Department of Education

SALARIES AND EXPENSES OVERVIEW

Fiscal Year 2021 Budget Request

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SALARIES AND EXPENSES OVERVIEW

INTRODUCTION

The Salaries and Expenses Overview summarizes the administrative costs and staffing for all Department of Education accounts. The fiscal year 2021 budget request draws support for Departmental administrative costs and full-time equivalent (FTE) employment from funding in the following accounts:

- Program Administration (PA),

- Student Aid Administration (SAA),

- Office for Civil Rights (OCR),

- Office of Inspector General (OIG),

- College Housing and Academic Facilities Loans Program (CHAFL),

- Historically Black College and University Capital Financing Program (HBCUCF), and

- Institute of Education Sciences (IES).

Greater detail on the funds supporting administrative costs and staffing is provided separately in each account's justification materials.

Department of Education's Key Programs

Administrative funds support Department programs. Key fiscal year 2021 programs include:

- The Elementary and Secondary Education for the Disadvantaged Block Grant, for which $19.3 billion would help approximately 25 million students in high-poverty schools make progress toward State academic standards;
- Individuals with Disabilities Education Act Part B Grants to States, for which $12.9 billion would help States and school districts meet the special education needs of 7.4 million students with disabilities;
- Federal Pell Grants, for which $30.3 billion would be made available in need-based grants to nearly 7.1 million students enrolled in postsecondary institutions; and
- Postsecondary student loan programs, which would help provide roughly $134 billion for new and consolidated Direct Loans to help students and families pay for college.

Hurricane Education Recovery

On February 9, 2018, the President signed into law, the Bipartisan Budget Act of 2018. The Act provided recovery funding in response to Hurricanes Harvey, Irma, and Maria, as well as the 2017 wildfires. The Department received $2.7 billion to meet the educational needs of individuals affected by a covered disaster or emergency. Of that total, $7 million is for administrative funding, including $4 million for the Office of Inspector General for oversight of activities supported with the recovery activities and funds appropriated, and up to $3 million for Program Administration.

Also, on June 6, 2019, the President signed into law, the Additional Supplemental Appropriations for Disaster Relief Act, 2019. The Act provided additional funding for Hurricane Education Recovery for necessary expenses related to the consequences of Hurricanes Florence and Michael, Typhoon Mangkhut, Super Typhoon Yutu, and wildfires, earthquakes, and volcanic eruptions occurring in calendar year 2018 and tornadoes and floods occurring in calendar year 2019 in those areas for which a major disaster or emergency has been declared. As part of the $165 million the Department received for assisting in meeting the educational needs of individuals affected by a covered disaster or emergency, $3 million is for administrative funding, including $2 million for the Office of Inspector General for oversight of activities supported with the funds appropriated, and up to $1 million of the funds for Program Administration.

FY 2021 BUDGET REQUEST

The Administration's fiscal year 2021 President's request for discretionary Salaries and Expenses totals $2.539 billion, $138.1 million over the fiscal year 2020 appropriation level. A summary of changes by funding account is provided on page X-10.
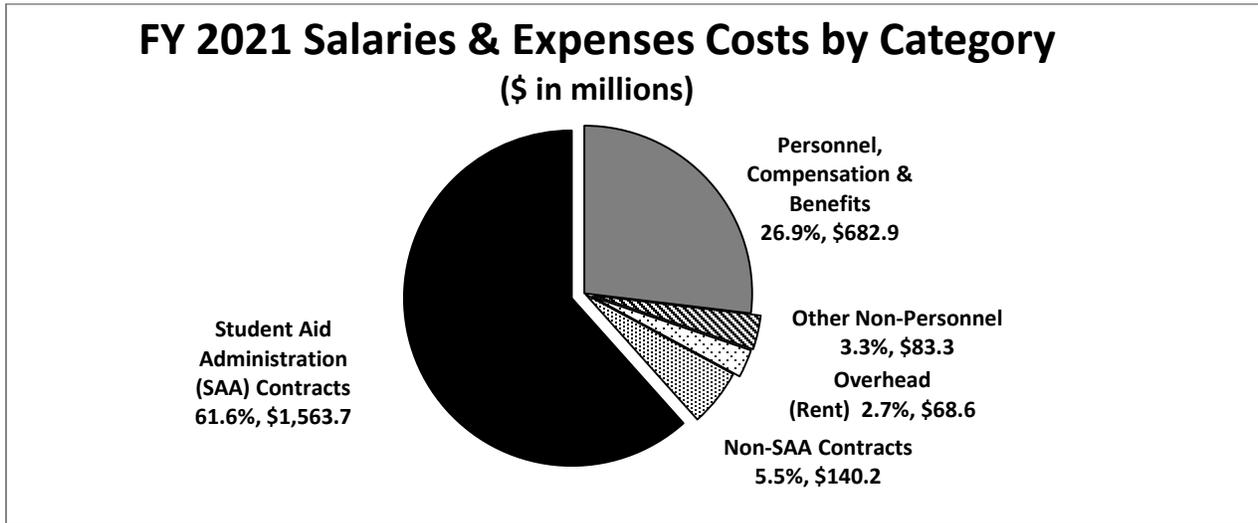
The requested fiscal year 2021 increase focuses on key departmental policy and management priorities. These include continued IT security improvements to ensure the integrity of the Department of Education systems and prevent potential breaches. It also includes the Office of Federal Student Aid's (FSA) transition to the Next Generation Financial Services Environment; continual operations for student aid application processing, origination, and disbursement operations; and student aid IT system hosting. Funding is also requested for building modernization and renovation activities which will reduce the Department's overall footprint and save on future rent costs by vacating existing space.

The Department is pursuing an innovative strategy to deliver Federal student aid services and information to our customers. Next Gen FSA will create an improved, world-class customer experience for Federal Student Aid (FSA)'s millions of customers, while creating a more agile, flexible servicing model that will streamline FSA's existing operations. Next Gen FSA will improve the integrity of the Higher Education Act (HEA) Title IV programs and transform how FSA oversees organizations that support its mission.

The key to the Next Gen FSA transformation will be a comprehensive, FSA-branded customer engagement layer that will create an environment where the Department's customers will receive clear, consistent information and readily accessible self-service options at every stage of the student aid lifecycle. FSA will emphasize a mobile-first, mobile-complete, mobile continuous strategy complemented by web, phone, chat, and in-person capabilities. It will transform FSA into a trusted source of information and greatly simplify the process of assisting customers choose the best options to manage their student debt. In addition, the creation of standardized systems, processes, and procedures—combined with the inclusion of clear performance expectations tied to explicit contractual incentives and disincentives—is expected to simplify oversight of vendor performance and better ensure compliance with consumer protection and customer service standards.

The fiscal year 2021 Salaries and Expenses Costs by Category chart on page X-3 provides detail on the total Salaries and Expenses request of $2.5 billion by category.

FY 2021 Salaries & Expenses Costs by Category
($ in millions)

Student Aid Administration (SAA) Contracts 61.6%, $1,563.7

Personnel, Compensation & Benefits 26.9%, $682.9

Other Non-Personnel 3.3%, $83.3

Overhead (Rent) 2.7%, $68.6

Non-SAA Contracts 5.5%, $140.2

SUMMARY OF STAFFING AND NON-PERSONNEL COSTS

Staffing

The Department of Education's programs and responsibilities have grown substantially over the past decade. Some of the growth was driven by legislation that added responsibilities or required administrative change, including the Student Aid and Fiscal Responsibility Act and the move to 100 percent Direct Lending, the Workforce Innovation and Opportunity Act, and the Federal Information Technology Acquisition Reform Act. In addition, oversight of the Department student loan and grant programs continues to grow. The reauthorized Elementary and Secondary Education Act, as amended by the Every Student Succeeds Act, requires the Department to provide assistance and flexibility to states and school districts to ensure a smooth implementation of the new statute. The Department's workload has increased as it strives to improve oversight of programs and data.

The Administration's Budget request for fiscal year 2021 supports 4,028 Full-Time Equivalents (FTE) employees, a net increase of 196 FTE above the 2020 appropriation level. The request reflects an increase of 39 FTE for Program Administration; 21 FTE for the Office of Inspector General (OIG); 3 FTE for the Office for Civil Rights (OCR); and an increase of 133 FTE for Student Aid Administration.

A 10-year history of the Department's staffing is shown in the following chart:

Department Full-Time Equivalent (FTE) Employment Usage
(FY 2012 – FY 2021)

FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020 Est.	FY 2021 Est.
4,276	4,090	4,027	4,081	4,150	4,107	3,795	3,582	3,832	4,028

SALARIES AND EXPENSES OVERVIEW

Department employees are divided between Washington, D.C., headquarters, 11 regional offices, and 13 field offices. Most regional and field office staff are in FSA, OIG, and OCR. The FSA regional staff offices' workload is dedicated to oversight of schools participating in the HEA Title IV programs and performing program reviews of Federal Family Education Loan (FFEL) participants including lenders, lender servicers, guaranty agencies, and guaranty agency servicers. Additionally, FSA staff conduct program reviews of loan servicers and private collection agencies under contract with the Department. OIG staff conducts audits and investigations of Department programs and operations. OCR staff investigates civil rights complaints and conduct civil rights compliance reviews.

A map of the Department's staff location of Regional and Field Offices is shown below:
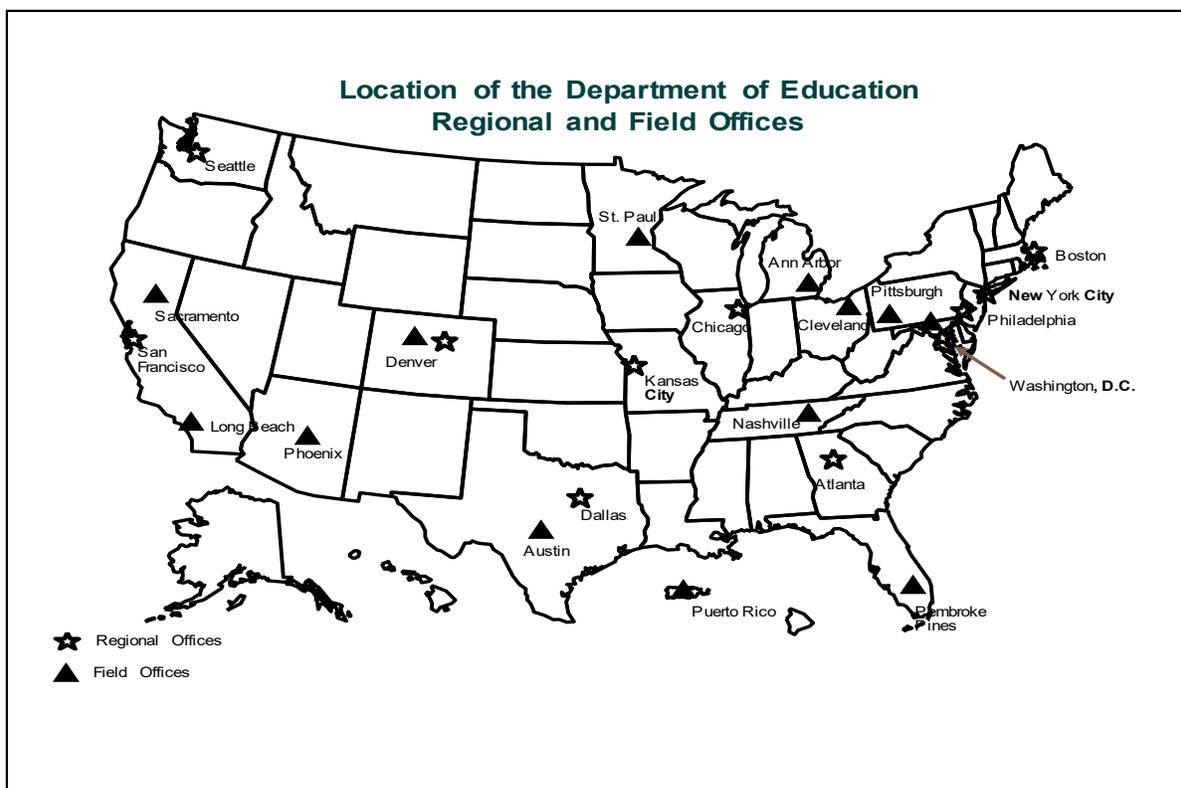
Personnel Compensation and Benefits (PC&B)

The fiscal year 2021 Request includes $682.9 million for the Department personnel compensation and benefits (PC&B) costs, $41.8 million more than the fiscal year 2020 appropriation level. PC&B funds include salaries, overtime, awards, consultants, benefits for current and former personnel, student loan repayments, and transit subsidy benefits. The Request covers an increase due to health premiums and FERS contribution rates, and a pay raise in 2020 and 2021. Additionally, in support of the President's Management Agenda Workforce Cross-Agency Priority Goal and to carry out the Department's Agency Workforce Fund Plan, the request covers an increase for employee awards by 1 percentage point of non-Senior Executive Service (SES), Senior Level (SL), and Scientific or Professional (ST) pay in fiscal year 2021.

Non-Personnel Costs

Non-personnel costs cover such items as travel, rent, mail, telephones, utilities, printing, IT, contractual services, equipment, supplies, and other departmental services. The total budget for non-personnel activities in fiscal year 2021 is $1.8 billion, $96.4 million more than the fiscal year 2020 appropriation level. The majority of this increase is attributable to the transition to the Next Gen Financial Services Environment and other operational costs of administering Federal student financial aid. The Office of the Chief Information Officer and FSA are aligning technologies and services common to operating environments managed by each respective office.

Departmental Centralized Services

Centralized Services cover common support administrative and IT services for all program and staff offices. The funds are managed by the Office of Finance and Operations and the Office of the Chief Information Officer.

<u>Office of Finance and Operations - Central Support Expenses</u>

The Administration is requesting a total of $179.5 million for fiscal year 2021, an increase of $20.0 million compared to the fiscal year 2020 appropriation level, to cover the central support services that include: rent to the U.S. General Services Administration, building alterations and repairs, lease renewal, training, supplies, mail, and physical security for buildings and personnel. Major increases include building modernization to reduce future rent costs by consolidating office space, EDCAPS grants management system technology refresh implementation i.e., G5 Modernization, EDCAPS integrated support services, and training.

<u>Office of the Chief Information Officer – Central Information Technology</u>

The Administration is requesting a total of $95.5 million for fiscal year 2021, a decrease of $11.7 million less than the fiscal year 2020 appropriation level, not including a transfer of $5 million to the IT System Modernization and Working Capital account. Central IT funds cover activities including computer operations, maintenance and improvements; local area network operations, initiatives designed to link Department business needs with the best available technology; and other commonly shared IT and office automation activities. Major increases include IT support for building modernization of headquarters and regional offices and CIO Innovations, and ePMO, offset by decreases in Portfolio of Integrated Value-Oriented Technologies, and Enterprise Cybersecurity Program.

IT System Modernization – Working Capital Fund

The Administration requests that the Program Administration, Office for Civil Rights, and Office of Inspector General Salaries and Expenses accounts be provided the transfer authority necessary to make use of the IT Working Capital Fund authorized by the Modernizing Government Technology (MGT) Act. The authority would enable the Department to transfer 1-year administrative funds to an account with a 3-year period of availability for use on IT modernization. The estimated transfer amount for fiscal year 2021 is $5 million, from the Program Administration account.

SALARIES AND EXPENSES OVERVIEW

Getting Payments Right

The Department continues to focus on the integrity of payments made, which includes assessing risks associated with improper payments and establishing effective internal controls designed to prevent, detect, reduce, and recover improper payments that could otherwise result in a monetary loss to the government.

The 2021 Budget supports ongoing efforts and builds on recent legislative success to identify and prevent improper payments in the Pell Grant program. The President recently signed the Fostering Undergraduate Talent by Unlocking Resources for Education (FUTURE) Act, which will help ensure the accuracy of income information used for determining Pell Grant eligibility. One of the primary causes of improper payments in the Pell Grant program is failure to accurately verify financial data. The FUTURE Act provides an exception to the Department of Education from restrictions of Section 6103 of the Internal Revenue Code to allow the Department to more easily receive income tax data from the IRS, thereby simplifying and improving the accuracy of Free Application for Federal Student Aid filing by prepopulating certain fields. This exception will also allow borrowers to more easily recertify their income to stay enrolled in Income Driven Repayment plans. The FUTURE Act closely reflects the proposal to reduce improper payments put forth in the President's 2020 Budget.

The Department of Education will also continue to utilize sophisticated statistical techniques to more efficiently target student aid recipients for verification of eligibility for aid as well as target its program compliance reviews at schools with the greatest risks of improper payments. Pell Grant improper payments that result in monetary loss are most frequently the result of administrative errors by schools, including distribution of funds to ineligible students or in incorrect amounts based on a students' eligibility.

In addition to the ongoing administrative actions the Department is taking, the 2021 Budget includes a legislative proposal to further reduce improper payments in the Pell Grant program. The Budget proposes to bar someone from receiving another Pell Grant if they have been awarded three consecutive Pell Grants without earning any credits. This will prevent the fraudulent practice of people going from school to school, enrolling long enough to receive a reimbursement but not pursuing any credits. This proposal would reduce Pell Grant discretionary program costs by $164 million and mandatory outlays by $38 million over 10 years.

As part of its ongoing oversight activities, FSA conducts periodic recertification of all schools' eligibility and loss of school eligibility activities, assesses millions of dollars through final program review and audit determinations, and places schools with serious violations on heightened cash monitoring for disbursements. In addition, FSA's Enforcement Unit debars individuals from receiving assistance or benefits from any Federal Agency as a result of financial aid fraud or other criminal convictions.

As part of its efforts to address risks related to the integrity of payments, beginning in fiscal year 2019, the Department started monitoring the outlays of six grant programs receiving funding for disaster relief. According to Implementation of Internal Controls and Grant Expenditures for the Disaster-Related Appropriations, Office of Management and Budget (OMB) Memorandum

M-18-14, any disaster related program with $10 million or more in outlays in a given fiscal year is deemed susceptible to significant improper payments. Programs susceptible to significant improper payments shall produce and report an improper payment estimate. In fiscal year 2020, the Department identified three programs: the Immediate Aid to Restart School Operations Program, the Temporary Emergency Impact Aid for Displaced Students Program, and the Emergency Assistance to Institutions of Higher Education Program that exceeded the $10 million threshold in fiscal year 2019 disbursements. It is anticipated that there will be additional disaster related programs that will exceed the thresholds set by OMB M-18-14 and require the Department to develop a statistically valid and rigorous improper payment estimation methodology. The Department will continue to select and analyze statistical payment samples to estimate the percentage and dollar value of improper payments for each program's disbursements associated with supplemental disaster relief funding. Additionally, the Department will continue to assess the improper payment risk of all of its programs to determine whether any should be designated as high-risk and susceptible to significant improper payments.

The Department continues to refine the Payment Integrity Monitoring Application (PIMA), which enables the detection of anomalies in grant payment data. Integrity checks are created in PIMA based on policy-related business cases for potential improper payment detection. Case management files are established within the application for follow-up investigation by process owners to validate improper payments and determine root causes.

Continuous Diagnostics and Mitigation

The Department has increased its focus on cybersecurity.

The Continuous Diagnostics and Mitigation (CDM) Program, a Governmentwide program centrally managed by the Department of Homeland Security (DHS), is intended to create a common baseline of cybersecurity capability and protection across the Federal Government. The program provides Federal Departments and Agencies with CDM-certified capabilities and tools that identify and prioritize cybersecurity risks on an ongoing basis and enable cybersecurity personnel to mitigate the most significant problems first. The CDM tools also allow Departments and Agencies to better manage their IT assets, helping to reduce their overall attack surface.

Historically, it has taken Agencies days or weeks to detect cybersecurity incidents in their environment. Once fully deployed, the CDM Program will shorten this timeframe to hours and minutes.

The CDM tools provide near real-time awareness of the Department's networks and environments. Data from the tools are automatically ingested into an individual dashboard at the Department. The Agency Dashboard provides current visibility into the Department's overall security posture based on a 72-hour data currency. With the full implementation of CDM, summary data from the individual Agency dashboards across the Federal Government will be aggregated into one Federal-level dashboard with planned synchronization every 8 hours. The Federal Dashboard is maintained by the DHS CDM Program and allows DHS to monitor and respond to Federal cybersecurity threats and incidents quickly and efficiently.

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The CDM-specific line items, as required by the recent FISMA guidance OMB memorandum M-20-04 signed November 19, 2019, are provided below:

ACCOUNT	LINE-ITEM	AMOUNT
Program Administration	Enterprise Cybersecurity Program	$2,000,000
FSA – Student Aid Administration	FSA Cybersecurity Program	994,000
Institute of Education Sciences (IES)	IES Support, EDFacts, Sample Survey, Educational Assessment	6,300,000
Total		**9,294,000**

Advertising Contracts and Expenditures

The Department is providing actual expenditures for fiscal year 2019 and expected expenditures for fiscal years 2020 and 2021, (shown on the table below) for (1) all contracts for advertising services; and (2) contracts for the advertising services of (a) socially and economically disadvantaged small business concerns (as defined in section 8(a)(4) of the Small Business Act (15 U.S.C. 637(a)(4)); and (b) women- an minority owned businesses.

Fiscal Year	Amount
FY 2019	$3,024,267
FY 2020	3,114,995
FY 2021	3,239,595

Participation in Governmentwide E-Government Initiatives

The Department is actively participating in a number of Governmentwide e-Government initiatives and lines of business designed to make it easy for citizens and businesses to interact with the Government, save taxpayer dollars, and streamline citizen-to-Government communications. The Department budgeted a total of $2.3 million in fiscal year 2020 and requests $2.3 million in fiscal year 2021 for these initiatives.

The Request includes support for the following initiatives/lines of business noted in the chart below:

SALARIES AND EXPENSES OVERVIEW

(in whole dollars)

Governmentwide E-Government Initiative/Line of Business	FY 2020	FY 2021 Request
Budget Line of Business	$110,000	$120,000
E-Rulemaking	146,000	170,008
Financial Management Line of Business	231,000	231,000
Geospatial Line of Business	25,000	25,000
GovBenefits.gov*	265,000	265,000
Grants.gov	423,000	436,000
Human Resource Management Line of Business	69,000	69,000
Integrated Awards Environment*	918,000	918,000
Performance Management Line of Business	80,000	80,000
USAJOBS	30,000	31,000
Total	**2,297,000**	**2,346,008**

NOTE: Funding for initiatives marked with an asterisk * is from the Student Aid Administration account; funding for all other initiatives/lines of business is from the Program Administration account.

SALARIES AND EXPENSES OVERVIEW

Department of Education

Budget Authority by Account
(dollars in thousands)

ACTIVITY	2019 Appropriation	2020 Appropriation	2021 Request	Change from 2020 to 2021
Program Administration:				
Salaries and Expenses	$430,000	$430,000	$433,723	$3,723
Building Modernization	0	0	15,000	15,000
Office for Civil Rights	125,000	130,000	130,000	0
Office of Inspector General	61,143	63,000	68,019	5,019
Subtotal, Departmental Management	616,143	623,000	646,742	23,742
Student Aid Administration:				
Salaries and Expenses	698,943	911,843	1,148,604	236,761
Servicing Activities	980,000	857,100	734,705	-122,395
Subtotal, Student Aid Administration account	1,678,943	1,768,943	1,883,309	114,366
Administrative costs from program accounts:				
College Housing and Academic Facilities Loans	435	435	435	0
Historically Black College and University Capital Financing	334	334	334	0
Institute of Education Sciences:				
National Assessment Governing Board	7,745	7,745	7,745	0
National Board for Education Sciences	93	155	155	0
Subtotal, Program accounts	8,607	8,669	8,669	0
Total, Salaries and Expenses	**2,303,693**	**2,400,612**	**2,538,720**	**138,108**

SALARIES AND EXPENSES OVERVIEW

Department of Education

Budget Authority by Object Classification
(dollars in thousands)

	Object Class	2019 Appropriation	2020 Appropriation	2021 Request	Change from 2020 to 2021
11.10	Full-time permanent	$445,634	$468,951	$497,017	$28,066
11.31	Full-time temporary	3,899	6,925	5,143	-1,782
11.32	Part-time	783	1,448	1,469	21
11.33	Consultants	265	283	287	4
11.51	Overtime	1,430	566	842	276
11.52	Awards	6,476	6,938	10,374	3,436
	Subtotal, Personnel Comp.	458,487	485,111	515,132	30,021
12.00	Benefits	151,201	155,353	167,072	11,719
12.15	Student Loan Repayment	52	22	22	0
13.01	Benefits for former personnel	674	674	674	0
	Subtotal, Benefits	151,927	156,049	167,768	11,719
21.00	Travel	8,870	8,887	8,722	-165
22.00	Transportation of things	0	0	0	0
23.10	Rental Payments to GSA	75,731	69,849	67,166	-2,683
23.31	Communications	1,122	1,222	1,274	52
23.32	Postage/fees	195	206	204	-2
	Subtotal, 23	77,048	71,277	68,644	-2,633
24.00	Printing & Reproduction	1,940	1,067	1,066	-1
25.10	Advisory and Assistance Svcs	10,717	8,587	8,915	328
25.21	Other Services	934,597	1,016,052	975,925	-40,127
25.22	Training/Tuition/Contracts	5,959	6,229	7,407	1,178
25.23	Field Readers	0	27	34	7
25.30	Goods/Services from Gov't	70,624	69,457	59,795	-9,662
25.40	Operations/Maint of Facilities	1	0	0	0
25.71	Operations/Maint of Equipment	1,556	1,528	1,535	7
25.72	IT Services/Contracts	576,279	567,295	706,460	139,165
	Subtotal, 25	1,599,733	1,669,175	1,760,071	90,896
26.00	Supplies	1,005	1,004	1,114	110
31.01	IT Equipment/Software	2,306	2,839	2,927	88
31.03	Other Equipment	1,257	477	429	-48
	Subtotal, 31	3,563	3,316	3,356	40
32.00	Building Alterations	1,120	4,726	12,847	8,121
43.01	Interest and Dividends	0	0	0	0
	Total, Budget Authority	**2,303,693**	**2,400,612**	**2,538,720**	**138,108**
	Total, Pers. Comp. & Ben.	**610,414**	**641,160**	**682,900**	**41,740**
	Total, Non-Personnel	**1,693,279**	**1,759,452**	**1,855,820**	**96,368**

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Department of Education

Full-Time Equivalent (FTE) Employment (Staff Years) by Account

ACCOUNT	2019 Actual	2020 Appropriation	2021 Request	Change from 2020 to 2021
Program Administration	1,500	1,542	1,581	39
Office for Civil Rights	508	589	592	3
Office of Inspector General	241	231	252	21
Subtotal, Departmental Management	2,222	2,362	2,425	63
Student Aid Administration	1,343	1,451	1,584	133
FTE funded from program accounts:				
College Housing and Academic Facilities Loans	2	2	2	0
Historically Black College and University Capital Financing	2	2	2	0
Institute of Education Sciences:				
National Assessment Governing Board	13	14	14	0
National Board for Education Sciences	0	1	1	0
Subtotal, Program Accounts	17	19	19	0
Total, FTE	**3,582**	**3,832**	**4,028**	**196**

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Department of Education

Full-Time Equivalent (FTE) Employment by Office

OFFICE	2019 Actual	2020 Predicted Level	2021 Request	Change from 2020 to 2021
Career, Technical and Adult Education	67	66	66	0
Chief Information Officer	97	90	105	15
Civil Rights	508	589	592	3
Communications and Outreach	82	88	82	-6
Elementary and Secondary Education	233	245	250	5
English Language Acquisition, Language Enhancement, and Academic Achievement for Limited English Proficient Students	14	14	14	0
Federal Student Aid	1,232	1,320	1,453	133
Finance and Operations	359	415	433	18
General Counsel	104	109	110	1
Inspector General	214	231	252	21
Institute of Education Sciences	154	158	160	2
Legislation and Congressional Affairs	16	16	14	-2
National Assessment Governing Board	13	14	14	0
National Board for Education Sciences	0	1	1	0
Planning, Evaluation, and Policy Development	55	57	59	2
Postsecondary Education	154	157	166	9
Secretary	87	73	66	-7
Special Education and Rehabilitative Services	175	175	179	4
Under Secretary	18	14	12	-2
Total, FTE	**3,582**	**3,832**	**4,028**	**196**

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Department of Education

Detail of Full-time Equivalent (FTE) Employment

	2019 Actual	2020 Appropriation	2021 Request
Executive level I..	1	1	1
Executive level II...	2	3	3
Executive level III..	0	1	1
Executive level IV..	6	7	7
Executive level V...	1	1	1
Executive level AD...	1	1	1
Subtotal..	11	14	14
Total - EX Salary................................	$1,827,700	$2,484,050	$2,508,400
Senior Executive Service........…………….…	74	86	86
Subtotal - ES[1]	74	86	86
Total - ES Salaries...........................	$13,221,012	$15,458,500	$15,609,000
AL...	1	1	1
AD...	278	348	340
ED/EI..…	3	4	4
GL...…	3	3	3
GS/GM-15..…………	429	424	425
GS/GM-14.......................................…………	851	844	844
GS/GM-13.......................................…………	960	941	942
GS-12..	673	632	634
GS-11..	116	111	112
GS-10..	0	0	0
GS-9..	89	92	94
GS-8..	27	28	28
GS-7..	46	49	52
GS-6..	10	10	10
GS-5..	6	8	8
GS-4..	17	19	19
GS-3..	0	1	1
GS-2..	2	2	2
GS-1..	0	0	0
Subtotal...	3,512	3,516	3,519
Total full-time equivalent employment, end of year...	3,597	3,616	3,619
Full-time equivalent (FTE) usage...	3,582	3,823	4,018
Average ES salary..	$178,662	$179,750	$181,500
Average GS/GM grade....................................	11.9	11.6	11.6
Average GS/GM salary....................................	$120,471	$123,558	$126,483

[1] FY 2019 includes 4 FSA SES positions. FY 2020 and FY 2021 include 10 FSA SES positions.

Operating Structure for Policy and Reporting Guidance
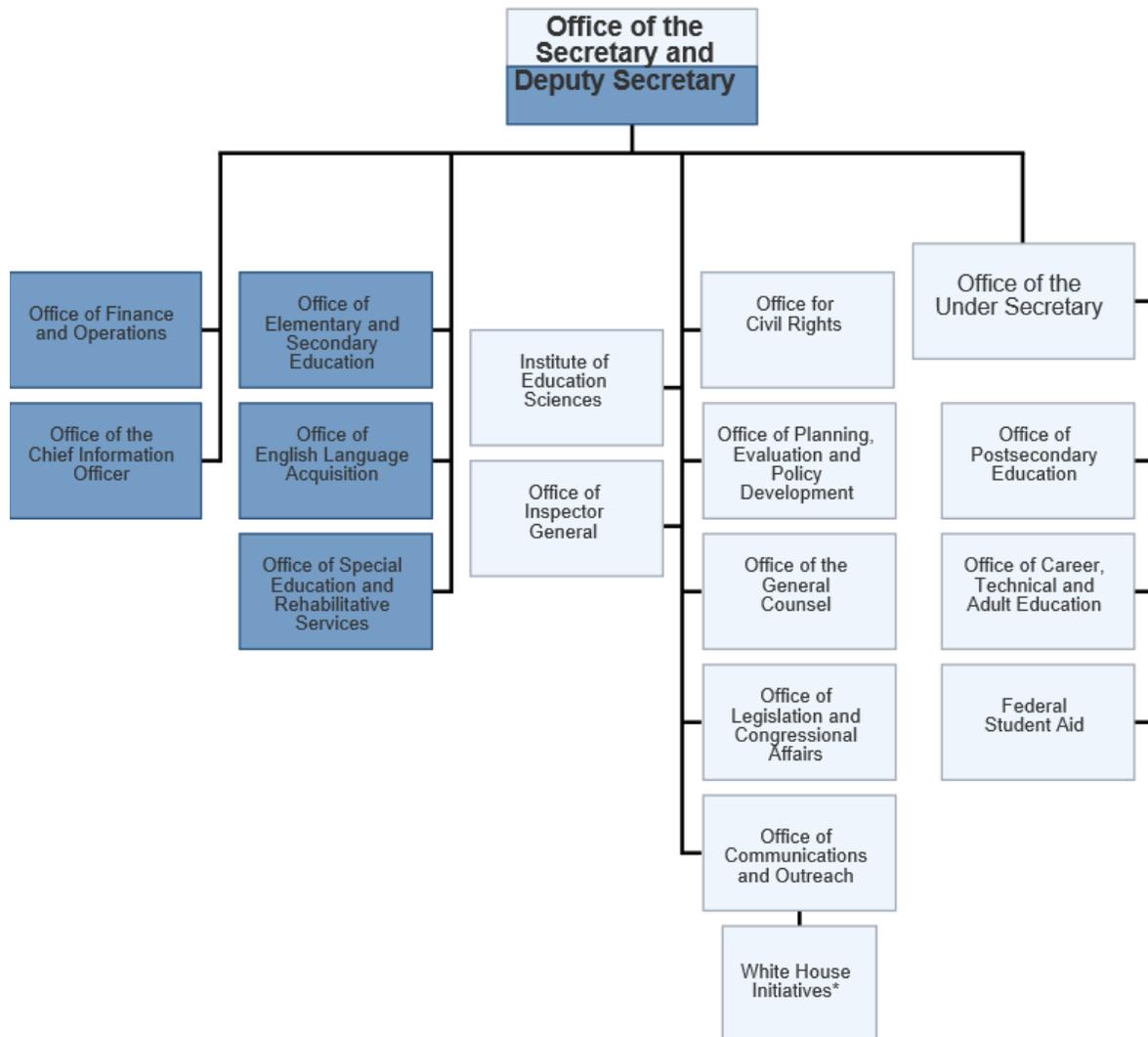
Department of Education
Locations of Major Administrative Contracts and Current Contractors

3* Concord, NH

11 Niagara Falls

3* Harrisburg, PA
3* Warrendale

9 Boise

3* Madison

5, 10 Coralville

11 Piscataway, NJ

3* Lincoln

10 Aurora

3* Wilmington, DE

3* Salt Lake City

7 Denver
9 Colorado Springs

5,10 Lawrence

3* Chesterfield

2 Bethesda, MD
2, 8 Columbia

3* Knoxville

1,4,9,10,11 Washington, DC

3* Oklahoma City

10 Montgomery

5,11 Arlington, VA
1 McLean
2 Oakton
9 Clarksville
2 Sterling
3*,10 Falls Church
6 Reston
2,9 Herndon
10 Manassas
2 Chantilly

10 Hattiesburg

2 Plano
10 El Paso
11 San Antonio

5 Venice

11 Columbus, GA

10 London, KY
10,11 Monticello, KY

1 Financial Management System (FSA)
2 PIVOT (OCIO)
3 Loan Servicers (FSA)
4 OCR CRDC Survey (OCR)
5 National Student Loan Data System (FSA)
6 System Security Authorizations (FSA)
7 Payroll/Personnel Processing Center (OFO)

8 Education Department Central Automated Processing Systems (EDCAPS)(OFO)
9 Next Generation Data Center (FSA)
10 Application and Eligibility Determination System, FSA Customer Contact Center, and FSA Feedback and Ombudsman System (FSA)
11 Title IV Origination and Disbursement System (FSA)

Note: An asterisk represents a headquarters location for loan servicing contracts. Additional locations can be found in the Student Aid Administration Congressional Justification.

Report on the Budget Formulation and Execution Line of Business

Required by Division D, Section 737(d) of the Consolidated Appropriations Act, 2008, P.L. 110-161

The U.S. Department of Education assumed the role as the first Managing Partner for the Budget Line of Business (Budget LoB) in the fall of 2006. The focus of the Budget LoB is to build a "budget of the future" by promoting information-sharing across Government Agency budget offices, as well as building a "community of practice." Through this collaboration, the budget community has been identifying best practices for all aspects of budget formulation and execution. The Budget LoB strives to find solutions linking budget formulation, execution, planning, performance, and financial management information.

The goals of the Budget LoB are to:

- Improve the efficiency and effectiveness of Agency and central processes for formulating and executing the Federal Budget;

- Improve capabilities for analyzing and presenting budget, execution, planning, and financial information in support of decision making; and

- Enhance the effectiveness of the Federal budgeting workforce

Budget LoB anticipates 10-year savings of over $200 million Governmentwide due to efficiencies gained through collaboration and increased use of technology. Many Agency budget offices do not have automated systems to support budget formulation and execution activities. Agencies rely on basic office software and manual processes. Budget LoB's goal is to reduce time spent by budget personnel on manual processes and increase time spent on high priority analytical activities (via increased use of technology, improved processes, and a better equipped workforce).

Budget LoB is a mixed lifecycle investment. Activities and solutions under development by Budget LoB workgroups are at different stages within the development lifecycle. Products under development are listed in the Objectives and Benefits table below and include implementation or projected implementation dates.

The following tables display the objectives and benefits, risks, costs, and Agency contributions to Budget LoB.

SALARIES AND EXPENSES OVERVIEW

Objectives and Benefits: Technology

Capability	Objectives and Benefits
Technology	
Technology **Collaboration**	Improves the efficiency and effectiveness of Government activities through the ready accessibility of information, and the ability to collaborate remotely both within an Agency (i.e., collaboration with regional and field staff) and across Federal Agencies (i.e., collaboration of each Agency with OMB and other Agencies on shared programs). Current products include the MAX Federal Community and MAX Desktop and meetings.max.gov (a secure online meeting capability). Current Status: The MAX Federal Community, a cross-agency collaboration platform, provides increased information sharing, collaboration, and knowledge management securely across the Federal Government, as well as within each Agency. With over 250,000 members (up from approximately 238,000 in December 2018), the MAX Federal Community is the largest Government operated collaboration site.
Technology **Data Collection & Tracking**	Improves OMB and Agency efficiency and effectiveness in carrying out the numerous required budget data exercises. Benefits apply to both central budget exercises (i.e., those required of Agencies by OMB) and exercises at the departmental or Agency level (i.e., those requested by central offices of Agency regional and field offices). Agency benefits include increased data collection capabilities, reduced errors, and reduced time spent manually consolidating and publishing data. Current products include web-based data collection tools, specifically MAX Collect and MAX JIRA Forms, used for central budget exercises and for Agency use in the collection of budget briefings, questions for the record, performance management, apportionments, allotments, and other budget data. MAX Survey is a basic data collection capability also available on MAX.gov. Current Status: Budget LoB data collection tools have demonstrated significant value to the budget community by automating the collection of data for dozens of centralized exercises related to earmarks, continuing resolutions, questions for the record, and across-the-board reductions. The MAX Collect tool provides even greater benefit by enabling Agency budget offices to automate their own data collection exercises. Agencies are now using the tool to facilitate a broad range of data calls and data collection exercises. In recent years, the Budget LoB developed MAX JIRA Forms, which provides a much simpler and far more powerful user interface for collecting and reporting on data. With the de-commission of MAX Collect Forms over the past year, the Budget LoB transitioned all remaining Collect Forms exercises to MAX JIRA, which provides a more customizable interface and additional capabilities desired by Agency budget offices, like customized notifications, view access, and a clean user interface. MAX Survey is used to quickly gather and analyze information via tokenized surveys.

SALARIES AND EXPENSES OVERVIEW

Capability	Objectives and Benefits
Technology	
Technology **Knowledge Management**	Improves the ability of Agencies to locate and access information, increases the availability and comprehensiveness of data, and improves the ability of the budgeting community to manage the impending retirement of key personnel. Database-driven products such as the MAX Federal Community, MAX Collect, and MAX JIRA enhance knowledge management capabilities by capturing "knowledge" as it is generated, simply as a by-product of these tools.
Technology **Agency Budget Formulation and Execution Tools**	Provides a cost-effective strategy for Agencies that do not have budget formulation and execution applications, or have outdated applications, to quickly improve their effectiveness through automation. This effort encourages common and integrated solutions that are usable Governmentwide. Products include the Budget Formulation and Execution Manager system (BFEM), the first shared budget formulation system by the Department of Treasury; the Departmental E-Budgeting System (DEBS), a shared offering from the Department of Labor; the Decision Matrix for budget systems evaluation (full systems evaluations); the Budget Capability Self-Assessment Tool (BC SAT); the MAX A-11 Data Transfer and Rule Validation project; and a common Budget Office Solutions catalog. The Decision Matrix allows Agencies to define their specific budget system requirements and evaluates the capability and maturity of six Agency and three commercial budget systems against those requirements. The BC SAT has provided several Agencies with comprehensive resource listings to further help them with strategic planning and resourcing. Current Status: The MAX A-11 Rule Validation team supports processes, methodologies, and standards to enable Agencies to exchange data with OMB's MAX A-11 system through the use of multiple 'services', greatly improving the process, eliminating large amounts of manual data entry, and enabling availability of account level information on a real-time basis. The Budget LoB continues to support Treasury's BFEM, Labor's DEBS and EPA's BFS systems as they provide customer Agencies with enhanced connections to OMB's MAX budget system.
Technology **Analytical Tools**	Enhances Federal capabilities for analyzing budget formulation, execution, planning, performance, and financial information. This enables more complete, thorough, and timely analysis, which will, in turn, provide policy decision-makers with improved understanding of policy option impacts and alternatives. Current products include the MAX Analytics tool suite, including CTools, IdealFed, and BIRT, which create custom charts and graphs for analysis, and associated tools built upon the analytics core. Current Status: MAX Analytics integrates with Budget LoB data collection and collaboration tools, enabling charts that update automatically as new

SALARIES AND EXPENSES OVERVIEW

Capability	Objectives and Benefits
Technology	
	data is entered. Agencies have been using MAX Analytics to dynamically display the results of their data collections and to transform how they use analytics to manage problems. The Budget LoB continues to work with Agencies to include the most relevant and useful capabilities in the tool suite. Several Agencies (OMB, DOJ, DOL, etc.) are now utilizing MAX Analytics to drive decision making based upon analysis not previously possible.
Technology **Budget Execution and Financial Management Integration**	Improves the quality and integrity of information, data flows, and reporting in budget formulation and execution, especially in regard to its touch points with financial management. Identifying common business processes and data standards will form the basis for requirements for use in developing budget systems, as well as closer alignment with financial management systems. Current products include Governmentwide process maps for budget execution and budget formulation and the web-based Budget Execution training module, Budget Formulation training module, and Appropriations Law training module. Current Status: The training modules are in use throughout the budget community. Over 10,300 individuals have accessed the self-paced online training module courses, which have an estimated return on investment to date of over 7,220 percent and a savings of over $8.66 million.
Technology **Document Production**	Enables Agency budgeting personnel to move from clerical to analytical functions, increasing Agency analytical resource availability. Many Agency budget staff work countless hours to incorporate late-breaking policy data changes in high-visibility publications. Often, many changes must be simultaneously made in multiple documents for different stakeholders. Document production capabilities exist in Treasury and Labor's shared service budget systems, as well as in the MAX Collect Tool, and in a recently released service allowing budget personnel to develop their own reporting templates.

Objectives and Benefits: Governance

Capability	Objectives and Benefits
Governance	
Governance **Program Management Office (PMO)**	Serves as a central coordination point for Governmentwide collaboration and sharing of technologies and processes. The Program Management Office (PMO) allows resources across Government to be leveraged for cost savings. In this way, costs are reduced, economies of scale are achieved, and risks in developing and buying Agency budget tools are reduced through a coordinated combination of approaches that include: sharing common budget formulation components, purchasing commonly used software that has been proven in multiple Agencies, and purchasing services from other Agencies.

SALARIES AND EXPENSES OVERVIEW

Capability	Objectives and Benefits
	The PMO will support enhanced efficiency, effectiveness, quality, knowledge management, presentation, collaboration, and flexibility within the Budget LoB. Currently, the PMO supports monthly Task Force meetings, bi-annual conferences, and apportionment, budget formulation, questions for the record, and credit subsidy workgroups, which are open to the entire federal budget community. These meetings and events are designed to share information on budget community solutions, trainings, and best practices.
Governance **Process Improvements**	Allows for the development of system requirements and guidelines for tools that are modular in nature (can be used as part of any system) and available for use by multiple Agencies. Accounts for the importance of flexibility in the budgeting process and acts as a set of standards that are essential for the automated exchange of budget data with Treasury and OMB, as well as Agency financial management systems. Current products include numerous updates to the MAX Federal Community, MAX Collect, MAX Analytics, and MAX JIRA as well as implementation of MAX Authentication services at 16 Agencies with work underway to support additional Agencies with "single sign-on" capabilities.
Governance **Service Module Standardization**	Encourages reusability and interoperability of budget systems across Agencies to achieve significant cost savings through a "build once, use often" philosophy. Service module registration via the PMO will help ensure that Agencies are aware of existing services so that duplicative investments are not made.

Objectives and Benefits: Human Capital

Capability	Objectives and Benefits
Human Capital	
Human Capital **Budget Human Capital**	Enhances the effectiveness of the existing budgeting workforce and encourages participation from other professions within Government, the private sector, and universities. The Budget LoB provides a central venue for the budget community, OPM, and the Council of Human Capital Officers to grow the appeal of Federal Budgeting as a career by combining Agency efforts to define budget career paths, core competencies, leadership development, certification programs, and sharing of ideas in areas such as succession planning, retention and recruitment. Products include recommendations on core competencies and proficiency levels; the bi-annual Forum devoted to bringing together budget professionals from across the Federal Government to broaden their understanding of the tools and training opportunities available to their budget offices; and training curricula for budget analysts, as well as no-cost training courses for budget staff and self-paced training modules. More are planned for fiscal year 2021. Current status: Thousands of Government employees have participated in training through in-class, web-based, or facilitated online training sessions hosted by the Budget LoB. Regular panel discussions feature OMB or

Capability	Objectives and Benefits
	senior Agency budget staff focusing on specific budgeting related topics and have been attended by over 4,120 individuals since the Department began hosting them. Brownbag discussion groups focusing on a deeper understanding of budget execution and on the Budget Career Road Map have been attended by over 1,760 people. An in-depth course focusing on Basic Budget Processes, first offered in 2013 and held 25 times, generally has a waiting list and has had strong participation from over 620 attendees. All of these opportunities are offered to Federal employees free of charge.

Risks

Type of Risk [1]	Risk	Description	Mitigation Approach
Other	Technology	Maintaining ability to develop and field highest-quality IT services in the midst of rapid expansion of use without accompanying equal increase in available resources.	Work with product leads to encourage continued focus on quality and meeting requirements, implement updated procedures. Engage Agencies for more participation in development, fielding, and maintenance of solutions.
Other	Management Oversight	Agency budget offices do not make use of the range of Budget LoB products and services available to them—risk is unrealized cost avoidance/cost savings.	Develop metrics and assess tools capabilities and whether they are optimized for Agency budget office use.

[1] Types of risk are categorized as either significant or other. If significant risks occur, they have substantial impact on the ability of the Line of Business to succeed. Other risks, while potentially serious, may not significantly impact the Line of Business and its ability to succeed.

SALARIES AND EXPENSES OVERVIEW

Line of Business IT Costs (dollars in thousands)

	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021
Planning	$125	$116	$78	$95	$95	$95	$95	$95	$100	$120
Acquisition	350	375	178	265	265	265	265	265	371	421
Operations & Maint.	700	781	919	1105	1055	955	955	955	900	1080
Govt FTE Costs	238	244	100	100	100	100	100	100	100	100
Total	1,413	1,516	1,275	1,565	1,515	1,415	1,415	1,415	1,471	1,721
FTE	2	2	1	1	1	1	1	1	1	1

SALARIES AND EXPENSES OVERVIEW

Anticipated Contributions to the Budget LoB by Agency (dollars in thousands)

AGENCY	FY 2019	FY 2020	FY 2021
Department of Agriculture	$110	$110	$120
Department of Commerce	110	110	120
Department of Defense--Military	110	110	120
Department of Education (*direct funds)*	110	110	120
Department of Energy	110	110	120
Department of Health and Human Services	110	110	120
Department of Homeland Security	110	110	120
Housing and Urban Development	110	110	120
Department of the Interior	110	110	120
Department of Justice	110	110	120
Department of Labor	110	110	120
Department of State	110	110	120
Department of Transportation	110	110	120
Department of the Treasury	110	110	120
Department of Veterans Affairs	110	110	120
US Army Corps of Engineers-Civil Works	80	80	80
Environmental Protection Agency	110	110	120
General Services Administration	110	110	120
National Aeronautics and Space Administration	110	110	120
National Science Foundation	110	110	120
USAID	110	110	120
Office of Personnel Management	110	110	120
Small Business Administration	55	55	60
Securities and Exchange Commission	0	0	60
Social Security Administration	55	55	60
Office of National Drug Control Policy	55	55	60

SALARIES AND EXPENSES OVERVIEW

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SALARIES AND EXPENSES OVERVIEW

GAO-IG Act – Table of Open Recommendations

The following table satisfies the requirements of the Good Accounting Obligation in Government (GAO–IG) Act (P.L. 115-414).

ACN	Rec No.	Audit Title	Issuer	Final Report Issue Date	Office	Audit Status	Recommendation Text	Rec Status	Status
GAO-15-84	1	Managing for Results: Selected Agencies Need to Take Additional Efforts to Improve Customer Service	GAO	10/24/2014	FSA	Resolved	The Secretary of Education should direct Federal Student Aid's Chief Operating Officer, to improve Federal Student Aid's customer service standards and feedback review, to: (1) ensure standards are easily publicly available, (2) develop a feedback mechanism that includes guidance or criteria for service providers to elevate customer feedback to identify the need for and to make service improvements.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-15-314	1	Higher Education: Better Management of Federal Grant and Loan Forgiveness Programs for Teachers Needed to Improve Participant Outcomes	GAO	3/26/2015	FSA	Resolved	To enhance participation in and strengthen management of federal student aid programs for teachers, the Secretary of Education should direct Federal Student Aid's Chief Operating Officer to explore and implement ways to raise awareness about the TEACH Grant and the loan forgiveness programs.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-15-314	2	Higher Education: Better Management of Federal Grant and Loan Forgiveness Programs for Teachers Needed to Improve Participant Outcomes	GAO	3/26/2015	FSA	Resolved	To enhance participation in and strengthen management of federal student aid programs for teachers, the Secretary of Education should direct Federal Student Aid's Chief Operating Officer to take steps to determine why participants are not able to meet TEACH Grant service requirements and examine ways to address those challenges.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-15-314	3	Higher Education: Better Management of Federal Grant and Loan Forgiveness Programs for Teachers Needed to Improve Participant Outcomes	GAO	3/26/2015	FSA	Resolved	To enhance participation in and strengthen management of federal student aid programs for teachers, the Secretary of Education should direct Federal Student Aid's Chief Operating Officer to review the underlying cause of the known erroneous conversions to ensure steps Education has taken are sufficient to address the problem, and establish time frames for transferring the approximately 2,600 loan conversions currently with other loan servicers.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-15-314	4	Higher Education: Better Management of Federal Grant and Loan Forgiveness Programs for Teachers Needed to Improve Participant Outcomes	GAO	3/26/2015	FSA	Resolved	To enhance participation in and strengthen management of federal student aid programs for teachers, the Secretary of Education should direct Federal Student Aid's Chief Operating Officer to review the TEACH grant-to-loan conversion dispute process and disseminate to appropriate audiences clear, consistent information on it, including that recipients have an option to dispute, how to initiate a dispute, and the specific criteria considered in the adjudicating process.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-15-314	5	Higher Education: Better Management of Federal Grant and Loan Forgiveness Programs for Teachers Needed to Improve Participant Outcomes	GAO	3/26/2015	FSA	Resolved	To enhance participation in and strengthen management of federal student aid programs for teachers, the Secretary of Education should direct Federal Student Aid's Chief Operating Officer to establish program performance measures for the TEACH Grant and the loan forgiveness programs to assess against established goals and to inform program administration.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.

ACN	Rec No.	Audit Title	Issuer	Final Report Issue Date	Office	Audit Status	Recommendation Text	Rec Status	Status
GAO-15-663	1	Federal Student Loans: Education Could Do More to Help Ensure Borrowers Are Aware of Repayment and Forgiveness Options	GAO	9/17/2015	FSA	Completed	To help ensure that Income-Based Repayment, Pay As You Earn, and Public Service Loan Forgiveness serve their intended beneficiaries to the greatest extent possible, the Secretary of Education should take steps to consistently and regularly notify all borrowers who have entered repayment of income-driven repayment plan options, including Income-Based Repayment and Pay As You Earn.	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.
GAO-15-663	2	Federal Student Loans: Education Could Do More to Help Ensure Borrowers Are Aware of Repayment and Forgiveness Options	GAO	9/17/2015	FSA	Completed	To help ensure that Income-Based Repayment, Pay As You Earn, and Public Service Loan Forgiveness serve their intended beneficiaries to the greatest extent possible, the Secretary of Education should take steps to examine borrower awareness of Public Service Loan Forgiveness and increase outreach about the program as needed.	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.
GAO-16-196T	1	Federal Student Loans: Key Weaknesses Limit Education's Management of Contractors	GAO	11/18/2015	FSA	Resolved	To strengthen management of the Direct Loan Program and ensure good customer service for borrowers, the Secretary of Education should direct the Office of Federal Student Aid's Chief Operating Officer to review its methods of providing instructions and guidance to servicers, identifying areas to improve clarity and sufficiency, and ensure consistent delivery of instructions and guidance to ensure program integrity and improve service to borrowers. For example, the Department could consider implementing a detailed, common servicing manual for the Direct Loan program.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-16-196T	2	Federal Student Loans: Key Weaknesses Limit Education's Management of Contractors	GAO	11/18/2015	FSA	Resolved	To strengthen management of the Direct Loan Program and ensure good customer service for borrowers, the Secretary of Education should direct the Office of Federal Student Aid's Chief Operating Officer to implement a more rigorous methodology for selecting recorded calls between servicers and borrowers to review, including a clearer definition of the sample servicers should select, a sample that targets more critical and more frequent types of calls, and a verification process to ensure integrity of the call selection process.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-16-196T	3	Federal Student Loans: Key Weaknesses Limit Education's Management of Contractors	GAO	11/18/2015	FSA	Resolved	To strengthen management of the Direct Loan Program and ensure good customer service for borrowers, the Secretary of Education should direct the Office of Federal Student Aid's Chief Operating Officer to better document call monitoring results to allow analysis of trends over time and facilitate the sharing of complete and consistent information from these efforts with FSA management.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-16-523	1	Federal Student Loans: Education Could Improve Direct Loan Program Customer Service and Oversight	GAO	6/22/2016	FSA	Resolved	To help address Education's strategic goal of providing superior customer service to borrowers, and to strengthen oversight of the Direct Loan program, the Secretary of Education should develop a minimum standard that specifies core call center operating hours to provide borrowers, including those on the West Coast, with improved access to servicers.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-16-523	2	Federal Student Loans: Education	GAO	6/22/2016	FSA	Resolved	To help address Education's strategic goal of providing superior customer service to borrowers, and to strengthen oversight of the	Resolved	The Corrective Action Plan has been developed

ACN	Rec No.	Audit Title	Issuer	Final Report Issue Date	Office	Audit Status	Recommendation Text	Rec Status	Status
		Could Improve Direct Loan Program Customer Service and Oversight					Direct Loan program, the Secretary of Education should ensure the new unified borrower complaint tracking system includes comprehensive and comparable information on the nature and status of borrower complaints made to both Education and servicers, to allow Education to track trends and better manage the program to effectively meet borrower needs.		and the recommendation is being implemented.
GAO-16-523	3	Federal Student Loans: Education Could Improve Direct Loan Program Customer Service and Oversight	GAO	6/22/2016	FSA	Resolved	To help address Education's strategic goal of providing superior customer service to borrowers, and to strengthen oversight of the Direct Loan program, the Secretary of Education should evaluate and make needed adjustments to Direct Loan servicer performance metrics and compensation to improve assessment, including using baseline data, and alignment with Federal Student Aid's strategic goals aimed at superior customer service and program integrity, and to ensure that the assignment of new loans to servicers takes program compliance into account.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-17-45	1	Social Security Offsets: Improvements to Program Design Could Better Assist Older Student Loan Borrowers with Obtaining Permitted Relief	GAO	12/20/2016	FSA	Resolved	To improve program design for Social Security offsets and related relief options, the Secretary of Education should inform affected borrowers of the suspension of offset and potential consequences if the borrower does not take action to apply for a TPD discharge. Such information could include notification that interest continues to accrue and that offsets may resume once their disability benefits are converted to retirement benefits.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-17-45	2	Social Security Offsets: Improvements to Program Design Could Better Assist Older Student Loan Borrowers with Obtaining Permitted Relief	GAO	12/20/2016	FSA	Resolved	To improve program design for Social Security offsets and related relief options, the Secretary of Education should revise forms sent to borrowers already approved for a TPD discharge to clearly and prominently state that failure to provide annual income verification documentation during the 3-year monitoring period will result in loan reinstatement.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-17-45	3	Social Security Offsets: Improvements to Program Design Could Better Assist Older Student Loan Borrowers with Obtaining Permitted Relief	GAO	12/20/2016	FSA	Resolved	To improve program design for Social Security offsets and related relief options, the Secretary of Education should evaluate the feasibility and benefits of implementing an automated income verification process, including determining whether the agency has the necessary legal authority to implement such a process.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-17-45	4	Social Security Offsets: Improvements to Program Design Could Better Assist	GAO	12/20/2016	FSA	Resolved	To improve program design for Social Security offsets and related relief options, the Secretary of Education should inform borrowers about the financial hardship exemption option and application process on the agency's website, as well as the notice of offset sent to borrowers.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.

ACN	Rec No.	Audit Title	Issuer	Final Report Issue Date	Office	Audit Status	Recommendation Text	Rec Status	Status
		Older Student Loan Borrowers with Obtaining Permitted Relief							
GAO-17-45	5	Social Security Offsets: Improvements to Program Design Could Better Assist Older Student Loan Borrowers with Obtaining Permitted Relief	GAO	12/20/2016	FSA	Resolved	To improve program design for Social Security offsets and related relief options, the Secretary of Education should implement an annual review process to ensure that only eligible borrowers are exempted from offset for financial hardship on an ongoing basis.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-17-555	1	Higher Education: Education Should Address Oversight and Communication Gaps in Its Monitoring of the Financial Condition of Schools	GAO	10/5/2017	FSA	Resolved	To improve oversight of school finances and provide better information to schools and the public about its monitoring efforts, the Chief Operating Officer of the Office of Federal Student Aid should update the composite score formula to better measure schools' financial conditions and capture financial risks.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-17-555	2	Higher Education: Education Should Address Oversight and Communication Gaps in Its Monitoring of the Financial Condition of Schools	GAO	10/5/2017	FSA	Resolved	To improve oversight of school finances and provide better information to schools and the public about its monitoring efforts, the Chief Operating Officer of the Office of Federal Student Aid should improve guidance to schools about how the financial composite score is calculated, for example, by updating current guidance to include explanations about common areas of confusion and misinterpretation for schools.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-17-555	3	Higher Education: Education Should Address Oversight and Communication Gaps in Its Monitoring of the Financial Condition of Schools	GAO	10/5/2017	FSA	Resolved	To improve oversight of school finances and provide better information to schools and the public about its monitoring efforts, the Chief Operating Officer of the Office of Federal Student Aid should increase the transparency of public data on schools' financial health by publicly listing the final composite score for each school.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A17-R0002	1	FY 2017 FSA Financial Statement Audit	OIG	11/13/2017	FSA	Resolved	(Significant) 1. We recommend FSA's Chief Administration Officer develop and implement a monitoring process over FSA's personnel security activities to ensure investigations and reinvestigations are prioritized for personnel with sensitive system access within the Department.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A17-R0002	1	FY 2017 FSA Financial Statement Audit	OIG	11/13/2017	FSA	Resolved	(Significant) 1. We recommend that the FSA Chief Operating Officer continue to execute the corrective actions as outlined in FSA's project plan to comply with the timing requirement for the referral of delinquent non-tax debts.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A17-R0002	1	FY 2017 FSA Financial Statement Audit	OIG	11/13/2017	FSA	Resolved	(Significant) 1. We recommend the FSA Chief Financial Officer support the efforts of the Director, Budget Service to develop and document the Department's process, policies and procedures for the	Completed	Action has been taken. The recommendation remains open until all

ACN	Rec No.	Audit Title	Issuer	Final Report Issue Date	Office	Audit Status	Recommendation Text	Rec Status	Status
							authorization, design, development, testing, approval and implementation of new models and model enhancements.		other recommendations have been complete.
A17-R0002	2	FY 2017 FSA Financial Statement Audit	OIG	11/13/2017	FSA	Resolved	(Significant) 2. We recommend the FSA Chief Financial Officer support the efforts of the Director, Budget Service to document the Department's process, policies, procedures and related controls for managing the operation and use of approved models.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A17-R0002	2	FY 2017 FSA Financial Statement Audit	OIG	11/13/2017	FSA	Resolved	(Significant) 2. We recommend the FSA CISO work with the Department CISO to strengthen and refine the process for holding system owners and information system security officers accountable for remediation of control deficiencies and ensuring that the appropriate security posture is maintained for Department and FSA information systems.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A17-R0002	3	FY 2017 FSA Financial Statement Audit	OIG	11/13/2017	FSA	Resolved	(Significant) 3. We recommend the FSA Chief Financial Officer support the efforts of the Director, Budget Service to enhance the process to capture model risks, update the assessment of risks related to each model, and document how that assessment impacts the Department's prioritization of corrective actions, and requisite level of controls, validation and monitoring over each model.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A17-R0002	4	FY 2017 FSA Financial Statement Audit	OIG	11/13/2017	FSA	Resolved	(Significant) 4. We recommend the FSA Chief Financial Officer support the efforts of the Director, Budget Service to document and enhance the Department's processes, policies, procedures and related controls for the periodic review, validation and approval of the Department's models at the assumption, model and program level.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A17-R0002	5	FY 2017 FSA Financial Statement Audit	OIG	11/13/2017	FSA	Resolved	(Significant) 5. We recommend the FSA Chief Financial Officer support the efforts of the Director, Budget Service to document the overall review and conclusions drawn related to the evaluation of the results of model performance reviews and validation procedures performed.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A17-R0002	6	FY 2017 FSA Financial Statement Audit	OIG	11/13/2017	FSA	Resolved	(Significant) 6. We recommend the FSA Chief Financial Officer support the efforts of the Director, Budget Service to ensure modeling risks are considered in connection with the Department's enterprise risk management program.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A17-R0002	7	FY 2017 FSA Financial Statement Audit	OIG	11/13/2017	FSA	Resolved	(Significant) 7. We recommend the FSA Chief Financial Officer ensure modeling risks are considered in connection with FSA's enterprise risk management program.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
I04-R0003	1	FSA Borrower Defense to Repayment Loan Discharge Process	OIG	12/8/2017	FSA	Resolved	(Significant) We recommend the Chief Operating Officer for FSA -1. Request approval from the Acting Under Secretary to resume the review, approval, and discharge processes for claims qualifying under the seven established categories, including claims that have been flagged for approval.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
I04-R0003	1	FSA Borrower Defense to	OIG	12/8/2017	FSA	Resolved	(Significant) We recommend the Chief Operating Officer for FSA- 1. Implement an information system that (a) maintains quality information regarding borrower defense claims, process status, and decision	Resolved	Action has been taken. The recommendation remains open until all

ACN	Rec No.	Audit Title	Issuer	Final Report Issue Date	Office	Audit Status	Recommendation Text	Rec Status	Status
		Repayment Loan Discharge Process					outcomes; (b) allows for claim data queries for all stages of claim review; and (c) contains controls to protect the integrity of the claims data.		other recommendations have been complete.
I04-R0003	2	FSA Borrower Defense to Repayment Loan Discharge Process	OIG	12/8/2017	FSA	Resolved	(Significant) We recommend the Chief Operating Officer for FSA— -2. Request approval from the Acting Under Secretary to resume consideration and determination of whether additional categories of claims with common facts qualify for discharge.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
I04-R0003	3	FSA Borrower Defense to Repayment Loan Discharge Process	OIG	12/8/2017	FSA	Resolved	(Significant) We recommend the Chief Operating Officer for FSA— -3. Ensure consistent documentation of the review and approval of legal memoranda or other findings used to justify discharges.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
I04-R0003	4	FSA Borrower Defense to Repayment Loan Discharge Process	OIG	12/8/2017	FSA	Resolved	(Significant) We recommend the Chief Operating Officer for FSA— -4. Confirm and document OGC advice on the (1) discharge of Everest and WyoTech job placement misrepresentation rate claims and (2) the amount of relief for all job placement rate misrepresentation claims.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
I04-R0003	5	FSA Borrower Defense to Repayment Loan Discharge Process	OIG	12/8/2017	FSA	Resolved	(Significant) We recommend the Chief Operating Officer for FSA— -5. Establish and document policies and procedures for reviewing and making determinations on unique or other claims for which FSA has no associated legal memorandum.	Resolved	Action has been taken. The recommendation remains open until all other recommendations have been complete.
I04-R0003	6	FSA Borrower Defense to Repayment Loan Discharge Process	OIG	12/8/2017	FSA	Resolved	(Significant) We recommend the Chief Operating Officer for FSA— -6. Document and maintain readily available evidence for all quality control reviews.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
I04-R0003	7	FSA Borrower Defense to Repayment Loan Discharge Process	OIG	12/8/2017	FSA	Resolved	(Significant) We recommend the Chief Operating Officer for FSA— -7. Establish and document policies and procedures for discharging loans associated with approved claims with certain characteristics. These characteristics include (a) borrowers enrolled in multiple programs and at least one program is eligible for relief, (b) the borrower received a loan disbursement after the school closed, (c) the discharge is impacted by a State's statute of limitations, and (d) the borrower's loan is a Federal Family Education Loan program loan or a Perkins loan.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
I04-R0003	8	FSA Borrower Defense to Repayment Loan Discharge Process	OIG	12/8/2017	FSA	Resolved	(Significant) We recommend the Chief Operating Officer for FSA— -8. Establish and document policies and procedures for closing out and issuing decisions on borrower defense claims flagged for denial.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
I04-R0003	9	FSA Borrower Defense to Repayment Loan Discharge Process	OIG	12/8/2017	FSA	Resolved	(Significant) We recommend the Chief Operating Officer for FSA— -9. Establish timeframes for the claim's intake, claims review, loan discharge, and claims denial processes and develop controls to ensure timeframes are met.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-18-121	1	Federal Student Aid: Better Program	GAO	12/15/2017	FSA	Completed	The Secretary of Education should direct the Chief Operating Officer of FSA to establish and document a procedure for the destruction of	Completed	GAO reviewed the supporting

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		Management and Oversight of Postsecondary Schools Needed to Protect Student Information					records contained in electronic systems in accordance with approved disposition schedules.		documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.
GAO-18-121	2	Federal Student Aid: Better Program Management and Oversight of Postsecondary Schools Needed to Protect Student Information	GAO	12/15/2017	FSA	Completed	The Secretary of Education should direct the Chief Operating Officer of FSA to ensure staff receive records management training annually.	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.
GAO-18-121	3	Federal Student Aid: Better Program Management and Oversight of Postsecondary Schools Needed to Protect Student Information	GAO	12/15/2017	FSA	Completed	The Secretary of Education should direct the Chief Operating Officer of FSA to conduct the triennial assessment of the FSA records management program.	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.
GAO-18-121	4	Federal Student Aid: Better Program Management and Oversight of Postsecondary Schools Needed to Protect Student Information	GAO	12/15/2017	FSA	Completed	The Secretary of Education should direct the Chief Operating Officer of FSA to ensure that privacy impact assessments address all required elements.	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.
GAO-18-121	5	Federal Student Aid: Better Program Management and Oversight of Postsecondary Schools Needed to Protect Student Information	GAO	12/15/2017	FSA	Completed	The Secretary of Education should direct the Chief Operating Officer of FSA to ensure that information security-related policies and procedures are reviewed at least annually, in accordance with FSA policy; updated as needed; and approved by security officials.	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.
GAO-18-121	6	Federal Student Aid: Better Program Management and Oversight of Postsecondary Schools Needed to Protect Student Information	GAO	12/15/2017	FSA	Completed	The Secretary of Education should incorporate into its program review process the review of postsecondary schools' information security program requirements.	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.

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GAO-18-121	7	Federal Student Aid: Better Program Management and Oversight of Postsecondary Schools Needed to Protect Student Information	GAO	12/15/2017	FSA	Completed	The Secretary of Education should update its regulation to include protections of personal information as an element of a school's ability to demonstrate its administrative capability.	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.
A19-R0003	1	Review of FSA Contractor Security Screening Process	OIG	4/17/2018	FSA	Resolved	(Significant) We recommend that the Chief Operating Officer for FSA: 2.1 Identify and begin tracking all active contractor employees assigned to FSA contracts, along with their risk level and any IT access, to ensure that all contractor employees have undergone security screenings at appropriate risk levels as required by Department policy. For those who have not, take immediate action to complete the security screenings and/or deny further access to Department facilities, systems, and information until appropriate security screenings are completed or required screening information is submitted. Alert the Department CISO of the condition.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A19-R0003	1	Review of FSA Contractor Security Screening Process	OIG	4/17/2018	FSA	Resolved	(Significant) We recommend that the Chief Operating Officer for FSA: 1.1 Ensure that staff involved in the contractor personnel security screening process are aware of and comply with the Directive requirements, to include any subsequent updates to the requirements, and fulfill their responsibilities for processing security screenings.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A19-R0003	2	Review of FSA Contractor Security Screening Process	OIG	4/17/2018	FSA	Resolved	(Significant) We recommend that the Chief Operating Officer for FSA: 1.2 Develop written policies and procedures to comply with the Directive, to include explanations of the key duties to be performed by specific FSA staff, requirements of the contract positions and risk designation process including the use of Position Designation Records, and other internal requirements for the FSA contractor personnel security screening process, as well as contractor employee departure procedures.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A19-R0003	2	Review of FSA Contractor Security Screening Process	OIG	4/17/2018	FSA	Resolved	(Significant) We recommend that the Chief Operating Officer for FSA: 2.2 Determine through system security audit logs and other appropriate validation processes, if there were instances of unauthorized access to Department information and systems and report appropriately, at a minimum to the Department's CISO.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A19-R0003	3	Review of FSA Contractor Security Screening Process	OIG	4/17/2018	FSA	Resolved	(Significant) We recommend that the Chief Operating Officer for FSA: 1.3 Have appropriate FSA staff develop and approve complete position category listings and associated risk level designations for all contractor positions on each contract, through FSA justification of position responsibilities and access, and through reconciliation of current contract position risk levels and any available position risk level designation records.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A19-R0003	3	Review of FSA Contractor Security Screening Process	OIG	4/17/2018	FSA	Resolved	(Significant) We recommend that the Chief Operating Officer for FSA: 2.3 Ensure that security screenings and reinvestigations are initiated within the timeframes established by the Directive.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.

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A19-R0003	4	Review of FSA Contractor Security Screening Process	OIG	4/17/2018	FSA	Resolved	(Significant) We recommend that the Chief Operating Officer for FSA: 1.4 Ensure that screenings are initiated at the appropriate risk level based on the contractor employee's position risk level that was classified and approved by FSA.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A19-R0003	4	Review of FSA Contractor Security Screening Process	OIG	4/17/2018	FSA	Resolved	(Significant) We recommend that the Chief Operating Officer for FSA: 2.4 Ensure that all contractor employees complete the appropriate screening steps before receiving access to IT systems or Department sensitive or Privacy Act-protected information.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A19-R0003	5	Review of FSA Contractor Security Screening Process	OIG	4/17/2018	FSA	Resolved	(Significant) We recommend that the Chief Operating Officer for FSA: 1.5 Coordinate with OM to learn the adjudication results of current contractor employees assigned to FSA contracts to ensure that all contractor employees either have a screening initiated or have been appropriately cleared to work on Department contracts.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A19-R0003	5	Review of FSA Contractor Security Screening Process	OIG	4/17/2018	FSA	Resolved	(Significant) We recommend that the Chief Operating Officer for FSA: 2.5 Ensure that contractor employees review and sign applicable Rules of Behavior for IT systems they are accessing.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A19-R0003	6	Review of FSA Contractor Security Screening Process	OIG	4/17/2018	FSA	Resolved	(Significant) We recommend that the Chief Operating Officer for FSA: 1.6 Monitor the screening status of contractor employees until final OM adjudication decisions are made.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A19-R0003	6	Review of FSA Contractor Security Screening Process	OIG	4/17/2018	FSA	Resolved	(Significant) We recommend that the Chief Operating Officer for FSA:2.6 Ensure that ISSOs maintain and exercise access approval rights over any IT systems that contain or can access sensitive Department data, whether owned by the Department or by the contractor, and modify applicable contracts accordingly to reflect the FSA ISSO approval rights.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A19-R0003	7	Review of FSA Contractor Security Screening Process	OIG	4/17/2018	FSA	Resolved	(Significant) We recommend that the Chief Operating Officer for FSA: 1.7 Maintain all information and records required by the Directive, to include up-to-date listings of all contractor employees assigned to FSA contracts and records of OM adjudication decisions for all contractor employees assigned to FSA contracts.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A19-R0003	7	Review of FSA Contractor Security Screening Process	OIG	4/17/2018	FSA	Resolved	(Significant) We recommend that the Chief Operating Officer for FSA: 2.7 Ensure that any contractor employees with discontinued or rejected investigations have all access to sensitive Department information, including any IT access, discontinued until appropriate screening steps have been completed. Alert the Department CISO should this condition exist.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A19-R0003	8	Review of FSA Contractor Security Screening Process	OIG	4/17/2018	FSA	Resolved	(Significant) We recommend that the Chief Operating Officer for FSA: 1.8 Ensure that all contractor employee departures are reported to OM as required and inform contractor companies on a regular basis of	Resolved	The Corrective Action Plan has been developed

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							their responsibility to notify FSA of contractor employee departures. Also ensure that contractors provide PIV cards to the COR upon contractor employee departure, as required.		and the recommendation is being implemented.
A19-R0003	8	Review of FSA Contractor Security Screening Process	OIG	4/17/2018	FSA	Resolved	(Significant) We recommend that the Chief Operating Officer for FSA: 2.8 Ensure that all non-U.S. citizens, current and prospective, are permitted to work on Department contracts only after appropriate steps have been taken with regard to waiver documentation, as required by the Directive.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A19-R0003	9	Review of FSA Contractor Security Screening Process	OIG	4/17/2018	FSA	Resolved	(Significant) We recommend that the Chief Operating Officer for FSA: 2.9 Ensure that FSA staff are aware of and have an understanding of their responsibilities and applicable policies and procedures.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-18-163	1	Federal Student Loans: Actions Needed to Improve Oversight of Schools' Default Rates	GAO	4/30/2018	FSA	Resolved	The Chief Operating Officer of the Office of Federal Student Aid should increase the transparency of the data Education publicly reports on school sanctions by adding information on the number of schools that are annually sanctioned and the frequency and success rate of appeals.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-18-518	1	Cybersecurity: Office of Federal Student Aid Should Take Additional Steps to Oversee Non-School Partners' Protection of Borrower Information	GAO	9/17/2018	FSA	Resolved	The Secretary of Education should enroll loan servicers in FSA's continuous monitoring program and, in the interim, require these entities to report the results of security controls testing at an FSA-defined frequency.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-18-518	2	Cybersecurity: Office of Federal Student Aid Should Take Additional Steps to Oversee Non-School Partners' Protection of Borrower Information	GAO	9/17/2018	FSA	Resolved	The Secretary of Education should enroll private collection agencies in FSA's continuous monitoring program, and, in the interim, require these entities to test all controls at an FSA-defined frequency and regularly report the results.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-18-518	3	Cybersecurity: Office of Federal Student Aid Should Take Additional Steps to Oversee Non-School Partners' Protection of Borrower Information	GAO	9/17/2018	FSA	Resolved	The Secretary of Education should modify FSA's agreements with guaranty agencies to specify a required baseline of security controls based on the impact level of the information shared with these agencies, as determined by FSA.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-18-518	4	Cybersecurity: Office of Federal Student Aid Should Take Additional Steps to Oversee Non-School	GAO	9/17/2018	FSA	Resolved	The Secretary of Education should establish a process for continuous monitoring of guaranty agencies' implementation of security and privacy requirements between on-site assessments, to include testing all controls at an FSA-defined frequency and regularly reporting results.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.

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		Partners' Protection of Borrower Information							
GAO-18-518	5	Cybersecurity: Office of Federal Student Aid Should Take Additional Steps to Oversee Non-School Partners' Protection of Borrower Information	GAO	9/17/2018	FSA	Resolved	The Secretary of Education should include specific security and privacy requirements in agreements with the Federal Family Education Loan (FFEL) Program lenders based on FSA's categorization of the information shared with the lenders.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-18-518	6	Cybersecurity: Office of Federal Student Aid Should Take Additional Steps to Oversee Non-School Partners' Protection of Borrower Information	GAO	9/17/2018	FSA	Resolved	The Secretary of Education should develop policies and procedures to gain assurance that FFEL lenders have appropriate security and privacy controls in place and that these controls are being regularly tested and monitored.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-18-547	1	Public Service Loan Forgiveness: Education Needs to Provide Better Information for the Loan Servicer and Borrowers	GAO	9/27/2018	FSA	Resolved	The Chief Operating Officer of the Office of Federal Student Aid should develop a timeline for issuing a comprehensive guidance and instructions document for PSLF servicing. This could involve developing a new servicing manual or expanding upon the PSLF servicer's existing processing handbook.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-18-547	2	Public Service Loan Forgiveness: Education Needs to Provide Better Information for the Loan Servicer and Borrowers	GAO	9/27/2018	FSA	Resolved	The Chief Operating Officer of the Office of Federal Student Aid should provide additional information to the PSLF servicer and borrowers to enhance their ability to determine which employers qualify for PSLF. This could involve Education developing an authoritative list of qualifying employers or improving the PSLF servicer's existing database and making this information available to borrowers.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-18-547	3	Public Service Loan Forgiveness: Education Needs to Provide Better Information for the Loan Servicer and Borrowers	GAO	9/27/2018	FSA	Resolved	The Chief Operating Officer of the Office of Federal Student Aid should standardize the information the PSLF servicer receives from other loan servicers to ensure the PSLF servicer obtains more consistent and accurate payment information for borrowers pursuing PSLF.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-18-547	4	Public Service Loan Forgiveness: Education Needs to Provide Better Information for the Loan Servicer and Borrowers	GAO	9/27/2018	FSA	Resolved	The Chief Operating Officer of the Office of Federal Student Aid should ensure that borrowers receive sufficiently detailed information from the PSLF servicer to be able to identify any errors in the servicer's counts of qualifying payments, including information on whether or not each payment qualified toward forgiveness.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.

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GAO-17-675	1	Small Business Contracting: Actions Needed to Demonstrate and Better Review Compliance with Select Requirements for Small Business Advocates	GAO	10/5/2017	OCFO	Completed	To address demonstrated noncompliance with section 15(k) of the Small Business Act, as amended, the Secretary of Education should comply with sections 15(k)(3) and (k)(11) or report to Congress on why the agency has not complied, including seeking any statutory flexibilities or exceptions believed appropriate.	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.
A17-R0001	1	FY 2017 Ed Financial Statement Audit	OIG	11/13/2017	OCFO	Resolved	(Significant) 1. We recommend that the Secretary of Education work with the Federal Student Aid Chief Operating Officer to continue to execute the corrective actions as outlined in FSA's project plan to comply with the timing requirement for the referral of delinquent non-tax debts.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A17-R0001	1	FY 2017 Ed Financial Statement Audit	OIG	11/13/2017	OCFO	Resolved	(Significant) 1. We recommend the Director, Budget Service develop and document the Department's process, policies and procedures for the authorization, design, development, testing, approval and implementation of new models and model enhancements.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A17-R0001	1	FY 2017 Ed Financial Statement Audit	OIG	11/13/2017	OCFO	Resolved	(Significant) 1. We recommend the Principal Deputy Assistant Secretary Office of Management implement a monitoring process over the personnel security activities to ensure investigations and reinvestigations are prioritized for personnel with sensitive system access within the Department.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A17-R0001	2	FY 2017 Ed Financial Statement Audit	OIG	11/13/2017	OCFO	Resolved	(Significant) 2. We recommend the Department CISO work with the FSA CISO to strengthen and refine the process for holding system owners and information system security officers accountable for remediation of control deficiencies and ensuring that the appropriate security posture is maintained for Department and FSA information systems.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A17-R0001	2	FY 2017 Ed Financial Statement Audit	OIG	11/13/2017	OCFO	Resolved	(Significant) 2. We recommend the Director, Budget Service document the Department's process, policies, procedures and related controls for managing the operation and use of approved models.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A17-R0001	3	FY 2017 Ed Financial Statement Audit	OIG	11/13/2017	OCFO	Resolved	(Significant) 3. We recommend the Director, Budget Service enhance the process to capture model risks, update the assessment of risks related to each model, and document how that assessment impacts the Department's prioritization of corrective actions, and requisite level of controls, validation and monitoring over each model.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A17-R0001	4	FY 2017 Ed Financial Statement Audit	OIG	11/13/2017	OCFO	Resolved	(Significant) 4. We recommend the Director, Budget Service document and enhance the Department's processes, policies, procedures and related controls for the periodic review, validation and approval of the Department's models at the assumption, model and program level.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A17-R0001	5	FY 2017 Ed Financial Statement Audit	OIG	11/13/2017	OCFO	Resolved	(Significant) 5. We recommend the Director, Budget Service document the overall review and conclusions drawn related to the	Completed	Action has been taken. The recommendation

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							evaluation of the results of model performance reviews and validation procedures performed.		remains open until all other recommendations have been complete.
A17-R0001	6	FY 2017 Ed Financial Statement Audit	OIG	11/13/2017	OCFO	Resolved	(Significant) 6. We recommend the Director of Budget Service ensure modeling risks are considered in connection with the Department's enterprise risk management program.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-16-494	1	IT Dashboard: Agencies Need to Fully Consider Risks When Rating Their Major Investments	GAO	6/22/2016	OCIO	Resolved	To better ensure that the Dashboard ratings more accurately reflect risk, the Secretaries of the Departments of Agriculture, Education, Energy, Health and Human Services, the Interior, State, and Veterans Affairs; and the Director of the Office of Personnel Management should direct their CIOs to factor active risks into their IT Dashboard CIO ratings.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-16-494	2	IT Dashboard: Agencies Need to Fully Consider Risks When Rating Their Major Investments	GAO	6/22/2016	OCIO	Resolved	To better ensure that the Dashboard ratings more accurately reflect risk, the Secretaries of the Departments of Defense, Education, and Homeland Security; and the Commissioner of the Social Security Administration should direct their CIOs to update their CIO ratings at least as frequently as required in OMB's guidance.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-16-494	3	IT Dashboard: Agencies Need to Fully Consider Risks When Rating Their Major Investments	GAO	6/22/2016	OCIO	Resolved	To better ensure that the Dashboard ratings more accurately reflect risk, the Secretaries of the Departments of Agriculture, Commerce, Defense, Education, Energy, Health and Human Services, Homeland Security, State, Transportation, the Treasury, Veterans Affairs; the Administrator of the Environmental Protection Agency; and the Commissioner of the Social Security Administration should direct their CIOs to ensure that their CIO ratings reflect the level of risk facing an investment relative to that investment's ability to accomplish its goals.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-16-511	1	Information Technology: Agencies Need to Improve Their Application Inventories to Achieve Additional Savings	GAO	10/18/2016	OCIO	Completed	To improve federal agencies' efforts to rationalize their portfolio of applications, the heads of the Departments of Agriculture, Commerce, Education, Energy, Health and Human Services, Housing and Urban Development, the Interior, Labor, State, Transportation, the Treasury, and Veterans Affairs; and heads of the Environmental Protection Agency; National Aeronautics and Space Administration; National Science Foundation; Nuclear Regulatory Commission; Office of Personnel Management; Small Business Administration; Social Security Administration; and U.S. Agency for International Development should direct their Chief Information Officers (CIOs) and other responsible officials to improve their inventories by taking steps to fully address the practices we identified as being partially met or not met.	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.
A11-R0001	1	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 3.1 We recommend that the Deputy Secretary and Chief Operating Officer require OCIO and FSA to incorporate additional measures to, at a minimum, achieve Level 3 Consistently Implemented status of the Identity and Access Management program.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	1	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 4.1 We recommend that the Deputy Secretary require OCIO to incorporate additional measures to, at a minimum, achieve	Completed	Action has been taken. The documentation is

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							Level 3 Consistently Implemented status of the Security Training program.		undergoing review before the audit is closed.
A11-R0001	1	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 5.1 We recommend that the Deputy Secretary and the Chief Operating Officer require OCIO and FSA to incorporate additional measures to, at a minimum, achieve Level 4 Managed and Measurable status of the ISCM program.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	1	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 6.1 We recommend that the Deputy Secretary require OCIO to incorporate additional measures to, at a minimum, achieve Level 3 Consistently Implemented status of the Incident Response program.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	1	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 7.1 We recommend that the Deputy Secretary and Chief Operating Officer require OCIO and FSA to incorporate additional measures to, at a minimum, achieve Level 3 Consistently Implemented status of the Contingency Planning program.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	1	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 1.1 We recommend that the Deputy Secretary require OCIO to incorporate additional measures to, at a minimum, achieve Level 4 Managed and Measurable status of the Risk Management program.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	1	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 2.1 We recommend that the Deputy Secretary and Chief Operating Officer require that OCIO and FSA incorporate additional measures to, at a minimum, achieve Level 3 Consistently Implemented status of the Configuration Management program.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	2	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 2.2 We recommend that the Deputy Secretary and Chief Operating Officer require that OCIO and FSA immediately correct or mitigate the vulnerabilities identified during the vulnerability assessment.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	2	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 3.2 We recommend that the Deputy Secretary and Chief Operating Office require OCIO and FSA to ensure, in cooperation with the Office of Management, that background investigations are conducted (1) before granting access to Departmental and FSA systems and (2) to ensure the correct level of access is granted.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	2	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 4.2 We recommend that the Deputy Secretary require OCIO to ensure that contractors fulfill mandatory training requirements before accessing Departmental systems.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	2	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 6.3 We recommend that the Deputy Secretary require OCIO to establish a specific training curriculum for key personnel who respond to incidents when they occur.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	2	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 7.2 We recommend that the Deputy Secretary require OCIO to ensure that skill assessments are being measured at the enterprise level.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	2	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 1.2 We recommend that the Deputy Secretary require OCIO to ensure that "Information Technology Security General Support Systems and Major Applications Inventory Guidance, Version 1.0" is updated.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.

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A11-R0001	2	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	5.2 We recommend that the Deputy Secretary require OCIO to automate its capabilities for monitoring the security controls effectiveness and overall implementation of the ISCM Roadmap.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	3	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 2.3 We recommend that the Deputy Secretary and Chief Operating Officer require that OCIO and FSA ensure POA&Ms are created to remedy infrastructure vulnerabilities identified in the hosting data center environments.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	3	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 3.3 We recommend that the Deputy Secretary and Chief Operating Officer require OCIO and FSA to prohibit contractors from granting access to FSA systems without approval by the Department.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	3	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 5.3 We recommend that the Deputy Secretary require OCIO to ensure that ISCM stakeholders with designated roles and responsibilities are properly educated and engaged.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	3	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 6.4 We recommend that the Deputy Secretary require OCIO to ensure that incidents are submitted to US-CERT within the required timeframe and all incidents identified as Categories 1 through 4 to the OIG that could possibly relate to cyber fraud.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	3	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 7.3 We recommend that the Deputy Secretary require OCIO to ensure that contingency plans, BIAs, and results of contingency plan testing are documented in a consistent and timely manner.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	3	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	Significant) 1.3 We recommend that the Deputy Secretary require OCIO to ensure that all contracts are reviewed and reevaluated to ensure that required access and security language is included.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	4	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 2.4 We recommend that the Deputy Secretary require OCIO to at a minimum, enforce TLS 1.1 or higher as the only connection for all Department connections. (Repeat Recommendation from FY 2016 and FY 2015)	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	4	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 3.4 We recommend that the Deputy Secretary and Chief Operating Officer require OCIO and FSA to enforce a two-factor authentication configuration for all user connections to systems and/or applications housing personally identifiable information.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	4	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 5.4 We recommend that the Deputy Secretary require OCIO to ensure all Information System Security Officers establish and use CSAM accounts, and that required points of contacts are identified.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	4	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 7.4 We recommend that the Deputy Secretary require OCIO to ensure that contingency plans include all required information.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	4	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 1.4 We recommend that the Deputy Secretary require OCIO to establish a centralized tracking process for maintaining all active websites for the Department.	Completed	Action has been taken. The documentation is

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									undergoing review before the audit is closed.
A11-R0001	5	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 5 We recommend that the Deputy Secretary require OCIO to ensure the completion of Phase 2 of the CDM program.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	5	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 2.5 We recommend that the Deputy Secretary require OCIO to discontinue the use of or develop a justification for using unsupported operating systems, databases, and applications. (Repeat Recommendation from FY 2015)	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	5	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 3,5 We recommend that the Deputy Secretary require OCIO to ensure the Department's ICAM strategy is fully implemented to ensure that the Department meets full Federal Government implementation of ICAM.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	6	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 2.6 We recommend that the Deputy Secretary require OCIO to ensure that all existing websites and services are accessible through a secure connection as required by OMB M-15-13.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	6	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 3.6 We recommend that the Deputy Secretary require OCIO to ensure that the network access control solution is fully implemented to ensure identification and authentication of devices connected to the network. (Repeat Recommendation from FY 2016, FY 2015, and FY 2014)	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	7	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 2.7 We recommend that the Deputy Secretary require OCIO to configure all websites to display warning banners when user's login to Departmental resources.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	7	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 3.7 We recommend that the Deputy Secretary require OCIO to create POA&Ms to remedy database vulnerabilities for all database vulnerabilities identified.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	8	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 2.8 We recommend that the Chief Operating Officer require FSA to ensure that all websites and portals hosting personally identifiable information are configured not to display clear text.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	8	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 3.8 We recommend that the Chief Operating Officer require FSA to establish a process for identifying, managing, and tracking activity of privileged user accounts.	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
A11-R0001	9	FY 2017 FISMA Audit	OIG	10/31/2017	OCIO	Completed	(Significant) 2.9 We recommend that the Chief Operating Officer require FSA to eliminate the use of Social Security numbers as an authentication element when logging onto FSA websites by requiring the user to create a unique identifier for account authentication. (Repeat Recommendation from FY 2014)	Completed	Action has been taken. The documentation is undergoing review before the audit is closed.
GAO-18-93	1	Federal Chief Information Officers: Critical Actions	GAO	8/7/2018	OCIO	Completed	The Secretary of Education should ensure that the department's IT management policies address the role of the CIO for key responsibilities in the five areas we identified.	Completed	Action has been taken. The documentation is

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		Needed to Address Shortcomings and Challenges in Implementing Responsibilities							undergoing review before the audit is closed.
A11-S0001	1	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 1.1 We recommend that the Deputy Secretary and Chief Operating Officer require that OCIO and FSA incorporate additional measures to, at a minimum; achieve Level 4 Managed and Measurable status of the Risk Management program. (Repeat Recommendation from FY 2017)	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	1	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 2.1 We recommend that the Deputy Secretary and Chief Operating Officer require that OCIO and FSA incorporate additional measures to, at a minimum; achieve Level 3 Consistently Implemented status of the Configuration Management program. (Repeat Recommendation from FY 2017)	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	1	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 3.1 We recommend that the Deputy Secretary and Chief Operating Officer require OCIO and FSA to incorporate additional measures to, at a minimum; achieve Level 3 Consistently Implemented status of the Identity and Access Management program. (Repeat Recommendation from FY 2017)	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	1	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 4.1 We recommend that the Deputy Secretary and the Chief Operating Officer require OCIO and FSA to incorporate additional measures to, at a minimum; achieve Level 3 Consistently Implemented status of the Data Protection and Privacy program.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	1	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 5.1 We recommend that the Deputy Secretary require OCIO to incorporate additional measures to, at a minimum, achieve Level 3 Consistently Implemented status of the Security Training program. (Repeat Recommendation from FY 2017)	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	1	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 6.1 We recommend that the Deputy Secretary and the Chief Operating Officer require OCIO and FSA to incorporate additional measures to, at a minimum; achieve Level 3 Consistently Implemented status of the ISCM program. (Repeat Recommendation from FY 2017)	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	1	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 7.1 We recommend that the Deputy Secretary require OCIO to incorporate additional measures to, at a minimum; achieve Level 3 Consistently Implemented status of the Incident Response program. (Repeat Recommendation from FY 2017)	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	1	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 8.1 We recommend that the Deputy Secretary and Chief Operating Officer require OCIO and FSA to incorporate additional measures to, at a minimum; achieve Level 4 Managed and Measurable status of the Contingency Planning program. (Repeat Recommendation from 2017)	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	2	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 1.2 We recommend that the Deputy Secretary and Chief Operating Officer require that OCIO and FSA ensure the completeness of individual corrective action plans for elements	Completed	Action has been taken. The recommendation remains open until all

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							including remediation officials assigned, costs associated to remediate the weakness, and starting dates to remediate the weakness.		other recommendations have been complete.
A11-S0001	2	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 2.2 We recommend the Deputy Secretary and Chief Operating Officer require that OCIO and FSA migrate to Transport Layer Security 1.2 or higher as the only connection for all Department connections. (Repeat Recommendation from FY 2015, 2016, and 2017)	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	2	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 3.2 We recommend that the Deputy Secretary and Chief Operating Officer require OCIO and FSA to ensure that position risk designations are documented for background investigations.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	2	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 4.2 We recommend that the Deputy Secretary require OCIO to ensure that the Handbook for Protection of Sensitive but Unclassified Information is updated.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	2	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 5.2 We recommend that the Deputy Secretary require OCIO to ensure that contractor employees fulfill mandatory training requirements before accessing Department systems. (Repeat Recommendation from FY 2017)	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	2	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 6.2 We recommend that the Deputy Secretary require OCIO to automate its capabilities for monitoring the security controls effectiveness and overall implementation of the ISCM Roadmap. (Repeat Recommendation from FY 2017)	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	2	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 7.2 We recommend that the Deputy Secretary require OCIO to ensure that incidents are consistently submitted to US-CERT and the OIG within the required timeframe and all incidents are consistently categorized. (Repeat Recommendation from FY 2017)	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	2	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 8.2 We recommend that the Deputy Secretary and Chief Operating Officer require OCIO and FSA to ensure that contingency planning documentation and results of contingency plan testing are documented consistently and timely. (Repeat Recommendation from FY 2012, 2014, and 2015)	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	3	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 1.3 We recommend that the Deputy Secretary and the Chief Operating Officer require that OCIO and FSA ensure that all contracts are reviewed and include all applicable privacy, security, and access provisions. (Repeat Recommendation from FY 2017)	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	3	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 2.3 We recommend that the Deputy Secretary require OCIO to ensure that the configuration of 40 websites to be routed through a trusted internet connection or managed trusted internet protocol service.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.

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A11-S0001	3	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 3.3 We recommend that the Deputy Secretary and Chief Operating Officer require OCIO and FSA to enforce a two-factor authentication configuration for all user connections to systems and applications. (Repeat Recommendation from FY 2011, 2012, 2013, 2014, 2015, 2016 and 2017)	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	3	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 4.3 We recommend that the Deputy Secretary require OCIO to ensure the Department's Breach Response Plan is tested annually.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	3	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 5.3 We recommend that the Deputy Secretary require OCIO to define and implement a process to track contractors' initial access to the Department's network.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	3	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 6.3 We recommend that the Deputy Secretary require OCIO to ensure that ISCM stakeholders with designated roles and responsibilities are properly educated and engaged. (Repeat Recommendation from FY 2017)	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	3	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 7.3 We recommend that the Deputy Secretary require OCIO to enable incident response tools and technologies to function on an enterprise basis.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	3	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 8.3 We recommend that the Deputy Secretary require OCIO to ensure that skills are being measured at the enterprise level to begin full reporting to the Office of Personnel Management by April 2019. (Repeat Recommendation from 2017)	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	4	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 2.4 We recommend that the Deputy Secretary require OCIO to ensure that all existing websites and services are accessible through a secure connection as required by OMB M-15-13. (Repeat Recommendation from FY 2017)	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	4	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 3.4 We recommend that the Deputy Secretary require OCIO to finalize Departmental Directive OM: 5-101, "Personnel Security Screening Requirements for Contractor Employees."	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	4	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 4.4 We recommend that the Deputy Secretary require OCIO to ensure that Privacy Impact Assessments are reviewed every two years.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	4	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 5.4 We recommend that the Deputy Secretary require OCIO to ensure that user accounts are suspended timely when users do not complete required training.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.

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A11-S0001	4	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 7.4 We recommend that the Deputy Secretary require OCIO to ensure that data loss prevention technologies work as intended for the blocking of sensitive information transmission.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	4	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) We recommend that the Deputy Secretary require OCIO to ensure all information authorizing officials, information system owners, and information system security officers establish and use accounts within the Cyber Security Assessment and Management tool, and that required points of contacts are identified. (Repeat Recommendation from FY 2017)	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	5	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 2.5 We recommend that the Chief Operating Officer require FSA to discontinue the use of unsupported operating systems, databases, and applications. (Repeat Recommendation from FY 2015 and 2017)	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	5	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 3.5 We recommend that the Deputy Secretary require OCIO to fully implement the Department's ICAM strategy to ensure that the Department meets full Federal Government implementation of ICAM. (Repeat Recommendation from FY 2017)	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	5	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 5.5 We recommend that the Deputy Secretary require OCIO to implement the process for identifying employees with significant security responsibilities and ensure role-based training is provided.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	5	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 6.5 We recommend that the Deputy Secretary require OCIO to ensure the completion of Phases 1 and 2 of the Continuous Diagnostics and Mitigation program. (Repeat Recommendation from FY 2017)	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A11-S0001	6	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 2.6 We recommend that the Chief Operating Officer require FSA to eliminate the use of Social Security numbers as an authentication element when logging onto FSA websites by requiring the user to create a unique identifier for account authentication. (Repeat Recommendation from FY 2014 and 2017)	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	6	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 3.6 We recommend that the Deputy Secretary require OCIO to ensure the Network Access Control solution is configured to disallow users to reconnect devices after being blocked.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	6	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 5.6 We recommend that the Deputy Secretary require OCIO to implement the process for formal skill assessments of employees' educational level and experience to begin full reporting to the Office of Personnel Management by April 2019.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	7	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 2.7 We recommend that the Chief Operating Officer require FSA to ensure that all websites and portals hosting personally identifiable information are configured not to display clear text. (Repeat Recommendation from FY 2014 and 2017)	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.

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A11-S0001	7	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 3.7 We recommend that the Deputy Secretary require OCIO to ensure access agreements--in particular non-disclosure agreements for privileged users with access to sensitive information, and Rules of Behavior acknowledgements--are documented for users accessing Department and FSA systems.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	8	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 2.8 We recommend that the Chief Operating Officer require FSA to immediately correct or mitigate the vulnerabilities during the vulnerability assessment. (Repeat Recommendation from FY 2015 and 2017)	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	8	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 3.8 We recommend that the Deputy Secretary require OCIO to ensure that terminated individual's network access is removed timely.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	9	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 3.9 We recommend that the Chief Operating Officer require FSA to establish a process for identifying, managing, and tracking activity of privileged user accounts. (Repeat Recommendation from FY 2017)	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	10	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 3.10 We recommend that the Chief Operating Officer require FSA to configure all websites to display warning banners when user's login to Departmental resources and ensure that banners include approved warning language. (Repeat Recommendation from FY 2017)	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	11	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 3.11 We recommend that the Chief Operating Officer require FSA to create corrective action plans to remedy database vulnerabilities for all database vulnerabilities identified. (Repeat Recommendation from FY 2017)	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A11-S0001	12	FY 2018 FISMA	OIG	10/31/2018	OCIO	Resolved	(Significant) 3.12 We recommend that the Chief Operating Officer require FSA to validate the inactivity settings to ensure sessions are timing out after 30 minutes of inactivity. (Repeat Recommendation from FY 2011, 2012, and 2015)	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-18-425	1	High School Sports: Many Schools Encouraged Equal Opportunities, but Education Could Further Help Athletics Administrators under Title IX	GAO	6/11/2018	OCR	Completed	The Department of Education's Assistant Secretary for Civil Rights should determine the extent to which Title IX coordinators at the K-12 level are aware of and using the tools recommended in OCR's existing guidance and any barriers preventing their use of this guidance, and use this information in OCR's efforts to encourage them to work with athletics administrators on ensuring equal athletic opportunities.	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.
GAO-18-466	1	Cybersecurity Workforce: Agencies Need to Improve Baseline	GAO	6/14/2018	OCR	Resolved	The Secretary of Education should include requirements to assign code "000" to positions that do not perform IT, cybersecurity, and cyber-related functions in departmental procedures.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.

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		Assessments and Procedures for Coding Positions							
A02-M0012	1	Audit of Charter and Education Management Organizations	OIG	9/29/2016	OESE	Resolved	(Significant) We recommend that the Delegated Deputy Secretary - 1.1 Convene a formal oversight group including high level representatives from the following offices: Office of the Deputy Secretary, OESE, OSERS, OII, and the Office of the Chief Financial Officer. The oversight group would determine the most appropriate manner to conduct an analysis and assessment of the risks to Department programs posed by charter schools with CMOs. The assessment would consider actions appropriate to the Department's Federal role to assist SEAs, LEAs and charter school authorizers to fulfill their obligations for oversight of Federal funding. Such actions would include, but not be limited to the recommendations that follow.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A02-M0012	2	Audit of Charter and Education Management Organizations	OIG	9/29/2016	OESE	Resolved	(Significant) We recommend that the Delegated Deputy Secretary - 1.2 Provide further guidance to SEAs that offers a general strategy for performing a minimum level of monitoring, risk assessment, and mitigation procedures related to charter school contractual relationships with CMOs.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A02-M0012	3	Audit of Charter and Education Management Organizations	OIG	9/29/2016	OESE	Resolved	(Significant) We recommend that the Delegated Deputy Secretary - 1.3 Develop modifications to program monitoring protocols for Title I, IDEA, CSP grants, and other programs to assist Federal grantees in meeting their monitoring and oversight responsibilities with respect to CMOs.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A02-M0012	4	Audit of Charter and Education Management Organizations	OIG	9/29/2016	OESE	Resolved	(Significant) We recommend that the Delegated Deputy Secretary - 1.4 Work with external partners and interest groups to help SEAs and other authorizers consider risks to Federal funds in their evaluation of proposals for charter schools, including the consideration of what is an acceptable level of risk related to charter school relationships with CMOs.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A02-M0012	5	Audit of Charter and Education Management Organizations	OIG	9/29/2016	OESE	Resolved	(Significant) We recommend that the Delegated Deputy Secretary - 1.5 Collaborate and coordinate with the Office of the Chief Financial Officer's Post Audit Group to update the OMB Circular A-133 Compliance Supplement to include procedures to determine whether the SEA and LEA, as appropriate, have internal controls to ensure that charter schools with relationships with CMOs have effective controls to mitigate financial risks, provide for accountability over Federal funds, and mitigate performance risks.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-16-645	1	Female Genital Mutilation/Cutting: Existing Federal Efforts to Increase Awareness Should Be Improved	GAO	12/20/2016	OESE	Resolved	To make the best use of federal resources directed toward combating FGM/C in the United States, the Attorney General and the Secretaries of Education, Health and Human Services, Homeland Security, and State should each develop a written plan that describes the agency's approach for conducting education and outreach to key stakeholders in the United States regarding FGM/C.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-16-645	2	Female Genital Mutilation/Cutting: Existing Federal	GAO	12/20/2016	OESE	Resolved	To make the best use of federal resources directed toward combating FGM/C in the United States, the Attorney General and the Secretaries of Education, Health and Human Services, Homeland Security, and	Resolved	The Corrective Action Plan has been developed

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		Efforts to Increase Awareness Should Be Improved					State should each communicate the plan with other relevant federal agencies and stakeholder groups, as appropriate.		and the recommendation is being implemented.
GAO-17-400	1	K-12 Education: Education Needs to Improve Oversight of Its 21st Century Program	GAO	4/26/2017	OESE	Resolved	The Secretary of Education should direct the Office of Academic Improvement to expand its performance measures for the 21st Century program to address all program objectives. Specifically, Education should establish performance measures related to key behavioral, including student attendance and disciplinary incidents, and socio-emotional outcomes.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-17-400	2	K-12 Education: Education Needs to Improve Oversight of Its 21st Century Program	GAO	4/26/2017	OESE	Resolved	The Secretary of Education should direct the Office of Academic Improvement to conduct federal-level data checks on the accuracy of 21st Century program data submitted by states. Such checks could test for logical relationships between fields. Education should also publicly disclose and address any data limitations it identifies, as appropriate.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-17-400	3	K-12 Education: Education Needs to Improve Oversight of Its 21st Century Program	GAO	4/26/2017	OESE	Resolved	The Secretary of Education should direct the Office of Academic Improvement to provide written, non-regulatory guidance to states on developing and conducting high-quality 21st Century state evaluations to help address the difficulties states face in measuring program performance and effectiveness.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-17-400	4	K-12 Education: Education Needs to Improve Oversight of Its 21st Century Program	GAO	4/26/2017	OESE	Resolved	The Secretary of Education should direct the Office of Academic Improvement to use the information it collects from its monitoring visits and ongoing interactions with states to share effective practices across states for sustaining their 21st Century programs once program funding ends. This information could be shared using existing mechanisms such as Education's meetings with 21st Century state coordinators.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-18-233	1	Emergency Management: Federal Agencies Could Improve Dissemination of Resources to Colleges	GAO	4/30/2018	OESE	Resolved	The Secretary of Education, in collaboration with other agencies through the planned interagency working group or another mechanism, should identify further opportunities to more effectively publicize resources to reach additional colleges.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-18-382	1	K-12 Education: Lead Testing of School Drinking Water Would Benefit from Improved Federal Guidance	GAO	7/17/2018	OESE	Resolved	The Assistant Secretary for Elementary and Secondary Education should improve the usability of Education's websites to ensure that the states and school districts can more easily find and access federal guidance to address lead in school drinking water, by taking actions such as clarifying which links contain guidance; highlighting new or important guidance; improving their websites' search function; and categorizing guidance.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-18-382	2	K-12 Education: Lead Testing of School Drinking Water Would Benefit from Improved Federal Guidance	GAO	7/17/2018	OESE	Resolved	The Assistant Secretary for Elementary and Secondary Education should collaborate with EPA to encourage testing for lead in school drinking water. This effort could include disseminating EPA guidance related to lead testing and remediation in schools or sending letters to states to encourage testing in all school districts that have not yet done so.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.

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A19-Q0002	1	Department Oversight of Indian Education Formula Grants	OIG	9/28/2018	OESE	Resolved	(Significant) We recommend that the Assistant Secretary for OESE: 1.1 Ensure that OIE management and the OIE Formula Team develop, finalize, and implement detailed written policies and procedures on monitoring grantees' performance toward achieving the program's goals and objectives, to include ensuring grantees submit all requested documentation, documenting conclusions with regard to adequacy of grantee performance in areas reviewed as well as overall conclusions on whether grantees are meeting program objectives, requesting and timely following up on corrective actions when needed, and that such monitoring is used to assist grantees in making progress in meeting those goals and objectives.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A19-Q0002	2	Department Oversight of Indian Education Formula Grants	OIG	9/28/2018	OESE	Resolved	(Significant) We recommend that the Assistant Secretary for OESE: 1.2 Ensure that OIE management and the OIE Formula Team develop, finalize, and implement detailed written policies and procedures for monitoring grantees' use of funds, to include ensuring documentation related to expenditures is submitted and reviewed to verify that funds are being used for allowable activities and that resulting conclusions are documented and applicable corrective actions are requested and timely followed up on.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A19-Q0002	3	Department Oversight of Indian Education Formula Grants	OIG	9/28/2018	OESE	Resolved	(Significant) We recommend that the Assistant Secretary for OESE: 1.3 Ensure that OIE management and the OIE Formula Team develop, finalize, and implement detailed written policies and procedures regarding the student count verification process to ensure that student counts are being appropriately verified and documented, and any issues are proactively identified.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A19-Q0002	4	Department Oversight of Indian Education Formula Grants	OIG	9/28/2018	OESE	Resolved	(Significant) We recommend that the Assistant Secretary for OESE: 1.4 Ensure that OIE management and the OIE Formula Team develop, finalize, and implement detailed written policies and procedures for developing monitoring plans that consider multiple risk factors. In doing so, consider requesting Entity Risk Review reports for grantees from RMS as suggested by OESE's Guidance for OESE Monitoring Plans for grant programs with a large number of grantees.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A19-Q0002	5	Department Oversight of Indian Education Formula Grants	OIG	9/28/2018	OESE	Resolved	We recommend that the Assistant Secretary for OESE: 1.5 Encourage OIE management to conduct research on best practices employed by similarly situated programs, such as other formula grant programs at the Department with large numbers of grantees, and consider adapting and/or adopting practices that may be used to better oversee and monitor Indian Education Formula Grant program grantees.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A19-Q0002	6	Department Oversight of Indian Education Formula Grants	OIG	9/28/2018	OESE	Resolved	(Significant) We recommend that the Assistant Secretary for OESE: 1.6 Ensure that OIE management and the OIE Formula Team receive necessary training and guidance so they are prepared to adequately manage the responsibilities of effectively overseeing grantees.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A19-Q0002	7	Department Oversight of Indian	OIG	9/28/2018	OESE	Resolved	We recommend that the Assistant Secretary for OESE: 1.7 Ensure that OIE management and the OIE Formula Team are aware of and	Resolved	The Corrective Action Plan has been developed

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		Education Formula Grants					comply with existing standards for grant file documentation that align with Department policies.		and the recommendation is being implemented.
A19-Q0002	8	Department Oversight of Indian Education Formula Grants	OIG	9/28/2018	OESE	Resolved	We recommend that the Assistant Secretary for OESE: 1.8 Require the OIE Formula Team to identify desktop monitoring reports with open or unresolved items and conduct necessary follow-up with grantees to close out the monitoring reports.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A19-Q0002	9	Department Oversight of Indian Education Formula Grants	OIG	9/28/2018	OESE	Resolved	(Significant) We recommend that the Assistant Secretary for OESE: 1.9 Ensure that OIE management develops, finalizes, and implements detailed written policies and procedures for reviewing APRs, to include ensuring all APRs are received and uploaded to the grant files, reviewing progress toward achieving project objectives, following up with grantees when necessary, and appropriately documenting related communications.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A19-Q0002	10	Department Oversight of Indian Education Formula Grants	OIG	9/28/2018	OESE	Resolved	We recommend that the Assistant Secretary for OESE: 1.10 Ensure that APR and GPRA data are analyzed to identify areas for improvement and that such analysis is used so that appropriate actions can be taken to help improve program performance.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A19-Q0002	11	Department Oversight of Indian Education Formula Grants	OIG	9/28/2018	OESE	Resolved	We recommend that the Assistant Secretary for OESE: 1.11 Ensure OIE management adequately communicates to program staff expectations related to monitoring, to include defined roles and responsibilities, to help ensure the effective and uniform monitoring of Indian Education Formula Grant program grantees.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A19-Q0002	12	Department Oversight of Indian Education Formula Grants	OIG	9/28/2018	OESE	Resolved	We recommend that the Assistant Secretary for OESE: 1.12 Review the management and staff structure and resources of OIE and make changes, as appropriate, to ensure that proper oversight and monitoring of Indian Education Formula Grant program grantees is conducted.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A02-M0011	1	Nationwide Audit of Oversight of Closed Charter Schools	OIG	9/28/2018	OII	Resolved	(Significant) We recommend that the Deputy Secretary coordinate with the Assistant Secretary for OESE, the Assistant Secretary of OSERS and Acting Assistant Deputy Secretary for OII to - 1. Develop a risk assessment that identifies SEAs that fund charter schools and considers the risks to Federal funds associated with charter school closures and monitor SEAs based on this assessment, focusing on those elements of the charter school closure process that pose the most risk.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A02-M0011	2	Nationwide Audit of Oversight of Closed Charter Schools	OIG	9/28/2018	OII	Resolved	(Significant) We recommend that the Deputy Secretary coordinate with the Assistant Secretary for OESE, the Assistant Secretary of OSERS and Acting Assistant Deputy Secretary for OII to - 2. Review guidance issued by the Department to determine whether it adequately addresses issues related to Federal grant closeout, disposition of assets purchased with Federal funds, and protection and maintenance of student records for closed charter schools, and either modify the current guidance or issue new guidance as appropriate.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A02-M0011	3	Nationwide Audit of Oversight of Closed Charter Schools	OIG	9/28/2018	OII	Resolved	(Significant) We recommend that the Deputy Secretary coordinate with the Assistant Secretary for OESE, the Assistant Secretary of OSERS and Acting Assistant Deputy Secretary for OII to - 3. Work	Resolved	The Corrective Action Plan has been developed

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							with SEAs to develop and implement effective charter school closure procedures. In doing so, identify and share best practices and relevant requirements for SEAs regarding Federal grant closeout, disposition of assets purchased with Federal funds, and protection and maintenance of student records to ensure that charter schools that are identified for closure by the responsible State and local entities are closed in an appropriate manner.		and the recommendation is being implemented.
GAO-18-491	1	Grants Workforce: Actions Needed to Ensure Staff Have Skills to Administer and Oversee Federal Grants	GAO	9/20/2018	OM	Completed	The Secretary of Education should establish a process to monitor and evaluate Education's grants training at the central office level. This process should include (1) a method for identifying all employees working on grants across the agency, and (2) oversight procedures to evaluate the sufficiency of sub-agencies' grants training efforts including the incorporation of leading practices related to assessing competencies, training approaches, accountability, and training results.	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.
A19-P0008	1	Review of the Contractor Security Clearance Process	OIG	9/20/2018	OM	Resolved	(Significant) We recommend that the Assistant Secretary for Management: 1.1 Develop and distribute written policies and procedures that include (1) new Federal and Department requirements for the contractor personnel security screening process established since the issuance of the Directive in 2010, and (2) existing Department practices for the screening process that have been informally approved by OM but are not addressed in current written policies and procedures.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A19-P0008	2	Review of the Contractor Security Clearance Process	OIG	9/20/2018	OM	Resolved	(Significant) We recommend that the Assistant Secretary for Management: 1.2 Periodically review the security screening process and assess the need to update policy accordingly. Develop and distribute interim guidance as necessary.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A19-P0008	3	Review of the Contractor Security Clearance Process	OIG	9/20/2018	OM	Resolved	(Significant) We recommend that the Assistant Secretary for Management: 1.3 Require POs to develop internal procedures for the contractor personnel security screening process, review the PO-developed procedures for compliance with the Directive, review any modifications to PO procedures, and maintain the procedural documents provided by POs.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A19-P0008	4	Review of the Contractor Security Clearance Process	OIG	9/20/2018	OM	Resolved	(Significant) We recommend that the Assistant Secretary for Management: 1.4 Develop a process to ensure POs receive and maintain notification of all final adjudication determinations, both favorable and unfavorable, for each individual contractor employee who has received a security screening.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A19-P0008	5	Review of the Contractor Security Clearance Process	OIG	9/20/2018	OM	Resolved	We recommend that the Assistant Secretary for Management: 1.5 Establish an appropriate role for OM in the contract position and risk designation process, in coordination with PO and OCFO staff, and ensure requirements for position risk designation tools and documentation requirements are adequately communicated.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A19-P0008	6	Review of the Contractor Security Clearance Process	OIG	9/20/2018	OM	Resolved	We recommend that the Assistant Secretary for Management: 1.6 Ensure that all elements of the security screening process, including initiation, adjudications, and reinvestigations are conducted within	Resolved	The Corrective Action Plan has been developed

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							required timeframes. Align Directive requirements with applicable OPM metrics.		and the recommendation is being implemented.
A19-P0008	7	Review of the Contractor Security Clearance Process	OIG	9/20/2018	OM	Resolved	We recommend that the Assistant Secretary for Management: 1.7 Review the staff structure and resources of Personnel Security and make changes, as appropriate, to ensure timely processing of security screenings and that proper oversight and guidance of the Department's contractor personnel security screening process is provided.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A19-P0008	8	Review of the Contractor Security Clearance Process	OIG	9/20/2018	OM	Resolved	(Significant) We recommend that the Assistant Secretary for Management: 1.8 Coordinate with POs to reconcile current Security Manager data with PO records on individual contractor employees for information such as contractor employee name, contractor company, assigned contract number, employment status, and departure date as applicable. Periodically reconcile Security Manager data with PO records.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A19-P0008	9	Review of the Contractor Security Clearance Process	OIG	9/20/2018	OM	Resolved	(Significant) We recommend that the Assistant Secretary for Management: 1.9 Require information necessary for tracking the status of contractor employees' security screenings and employment on Department contracts to be entered into Security Manager, to include contractor company and contract number.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A19-P0008	10	Review of the Contractor Security Clearance Process	OIG	9/20/2018	OM	Resolved	We recommend that the Assistant Secretary for Management: 1.10 Review the current access of PO staff to Security Manager to determine if granting further access to key staff could help ensure the reliability of Security Manager data, and then grant access accordingly.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A19-P0008	11	Review of the Contractor Security Clearance Process	OIG	9/20/2018	OM	Resolved	We recommend that the Assistant Secretary for Management: 1.11 Develop comprehensive training for the contractor personnel security screening process that covers process requirements and the responsibilities of key PO officials and staff, to include use of Security Manager and the Position Designation Tool. Require all applicable staff to attend.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-12-560	1	Higher Education: Improved Tax Information Could Help Families Pay for College	GAO	5/18/2012	OPE	Resolved	To help ensure individuals who are eligible to claim a higher education tax expenditure are aware of their eligibility and the benefit they may receive, the Commissioner of Internal Revenue and the Secretary of Education should work together to (1) identify characteristics of tax filers who are not claiming a higher education tax expenditure when they appear to be eligible for one and possible reasons for this, and (2) use this information to identify strategies to improve information provided to eligible students and families.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-12-560	2	Higher Education: Improved Tax Information Could Help Families Pay for College	GAO	5/18/2012	OPE	Resolved	To provide federal policymakers information on the relative effectiveness of Title IV programs and higher education tax expenditures, the Secretary of Education should take advantage of opportunities presented by recent and anticipated substantive program changes to sponsor and conduct evaluative research into the effectiveness of Title IV programs and higher education tax expenditures at improving student outcomes.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.

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GAO-15-59	1	Higher Education: Education Should Strengthen Oversight of Schools and Accreditors	GAO	12/22/2014	OPE	Resolved	To ensure that accreditors are reliable authorities on educational quality, we recommend that the Secretary of Education consider further evaluating existing accreditor standards to determine if they effectively address educational quality in key areas, such as student achievement. In carrying out this evaluation, Education could consider whether there are additional actions it could take, within the scope of its existing authority, to assess accreditor standards on an ongoing basis, and if appropriate, Education could develop a legislative proposal to expand its authority to assess accreditor standards.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-15-59	2	Higher Education: Education Should Strengthen Oversight of Schools and Accreditors	GAO	12/22/2014	OPE	Resolved	To strengthen Education's oversight of schools, we recommend that the Secretary of Education ensure that Education staff consistently review, record, and respond to accreditor sanction information, and clarify its guidance on how the agency will respond to specific accreditor sanctions.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-15-59	3	Higher Education: Education Should Strengthen Oversight of Schools and Accreditors	GAO	12/22/2014	OPE	Resolved	To further strengthen Education's oversight of schools, we recommend that the Secretary of Education determine how Education can consistently leverage available accreditor sanction data for oversight of schools to ensure it can systematically prioritize sanctioned schools for program review.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-15-59	4	Higher Education: Education Should Strengthen Oversight of Schools and Accreditors	GAO	12/22/2014	OPE	Resolved	To strengthen Education's oversight of accreditors through the recognition review process, we recommend that the Secretary of Education draw upon accreditor data to determine whether accreditors are consistently applying and enforcing their standards to ensure that the education offered by schools is of sufficient quality. For example, Education could systematically use available information related to the frequency of accreditor sanctions or could do additional analyses, such as comparing accreditor sanction data with Education's information on student outcomes, to inform its recognition reviews	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-15-598	1	Teacher Preparation Programs: Education Should Ensure States Identify Low-Performing Programs and Improve Information-Sharing	GAO	7/23/2015	OPE	Completed	The Secretary of Education should develop a risk-based, cost-effective strategy to verify that states are implementing a process for assessing whether any teacher preparation programs are low-performing.	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.
GAO-15-598	2	Teacher Preparation Programs: Education Should Ensure States Identify Low-Performing Programs and Improve Information-Sharing	GAO	7/23/2015	OPE	Completed	The Secretary of Education should study the usefulness of Title II data elements for policymakers and practitioners, and, if warranted, develop a proposal for Congress to eliminate or revise any statutorily required elements that are not providing meaningful information.	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.
GAO-15-598	3	Teacher Preparation Programs: Education Should Ensure States	GAO	7/23/2015	OPE	Completed	The Secretary of Education should identify potential limitations in the Title II data and consistently disclose these limitations in the reports, websites, and data tables the agency uses to distribute the results.	Completed	GAO reviewed the supporting documentation; the

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		Identify Low-Performing Programs and Improve Information-Sharing					This could include more detailed information about data elements where definitions vary substantially from state to state or teacher preparation program to teacher preparation program.		Department is gathering additional supporting documentation before the recommendation will be closed.
GAO-15-598	4	Teacher Preparation Programs: Education Should Ensure States Identify Low-Performing Programs and Improve Information-Sharing	GAO	7/23/2015	OPE	Completed	The Secretary of Education should develop and implement mechanisms to systematically share information about teacher preparation program quality with relevant Department of Education program offices and states (including state Independent Standards Boards).	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.
GAO-17-574	1	Higher Education: Students Need More Information to Help Reduce Challenges in Transferring College Credits	GAO	10/4/2017	OPE	Completed	To help improve students' access to information so that they can make well-informed transfer decisions, the Secretary of Education should require schools to (1) disclose the list of schools with which they have articulation agreements online if the school has a website, and (2) clearly inform students, on the school's website if it has one, when no articulation agreements on credit transfer are in place. If the department determines that it does not have the authority to require this, it should nonetheless encourage schools to take these actions (through guidance or other means).	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-17-574	2	Higher Education: Students Need More Information to Help Reduce Challenges in Transferring College Credits	GAO	10/4/2017	OPE	Completed	To help improve students' access to information so that they can make well-informed transfer decisions, the Secretary of Education should provide students and their families with general transfer information, for example by developing a consumer guide and posting it on Education's website or augmenting transfer information already provided on the website, to help increase awareness of key considerations when transferring schools.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A09-R0003	1	Department Recognition and Oversight of Accreditors	OIG	6/27/2018	OPE	Resolved	We recommend that the Assistant Secretary for OPE -- 1.1 Require the OPE Accreditation Group to use risk-based procedures and readily available information to identify the specific schools and an appropriate number of schools that each agency must use as evidence to demonstrate that it had effective mechanisms for evaluating a school's compliance with accreditation standards before reaching an accreditation decision.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A09-R0003	1	Department Recognition and Oversight of Accreditors	OIG	6/27/2018	OPE	Resolved	We recommend that the Assistant Secretary for OPE -- 2.1 Require the OPE Accreditation Group to adopt a risk-based methodology, using readily available information, to identify high-risk agencies and prioritize its oversight of those agencies during the recognition period.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A09-R0003	2	Department Recognition and Oversight of Accreditors	OIG	6/27/2018	OPE	Resolved	We recommend that the Assistant Secretary for OPE -- 1.2 Require the OPE Accreditation Group to adopt written policies and procedures for evaluating agency recognition petitions that incorporate the elements of Recommendation 1.1 and address specific documentation requirements to include each selected school's complete self-study report and the agency's site visit report and decision letter.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.

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GAO-18-455	1	Historically Black Colleges and Universities: Action Needed to Improve Participation in Education's HBCU Capital Financing Program	GAO	8/17/2018	OPE	Resolved	As Education develops the required HBCU Capital Financing Program outreach plan, the Executive Director of the program should include in the plan (1) ways to increase outreach to individual HBCUs so that HBCU officials are informed of the program; (2) steps to coordinate directly with state university systems to specifically address state-level challenges to participation and share potential solutions to increase public HBCU participation; and (3) ways to further leverage the designated bonding authority in its efforts.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-18-455	2	Historically Black Colleges and Universities: Action Needed to Improve Participation in Education's HBCU Capital Financing Program	GAO	8/17/2018	OPE	Resolved	The Executive Director of the HBCU Capital Financing Program should lead an agency effort to analyze various Capital Financing Program loan modifications, including the effects of the loan deferments authorized in the 2018 Consolidated Appropriations Act as well as other potential modifications, to assess the potential benefits to HBCUs participating in the program, the potential cost of these options to the government, and their effect on the program's overall financial stability.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-17-22	1	Federal Student Loans: Education Needs to Improve Its Income-Driven Repayment Plan Budget Estimates	GAO	12/1/2016	OPEPD	Resolved	The Secretary of Education should assess and improve, as necessary, the quality of data and methods used to forecast borrower incomes and revise the forecasting method to account for inflation in estimates.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-17-22	2	Federal Student Loans: Education Needs to Improve Its Income-Driven Repayment Plan Budget Estimates	GAO	12/1/2016	OPEPD	Resolved	The Secretary of Education should obtain data needed to assess the impact of income recertification lapses on borrower payment amounts and adjust estimated borrower repayment patterns as necessary.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-17-22	3	Federal Student Loans: Education Needs to Improve Its Income-Driven Repayment Plan Budget Estimates	GAO	12/1/2016	OPEPD	Resolved	The Secretary of Education should complete efforts to incorporate repayment plan switching into the agency's redesigned student loan model, and conduct testing to help ensure that the model produces estimates that reasonably reflect trends in Income-Driven Repayment plan participation.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-17-22	4	Federal Student Loans: Education Needs to Improve Its Income-Driven Repayment Plan Budget Estimates	GAO	12/1/2016	OPEPD	Resolved	The Secretary of Education should, as a part of the agency's ongoing student loan model redesign efforts, add the capability to produce separate cost estimates for each Income-Driven Repayment plan and more accurately reflect likely repayment patterns for each type of loan eligible for these plans.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-17-22	5	Federal Student Loans: Education Needs to Improve Its Income-Driven Repayment Plan Budget Estimates	GAO	12/1/2016	OPEPD	Resolved	The Secretary of Education should more thoroughly test the agency's approach to estimating Income-Driven Repayment plan costs, including by conducting more comprehensive sensitivity analysis on key assumptions and adjusting those assumptions (such as the agency's Public Service Loan Forgiveness participation assumption) to ensure reasonableness.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.

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GAO-17-22	6	Federal Student Loans: Education Needs to Improve Its Income-Driven Repayment Plan Budget Estimates	GAO	12/1/2016	OPEPD	Resolved	The Secretary of Education should publish more detailed Income Driven Repayment plan cost information-- beyond what is regularly provided through the President's budget--including items such as total estimated costs, sensitivity analysis results, key limitations, and expected forgiveness amounts.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A09-R0008	1	OCPO'S Controls Over the Processing of FERPA Complaints	OIG	11/26/2018	OPEPD	Resolved	We recommend that the Acting Assistant Secretary of the Office of Management require the Privacy Office to-- 1.1 Allocate appropriate resources to the Compliance Office based on the stated priority of reducing or eliminating the investigation backlog so that FERPA complaints are resolved in a timely manner.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A09-R0008	2	OCPO'S Controls Over the Processing of FERPA Complaints	OIG	11/26/2018	OPEPD	Resolved	We recommend that the Acting Assistant Secretary of the Office of Management require the Privacy Office to-- 1.2 Work with the Office of General Counsel to resolve outstanding policy issues that impede the Compliance Office's ability to investigate certain FERPA complaints.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
A09-R0008	3	OCPO'S Controls Over the Processing of FERPA Complaints	OIG	11/26/2018	OPEPD	Resolved	We recommend that the Acting Assistant Secretary of the Office of Management require the Privacy Office to--1.3 Implement an effective FERPA complaint tracking system that allows the Compliance Office to account for and track all complaints it receives, including the status and outcome of each complaint, and that provides an effective mechanism for reliable performance measurement and reporting.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A09-R0008	4	OCPO'S Controls Over the Processing of FERPA Complaints	OIG	11/26/2018	OPEPD	Resolved	We recommend that the Acting Assistant Secretary of the Office of Management require the Privacy Office to-- 1.4 Use reliable performance data to design and implement appropriate performance standards for the Compliance Office as a whole and for individual personnel responsible for handling complaints.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A09-R0008	5	OCPO'S Controls Over the Processing of FERPA Complaints	OIG	11/26/2018	OPEPD	Resolved	We recommend that the Acting Assistant Secretary of the Office of Management require the Privacy Office to-- 1.5 Investigate all complaints that meet the criteria requiring investigation and do not place complaints into an "inactive" status.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A09-R0008	6	OCPO'S Controls Over the Processing of FERPA Complaints	OIG	11/26/2018	OPEPD	Resolved	We recommend that the Acting Assistant Secretary of the Office of Management require the Privacy Office to-- 1.6 Revise processes for resolving FERPA complaints to ensure effective and appropriate communication with the complainant, to include providing dismissal notifications, updates, and responses to inquiries in a timely manner and recording all communication in the tracking system.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
A09-R0008	7	OCPO'S Controls Over the Processing of FERPA Complaints	OIG	11/26/2018	OPEPD	Resolved	We recommend that the Acting Assistant Secretary of the Office of Management require the Privacy Office to-- 1.7 Design and implement a risk-based approach to processing and resolving FERPA complaints, where complaints deemed highest risk are prioritized. Risk can be evaluated based on the subject matter of the complaint, the severity of risk to student privacy, the number of students affected, or other relevant factors.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.

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A09-R0008	8	OCPO'S Controls Over the Processing of FERPA Complaints	OIG	11/26/2018	OPEPD	Resolved	We recommend that the Acting Assistant Secretary of the Office of Management require the Privacy Office to-- 1.8 Review and evaluate its current policies and procedures for processing FERPA complaints to ensure they are complete and appropriate.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-14-390	1	Special Education: Improved Performance Measures Could Enhance Oversight of Dispute Resolution	GAO	9/25/2014	OSERS	Resolved	Based on GAO's review, the Secretary of Education should direct the Office of Special Education Programs to increase transparency regarding the timeliness of due process hearing decisions for Congress and better target its monitoring and technical assistance to states, revise its performance measure to collect information from states on the amount of time that extensions add to due process hearing decisions.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-14-390	2	Special Education: Improved Performance Measures Could Enhance Oversight of Dispute Resolution	GAO	9/25/2014	OSERS	Resolved	Based on GAO's review, the Secretary of Education should direct the Office of Special Education Programs to assist its oversight of dispute resolution, take steps to improve the comparability of parental involvement data while minimizing the burden to states, and use the data for better management decision making. Steps to consider could include establishing and requiring that states follow standard data collection and analysis procedures.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-17-352	1	Youth with Autism: Federal Agencies Should Take Additional Action to Support Transition-Age Youth	GAO	5/4/2017	OSERS	Completed	To determine whether IDEA's current transition age requirement allows youth with disabilities, including those with ASD, the time needed to plan and prepare for the transition to adult life, the Secretary of Education should examine outcomes for students when transition services begin at age 16 and the merits and implications of amending IDEA to lower the age at which school districts are to begin providing transition services to students with disabilities, such as 14.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-17-352	2	Youth with Autism: Federal Agencies Should Take Additional Action to Support Transition-Age Youth	GAO	5/4/2017	OSERS	Completed	To implement the goals and policy priorities of the 2020 Federal Youth Transition Plan, the Federal Partners in Transition (FPT) workgroup--the Secretaries of HHS, Education, Department of Labor, and the Commissioner of the Social Security Administration--should develop a long-term implementation plan that includes milestones and specific agency roles and assignments.	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.
GAO-18-94	1	Private School Choice: Federal Actions Needed to Ensure Parents Are Notified About Changes in Rights for Students with Disabilities	GAO	11/30/2017	OSERS	Completed	The Assistant Secretary for Special Education and Rehabilitative Services should review information provided by states related to changes in federal special education rights when a parent places a student with a disability in a private school and work with states to correct inaccurate information.	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.
GAO-18-171	1	Workforce Innovation and Opportunity Act: Federal Agencies' Collaboration Generally Reflected	GAO	2/8/2018	OSERS	Completed	The Assistant Secretaries of Education's Office of Career, Technical, and Adult Education and Office of Special Education and Rehabilitative Services should work with DOL and HHS to fully identify and address their technology resource needs by (1) jointly identifying and prioritizing requirements for online collaboration tools, including	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.

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		Leading Practices, but Could Be Enhanced					those related to security, (2) determining which online tools would best meet their needs, and (3) leveraging their resources to support greater use of those tools.		
GAO-18-171	2	Workforce Innovation and Opportunity Act: Federal Agencies' Collaboration Generally Reflected Leading Practices, but Could Be Enhanced	GAO	2/8/2018	OSERS	Completed	The Assistant Secretaries of Education's Office of Career, Technical, and Adult Education and Office of Special Education and Rehabilitative Services should formally document agreements with DOL and HHS about how the collaboration operates and how the agencies share resources. (	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.
GAO-18-502	1	Students with Disabilities: Additional Information from Education Could Help States Provide Pre-Employment Transition Services	GAO	1/1/2019	OSERS	Resolved	Education agreed with this recommendation and stated that it would establish projected timeframes for providing states with additional information on allowable expenditures for the provision of preemployment transition services. Education also stated that it intends to provide states with additional information in at least two forums before the end of calendar year 2018 and to review and analyze previous guidance provided to states on allowable expenditures.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-18-502	2	Students with Disabilities: Additional Information from Education Could Help States Provide Pre-Employment Transition Services	GAO	1/1/2019	OSERS	Resolved	Education disagreed with this recommendation, in large part, because there is no statutory provision authorizing the agency to identify such states. Nevertheless, Education stated that it is taking some steps as part of its ongoing monitoring of the VR program to provide assistance to states that have not updated their interagency agreements. This is consistent with the intention of our recommendation, but we believe more could be done. The agency also noted that it would continue to offer and provide technical assistance if it becomes known through the onsite monitoring of the VR program or through other means that states have not updated their interagency agreements between VR agencies and state educational agencies. In addition, its Rehabilitation Services Administration (RSA) and Office of Special Education Programs will provide information related to sources of technical assistance, as appropriate, to VR agencies and state educational agencies. While these steps may be helpful, given the number of states that have not updated and finalized their agreements and the length of time Education officials say they will take to complete this round of monitoring where Education asks state VR agencies about these agreements, additional action by Education may be needed to help states more efficiently and effectively coordinate services to students with disabilities.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-18-502	3	Students with Disabilities: Additional Information from Education Could Help States Provide Pre-Employment Transition Services	GAO	1/1/2019	OSERS	Resolved	Education disagreed with this recommendation believing it is premature to develop a timeline for the dissemination of best practices. The agency stated that the identification of "best" practices, meaning those that are clearly supported by a body of evidence derived from valid and reliable research findings, is still emerging as states implement the requirements. Education stated that as RSA identifies best practices through its monitoring and technical	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.

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							assistance activities, it will, in collaboration with its Office of Special Education Programs, consider when and how best to disseminate this information to state VR and educational agencies. With regard to including specific timeframes and activities in a written plan, by detailing the specific steps Education is taking and plans to take along with the amount of time it expects them to take, Education would be better positioned to complete those steps in a timely manner and meet the statutory requirement that Education highlight best state practices and support state agencies.		
GAO-18-577	1	Vocational Rehabilitation: Additional Federal Information Could Help States Serve Employers and Find Jobs for People with Disabilities	GAO	1/1/2019	OSERS	Resolved	The Commissioner of Education's Rehabilitation Services Administration should work with state VR agencies to determine whether and what additional information and assistance VR agencies may find helpful regarding on-demand training, such as online videos, to employers on disability issues.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-18-577	2	Vocational Rehabilitation: Additional Federal Information Could Help States Serve Employers and Find Jobs for People with Disabilities	GAO	1/1/2019	OSERS	Resolved	The Commissioner of Education's Rehabilitation Services Administration should work with state VR agencies to determine how to most effectively disseminate information about the circumstances in which individuals who are employed may be eligible for career advancement services.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-18-577	3	Vocational Rehabilitation: Additional Federal Information Could Help States Serve Employers and Find Jobs for People with Disabilities	GAO	1/1/2019	OSERS	Resolved	The Commissioner of Education's Rehabilitation Services Administration should work with state VR agencies to develop more complete information on when and how VR agencies should assess employment settings, including settings supported by the Ability One program, to determine if they meet the definition of competitive integrated employment.	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.
GAO-18-577	4	Vocational Rehabilitation: Additional Federal Information Could Help States Serve Employers and Find Jobs for People with Disabilities	GAO	1/1/2019	OSERS	Resolved	The Commissioner of Education's Rehabilitation Services Administration should encourage local areas to clarify and document the roles and responsibilities of partner agencies in working with employers and provide sample language of how local areas may document roles and responsibilities in their MOUs.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-18-577	5	Vocational Rehabilitation: Additional Federal Information Could Help States Serve Employers and Find	GAO	1/1/2019	OSERS	Resolved	The Commissioner of Education's Rehabilitation Services Administration should, in setting the employer performance measurement approaches with DOL after the pilot is concluded, take into account VR agencies' concerns and key attributes of successful performance measures, including clarity in what is meant by employer	Resolved	The Corrective Action Plan has been developed and the recommendation is being implemented.

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		Jobs for People with Disabilities					services, coverage of the VR agencies' core program activities, and consideration of factors outside of VR agencies' control.		
GAO-16-343	1	Higher Education: Actions Needed to Improve Access to Federal Financial Assistance for Homeless and Foster Youth	GAO	6/22/2016	OUS	Completed	To help foster and unaccompanied homeless youth better navigate the college admissions and federal student aid processes, the Secretaries of Education and HHS should jointly study potential options for encouraging and enabling child welfare caseworkers, McKinney-Vento homeless youth liaisons, and other adults who work with these youth to more actively assist them with college planning.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-16-343	2	Higher Education: Actions Needed to Improve Access to Federal Financial Assistance for Homeless and Foster Youth	GAO	6/22/2016	OUS	Completed	To help foster and unaccompanied homeless youth, as well as adults who assist these youth, better navigate the federal student aid process and obtain information about college resources, the Secretary of Education, in consultation with the Secretary of HHS, should create webpages directed to homeless and foster youth so they can more easily find tailored and centralized information about available federal and other resources, such as Pell Grants, Chafee Education and Training Voucher Program (Chafee ETV Vouchers), and waivers for college admission tests.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-16-343	3	Higher Education: Actions Needed to Improve Access to Federal Financial Assistance for Homeless and Foster Youth	GAO	6/22/2016	OUS	Completed	To help college financial aid administrators more effectively implement eligibility rules for unaccompanied homeless youth, the Secretary of Education should make available an optional worksheet or form that college financial aid administrators can voluntarily use to document unaccompanied homeless youth status or encourage the use of existing forms that are available.	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.
GAO-16-343	4	Higher Education: Actions Needed to Improve Access to Federal Financial Assistance for Homeless and Foster Youth	GAO	6/22/2016	OUS	Completed	To help homeless youth more easily access federal student aid, the Secretary of Education should clarify its guidance to financial aid administrators and students about whether financial aid administrators should accept any unaccompanied homeless youth determination provided by McKinney-Vento homeless liaisons or other authorized officials even if a student is not in high school or receiving program services.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-16-343	5	Higher Education: Actions Needed to Improve Access to Federal Financial Assistance for Homeless and Foster Youth	GAO	6/22/2016	OUS	Completed	To enhance access to federal student aid for unaccompanied homeless youth, the Secretary of Education should consider developing a legislative proposal for congressional action to simplify the application process so that once a student has received an initial determination as an unaccompanied homeless youth, the student will not be required to have that status re-verified in subsequent years but attest to their current status on the Free Application for Federal Student Aid, unless a financial aid administrator has conflicting information.	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.
GAO-17-266	1	Discretionary Grants: Education Needs to Improve Its Oversight of Grants Monitoring	GAO	5/18/2017	RMS	Completed	To enhance its oversight of discretionary grantee performance, the Secretary of Education should direct the Risk Management Service (RMS) to work with principal offices, as appropriate, to establish and implement detailed written supervisory review procedures for official	Completed	Action has been taken. The recommendation remains open until all other recommendations have been complete.

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							grant files to provide reasonable assurance that grant staff perform and document key monitoring activities.		
GAO-17-266	2	Discretionary Grants: Education Needs to Improve Its Oversight of Grants Monitoring	GAO	5/18/2017	RMS	Completed	To enhance its oversight of discretionary grantee performance, the Secretary of Education should direct RMS to work with principal offices, as appropriate, to develop guidance for grant staff on using the PAM Module to share information on grantee performance. Such guidance could clarify expectations about when staff should use the "Issues" and "Notable Results" tabs while monitoring grantees once the transition to electronic grant files is complete and clarify the types of information staff should enter about grantee performance.	Completed	GAO reviewed the supporting documentation; the Department is gathering additional supporting documentation before the recommendation will be closed.