Cohort Target	2010 Cohort Actual
2011	70%	31%	60%	45%	50%	69%
2012	80	38	70	45	60	71
2013		41	80	46	70	65
2014					80	
2015						
2016						

**Measure:** The percentage of participants certified through the funded project who are hired as a principal or assistant principal in a high-need LEA and who remain in that position for at least 2 years.

Year	2008 Cohort Target	2008 Cohort Actual	2009 Cohort Target	2009 Cohort Actual	2010 Cohort Target	2010 Cohort Actual
2011						
2012		29%		98%		24%
2013		40		100		23
2014						
2015						
2016						

**Additional information:** These measures track participants who are enrolled in projects designed to train and certify new principals and assistant principals. Grantees report data through annual performance reports. Participants generally take 18 to 24 months to attain certification, although this varies by grantee. Retention results are based on the number of individuals that were certified through the program and remained in the same position two years later. The Department will use baseline progress results to set targets for future years.

## INNOVATION AND IMPROVEMENT

### School leadership

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**Objective:** *To train and support principals and assistant principals from schools in high-need LEAs in order to improve their skills and increase retention.*

**Measure:** The percentage of principals and assistant principals from schools in high-need local educational agencies who participated in School Leadership-funded professional development activities and showed an increase in their pre-post scores on a standardized measure of principal skills.

Year	2008 Cohort Target	2008 Cohort Actual	2009 Cohort Target	2009 Cohort Actual	2010 Cohort Target	2010 Cohort Actual
2011	70%	25%	60%	39%	50%	30%
2012	80	55	70	60	60	51
2013		49	80	65	70	53
2014					80	
2015						
2016						

**Measure:** The percentage of principals and assistant principals from schools in high-need LEAs who participated in School Leadership-funded professional development activities and remained in their administrative position for at least 2 years.

Year	2008 Cohort Target	2008 Cohort Actual	2009 Cohort Target	2009 Cohort Actual	2010 Cohort Target	2010 Cohort Actual
2011						
2012		29%		37%		100%
2013		50		34		100
2014						
2015						
2016						

**Additional information:** These measures track participants who are enrolled in projects designed to support individuals currently serving as principals and assistant principals in high-need LEAs. Grantees report data through annual performance reports. The Department will use baseline progress results to set targets for future years.

### New Measures

The Department established two new measures as part of the 2013 grant competition: (1) the percentage of principals and assistant principals who complete the SLP-funded professional development program and whose schools demonstrate positive change, no change, or negative change based on pre- and post-school site measures, of which one measure must include, if available, student growth (e.g., at least one grade level in an academic year); and (2) the percentage of program graduates who are rated “effective” or “highly effective” as measured by

## INNOVATION AND IMPROVEMENT

### **School leadership**

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a U.S. Department of Education program approved principal evaluation system, if available. The Department will use baseline progress results to set targets for future years.

## INNOVATION AND IMPROVEMENT

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### Charter schools grants

(Elementary and Secondary Education Act of 1965, Title V, Part B)

(dollars in thousands)

FY 2016 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
\$253,172	\$375,000	+\$121,828

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<sup>1</sup> The GEPA extension expired September 30, 2008; reauthorizing legislation is sought for FY 2016.

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## PROGRAM DESCRIPTION

Charter School Grants supports the planning, design, initial implementation, and expansion of successful charter schools, which increase educational options for parents and students and, in exchange for stricter accountability, are exempt from many State and local requirements governing regular public schools. Funds also support information dissemination activities and activities to improve charter schools' access to facilities.

### **Grants for Planning, Design, and Initial Implementation and for Dissemination**

Under subpart 1 of the program's authorizing statute, State educational agencies (SEAs) in States in which State law permits charter schools to operate are eligible to compete for grants (SEA grants). SEAs receiving grants make subgrants to charter school developers, which may include individuals and public and private nonprofit entities. If an eligible SEA does not receive a grant, charter school developers in the State may apply directly to the Department for funding (Non-SEA Eligible Applicant grants). Developers receive up to 3 years of assistance, of which they may use not more than 18 months for planning and program design and not more than 2 years for the initial implementation of a charter school. SEAs may reserve up to 10 percent of their grants to make subgrants to successful charter schools for information dissemination activities; such schools in eligible States not receiving a grant may also apply directly to the Department for grants for dissemination.

In awarding SEA grants, the Department must give priority under statute to States that provide for review and evaluation of charter schools by their chartering agencies at least once every 5 years to determine whether the schools are meeting their charter terms and their requirements and goals for student academic achievement. The Department must also give priority to States that do one or more of the following: (1) demonstrate progress in increasing the number of charter schools that are held accountable for results; (2) have chartering agencies that are not local educational agencies (LEAs) or, if only LEAs are chartering agencies, have an appeals process for prospective charter schools that initially fail to gain approval; and (3) provide charter schools a high degree of autonomy over their budgets and expenditures.

## INNOVATION AND IMPROVEMENT

### Charter schools grants

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In November 2014, the Department published for public comment a notice of proposed priorities, requirements, definitions, and selection criteria for SEA grants designed to strengthen the selection process and ensure that grant funds support the creation of high-quality charter schools. Proposed changes include a priority for SEAs in States whose chartering agencies employ key approval and oversight practices and selection criteria under which reviewers consider the quality of the State's plan to ensure that chartering agencies approve evidence-based charter school models as well as the past performance of the State's charter schools. The notice also includes a strengthened selection criterion calling on SEAs to provide more carefully developed plans to support educationally disadvantaged students in charter schools, including students with disabilities and English learners. The Department expects to publish a notice of final priorities, requirements, definitions, and selection criteria in spring 2015.

#### **Grants for Replication and Expansion of Successful Charter Schools**

Beginning in fiscal year 2010, appropriations acts have authorized or required the Department to reserve specific amounts of program funds for grants to charter management organizations and other nonprofit entities for the replication and expansion of successful charter school models (Charter Management Organization, or CMO, grants). Under Department rules, applicants for these grants must demonstrate that they currently operate or manage more than one high-quality charter school, defined as a school that shows evidence of strong academic results for the past three years (or over the life of the school if open for fewer than three years) based on increases in academic achievement and attainment for all students, closing or eliminating achievement gaps for student subgroups, and results for educationally disadvantaged students on other performance measures, such as college attendance or persistence rates, that are above the average results for such students in the State. The fiscal year 2015 appropriations act authorizes the Department to use up to \$75 million for these grants, which provide up to 5 years of assistance.

#### **Facilities Grants**

Under the authorizing statute, the Department must use the amount appropriated above \$200 million but not exceeding \$300 million and 50 percent of any funds exceeding \$300 million to make competitive 5-year State Facilities Incentive grants, which support per-pupil aid programs that assist charter schools with facility costs. States pay an increasing share of the cost of their per-pupil aid programs over the course of their grants. Program funds are also used for Credit Enhancement for Charter School Facilities grants, which are authorized under subpart 2 of the statute and which the Department awards competitively on an annual basis to public and private nonprofit entities (such as finance authorities and community development financial institutions) to assist charter schools in acquiring, constructing, and renovating facilities by enhancing the availability of loans or bond financing.

Appropriations language since fiscal year 2008 has revised the program's allocation rules to authorize or require the Department to use specific amounts for State Facilities Incentive and Credit Enhancement for Charter Schools Facilities grants (the latter of which received a separate appropriation prior to fiscal year 2008). For fiscal year 2015, the appropriations act requires the Department to use up to \$11 million for State Facilities Incentive grants and not less than \$13 million for Credit Enhancement for Charter School Facilities grants.



## INNOVATION AND IMPROVEMENT

### Charter schools grants

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#### National Activities

The authorizing statute also permits the Department to use up to \$8 million of the appropriation for national activities. Recent years' appropriations acts have overridden this cap and allowed or required the use of a higher amount for this purpose, including for technical assistance to chartering agencies to increase the number of high-performing charter schools. The fiscal year 2015 appropriations act requires the Department to use not less than \$11 million for these activities.

Funding levels for the program for the past 5 fiscal years were:

	(dollars in thousands)
2011 .....	\$255,519
2012 .....	254,836 <sup>1</sup>
2013 .....	241,507
2014 .....	248,172
2015 .....	253,172

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<sup>1</sup> Reflects a reprogramming in fiscal year 2012 of \$200 thousand from Charter Schools Grants to Advanced Placement.

### FY 2016 BUDGET REQUEST

The Administration requests \$375 million for Charter Schools Grants for fiscal year 2016, an increase of \$121.8 million over the fiscal year 2015 level. The request reflects the Administration's strong commitment to build on this program's demonstrated success in supporting models of school reform that are effective in improving student outcomes.

At the request level, funds would be allocated as follows:

- Not less than \$100 million for Charter Management Organization grants, consistent with the Administration's goal of increasing the number of high-quality charter schools.
- Up to \$10 million for State Facilities Incentive grants to continue awards initially made in fiscal year 2014.
- Not less than \$13 million for Credit Enhancement for Charter School Facilities grants, the same authority as in fiscal year 2015.
- Not less than \$11 million for national activities, the same authority as in fiscal year 2015.

The Administration's request would also provide increased funding for SEA and Non-SEA Eligible Applicant grants and includes key programmatic changes to leverage the funding increase to further boost the supply of high-quality public educational options available to students, especially students attending low-performing schools. Specifically, the request includes authority through appropriations language for SEAs to use a portion of grant funds to

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### Charter schools grants

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make CMO subgrants for the replication and expansion of successful schools (in addition to currently allowable subgrants for planning, design, and implementation), consistent with changes included in both the Administration's reauthorization proposal for Charter Schools Grants and in reauthorization bills recently passed by the House of Representatives. In addition, the Department would prioritize support for successful charter schools that can serve as enrollment options for students attending high schools with persistently low graduation rates in one or more of the SEA, Non-SEA Eligible Applicant, and CMO competitions.

The Department's request also continues the policy initiated in fiscal year 2014 appropriations of allowing grantees to use funds to support preschool education.

#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
<b>SEA grants</b>			
Amount for new awards	0	\$114,241	\$88,879
Amount for continuation awards	\$139,167	25,505	118,826
<b>Non-SEA Eligible Applicant grants</b>			
Amount for new awards	3,589	0	6,000
Amount for continuation awards	3,907	4,926	1,795
<b>Charter Management Organization grants</b>			
Amount for new awards	36,129	59,582	26,479
Amount for continuation awards	36,446	15,418	98,521
<b>State Facilities Incentive grants</b>			
Amount for new awards	11,000	0	0
Amount for continuation awards	0	9,000	10,000
<b>Credit Enhancement for Charter Facilities grants</b>			
Amount for new awards	11,930	13,000	13,000
<b>Peer review of new award applications</b>			
	376	500	500
<b>National activities</b>			
	5,254	9,734	9,125

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<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Pooled evaluation authority	374 <sup>1</sup>	1,266 <sup>2</sup>	1,875 <sup>2</sup>

<sup>1</sup> The fiscal year 2014 appropriations act authorized the Department to pool evaluation funds reserved under section 9601 of the ESEA and use those pooled funds to evaluate any ESEA program. In 2014, the Department combined funds totaling \$4.8 million from a number of ESEA programs, including \$374 thousand from Charter Schools Grants, in order to support new, high-priority evaluations.

<sup>2</sup> The fiscal year 2015 appropriations act authorized the Department to pool evaluation funds reserved under section 9601 of the ESEA and use those pooled funds to evaluate any ESEA program. The Administration's fiscal year 2016 budget would continue this authority. Some or all of the funds that may be reserved from Charter Schools Grants program under section 9601 may be used under the ESEA pooled evaluation authority in fiscal years 2015 and 2016.

## 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 FY 2016 and future years, as well as the resources and efforts invested by those served by this program.

**Goal:** To support the creation of a large number of high-quality charter schools.

**Objective:** *To encourage the development of a large number of high-quality charter schools that are free from State or local rules that inhibit flexible operation, are held accountable for enabling students to reach challenging State performance standards, and are open to all students.*

**Measure:** The number of States that have charter school legislation (including the District of Columbia and Puerto Rico).

Year	Target	Actual
2011	44	42
2012	44	43
2013	44	43
2014	44	43
2015	44	
2016	44	

**Additional information:** In 2011 and in 2012, after more than 8 years with no change in the number of States with charter school legislation, this number increased when first Maine (in

## INNOVATION AND IMPROVEMENT

### Charter schools grants

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2011) and then Washington (in 2012) approved such legislation. The remaining States without charter school laws are mainly rural States (e.g., South Dakota, Vermont, West Virginia).

**Measure:** The number of charter schools in operation around the Nation.

Year	Target	Actual
2011	5,660	5,339
2012	6,130	5,741
2013	6,600	6,081
2014	7,070	
2015	7,540	
2016	8,010	

**Additional information:** Data on the number of charter schools in operation are provided annually by SEAs and are verified by the Department. The 2014 data for this measure are expected to be available in December 2015.

**Measure:** The percentage of fourth-grade charter school students who are achieving at or above proficient on State assessments in reading.

Year	Target	Actual
2011	84.6%	70.9%
2012	89.7	68.6
2013	94.8	64.2
2014	100.0	

**Measure:** The percentage of fourth-grade students in charter schools who are achieving at or above proficient on State assessments in mathematics.

Year	Target	Actual
2011	83.5%	71.2%
2012	89.0	65.1
2013	94.5	61.4
2014	100.0	

**Measure:** The percentage of eighth-grade charter school students who are achieving at or above proficient on State assessments in reading.

Year	Target	Actual
2011	84.8%	71.2%
2012	89.9	68.7
2013	94.9	66.6
2014	100.0	

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**Measure:** The percentage of eighth-grade students in charter schools who are achieving at or above proficient on State assessments in mathematics.

Year	Target	Actual
2011	79.1%	60.2%
2012	86.1	56.5
2013	93.1	53.7
2014	100.0	

**Additional information:** Performance targets for these measures are based on the ESEA goal of 100 percent student proficiency in reading and mathematics by 2014; the Department will establish targets for these measures for 2015 and future years at a later date. Data for these measures are collected through grantee annual performance reports. Analysis of the data has found notable variation in performance among funded schools. The 2014 data for these measures are expected to be available in December 2015.

### Efficiency Measures

**Measure:** The ratio of funds leveraged by States for charter facilities to funds awarded by the Department under the State Charter School Facilities Incentive Grant Program.

Year	2009 Cohort Target	2009 Cohort Actual
2011	2.9	2.4
2012	4.2	3.1
2013	5.8	3.4
2014	6.3	6.5

**Additional information:** This efficiency measure assesses the State Facilities Incentive grants by examining the ratio of funds leveraged by grantees to funds awarded by the Department. The leveraging ratio is the total funds available (the Federal grant and the State match) divided by the Federal grant for a given year. The Department will establish targets for this measure for the 2014 cohort (for 2015 and future years) at a later date.

The Department has also developed a measure to assess the cost efficiency, across States, of the Federal investment in supporting charter school start-ups. The measure is defined as the Federal cost per student of launching a successful school (defined as a school in operation for 3 or more years). Data for 2011 show an average cost of \$920 per student, for 2012 an average cost of \$1,010, and for 2013 an average cost of \$1,056. Data for this measure, collected through grantee annual performance reports, assist the Department in determining what constitutes a reasonable cost per student for different types of charter schools.

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#### Other Performance Information

##### 2010 Department Evaluation

In 2010, the Department released findings from its first rigorous impact evaluation of charter schools, which addressed the effects of charter school strategies on student achievement and satisfaction and on parent satisfaction. Researchers also examined school factors that affect student outcomes (e.g., school or class size, proportion of certified teachers) and the extent to which policy conditions and autonomy in school operation influence effectiveness. Approximately 36 charter middle schools across 15 States participated in this random assignment study. The researchers followed two treatment groups of students and a control group for two consecutive grade levels and also surveyed students, parents, and principals.

The evaluation showed that the impact of charter middle schools on student achievement varied across participating schools, with schools that served more low-income or low-achieving students showing statistically significant positive effects in mathematics and no significant effects in reading, and with schools that served more advantaged students showing significant negative effects in both subjects. The evaluation also examined whether achievement impacts were associated with certain school characteristics and found some positive impacts for charter schools with comparatively longer hours of operation or with comparatively higher revenue per student, but these findings were not statistically significant once the researchers controlled for school and student characteristics. Lastly, the evaluation found no significant relationship between charter school policies and student achievement.

##### 2013 CREDO Evaluations

The “National Charter School Study 2013,” a study by researchers at Stanford University’s Center for Research on Education Outcomes (CREDO) that updates and expands CREDO’s 2009 study “Multiple Choice: Charter School Performance in 16 States,” examined longitudinal student-level data from a sample of 3,620 charter schools across 25 States, the District of Columbia, and New York City (NYC) (treated separately from the rest of the State) to determine whether students who attend charter schools performed better academically than if they had attended a regular public school. The researchers found that 29 percent of charter schools in the sample demonstrated significantly higher growth in mathematics achievement and 25 percent demonstrated significantly higher growth in reading compared to regular public schools in the sample while 31 percent of charter schools in the sample posted mathematics gains and 19 percent posted reading gains that were significantly below what those students would have seen if enrolled in a regular public school. Overall, the students in these charter schools have shown improvement over the results from 2009 and slow and steady progress over the past 5 years. Among the group of 16 States from the original study in 2009, the rise in performance was attributed in part to the closure of poorly performing charter schools and by declining performance in regular public schools over the same period of time.

The CREDO analysis also showed that, in general, charter schools have had different effects on students of different family backgrounds. For students from low-income families, African-American students, or English Learners, charter schools had a larger positive effect academically compared to regular public schools. The researchers also found that students

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perform better in charter schools over time, with charter school students on average experiencing smaller learning gains than their peers in regular public schools in their first year but significant improvement in learning gains in the second year and beyond.

In January 2013, CREDO also released findings from “Charter School Growth and Replication,” which examines, in charter schools across 25 States, changes in school performance in the years following a school’s opening and the implications of these changes for school replication. The study found, among other things, that schools with initial high performance with respect to student achievement tended to stay high performers over time, while the performance of initially low-performing schools remained low. The study also found that schools opened by a CMO typically performed at a level similar to the average of the other schools operated by the CMO, and that CMO schools on average produced stronger results for minority students and students from low-income families than did independently operated charter schools.

### Other Studies

Other recent studies have used a more rigorous experimental research design to compare the performance of students who were admitted by lottery into oversubscribed charter schools and those who were not admitted and instead attended regular public schools. For example, Hoxby, Murarka, and Kang, in a 2009 report for the NYC Charter Schools Evaluation Project (“How New York City’s Charter Schools Affect Achievement”), found a positive achievement effect for students attending the city’s charter schools. By the third grade, the average NYC charter school student scored 5.3 scale-score points above his or her peers in regular public schools in English language arts and 5.8 scale-score points above in mathematics. In grades four through eight, the average charter school student gained 3.6 more scale-score points in English language arts and 5.0 more scale-score points in mathematics than did peers in regular public schools each year. Hoxby and colleagues noted that, on average, students who attended a charter school for grades kindergarten through eight scored about 23 scale-score points higher in English language arts and 30 scale-score points higher in mathematics compared to their peers in regular public schools, closing about 66 and 86 percent of the achievement gap in those subject areas, respectively. The evaluation also found that students applying to NYC charter schools were more likely to be African-American (63 percent versus 34 percent) and eligible for free or reduced-price lunch (92 percent versus 72 percent) than students in the regular public schools in the district. The researchers also examined charter school policies in relation to achievement and found that effects on achievement were associated with the length of the school year, the number of minutes devoted to English language arts during the school day, whether teacher compensation was based on performance, and whether a school’s mission statement emphasized academic performance

## INNOVATION AND IMPROVEMENT

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### **Magnet schools assistance**

(Elementary and Secondary Education Act of 1965, Title V, Part C)

(dollars in thousands)

FY 2016 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
\$91,647	\$91,647	0

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<sup>1</sup> The GEPA extension expired September 30, 2008; reauthorizing legislation is sought for FY 2016.

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### PROGRAM DESCRIPTION

Magnet Schools Assistance program provides grants to eligible local educational agencies to establish and operate magnet schools that are part of a court-ordered, agency-ordered, or federally approved voluntary desegregation plan. Magnet school programs aim to eliminate, reduce, or prevent minority-group isolation in elementary and secondary schools while strengthening students' knowledge of academic subjects and their grasp of marketable career and technical skills. The special curriculum of a magnet school can attract substantial numbers of students from different socioeconomic, racial, and ethnic backgrounds and provide greater opportunities for desegregation efforts to succeed.

Grantees receive awards for up to 3 years and may not receive more than \$4 million per year. Funds must be used for activities intended to improve academic achievement and may be used for, among other things, planning and promotional activities, salaries of teachers and other instructional personnel, and acquisition of books, materials, and equipment. Expenditures for planning are limited to no more than 50 percent of a grant in the first year and 15 percent in the second and third years.

By statute, the Department gives priority for grants to applicants that demonstrate the greatest need for assistance, that propose to develop new magnet schools or significantly revise existing magnet school programs, and that use methods other than academic examinations (such as a lottery) to admit students. In addition, applicants that did not receive a grant the previous fiscal year receive priority for any funds appropriated above \$75 million. In the most recent grant competition (in fiscal year 2013), the Department also gave priority to applicants whose projects promote science, technology, engineering, and mathematics (STEM) education.

The Department may use up to 2 percent of funds for national activities, including evaluation, technical assistance, and dissemination of information on successful magnet school programs.



## INNOVATION AND IMPROVEMENT

### Magnet schools assistance

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Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011 .....	\$99,800
2012.....	96,705 <sup>1</sup>
2013.....	91,647
2014.....	91,647
2015.....	91,647

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<sup>1</sup> Reflects a reprogramming in fiscal year 2012 of \$2,906 thousand from Magnet Schools Assistance to Advanced Placement.

### FY 2016 BUDGET REQUEST

The Administration requests \$91.6 million for Magnet Schools Assistance for fiscal year 2016, the same as the fiscal year 2015 level. The request would support a new cohort of awards. In the competition for these awards, the Department intends to continue a priority for applicants whose projects promote STEM education.

Magnet Schools Assistance remains an important element of Federal efforts both to increase the number of high-quality educational options available to students and families and to increase diversity and eliminate minority group isolation in schools. With their specialized curricula and offerings, magnet schools can be key components of efforts by local educational agencies to improve student achievement and graduation rates.

### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Amount of awards	\$89,815	\$89,814	\$89,314
Number of new awards	1	0	20-30
Number of continuation awards	27	28	1
Range of awards	\$557-\$4,000	\$757-\$4,000	\$500-\$4,000
Peer review of new award applications	0	0	\$500
National activities	\$1,832	\$1,833	\$1,833

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NOTE: The fiscal year 2014 appropriations act authorized the Department to pool evaluation funds reserved under section 9601 of the ESEA and use those pooled funds to evaluate any ESEA program. The fiscal year 2015 appropriations act provided the same authority and the Administration's fiscal year 2016 budget would continue this authority. While the Department did not pool funds from Magnet Schools Assistance under this authority in fiscal year 2014, it may do so in fiscal years 2015 and 2016.

## INNOVATION AND IMPROVEMENT

### Magnet schools assistance

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#### 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 FY 2016 and future years, as well as the resources and efforts invested by those served by this program.

The 2014 data for these measures for the 2013 cohort are expected to be available in spring 2015.

**Goal:** Students have access to high-quality education in desegregated magnet schools.

**Objective:** Federally funded magnet schools will eliminate, reduce, or prevent minority group isolation in targeted elementary and secondary schools with substantial proportions of minority group students.

**Measure:** The percentage of magnet schools in which the student applicant pool reduces, prevents, or eliminates minority group isolation.

Year	2010 Cohort Target	2010 Cohort Actual
2011	85.2%	39.2%
2012	90.1	46.4
2013	95.0	38.4

**Additional information:** In 2006, the Department established annual performance targets for this measure using a baseline of 58.3 percent and a goal of having 100 percent of schools reduce, prevent, or eliminate minority-group isolation by 2014.

In 2010, the Department published interim final regulations for the program that provide districts with greater flexibility in demonstrating that their magnet or feeder schools will eliminate, reduce, or prevent racial group isolation and that their voluntary desegregation plans are adequate under Title VI of the Civil Rights Act. The regulations removed the definition of “minority-group isolation” because it required districts to use binary racial classifications and prohibited the creation of magnet schools that result in minority-group enrollments in magnet and feeder schools that exceed the districtwide average of minority-group students. These interim final regulations, which were adopted as final in November 2012, apply to the 2010 cohort. As a result, this measure for the 2010 cohort reflects the percentage of magnet schools that have met individually determined objectives for reducing minority group isolation, without reference to districtwide averages used for previous cohorts. The measure also examines the enrollment of schools in the 2010 cohort, not the applicant pool of those schools.

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**Objective:** Magnet school students meet their State's academic achievement standards.

**Measure:** Percentage of magnet schools in which students from major racial and ethnic groups meet or exceed their State's annual progress standards in reading.

Year	2010 Cohort Target	2010 Cohort Actual
2011	88.4%	57.3%
2012	92.2	54.5
2013	96.0	53.1

**Measure:** Percentage of magnet schools in which students from major racial and ethnic groups meet or exceed their State's annual progress standards in mathematics.

Year	2010 Cohort Target	2010 Cohort Actual
2011	88.5%	56.7%
2012	92.3	54.3
2013	96.1	50.2

**Additional information:** These measures track the percentage of students in participating magnet schools who score at the proficient level or above on State assessments in reading and in mathematics. Targets for these measures for the 2010 cohort are based on the ESEA goal of all students being proficient in reading and mathematics by 2014.

The remaining performance measures focus on sustainability and examine the percentages of magnet schools that remain in operation and that make adequate yearly progress (AYP) 3 years after Federal funding ends. Analysis of the sustainability data for the 2007 cohort found that 91 percent of the 175 magnet schools that received funding remained in operation in the 2012–2013 school year and that, of the 62 schools that remained in operation and for which data were available, 21 percent made AYP, a low result that may be attributed in part to the increasingly high proficiency targets associated with AYP under current law.

### Efficiency Measure

The Department has developed a measure to assess the efficiency of Federal investments in supporting magnet schools. The measure is defined as the Federal cost per student in a magnet school receiving assistance. Data for the 2010 cohort show an average cost of \$753 per student in 2011, \$958 per student in 2012, and \$840 per student in 2013.

### Other Performance Information

In 2008, following a year-long feasibility study, the Department initiated a national evaluation of magnet schools that focuses on a single category of schools receiving funding through the MSAP program: elementary schools that convert to whole-school magnets. The study is examining the relationship of magnet conversion to outcomes for resident students (those who live within a magnet school's attendance zone) and non-resident students (those who live outside the attendance zone but choose to attend the school). The evaluation involves fiscal year 2004 and 2007 grantees and uses a comparative interrupted time series design to examine

## INNOVATION AND IMPROVEMENT

### **Magnet schools assistance**

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the relationship between magnet school conversion and student achievement and other outcomes, including minority-group isolation in schools. The evaluation is also examining how factors related to student achievement vary according to characteristics of the magnet schools and comparison schools and includes principal and magnet school coordinator surveys. A final evaluation report is expected to be released in spring 2015.

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### Advanced placement

(Elementary and Secondary Education Act of 1965, Title I, Part G)

(dollars in thousands)

FY 2016 Authorization: To be determined<sup>1</sup>

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
\$28,483	\$28,483	0

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<sup>1</sup> The GEPA extension expired September 30, 2008; reauthorizing legislation is sought for FY 2016.

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### PROGRAM DESCRIPTION

Title I, Part G of the Elementary and Secondary Education Act (ESEA) authorizes two programs: the Advanced Placement Test Fee program and the Advanced Placement Incentive program. The purpose of both programs is to support State and local efforts to increase access to Advanced Placement (AP), International Baccalaureate (IB), and other approved advanced courses and tests (collectively referred to as “advanced placement courses and tests”) for students from low-income families. The statute requires the Department to give priority to funding the Advanced Placement Test Fee program, with remaining funds allocated to Advanced Placement Incentive grants.

*Advanced Placement Test Fee Program:* Under this program, the Department provides noncompetitive awards to State educational agencies to enable them to cover all or part of the cost of test fees for students from low-income families who are enrolled in an advanced placement course and plan to take an advanced placement test. By subsidizing test fees, the program encourages students from low-income families to take advanced placement courses and tests and obtain college credit for their courses, thereby reducing the time and cost required to complete a postsecondary degree.

*Advanced Placement Incentive Program:* This program authorizes 3-year competitive awards to State educational agencies, local educational agencies, and national nonprofit educational entities with expertise in providing advanced placement services to expand access for students from low-income families to advanced placement courses and programs. Authorized activities include, but are not limited to, teacher training, development of pre-advanced placement courses, activities to enhance coordination and articulation between grade levels in order to prepare students for academic achievement in advanced placement courses, the purchase of books and supplies, and activities to enhance the availability of and expand participation in online advanced placement courses.

In fiscal year 2013, available funds were not sufficient for grants under both the Test Fee and Incentive programs. As a result, then-current Incentive program grantees did not receive

## INNOVATION AND IMPROVEMENT

### Advanced placement

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continuation funding for the third and final year of their projects. Further, to prevent a funding shortfall under the Test Fee program (stemming from the combination of reduced appropriations and rapid growth in the number of advanced placement tests taken annually by students from low-income families), the Department significantly scaled back its support by eliminating its coverage of test registration fees (i.e., one-time per-student fees that are separate from and in addition to the fees for individual tests) and reducing the maximum amount of its subsidy such that States, school districts, or students were required to contribute a minimum of \$10 per test. In most States receiving Test Fee grants, this policy resulted in students from low-income families having to pay a share of advanced placement test fee costs for the first time. In fiscal year 2014, based in part on predicted continued growth in advanced placement test-taking by low-income students, the Department decreased its maximum per-test contribution by another \$8, for a total minimum State, local, or student contribution of \$18 per test. To help defray these costs, a number of grantee States that previously did not provide a State-level contribution began to do so, although in the majority of States the portion of test fees not covered by the Department continued to be borne fully by students. As of February 2015, the Department had not yet determined the Federal subsidy level for the Test Fee program in 2015.

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011 .....	\$43,253
2012.....	30,055 <sup>1</sup>
2013.....	28,890 <sup>2</sup>
2014.....	28,483
2015.....	28,483

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<sup>1</sup> Reflects a reprogramming in fiscal year 2012 of \$2,906 thousand from Magnet Schools Assistance and \$200 thousand from Charter Schools Grants to Advanced Placement.

<sup>2</sup> Reflects a reprogramming in fiscal year 2013 of \$407 thousand from the Fund for the Improvement of Education: Programs of National Significance.

### FY 2016 BUDGET REQUEST

The Administration requests \$28.5 million for Advanced Placement for fiscal year 2016, the same as the fiscal year 2015 level. The Administration expects that the number of advanced placement tests taken by students from low-income families will continue to increase in 2016 and future years. To minimize the impact of limited Federal funding on students, the Department intends to issue regulations requiring States receiving Test Fee grants to provide matching funds. If implemented, these regulations would allow the Department to specify the minimum amount of matching funds a State must provide, based in part on available Federal resources, in the annual notice inviting applications for Test Fee grants.

In addition, the Department intends to set its maximum 2016 per-test contribution under the Test Fee program such that a portion of the request is available for new grants under the Incentive program. The Administration will also seek appropriations language allowing Incentive program funds to be used for activities expanding access to accelerated learning options beyond AP and

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IB programs and that allow students to take college-level courses (including courses in career and technical education) and earn college credit while in high school, including dual-enrollment programs and early college high schools. The Department could give special consideration for Incentive program grants to applicants whose projects are supported by evidence of effectiveness.

Although the number of AP tests taken by low-income families continues to increase annually, the passage rate has remained below 40 percent since 2005. Moreover, numerous reports from the field indicate that minority students and students in low-performing schools are inadequately prepared for the rigors of advanced placement courses or have inadequate access to other accelerated learning options. For example, data from the Department's Civil Rights Data Collection 2011–12 show that Hispanic, Black, and Native American students comprise 38 percent of high school students but only 18.5 percent of high school students who passed at least 1 AP exam. Consequently, the Administration believes there should be a stronger emphasis, through a renewed Incentive grants program, on improving the quality of instruction to better prepare these students to successfully complete advanced coursework as well as on increasing the availability of high-quality accelerated learning programs that better introduce students to "college culture" and can help them reduce costs by avoiding remedial courses and graduating from college early or on time.

#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
<b>Test Fee program</b>			
Amount for new awards	\$28,483	\$28,483	\$23,483
Number of new awards	42	42	42
<b>Incentive program</b>			
Amount for new awards	0	0	\$5,000
Number of new awards	0	0	8–12

#### 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 FY 2016 and future years, as well as the resources and efforts invested by those served by this program.

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**Goal:** To increase the numbers of low-income high school students prepared to pursue higher education.

**Objective:** Encourage a greater number of low-income and other underrepresented categories of students to participate in the AP and IB programs and pass the exams.

**Measure:** The number of Advanced Placement tests taken by low-income public school students nationally.

Year	Target	Actual
2011	500,265	596,241
2012	600,318	710,100
2013	781,110	768,010
2014	859,221	848,146
2015	945,143	
2016	1,039,657	

**Measure:** The number of Advanced Placement tests passed (tests receiving scores of 3–5) by low-income public school students nationally.

Year	Target	Actual
2011	203,108	210,870
2012	222,118	268,860
2013	300,727	289,283
2014	335,955	330,486
2015	375,221	
2016	418,982	

**Measure:** The percentage of Advanced Placement tests passed (tests receiving scores of 3–5) by low-income public school students nationally.

Year	Target	Actual
2011	40.4%	35.4%
2012	37.0	37.9
2013	38.5	37.7
2014	39.1	39.0
2015	39.7	
2016	40.3	

**Additional Information:** The data for these measures are obtained from the College Board and capture the effects of efforts to increase low-income public school students' participation in AP courses and success on AP exams. The targets for these measures have been revised beginning with the 2013 targets based on actual performance in 2012.



## INNOVATION AND IMPROVEMENT

### Advanced placement

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**Measure:** The number of Advanced Placement tests taken by minority (Hispanic, Black, Native American) public school students nationally.

Year	Target	Actual
2011	675,520	700,872
2012	721,562	751,428
2013	788,999	846,872
2014	828,449	931,130
2015	869,871	
2016	913,365	

**Additional Information:** The data for this measure are obtained from the College Board and capture the effects of efforts to increase minority public school students' participation in AP programs. The targets for this measure have been revised beginning with the 2013 target based on actual performance in 2012.

### Efficiency Measure

**Measure:** The cost per passage of an Advanced Placement test by a low-income public school student.

Year	Target	Actual
2011	\$91.29	\$151.45
2012	91.29	93.16
2013	91.29	123.48
2014	91.29	89.60
2015	91.29	
2016	91.29	

**Additional Information:** The results for this measure are calculated by dividing the total amount of Federal funds that States receiving AP Test Fee grants report spending on AP test fees by the total number of such tests passed by low-income students in those States. The high cost per passage in 2011 could be explained partly by the fact that California stopped partially subsidizing test fee costs with State funds that year, thus increasing the Federal share of test fee costs in that State. The decrease in cost per passage in 2012 could be explained, in part, by the fact that the Department's Test Fee grants were sufficient to cover only approximately 75% of States' requests for test fee support. Similarly, the lower cost per passage in 2014 could be partly attributed to the reduction in the Department's maximum per-test contribution.

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### Ready-to-learn television

(Elementary and Secondary Education Act of 1965, Title II, Part D, Subpart 3)

(dollars in thousands)

FY 2016 Authorization: 0<sup>1</sup>

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
\$25,741	\$25,741	0

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<sup>1</sup> The GEPA extension expired September 30, 2008; reauthorization is sought for FY 2016.

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### PROGRAM DESCRIPTION

Ready-to-Learn (RTL) Television is designed to facilitate student academic achievement by supporting the development and distribution of educational video programming for preschool and elementary school children and their parents, caregivers, and teachers. At least 60 percent of the funding must be used to:

- Develop educational television programming for preschool and elementary school children and the accompanying support materials and services that can be used to promote the effective use of such programming;
- Develop television programming (and digital content, such as applications and online educational games, containing RTL-based children's programming) that is specifically designed for nationwide distribution over public television stations' digital broadcasting channels and the Internet, along with accompanying resources for parents and caregivers; and
- Support contracts with public telecommunications and related entities to ensure that programs are widely distributed.

Remaining funds may be used to develop and disseminate education and training materials, including interactive programs that are designed to promote school readiness through the effective use of educational video programs.

Funds are awarded competitively and only public telecommunications entities are eligible to receive awards. Applicants must have the capacity to: develop and distribute high-quality educational and instructional television programming that is accessible to disadvantaged preschool and elementary school children; contract with the producers of children's television programming; negotiate these contracts in a manner that returns to the grantee an appropriate

## INNOVATION AND IMPROVEMENT

### Ready-to-learn television

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share of income from sales of program-related products; and target programming and materials to meet specific State and local needs, while providing educational outreach at the local level.

Grantees are required to consult with the Departments of Education and Health and Human Services on strategies for maximizing the use of quality educational programming for preschool and elementary school children. Grantees must also coordinate activities with other Federal programs that have major training components related to early childhood development.

The Department plans to award three 5-year grants in 2015. The 2015 competition will invite applicants to produce and distribute high quality, age appropriate and standards-based educational television and digital media content that focuses on science or American history and civics.

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

	(dollars in thousands)
2011 .....	\$27,245
2012 .....	27,194
2013 .....	25,771
2014 .....	25,741
2015 .....	25,741

### FY 2016 BUDGET REQUEST

The Administration's fiscal year 2016 request includes \$25.7 million for the Ready-to-learn (RTL) television program, the same as the 2015 level. With these funds, the Department expects to continue supporting awards made in fiscal year 2015. Children, particularly children in high-poverty settings, spend large amounts of time watching television and using digital media. Researchers in many fields have looked carefully at whether and how television viewing might contribute to the "literacy gap," and, conversely, whether and how television and digital media can be used as a tool to promote literacy development. Recent research suggests that television and transmedia can have a positive impact on children's literacy and learning, provided certain conditions are in place. Producers and developers must understand how children learn, and how programming content can facilitate such learning. Individual episodes should reflect what research tells us about effective educational programming. For example, programs that succeed in helping children learn tend to help children understand how to watch and make sense of what they see. Such programs also develop familiarity by using recurring characters and situations, repeat key tasks and information, link knowledge to what children already know, and are carefully paced to keep children cognitively engaged throughout each episode.

Early childhood, preschool, and elementary school curricula typically emphasize basic skills in math and reading. RTL content is specifically designed to reinforce young children's literacy skills, emphasizing letter recognition, vocabulary, fluency, rhyming, and comprehension. Through targeted outreach and marketing campaigns, grantees actively reach out to parents and caregivers, particularly in high-poverty rural and urban communities, to encourage the use of RTL programming to support the skills that children need to succeed in school.

## INNOVATION AND IMPROVEMENT

### Ready-to-learn television

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#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Number of new awards	0	3	0
Number of continuation awards	3	0	3
New award funding	0	\$25,424	0
Continuation award funding	\$25,681	0	\$25,681
Peer review	0	257	0
Evaluation (review of grant products)	<u>60</u>	<u>60</u> <sup>1</sup>	<u>60</u> <sup>1</sup>
<b>Total</b>	<b>25,741</b>	<b>25,741</b>	<b>25,741</b>

<sup>1</sup> The fiscal year 2015 appropriations act authorized the Department to pool evaluation funds reserved under section 9601 of the ESEA and use those pooled funds to evaluate any ESEA program. The Administration's fiscal year 2016 budget would continue this authority. Some or all of the funds that may be reserved from the Ready-to-Learn program under section 9601 may be used under the ESEA pooled evaluation authority in fiscal years 2015 and 2016.

#### PROGRAM PERFORMANCE INFORMATION

For the 2010 competition, the Department established two invitational priorities: (1) developing educational content in reading or mathematics that is designed to increase the literacy or numeracy skills of low-income children ages 2 to 8, delivering the content through coordinated use of multiple media platforms, and developing effective outreach strategies; and (2) providing for the development and dissemination of products and results through open educational resources and by making the products freely available through various media platforms. In addition, applicants could earn competitive preference points for projects proposing a research plan that was based on rigorous scientifically based research methods to assess effectiveness. The Department made three awards, and the 2010 grantees have focused on producing new materials and strategies that reflect changes in television distribution and production and the rise of new digital media platforms. Grantees generally began their projects by creating and launching digital learning materials (including video), using these materials to stimulate interest among target children, and then developing television shows.

#### Performance Measures

In 2012, the Department revised the performance measures for the RTL program to better measure both RTL's effectiveness in improving what children learn and the number of children RTL is reaching. The revised measures are:

- (1) the percentage of summative experimental or quasi-experimental research studies that demonstrate positive and statistically significant gains in math or literacy skills when RTL transmedia properties, such as applications and online educational games, are compared

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### Ready-to-learn television

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to similar non-RTL-funded digital properties or to other more traditional educational materials;

(2) the percentage of educational transmedia products, along with necessary supporting materials, that are deemed to be of high quality in promoting learning of math or literacy by an independent panel of expert reviewers; and

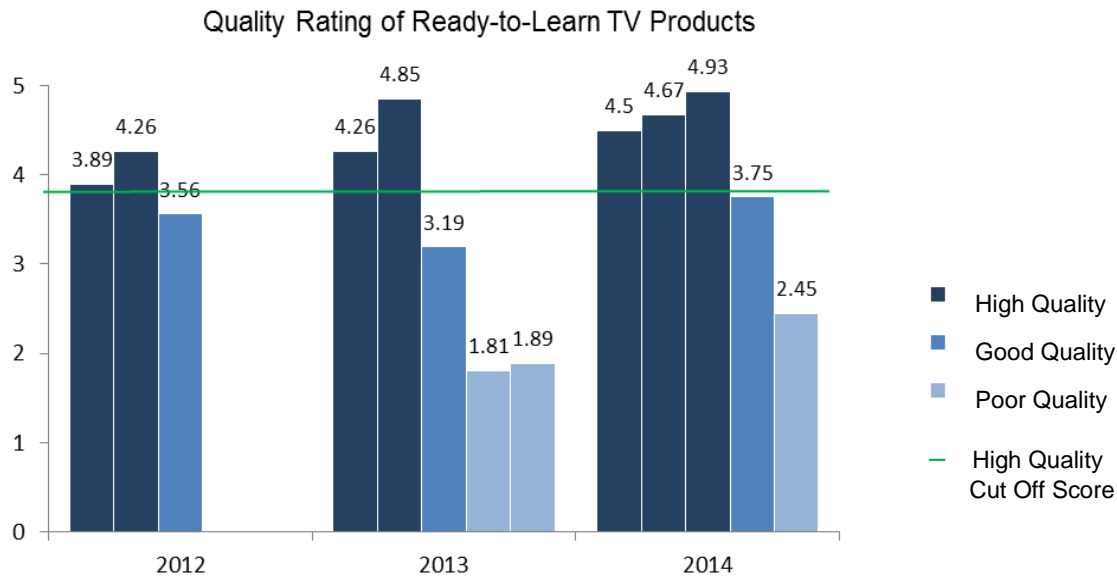
(3) the number of children who use RTL-produced educational media products, disaggregated by individual product, as determined by appropriate industry standard metrics or, when available, by tracking tools.

The three grantees planned a total of seven experimental or quasi-experimental research studies, to be conducted beginning in year 3 of the grant. The results of these studies provide data on the first performance measure. The Department received the first three studies in 2013. All three studies found that children who use RTL-produced educational media products demonstrate positive and statistically significant gains in math or literacy skills when RTL transmedia properties are compared to either similar non-RTL funded digital properties or to other more traditional educational materials. Therefore, in 2013, 100 percent of experimental or quasi-experimental research studies conducted by RTL grantees met the first performance measure. In 2014, the Department received two research studies for review, both of which found that children using RLT-produced products demonstrated statistically significantly gains in math skills compared to children who used similar non-RTL products. Therefore, in 2014, 100 percent of the research studies met the performance measure.

For the second performance measure, the Department asked expert panel members to review a random sample of current RTL transmedia products and provide a quality rating using criteria developed by the Department. The panel members rated products on a 5-point scale. In order for any particular product to achieve a rating of “high quality,” a product had to secure an average score of 3.8 across the panel members. In 2012, two of three transmedia product suites reviewed were of high quality; in 2013, two of five suites reviewed were of high quality; and in 2014, three of five suites reviewed were of high quality.

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For the third performance measure, grantees reported on the number of children who used RTL-produced products, by type of product. In 2013, 46.5 million users accessed RTL-produced educational media products. The Corporation for Public Broadcasting (CPB) reported 46.4 million users, of which 30.7 million watched CPB television shows, 15.0 million used Web-based games, and 784 thousand downloaded mobile apps. Window to the World (WTTW) reported a total of 38.5 thousand users, 23.5 thousand of whom used web-based products and 14.5 thousand of whom participated in one of WTTW’s 25 pilot programs. Finally, the Hispanic Information and Telecommunications Network (HITN) reported 632 children who used HITN’s mobile apps and accompanying transmedia at HITN pilot sites. In 2014, 41.8 million users accessed RTL-produced educational media products. CPB reported 35.9 million users, which includes PBS television viewers, PBS Kids website users, web application downloads, and children participating in outreach programs. WTTW reported 615.6 thousand users including web users, participants in outreach programs, and those who accessed WTTW products via YouTube. Finally, HITN reported 6.3 million users, which includes HITN viewers, pilot sites, museum partners, website and social media users, community events, and conference attendees.

### Efficiency Measure

The Department developed a single efficiency measure for the RTL program: dollars leveraged from non-Federal sources over 5 years (the length of each grant award) per Federal dollar dedicated to core non-outreach program activities. Because high-quality children’s television programs are expensive to develop, produce, and distribute, Federal support for new programming through the RTL programs is typically used by grantees to attract additional revenue from the private sector. Program quality is directly affected by the extent to which grantees succeed in using Federal dollars to leverage additional funds from alternate sources. Therefore, the Department will use this measure to compare the relative success of RTL

## INNOVATION AND IMPROVEMENT

### Ready-to-learn television

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grantees in leveraging non-Federal investments for the development and production of new children's television programs.

Because the Department does not expect grantees to establish annual leveraging targets, and does not set a schedule for obtaining matching funds, the meaningful period of analysis for purposes of comparing grantee performance is the entire 5-year award period. During the 5-year period comprising fiscal years 2005–2009, the Department provided two grantees with \$98.55 million in funding for programming. These two grantees together contributed a total of \$66.15 million in non-Federal funding to programming activities, or \$0.67 non-Federal dollars for every Federal dollar; the individual grantee amounts were \$0.29 and \$1.03. Initially, the Department had planned to use the \$0.67 figure established by the 2005 grantees as the baseline against which to measure future efficiency. However, because of changes instituted to the program in 2010, grantees will be producing fewer television shows and instead will be focusing, at least initially, on the creation and distribution of digital media products such as applications and online educational games. This makes it easier and less expensive to release content and requires fewer external funds to be leveraged in support of television production. In the first year of the 2010 grants, the three grantees leveraged \$9.8 million of non-Federal support compared to \$19.5 million in Federal dollars spent on production, or \$0.50 of non-Federal dollars for every Federal dollar. In 2014, the three grantees leveraged \$0.73 of non-Federal dollars for every Federal dollar spent. (\$11.7 million of non-Federal support compared to \$16.0 million in Federal dollars spent on production.)

## INNOVATION AND IMPROVEMENT

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### **Fund for the improvement of education: programs of national significance** (Elementary and Secondary Education Act of 1965, Title V, Part D, Subpart 1)

(dollars in thousands)

FY 2016 Authorization: To be determined<sup>1</sup>

<u>2015</u>	<u>2016</u>	<u>Change</u>
\$48,000	\$41,926	-\$6,074

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<sup>1</sup>The GEPA extension expired September 30, 2008; reauthorizing legislation is sought for FY 2016.

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### PROGRAM DESCRIPTION

The Fund for the Improvement of Education (FIE) provides authority for the Department to support nationally significant programs to improve the quality of elementary and secondary education at the State and local levels and help all students meet challenging State academic content standards and student achievement standards. The types of programs that may be supported include:

- Activities to promote systemic education reform at the State and local levels, including scientifically based research, development, and evaluation designed to improve student academic achievement and strategies for effective parent and community involvement;
- Programs at the State and local levels that are designed to yield significant results, including programs to explore approaches to public school choice and school-based decisionmaking;
- Recognition programs, including financial awards to States, local educational agencies, and schools that have made the greatest progress in improving the academic achievement of economically disadvantaged students and students from major racial and ethnic minority groups and in closing the academic achievement gap for those groups of students farthest away from the proficient level on the academic assessments administered by the State.
- Scientifically based studies and evaluations of education reform strategies and innovations, and the dissemination of information on the effectiveness of those strategies and innovations;
- Activities to support Scholar-Athlete Games;
- Programs to promote voter participation in American elections; and
- Demonstrations of the effectiveness of programs under which school districts or schools contract with private management organizations to reform a school or schools.



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### Fund for the improvement of education: programs of national significance

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The Department may carry out activities under this authority directly or through grants and contracts to State or local educational agencies; institutions of higher education; and other public and private agencies, organizations, and institutions. Awards may be based on announced competitions or may support unsolicited proposals.

All funded activities must be designed so that their effectiveness is readily ascertainable and is assessed using rigorous research and evaluations. Each application for funds must establish clear objectives, which are based on research, for the proposed grant or contract and describe the activities the applicant will carry out in order to meet the stated objectives. The Department must use a peer review process to review applications for awards. Recipients of awards must evaluate the effectiveness of their activities and report such information as may be required to determine program effectiveness, and the Department must make the evaluations publicly available. The Department may require matching funds for activities under this program.

In fiscal year 2015, the Department is using FIE funds to make new and continuation grants under the Full-Service Community Schools program and the Javits Gifted and Talented Students Education program. In fiscal year 2015, FIE is supporting continuation grants for the Education Facilities Clearinghouse and for the Innovative Approaches to Literacy initiative, which awards competitive grants to national nonprofit organizations and local educational agencies (LEAs) for provision of books and literacy activities to children and families in high-need communities. Fiscal year 2015 funds will also be used to support a non-cognitive initiative under FIE.

Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011 .....	\$12,009
2012 .....	40,823
2013 .....	38,280
2014 .....	42,376
2015 .....	48,000

### FY 2016 BUDGET REQUEST

The Administration requests \$41.9 million for the Fund for the Improvement of Education (FIE) Programs of National Significance in 2015, \$6.1 million less than the 2015 level. The requested level of funding would allow the Department to support the following activities in 2016:

- \$10 million for a non-cognitive initiative, which would provide competitive grants to school district and researcher partnerships to develop and test interventions to improve students' non-cognitive skills in the middle grades, that are foundational to students' academic achievement and life success.

An emerging body of research indicates that non-cognitive interventions, which improve factors like self-control and social and emotional skills, can have as much, if not more, impact on their grades and perseverance in school than academic interventions. For

## INNOVATION AND IMPROVEMENT

### Fund for the improvement of education: programs of national significance

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example, teaching kids that their minds are like muscles that grow with hard work and perseverance as compared to fixed traits like eye color, increases academic success and resilience in school. In part, this is because students then understand that academic setbacks reflect inadequate effort rather than an innate inability to master the material. Academic perseverance, which is defined as persisting in the pursuit of academic goals despite challenges and setbacks, requires multiple non-cognitive skills, and is one of the important non-cognitive factors that determine students' success. However, relatively little is known about how schools can implement efforts to improve non-cognitive skills in a comprehensive fashion, integrating them into classroom practices and school culture. This initiative would develop and test various approaches (including both professional development for teachers and comprehensive models that include interventions for students) to non-cognitive skills development during the middle grades. The middle grades are a critical time in students' academic trajectories; during this period, many children lose interest in, engagement with, and motivation for academic work, increasing their likelihood of dropping out of high school. Grants would be structured to assist researchers in program development, provide ongoing feedback in a continuous improvement framework, document lessons learned, help development assess comprehensive measures of non-cognitive factors, and conduct rigorous evaluations that help establish the most effective ways of integrating non-cognitive training into school learning environments. These grants would enable districts to lead innovation and development in this area and provide scalable models for districts and schools around the country. Grants would be for \$1–2 million over a 4-year time period that includes a planning year and a final evaluation.

- \$5 million for a Disconnected Youth Initiative, which would strengthen services and improve outcomes for disconnected youth (defined as individuals, ages 14–24, who are neither employed nor enrolled in an educational institution or who are at high-risk of dropping out of high school). As a result of authority enacted in the 2014 appropriations act, the Administration has begun implementation of Performance Partnership Pilots, which will give States and localities enhanced flexibility in administering Federal youth-serving programs in exchange for greater accountability for results. The act provided authority to the Departments Education, Labor, and Health and Human Services, along with the Corporation for National and Community Service, and the Institute of Museum and Library Sciences, to enter into a total of up to 10 Performance Partnership Agreements with States, local governments, or Tribes to provide these entities additional flexibility in using certain discretionary funds to achieve significant improvements in outcomes for disconnected youth. The 2015 appropriations act expanded the authority to include certain 2015 discretionary funds in the first cohort of pilots, add a new cohort of up to 10 pilots, and make eligible for inclusion in a pilot certain Department of Justice's Office of Justice Program funds. For 2016, the Administration is requesting to continue the program.

Through the development of the Performance Partnership Pilots initiative, we have learned about the challenges that States and communities face in serving disconnected youth and the cross-cutting needs that Federal agencies can help address. The Department would use the funds provided in FIE to address those needs. For example, through discussions with grantees and other stakeholders, the agencies have previously identified issues such as (1) our limited knowledge of which program models are most effective in helping

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### Fund for the improvement of education: programs of national significance

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disconnected youth achieve positive outcomes; (2) a relative lack of attention to this population at the Federal, State, and local levels; and (3) the need for more comprehensive approaches to meeting the multi-faceted needs of youth who may have educational deficits, unstable housing, health challenges, and histories of involvement with the criminal justice system.

- \$5 million for a Youth Data Pilot that would enhance communities' tracking of and performance on multiple outcomes for at-risk youth using existing data sets. The goal of this initiative is to support communities that seek to gain a comprehensive picture of the progress of their youth towards healthy, productive lives by looking across multiple data sources at a variety of outcomes, such as high school attendance and graduation rates, postsecondary enrollment and credentials, employment, incarceration rates, birth outcomes, and shelter stays. Relevant activities include establishing common indicators of youth success, integrating administrative data sources, and developing easy-to-understand scorecards to help drive decision making. Policymakers, community leaders, and other stakeholders would use Such tools can help policymakers, community leaders, and other stakeholders improve or reassess a community's service delivery models and redirect resources into the most effective strategies and programs.

Funds would support this work by providing demonstration grants to school districts with Early Warning Indicator Systems (EWIS) to enhance existing EWISs to enable linkages to child welfare data or other relevant data systems to provide more, actionable, data on at-risk youth. EWISs have been shown to improve credit completion and reduce dropout rates.<sup>1</sup> Schools and school districts use EWISs to pursue similar goals as described above—using all available data to identify problem areas and challenges that need intervention—but typically only in the context of the school. However, some of the challenges that enhance the risk of students dropping out of school occur outside of school, as do some of the resources that can improve a student's chance of graduating. Youth Data Pilot grants would improve the information schools have to identify their students most at risk of dropping out of school, and create important partnerships with the other systems that interact with at-risk students to keep them in school. The Department of Education will work closely with the Departments of Health and Human Services, Labor, and Justice on planning and implementing this cross-sector initiative.

- \$1.3 million to continue the Data Quality Initiative (DQI), which is designed to improve the quality, analysis, and reporting of the Department's elementary and secondary program performance data. The DQI contractor provides Department program office staff with guidance on how to structure grant competitions so as to encourage grantees to plan for and collect high-quality program performance and evaluation data; provides technical assistance to grantees as they collect the data; and provides assistance to program offices and program analysis staff to improve the quality of data analysis.
- \$10 million for continuation awards under Full-Service Community Schools to provide comprehensive academic, social, and health services for students, students' family

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<sup>1</sup> [http://ies.ed.gov/ncee/wwc/pdf/intervention\\_reports/WWC\\_Check\\_Connect\\_092106.pdf](http://ies.ed.gov/ncee/wwc/pdf/intervention_reports/WWC_Check_Connect_092106.pdf)

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### Fund for the improvement of education: programs of national significance

members, and community members that will result in improved educational outcomes for children.

- \$9.7 million for continuation awards under Javits Gifted and Talented Education, including for the National Research Center for the Education of Gifted and Talented Children and Youth.
- \$1.0 million for a new award under Education Facilities Clearinghouse to provide technical assistance and training on the planning, design, financing, procurement, construction, improvement, operation, and maintenance of safe, healthy, and high- performance public facilities for early learning programs, kindergarten through grade 12, and higher education. This request assumes the enactment of appropriations language similar to that enacted in 2014 and 2015, to allow the Clearinghouse funded in 2016 to collect and disseminate information on these topics for early learning and higher education facilities. (Absent such appropriations language the Clearinghouse would be limited to carrying out the above activities solely with regard to elementary and secondary education facilities, because the FIE authorizing statute, itself, is limited in scope to elementary and secondary education.)

#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Full-Service Community Schools grants:			
2010 grantees (11 awards)	\$5,344	0	0
2014 grantees	5,305	\$4,120	\$4,384
2015 grantees	<u>0</u>	<u>5,880</u>	<u>5,616</u>
Subtotal	10,649	10,000	10,000
Non-Cognitive Initiative	0	2,000	10,000
Disconnected Youth Initiative	0	0	5,000
Youth Data Pilot	0	0	5,000
Innovative Approaches to Literacy	24,528	24,786	0
Data Quality Initiative	1,189	0	1,276
Education Facilities Clearinghouse	983	994	1,000
Javits Gifted and Talented Students Education	5,027	10,000	9,650
Other	<u>0</u>	<u>220</u>	<u>0</u>
 Total	 42,376	 48,000	 41,926

NOTE: The fiscal year 2014 appropriations act authorized the Department to pool evaluation funds reserved under section 9601 of the ESEA and use those pooled funds to evaluate any ESEA program. The fiscal year 2015 appropriations act provided the same authority and the Administration's fiscal year 2016 budget would continue this authority. While the Department did not reserve funds from the Fund for the Improvement of Education: Programs of National Significance under this authority in fiscal year 2014, it may do so in fiscal years 2015 and 2016.

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### Fund for the improvement of education: programs of national significance

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#### PROGRAM PERFORMANCE INFORMATION

The Elementary and Secondary Education Act contains specific accountability provisions for FIE grantees. Each application for funds must include clear objectives for the project that are based on scientifically-based research and must describe the activities to be carried out to meet those objectives. In addition, recipients must evaluate the effectiveness of their funded programs and submit evaluations to the Department. The Department has not established general performance measures for the program, but does establish measures for specific grant competitions and monitors the progress of the grantees against these measures.

- For the Education Facilities Clearinghouse, the performance measure is the percentage of recipients of clearinghouse onsite training or technical assistance that implement one or more changes to improve their education facility based upon clearinghouse recommendations within 6 months of the training or technical assistance. Baseline data (corresponding to the 2011–2012 performance period for the Clearinghouse grantee) include: 62.5 percent of recipients of clearinghouse onsite training or technical assistance implemented one or more changes to improve their education facility based on clearinghouse recommendations within 6 months of the training or technical assistance (with all 8 schools served reporting). More specifically, 100 percent (2 out of 2) of recipients of clearinghouse onsite training met this measure, and 50 percent (3 out of 6) recipients of clearinghouse technical assistance met this measure, for a total of 5 out of 8 (62.5 percent) that met the measure and 3 that did not.

In comparison, data for the subsequent (2012–2013) performance period are as follows: 67 percent of recipients of clearinghouse onsite training or technical assistance implemented one or more changes to improve their education facility based on clearinghouse recommendations within 6 months of the training or technical assistance (with 3 of the 21 schools served not reporting). More specifically, 57 percent (8 out of 14, with 3 not reporting) of recipients of clearinghouse onsite training met this measure, and 86 percent (6 out of 7 with 0 not reporting) recipients of clearinghouse technical assistance met this measure, for a total of 14 out of 21 (67 percent) that met the measure, 7 that did not, and 3 not reporting. Across these two years these data reflect both an increase in the provision of onsite training or technical assistance by the grantee (from 8 recipients of such services in 2011–2012 to 21 in 2012–2013), and an increase in the proportion of those recipients of technical assistance that met the GPRA measure (from 62.5 percent to 67 percent).

- For Full-Service Community Schools, the measure is the percentage of individuals targeted for services who receive services during each year of the project period. All grantees must submit an annual performance report documenting their contribution in assisting the Department in measuring the performance of the program against this indicator, as well as performance on project-specific indicators. In 2008, 96.3 percent of targeted individuals received services. In 2009, 100 percent of targeted individuals received services. In 2010, 98 percent of targeted individuals for the 2008 cohort received services; 100 percent of targeted individuals for the 2010 cohort received services. In 2011, 91 percent of targeted individuals for the 2008 cohort received services; additionally, 84 percent of targeted

## INNOVATION AND IMPROVEMENT

### **Fund for the improvement of education: programs of national significance**

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individuals for the 2010 cohort received services in 2011. In 2011, some grantees served more than their targeted number of individuals.

- For the Innovative Approaches to Literacy initiative, the performance measures are: (1) the percentage of 4-year-old children participating in the project who achieve significant gains in oral language skills; (2) the percentage of participating 3<sup>rd</sup> grade students who meet or exceed proficiency on State reading or language arts assessments; (3) the percentage of participating 8<sup>th</sup> grade students who meet or exceed proficiency on State reading or language arts assessments; and (4) the percentage of participating high school students who meet or exceed proficiency on State reading or language arts assessments. The target for all grantees on all performance measures was 70 percent. In 2012, on Performance Measure 1, 52.4 percent of grantees met the target. On Performance Measures 2 through 4, 18.2 percent of grantees, 38.5 percent of grantees, and 18.2 percent of grantees, respectively, met the target. Note that grantees were only required to report on measures applicable to the populations served, and, therefore, not all grantees reported on each performance measure.
- For Javits Gifted and Talented Students Education, the Department has established three measures focusing on the quality of project designs, professional development, and academic achievement of targeted student populations. The Department reports data for these measures twice over the grant period (at the middle and end of the period) after convening an expert panel of scientists and practitioners to review information from a sample of annual performance reports and self-evaluations prepared by grantees. The first data reports for the 2014 and 2015 cohorts will be provided in future years.

## INNOVATION AND IMPROVEMENT

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### Leveraging what works

(Proposed legislation)

(dollars in thousands)

FY 2016 Authorization: To be determined

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
0	\$100,000	+\$100,000

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### PROGRAM DESCRIPTION

Federal education formula grant programs, including those authorized by the Elementary and Secondary Education Act (ESEA) and the Individuals with Disabilities Education Act (IDEA), are a significant source of funding to build State and local capacity to meet the educational needs of all students, including low-achieving students, students from low-income families, students with disabilities, and English Learners. These funds fulfill a critical function, and it is important that they be used in a way that reflects the best evidence about how to improve outcomes, consistent with the ESEA's emphasis on the use of effective methods and instructional strategies that reflect scientifically based research. In the past, the evidence base for proven interventions has been very limited. But the Department and external research organizations have steadily expanded our understanding of which interventions and activities are effective and which are ineffective, through efforts such as the What Works Clearinghouse (WWC), evidence-building programs like Investing in Innovation (i3), results-oriented philanthropy, and research rooted in universities and communities. These efforts have generated dozens of examples of useful interventions that can and should be supported with Federal formula funds. However, because of the difficulties with altering established practices, the adoption of evidence-based approaches is not always as rapid or complete as it could be.

The Leveraging What Works program would make competitive awards to incentivize local educational agencies (LEAs) to rethink their use of Federal formula grant funds, in combination with State and local resources, to support the innovative use of evidence-based strategies to improve student outcomes while maintaining the funds' focus on serving high-need students. To receive an award, LEAs would commit to use a substantial portion of existing Federal formula funds, in combination with Leveraging What Works grant funds, for activities for which there is moderate or strong evidence of effectiveness, based on the standards in the Education Department General Administrative Regulations (EDGAR). Applicants also would agree to annually report on per-pupil expenditures and student outcomes in a manner that supports the calculation of return on investment (ROI) for selected interventions.

## INNOVATION AND IMPROVEMENT

### Leveraging what works

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#### FY 2016 BUDGET REQUEST

The Administration requests \$100 million in fiscal year 2016 for a Leveraging What Works pilot that would make competitive grants for up to 10 LEAs that agree to use a portion of their Federal formula grant funds, in combination with State and local resources, to implement evidence-based interventions that address local needs. The wider adoption of such practices will help provide the lowest achieving students with the academic support and other services they need to reach challenging State-determined college- and career-ready academic standards.

To participate in the pilot, an applicant would submit a high-quality plan, including a description of how it would:

- Use a substantial portion of Federal formula grant funds, in addition to a Leveraging What Works award and State and local resources, to implement with fidelity strategies and interventions for improving student achievement, teacher professional practice, and other outcomes;
- Track and publicly report on per-pupil expenditures and student outcomes;
- Use evaluation and performance data to drive continuous improvement and scaling of successful strategies and interventions.

The Department would fund applicants proposing to significantly increase their use of Federal formula grant funds to implement strategies or interventions for which there is strong or moderate evidence of effectiveness, based on the standards in the Education Department General Administrative Regulations (EDGAR).

#### PROGRAM OUTPUT MEASURES (dollars in thousands)

	<u>2016</u>
<u>Measures</u>	
Amount for new awards	\$99,000
Number of new awards	5–10
Peer review	\$1,000
Total	\$100,000

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NOTE: The fiscal year 2014 appropriations act authorized the Department to pool evaluation funds reserved under section 9601 of the ESEA and use those pooled funds to evaluate any ESEA program. The fiscal year 2015 appropriations act provided the same authority and the Administration's fiscal year 2016 budget would continue this authority. The Teacher Principal Pathways program would be authorized by the ESEA; the Department may reserve funds from this program under the pooled evaluation authority in fiscal year 2016.



## INNOVATION AND IMPROVEMENT

### Leveraging what works

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#### PROGRAM PERFORMANCE INFORMATION

The Department will develop performance measures for the Leveraging What Works pilot program. At a minimum, these measures will track per pupil expenditures and student outcomes by student subgroup at the school level. The Department will also fund evaluations to determine, in scientifically valid ways, whether the funded interventions improve student achievement.

## INNOVATION AND IMPROVEMENT

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### Arts in education

(Elementary and Secondary Education Act of 1965, Title V, Part D, Subpart 15)

(dollars in thousands)

FY 2016 Authorization: 0<sup>1</sup>

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
\$25,000	\$25,000	0

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<sup>1</sup>The GEPA extension expired September 30, 2008; reauthorization is sought for FY 2016.

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### PROGRAM DESCRIPTION

The Arts in Education program supports national demonstration and Federal leadership activities to encourage the integration of the arts into the school curriculum. Allowable activities include: (1) research on arts education; (2) development and dissemination of information about model school-based arts education programs; (3) development of model State arts education assessments based on State academic achievement standards; (4) development and implementation of curriculum frameworks in the arts; (5) development of model professional development programs in the arts for teachers and administrators; (6) support of collaborative activities with Federal agencies or institutions involved in arts education, arts educators, and organizations representing the arts, including State and local arts agencies involved in art education; and (7) support of model projects and programs to integrate arts education into the regular elementary school and secondary school curriculum.

The Department supports a number of arts education activities through grants to local educational agencies (LEAs), State educational agencies (SEAs), nonprofit organizations, institutions of higher education, organizations with expertise in the arts, and partnerships of these entities. Model Development and Dissemination grants support the development, documentation, evaluation, and dissemination of innovative models that seek to integrate and strengthen arts instruction in elementary and middle schools and improve students' academic performance and achievement in the arts. Professional Development for Arts Education grants support the development of professional development programs for music, dance, drama, and visual arts educators.

Beginning with the fiscal year 2011 appropriation, the Department initiated a new National Arts in Education competition to make grants to one or more national nonprofit arts organizations to carry out high-quality arts education programs for children and youth, with particular emphasis on serving students from low-income families and students with disabilities. The Department conducted a second competition in fiscal year 2012.

## INNOVATION AND IMPROVEMENT

### Arts in education

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Funding levels for the past 5 fiscal years were:

	(dollars in thousands)
2011.....	\$27,447
2012.....	24,953
2013.....	23,648
2014.....	25,000
2015.....	25,000

### FY 2016 BUDGET REQUEST

The Administration is requesting \$25.0 million for the Arts in Education program for fiscal year 2016, the same as the 2015 level. The Administration's request would provide \$6.7 million for the Arts in Education National Program, \$12.0 million for the Model Arts program, and \$5.8 million for the Professional Development for Arts Educators program. Nearly all funds requested for fiscal year 2016 would be used to pay continuation costs for awards made in prior years.

Instruction and involvement in the arts, including the visual arts, music, dance, theater, and the media arts, are widely recognized as vital to a well-rounded education and may contribute to improved student achievement and success for all students. Federal and State education policies have recognized the value of arts. At the Federal level, the Elementary and Secondary Education Act (ESEA) includes art as one of the 10 core academic subjects of public education. Similarly, at the State level, 45 States have arts instructional requirements for elementary school, 50 have arts education standards, and 42 have arts requirements for high school graduation. However, only 27 States have defined arts as a core academic subject. A 2009 report by the Government Accountability Office (GAO), titled *Access to Arts Education*, found that nearly 90 percent of elementary school teachers reported no change in the amount of time spent on arts instruction between school years 2004–2005 and 2006–2007. However, the report also noted that teachers in schools identified as in need of improvement and those with high percentages of minority students were more likely to report a reduction in time spend on the arts, which suggests that State educational agencies, local educational agencies, and nonprofit organizations may need to target arts funding more effectively toward serving students in those schools.

The Administration's request would support State and local efforts to improve and expand arts education, including arts programming in high-poverty schools, through the development and implementation of high-quality, cohesive, and innovative strategies for art instruction. For example, the Professional Development for Arts Educators (PDAE) program focuses exclusively on providing high-quality professional development programs in music, dance, media and visual arts, and drama for art teachers in high-poverty schools. The Arts in Education Model Development and Dissemination (AEMDD) program also addresses the needs of low-income children by supporting the development and expansion of research-based models that integrate the arts into the curricula of elementary and middle schools in which 35 percent or more of the children enrolled are from low-income families.

## INNOVATION AND IMPROVEMENT

### Arts in education

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PROGRAM OUTPUT MEASURES (dollars in thousands)

#### National Demonstration and Leadership Activities

##### *Model Arts Program*

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Total funds available	\$11,423	\$11,995	\$11,767
Amount for new awards	\$8,471	0	0
Number of new awards	18	0	0
Amount for continuation awards	\$2,477	\$11,605	\$11,417
Number of continuation awards	8	26	26
Interagency transfer to support the Arts Education Partnership	\$350	\$350	\$350
Peer review of new award applications	\$125	0	0

##### *Professional Development for Arts Educators*

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Total funds available	\$6,391	\$5,859	\$6,047
Amount for new awards	\$5,062	\$409	\$188
Number of new awards	17	1	1
Amount for continuation awards	\$1,229	\$5,450	\$5,859
Number of continuation awards	5	17	18
Peer review of new award applications	\$100	0 <sup>1</sup>	0 <sup>2</sup>

## INNOVATION AND IMPROVEMENT

### Arts in education

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#### *National Arts in Education Program*

<u>Measures</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Total funds available	\$6,700	\$6,700	\$6,700
Amount for new awards	0	\$6,700	
Number of new awards	0	1	
Amount for continuation awards	\$6,700	0	\$6,700
Number of continuation awards	1	0	1
<b><i>Evaluation</i></b>	<b>\$486</b>	<b>\$486<sup>3</sup></b>	<b>\$486<sup>3</sup></b>

<sup>1</sup> The Department would fund new applications in FY 2015 from the FY 2014 slate.

<sup>2</sup> The Department would fund new applications in FY 2016 from the FY 2014 slate.

<sup>3</sup> The fiscal year 2015 appropriations act authorized the Department to pool evaluation funds reserved under section 9601 of the ESEA and use those pooled funds to evaluate any ESEA program. The Administration's fiscal year 2016 budget would continue this authority. Some or all of the funds that may be reserved from the Arts in Education program under section 9601 may be used under the ESEA pooled evaluation authority in fiscal years 2015 and 2016.

### 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 FY 2016 and future years, and the resources and efforts invested by those served by this program.

**Goal: To help ensure that all program participants meet challenging State academic content standards in the arts.**

**Objective:** Activities supported with Federal funds will improve the quality of standards-based arts education for all participants.

## INNOVATION AND IMPROVEMENT

### Arts in education

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**Measure:** The percentage of teachers participating in the Professional Development for Arts Educators program who receive professional development that is sustained and intensive.

Year	Target	Actual
2011	30%	27%
2012	35	84
2013	40	84
2014	45	
2015	50	
2016	55	

In 2011, the Department defined sustained and intensive professional development for the PDAE program as completion of 40 or more of the professional development hours offered by the PDAE-funded project during the reporting period; completion of 75 percent of the total number of professional development hours offered by the PDAE-funded project during the reporting period; and completion of these professional development hours over at least a 6-month period during the reporting period.

**Measure:** The percentage of PDAE projects in which teachers show a statistically significant increase in content knowledge in the arts.

Year	Target	Actual
2011	100.0%	100.0%
2012	100.0	100.0
2013	100.0	100.0
2014	100.0	
2015	100.0	
2016	100.0	

**Additional Information:** The Department requires that grantees administer a pre-test and a post-test of teacher content knowledge in the arts and include those data in their annual performance reports.

**Measure:** The percentage of students participating in Model Arts programs who demonstrate proficiency in mathematics compared to those in control or comparison groups.

Year	Treatment	Control
2011	53.7%	48.4%
2012	64.0	55.0
2013	54.0	45.0
2014		
2015		
2016		

## INNOVATION AND IMPROVEMENT

### Arts in education

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**Measure:** The percentage of students participating in Model Arts programs who demonstrate proficiency in reading compared to those in control or comparison groups.

Year	Treatment	Control
2011	47.7%	42.2%
2012	57.0	43.0
2013	46.0	39.0
2014		
2015		
2016		

**Additional Information:** The Department expects to have finalized 2014 performance data for both the reading and math measures, representing school year 2013–2014, available in fall 2015.

The Department developed four measures for the Arts in Education National Program (AENP). These measures are: (1) the total number of students who participate in standards-based arts education sponsored by the grantee; (2) the percent of teachers participating in the grantee's program who receive professional development that is sustained and intensive; (3) the total number of students from low-income families who participate in standards-based arts education sponsored by the grantee; and (4) the total number of students with disabilities who participate in standards-based arts education sponsored by the grantee. In 2013, on performance measure 1, the grantee targeted 697,632 students for participation; 1,006,004 students actually participated in standards-based arts education sponsored by the grantee. On performance measure 2, the grantee's target was 22.0 percent; 20.3 percent of teachers participating in the grantee's program received professional development that was sustained and intensive. On performance measure 3, the grantee targeted 244,845 students from low-income families and served 519,110. On performance measure 4, the grantee targeted 86,397 students with disabilities and served 257,512 students.

## INNOVATION AND IMPROVEMENT

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### Next generation high schools

(Proposed legislation)

(dollars in thousands)

FY 2016 Authorization: To be determined

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
\$0	\$125,000	+\$125,000

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### PROGRAM DESCRIPTION

The proposed Next Generation High Schools program would promote the whole school redesign of the high school experience through competitive grants to local educational agencies (LEAs) and their partners. The program would support innovative models that personalize teaching and learning for students and provide the rigorous and relevant education needed to prepare them for postsecondary learning and careers in the 21<sup>st</sup> century economy. The program would focus particularly on school models that are designed to engage and expand opportunities for girls and other groups underrepresented in science, technology, engineering, and mathematics (STEM) fields.

Grantee activities would include one or more of the following: (1) redesigning academic content and instructional practices to better align them with postsecondary education and careers; (2) personalizing learning opportunities to support the educational needs and interests of individual students; (3) ensuring strong content knowledge and skills for teachers in all subjects, including STEM; (4) providing academic and wrap-around support services for those students who need them; (5) providing high-quality career and college exploration and counseling on options for students after high school graduation; (6) offering multiple opportunities to earn postsecondary credit while still in high school; and (7) strategically using learning time in more meaningful ways, such as through technology, redesigning the school day or calendar, or through competency-based progression.

Funds would support competitive grants to LEAs in partnership with institutions of higher education and entities such as nonprofit or community-based organizations, government agencies, and business or industry-related organizations that can help structure and facilitate career-related experiences as well as help schools prepare students to apply academic concepts to real-world challenges. Grantees would also be required to leverage existing Federal, State, and local resources to implement their projects. Priority for grants would be given to projects supported by at least moderate evidence of effectiveness as defined in Department regulations. Special consideration would be given to projects that: (1) are designed to improve readiness for postsecondary education and careers in STEM fields, particularly for student groups historically underrepresented in those fields; (2) serve areas with limited access to high-quality college and career opportunities such as high-poverty or rural



## INNOVATION AND IMPROVEMENT

### Next generation high schools

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LEAs; or (3) include partnerships with employers that help students attain career-related credentials.

The Department would set aside one-half of 1 percent of the total appropriation for the Bureau of Indian Education (BIE) for activities consistent with the purposes of the program. The Department would also reserve up to 2.5 percent of the appropriated funds for national activities, including research, development, demonstration, dissemination, technical assistance, and evaluation.

### FY 2016 BUDGET REQUEST

For fiscal year 2016, the Administration requests \$125 million for a new Next Generation High Schools program that would promote the whole school redesign of high schools through competitive grants to LEAs in partnership with institutions of higher education and other entities so that students graduate from high school with the academic foundation and career-related skills they need to be successful, including strong preparation in STEM subjects.

In particular, the new program would ensure that all students in redesigned high schools participate in project- or problem-based learning and have the opportunity to graduate with:

- College credit, earned through dual enrollment, Advanced Placement or International Baccalaureate courses, or other postsecondary learning opportunities; and
- Career-related experiences or competencies, obtained through organized internships and mentorships, structured work-based learning, and other related experiences.

Accomplishing these goals will help improve longer term outcomes for high school students, including increased high school graduation rates, higher rates of enrollment in postsecondary studies without the need to take remedial courses, higher postsecondary completion rates, and higher rates of completion of industry-recognized credentials and certifications. Graduates also are more likely to enjoy higher rates of employment and earn higher salaries due to their stronger college and career preparation.

Improving our high schools is a critical step for ensuring that our Nation remains competitive in today's global economy. Today's high school students are tomorrow's engineers, entrepreneurs, and civic leaders who must be critical thinkers and able to find solutions to complex and emerging challenges. High schools must provide them with a rigorous, engaging, and relevant education that prepares them to meet the demands of college and careers.

The Center on Education and the Workforce at Georgetown University projects that, by 2020, nearly two-thirds of job openings will require some postsecondary education, and about 30 percent of job openings will require at least a certificate or associate's degree. In blue collar occupations, about 31 percent of jobs will require some postsecondary education and training by 2020 ("Recovery: Projections of Jobs and Education Requirements through 2020." Georgetown University, 2013). According to a similar analysis, in STEM fields, in particular, more than 90 percent of STEM workers will need at least some postsecondary education ("Help

## INNOVATION AND IMPROVEMENT

### Next generation high schools

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Wanted: Projections of Jobs and Education Requirements through 2018.” Georgetown University, 2010).

Unfortunately, too many high school graduates are not prepared to succeed in college. According to the National Center for Education Statistics (NCES), 20 percent of first-year undergraduate students enrolled in institutions of higher education during the 2007–08 academic year reported taking remedial courses (see <http://nces.ed.gov/pubs2013/2013013.pdf>). These data suggest that too many of America's existing high schools fail to engage, motivate, or adequately support and prepare students or to provide exposure to the relevant learning that bridges their classroom learning with future college experiences and careers. The Administration's Next Generation High Schools proposal would address these concerns by promoting reforms based on evidence that students learn best when they are engaged in complex projects and tasks aligned with their interests, and when they work with others through practical examples and case studies that keep them engaged in rigorous academic coursework and in the application of knowledge.

Grantees would be expected to incorporate strategies that engage students in learning opportunities tied to real world experience (such as work-based learning) and also provide students with rigorous, challenging academic content aligned with college-level expectations, including programs that allow students to gain postsecondary credit while still in high school. These experiences would help students develop not only academic content and cognitive competencies (such as critical thinking, solving complex and non-routine problems, and evaluating arguments on the basis of evidence), but also pertinent employability skills (including interpersonal and intrapersonal competencies, such as conscientiousness and persistence) that have been shown to have consistent positive correlations with desirable educational and career outcomes (“Education for Life and Work: Developing Transferable Knowledge and Skills in the 21<sup>st</sup> Century”, National Research Council (NRC), 2012). In addition, projects would be expected to incorporate meaningful career exploration opportunities and high-quality college and career advisory services to help students plan for the pathway they need to follow to learn the skills and attain the credentials they need to enter their chosen careers.

Grantees would use program funds to leverage other existing Federal, State, and local funds, including through the development of partnerships with business, industry, public or private nonprofit organizations, and community-based organizations. A key goal of such partnerships would be to ensure that career-related activities are aligned with real world expectations and with institutions of higher education, and to ensure alignment between secondary and postsecondary content and expectations.

The Department would particularly encourage applicants for Next Generation High Schools funding to propose projects that connect with relevant industry and community partners and increase engagement by underrepresented students in STEM fields, including girls, minorities, and students who will be the first in their families to attend college. Such strategies would replicate and expand efforts recommended in a 2011 NRC report (“Successful K-12 STEM Education: Identifying Effective Approaches in Science, Technology, Engineering, and Mathematics”) and successfully underway in parts of the country to offer inclusive STEM-focused high school experiences. For example, a June 2014 report from researchers at George Washington University, George Mason University, and SRI International found that students

## INNOVATION AND IMPROVEMENT

### Next generation high schools

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attending Gary and Jerri-Ann Jacobs High Tech High School in San Diego, CA, an early college high school that provides a rigorous STEM-focused curriculum to concentrations of minority and first-generation college-going students, outperformed their district and State peers on the SAT and ACT (“Gary and Jerri-Ann Jacobs High Tech High: A case study of an inclusive STEM-focused high school in San Diego, California”). At Manor New Technology High School in Texas, another inclusive STEM-focused school, the same researchers found college enrollment rates that were significantly above the national average, with 74 percent of the school’s 2010 graduating class enrolling in an institution of higher education compared to a 2010 national average enrollment rate of 41 percent (“Manor New Tech High School: A case study of an inclusive STEM-focused high school in Manor, Texas,” 2013).

The Next Generation High Schools program expands on the congressionally required priority for comprehensive high school reforms in the Department’s fiscal year 2015 competition for grants under Investing in Innovation. The program would also complement Administration efforts to reform career and technical education as outlined in its 2012 blueprint for reauthorizing the Perkins Career and Technical Education Act, and is aligned with the 2016 proposal for an American Technical Training Fund within the CTE Innovation Fund, which would create stronger links between secondary education, postsecondary education, and the employment needs of in-demand industries.

### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2016</u>
Amount for new awards	\$120,000
Range of awards	\$4,000–\$12,000
Average award	\$6,000
Number of new awards	10–30
Number of schools supported	40–80
Peer review of new award applications	\$1,250
BIE	\$625
National activities	\$3,125

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NOTE: The fiscal year 2014 appropriations act authorized the Department to pool evaluation funds reserved under section 9601 of the ESEA and use those pooled funds to evaluate any ESEA program. The fiscal year 2015 appropriations act provided the same authority and the Administration’s fiscal year 2016 budget would continue this authority. The Next Generation High Schools program would be authorized by the ESEA; the Department may reserve funds from this program under the pooled evaluation authority in fiscal year 2016.

## INNOVATION AND IMPROVEMENT

### Next generation high schools

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#### PROGRAM PERFORMANCE INFORMATION

##### **Performance Measures**

The Department will establish goals and performance indicators to assess the impact of the activities that receive support under this program. The development of these measures would build on our experience in creating performance measures for other programs, and the Department would also seek to align program measures for Next Generation High Schools with measures for related programs.

## INNOVATION AND IMPROVEMENT

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### Teaching for tomorrow

(Proposed legislation)

(dollars in thousands)

FY 2016 Authorization: To be determined

Budget Authority:

<u>2015</u>	<u>2016</u>	<u>Change</u>
0	\$1,000,000	+\$1,000,000

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### PROGRAM DESCRIPTION

America has made measurable progress towards expanding educational opportunity and closing achievement gaps due in large part to our hard-working teachers who are dedicated to helping every child succeed. However, we must do more to support our teachers so that every child has the opportunity to receive a high-quality education. Of all the school-related factors that impact student academic performance, great teachers matter most. Research suggests that improving teacher recruitment and selection, career advancement, and supports can improve outcomes, particularly for the most vulnerable children.

Under the Teaching for Tomorrow (TFT) program, the Department would make competitive grants to support States and districts that transform the ways they recruit and prepare new teachers and support teachers in the classroom. States would use program funds to transform teacher recruitment, selection, preparation, certification, and early career supports. The TFT program would also assist States and districts in increasing the retention of excellent teachers and implementing innovative, evidence-based models for induction, mentoring, evaluation, support, compensation, and career advancement to improve teacher performance and increase access to effective teachers for all students. Program funds would also support rigorous project evaluations.

The Department would reserve up to 1 percent of TFT funds to provide technical assistance and share best practices on recruitment, selection, and preparation, as well as career advancement and supports.

The Administration's budget request includes a set of initiatives to help States, districts, institutions of higher education, and other partners address each phase of a teacher's preparation and career in order to improve student achievement and ensure access to a high-quality education for all students. The TFT proposal builds on existing programs, such as Improving Teacher Quality State Grants, and complements other proposed programs like Teacher and Principal Pathways and Excellent Educators Grants (currently the Teacher Incentive Fund).

## INNOVATION AND IMPROVEMENT

### Teaching for tomorrow

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#### FY 2016 BUDGET REQUEST

The Administration proposes \$1 billion per year for 5 years in mandatory funding for the TFT program to transform recruitment, selection, and preparation of new teachers and dramatically increase support for teachers already in the profession.

Research shows that having a great teacher can matter more for students' academic performance than any other school-related factor.<sup>1</sup> As a Nation, we need to do more to make sure that teachers are well-prepared when they enter the profession and are well-supported when they are in front of a classroom. Teachers face fresh challenges as their schools transition to new standards, new assessments, and new evaluations systems, and we must do all we can to equip teachers with the skills and tools they need to be successful.

The Obama Administration has supported many measures designed to help schools promote teacher effectiveness, particularly in schools serving children with greatest needs. These measures include encouraging the use of teacher and principal evaluation and support systems through Race to the Top (RTT) and ESEA flexibility; promoting the expansion of alternative approaches to compensation, promotion, support and retention of teachers through RTT and the proposed Excellent Educators Grants; asking States and institutions to focus on meaningful outcomes when measuring performance of teacher preparation programs through the newly proposed teacher preparation regulation as a way to help programs improve how they prepare teachers for the demands of the classroom; and requiring States to develop new plans to expand access to excellent educators.

While these are important steps, even greater changes are needed. Fundamental changes in the preparation and support of teachers can result in significant improvements in student outcomes. Some programs have emphasized more rigorous teacher preparation, giving prospective teachers more practical training. Other places have focused on supporting teachers in the classroom by providing training that is tailored to the needs of individual teachers and finding new ways to recognize the complicated work and specialized skills demanded of them.

Under the TFT program, the Department would make competitive grants to: (1) States that propose innovative changes in the ways they recruit, select, and prepare new teachers, drawing on lessons from Finland, Singapore, and elsewhere; (2) States and districts that choose a bold, comprehensive approach to supporting teachers who remain in the profession, such as by reforming evaluation, support, compensation, and retention systems, drawing on lessons from the District of Columbia and elsewhere; and (3) States and districts that propose to implement other innovative models designed to dramatically improve teacher and principal performance and increase access to effective teachers for all students.<sup>2</sup> In all cases, the Department would also support rigorous evaluations of the impact of the new investments.

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<sup>1</sup> RAND Corporation, "Teachers Matter: Understanding Teachers' Impact on Student Achievement" (2012).

<sup>2</sup> For more information on the Department's evidence standards, see 34 C.F.R. § 77.1(c); Institute of Education Sciences, "What Works Clearinghouse: Procedures and Standards Handbook" (Version 3.0, 2014).

## INNOVATION AND IMPROVEMENT

### Teaching for tomorrow

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#### Preparing for success: Improving recruitment, selection, and preparation

International best practices show that improving teacher preparation—focusing on recruiting high-quality candidates and making preparation more selective, practical, and rigorous—can increase the number of talented new teachers entering the classroom and promote gains in teacher effectiveness. These practices can be adapted appropriately to contexts in the United States.<sup>3</sup>

For example, Finland’s highly selective and high-quality teacher education system has helped that country achieve top scores on the Program for International Student Assessment (PISA) and reduce to a nominal amount the achievement gap between the best and worst Finnish schools. A 2011 OECD report, “Strong Performers and Successful Reformers in Education: Lessons from PISA for the United States” explains that teacher education in Finland has at least four distinguishing qualities: (1) Teacher candidates familiarize themselves with the knowledge base in education and human development, as well as write a research-based dissertation; (2) there is a strong focus on developing pedagogical content knowledge; (3) education includes explicit training in diagnosing students with learning difficulties and then in adapting instruction to meet various needs; and (4) preparation provides a deep clinical component. Teacher candidates also observe lessons by experienced teachers, practice teaching observed by supervisory teachers, and deliver independent lessons to different groups of pupils while being evaluated by supervising teachers as well as professors and lecturers.

Singapore has also demonstrated outstanding PISA results and achieved a high-quality teacher workforce. Singapore’s sole teacher training program recruits from among the best high school students in the country and is followed by a system of support from induction through retirement, including a reduced workload in the first year of teaching to allow for significant mentoring, coaching experiences, and career-long opportunities for recognition and advancement.

Under the TFT program, the Department would make competitive grants to States to support the transformation of their systems for teacher recruitment, selection, preparation, certification, and early career supports along the lines pioneered in Finland and Singapore. A key premise of these efforts would be an assessment of anticipated teaching needs over the next 10 years. Grantees—including States working with their schools of education—would then work to align the supply of new teachers to the estimated demand.

TFT program funds would support innovative efforts to attract diverse, high-performing individuals into teaching, such as raising awareness of the importance and benefits of the teaching profession, targeted recruitment initiatives, honors and awards, the development of data systems for LEAs to better fill existing and future vacancies with promising applicants, and cross-sector partnerships.

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<sup>3</sup> U.S. Department of Education, “Succeeding Globally Through International Education and Engagement: U.S. Department of Education International Strategy 2012–16” (2012); Reimers, et al., “Adapting Innovations Across Borders to Close Equity Gaps in Education,” in Heymann & Cassola (Eds.), “Lessons in Educational Equality: Successful Approaches to Intractable Problems around the World” (2011).

## INNOVATION AND IMPROVEMENT

### Teaching for tomorrow

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Working with teacher preparation programs, grantees would raise admissions standards and provide incentives to attract candidates from the top third of their graduating classes, accounting for both academic measures (such as GPA) or non-academic measures (such as leadership skills).<sup>4</sup> Additionally, the TFT program would support stipends and scholarships to create incentives for prospective new teachers, helping increase and diversify the applicant pool to allow for greater competition and selectivity.

Teacher preparation programs would also ensure a high level of rigor in required coursework and provide incentives for participants to complete joint degrees in subject matters and education to ensure teachers gain the high levels of content knowledge and pedagogical skills that they need to be successful in the classroom. In addition, programs would strengthen new teachers' instructional skills by including more classroom experience during their preparation, improved mentoring, and feedback from experienced teachers in the first year in the classroom, as well as more opportunities for collaborative planning with other teachers.

### Supporting success: Reforming evaluation, career advancement, and support systems

While many States and LEAs in the U.S. are incrementally implementing evaluation and support systems and introducing modest performance-based compensation plans and other activities designed to increase retention, some school systems have acted more aggressively and achieved significant improvements for teachers and students. For example, District of Columbia Public Schools (DCPS) has realized substantial gains from its IMPACT evaluation system and Leadership Initiative for Teachers (LIFT) system of differentiated compensation. DCPS has strengthened retention of high-quality teachers, contributing to significant gains in student achievement as well as large decreases in achievement gaps.<sup>5</sup> In DCPS, teachers progress through a five-stage career ladder and high-performing teachers are provided opportunities for advancement inside the classroom, additional responsibility, and increased recognition and compensation. Eligible teachers are able to participate as curriculum writers, serve in policy fellowships, and even help recruit and select new teachers for the school system. Teachers with superior performance for multiple years accelerate up the pay scale, earning annual bonuses of up to \$20,000 and base salary increases of up to \$27,000, with highly effective teachers in the highest-poverty schools eligible to earn over \$100,000 after just four years. These changes have improved retention of highly effective teachers while increasing the voluntary attrition of low-performing teachers.

TFT would support States and districts that choose a comprehensive, bold approach to supporting and retaining effective teachers that includes a fair and reliable teacher evaluation and support system that is developed in consultation with teachers. For example, grantees could restructure teacher compensation to ensure that factors other than years of experience and education credits—such as consistent high performance in high-need schools and teaching

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<sup>4</sup> Auguste, Byron, et al., "Closing the Talent Gap: Attracting and Retaining Top-Third Graduates to Careers in Teaching: An International and Market Research-Based Perspective," McKinsey & Company (2010).

<sup>5</sup> Dee, Thomas & Wyckoff, James, "Incentives, Selection, and Teacher Performance: Evidence from IMPACT," National Bureau of Economic Research Working Paper 19529 (2013); U.S. Department of Education, Institute of Education Sciences, National Center for Education Statistics, National Assessment of Educational Progress (NAEP), District Profiles and 2011 and 2013 Assessments.



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### Teaching for tomorrow

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high-need students or subjects—lead to meaningful salary increases. Grantees would also be responsible for ensuring that teachers in need of improvement receive targeted support; that teachers who do not improve over an appropriate period of time (as determined by the grantee) are fairly dismissed; that earning tenure is a meaningful accomplishment earned, in the context of full due process, by teachers who consistently meet high expectations or show improvement; and that evaluation results are considered in layoff decisions, such as during budget cuts.

The TFT program would also support improvements in the quality of school leadership through the use of comprehensive and aligned evaluation, support, compensation, and retention strategies, and increases in principal autonomy to hire and dismiss teachers. Strong organizational leadership is vital for schools to retain their strongest teachers during these reforms.<sup>6</sup> School leaders control many work environment elements that contribute to teachers' satisfaction and mobility.<sup>7</sup> Effective school leaders retain the best teachers by showing those teachers that they are valued and by freeing them to focus on student learning.<sup>8</sup>

#### Innovative alternative models

In addition to initiatives following the two models outlined above, the Department would make competitive grant awards to States and districts that propose to implement comprehensive, innovative approaches to improving the performance of teachers or school leaders. Grantees would commit to increasing access to effective teachers for all students, consistent with the State's plan to ensure that poor and minority children are taught by excellent educators under section 1111(b)(8)(C) of the Elementary and Secondary Education Act of 1965.

#### PROGRAM OUTPUT MEASURES (dollars in thousands)

<u>Measures</u>	<u>2016</u>
Amount for new Preparing for Success awards	\$400,000
Number of new awards	5–10
Range of new awards	\$25,000–\$100,000
Amount for new Supporting Success awards	\$400,000
Number of new awards	50–100
Range of new awards	\$5,000–\$75,000
Amount for new Innovative Alternative Model awards	\$190,000
Number of new awards	5–10
Range of new awards	\$5,000–\$75,000

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<sup>6</sup> Schleicher, Andreas (Ed.), "Preparing Teachers and Developing School Leaders for the 21st Century: Lessons from around the World" (2012).

<sup>7</sup> Johnson, Susan Moore, et al., "How Context Matters in High-Need Schools: The Effects of Teachers' Working Conditions on their Professional Satisfaction and their Students' Achievement," *Teachers College Record*, 114, 10, 1-39 (2012).

<sup>8</sup> Ikemoto, Gina, et al., "Playmakers: How Great Principals Build and Lead Great Teams of Teachers," *New Leaders* (2012).

## INNOVATION AND IMPROVEMENT

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<u>Measures</u>	<u>2016</u>
Technical assistance, training, outreach, and evaluation	\$10,000

### PROGRAM PERFORMANCE INFORMATION

#### Performance Measures

The Department will establish goals and performance indicators to assess the impact of the TFT program. The new goals and indicators would focus on measures concerning teacher recruitment, support, and retention. Grantees would also be required to conduct rigorous project evaluations.