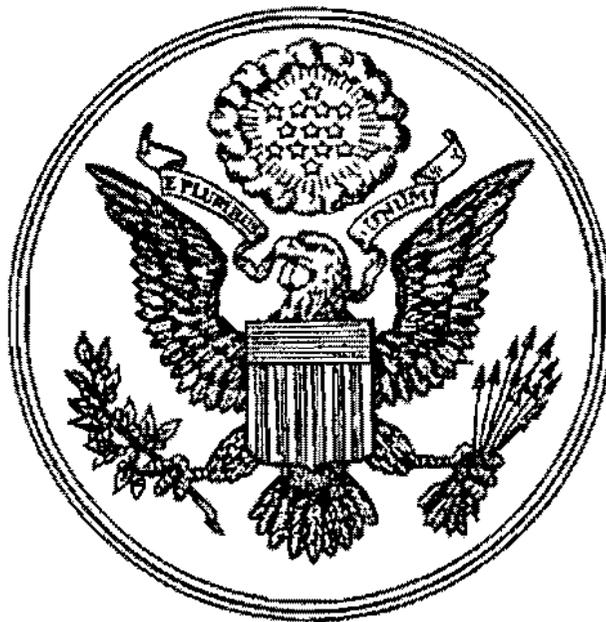


A History of the
U.S. Department of Education
During the Clinton Administration
1993-2001



Prepared for the Clinton Administration History Project
Washington, DC
2000
NARRATIVE

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Moving from "A Nation at Risk" to "A Nation on the Move"

In 1980, Congress established the Department of Education as a Cabinet level agency. Today, the Department operates some 11 large programs (over \$500 million each) and 160 smaller programs that touch on many areas and every level of education. The Department's elementary and secondary programs annually serve 15,000 school districts and more than 50 million students attending over 85,000 public schools and serve many of the 26,000 private schools. Department programs also provide grant, loan, and work-study assistance to more than 8 million postsecondary students.

Despite the increase in recognition in the importance of education as a national priority, the Department never strayed far from what would become its official mission: to ensure equal access to education and to promote educational excellence throughout the Nation. In addition, the Department respected the fact that in America, education is a state responsibility and a local function.

The Department carried out its mission in two major ways. First, the Secretary and the Department played a leadership role in the ongoing national dialogue over how to improve the results of our schools and colleges for all students. This involved such activities as raising national and community awareness of the education challenges confronting the nation¹, disseminating the latest discoveries on what works in teaching and learning, and helping communities work out solutions to difficult educational issues.

Second, the Department pursued its twin goals of access and excellence through the administration of programs that ranged from preschool education through postdoctoral research. To make the most of the limited Federal investment in education, however, the Department

¹ Riley, Richard W., Secretary of Education, "Testimony of Education Secretary Richard W. Riley before the House Education and the Workforce Committee," October 25, 2000.

... focused on activities that fell under four programmatic priorities: (1) helping all students reach challenging academic standards, (2) building a solid foundation for learning for all children, (3) ensuring access to postsecondary education and lifelong learning, and (4) making the Department a high-performance organization.²

Since 1993, the administration in concert with the Secretary of Education, Richard W. Riley, made better education a cornerstone of their priorities by helping Americans have the educational opportunities necessary to succeed in today's global Information Age economy.

The progress on many key education measures stands as testimony to their vision and their efforts on behalf of America's students of all ages to invest more in our nation's schools and demand more from them. To show how far, the Clinton-Gore education team transferred the direction of education at the national level, it is important to remember that in 1994 and 1995 several efforts were made to eliminate the Department. Six years later, in December 2000, the largest federal increase in education (\$ 6.5 billion) was passed by Congress and signed into law by President Clinton. The education team helped to make education the number one priority by the end of the 21st century and built a mainstream nationwide agenda for better education.

In just eight years, through innovative policies and partnerships, they helped make raising standards in our schools the norm not the exception. They helped bring schools into the technology era by increasing the number of classrooms with access to the internet from 3 percent to 63 percent. They made reducing class size and expanding after school programs positive opportunities to reduce the achievement gaps. They rigorously promoted record investments in proven strategies to increase the educational opportunities and performance of all students and greatly enhanced access to college by helping millions of families pay for college. They mobilized tens of thousands of parents and citizens to get more involved to improve educational

² U.S. Department of Education, DRAFT Strategic Plan 2001-2005, p. 10.

opportunities and results. Finally, they also brought attention, at long last, for America to come to grips with the rapidly increasing student population and the need for 2.2 million new teachers and the need for billions of dollars for school renovation and new construction.

As a result, student performance as measured by test scores, rigorous coursework, high school graduation rates, and college enrollment has improved, especially for students in our most economically disadvantaged schools.

Poll after poll shows that providing federal support to improve our nation's schools cuts across the party affiliation of voters and that in part was due to the persistent leadership of the team in the Clinton Administration. With the juxtaposition of our current economic strength against the awareness of an increasingly international economy, serious federal investments to improve the state of our schools is something that will likely continue to be a priority for years to come. If this doesn't happen, it will be a seriously missed opportunity.

Collectively, our future leaders must think ahead to capitalize on the gains that have been made by expanding successful education improvement strategies and to make federal investments on those that have the greatest impact upon our future workforce—today's students. Working together with State and community leaders, educators, and parents the next generation of students of all ages have to be better educated and better prepared for the evolving demands of the new American economy. In short, it is time for the Information Age to become the Education Age.

The Clinton Administration's promise to challenge the status quo came at a time of tremendous need for change in American education. The last of the 1980s and early 1990s were marked by a growing national concern about the quality of teaching and learning. International comparisons of student achievement revealed both strengths and weaknesses in what and how

America's schoolchildren were learning. The achievement gap between rich and poor, white and minority, have stubbornly persisted, so that—to some—the promise of educational opportunity for every child appears to be an almost unreachable goal, even as record numbers of youngsters are coming of school age.

From the first days of the Riley administration, the Department of Education was under profuse scrutiny based upon a profound dissatisfaction with a system that produced SAT scores below the levels of 30 years ago, produced students who lagged well behind the rest of the industrialized world, and allowed millions of Americans to leave school unable to read the first paragraph of our own Constitution. The student loan default rate was at record levels costing taxpayers \$3 billion per year and the Pell Grant program had a \$2 billion deficit. The Department suffered from mistrust and management neglect, almost from its beginning. To overcome this negative image and to lead the way in nationwide education reform, the Department was faced—even from day one of the transition period—with the awesome task of refashioning programs, and revitalizing its management structure while realigning the means by which it did business.³

Leading Education Reform

The following narrative is an attempt to summarize many of the education renewal and reform initiatives undertaken during the Riley years. Unfortunately, to give proper attention to all of the Department's accomplishments would far surpass the available space of this document. Therefore, we have attempted to highlight some of the major policy and management accomplishments of the last eight years in order to provide historians with a basic understanding of the rationale behind the actions that were taken to establish goals and objectives to inform education policy-making in the future. To this end, the Riley years are marked by several major

legislative milestones for educational reform: Goals 2000: Educate America Act, the Safe Schools Act, the School-to-Work Opportunities Act, Student Loan Reform, the creation of after school programs, teacher quality initiatives, and revitalization of Title I, turning around failing schools, reducing class size and the fight for improving the infrastructure of America's schools. These policy initiatives, complimented by a management strategy that restores productivity, quality control, and a cutting edge use of technology never before experienced in a federal government agency, form the backbone of the Department's last eight years.

It is our hope that this document—like the policies of this Administration—do not mark the end of an era. Instead, it is our hope that the process of true education reform has just begun. For it is the students and teachers of the twenty-first century who will offer the best demarcation of the Riley legacy.

Richard W. Riley: A Sense Quiet Leadership

Numerous accolades were heaped upon Secretary of Education, Richard Wilson Riley even before his term in office. Wherever he went Secretary Riley won respect for his integrity, principled leadership, and commitment to children, and passion for education.⁴ Having completed an eight year term as governor of South Carolina,⁵ President Clinton tapped Riley in 1992 to lead the way toward education reform because he showed the potential for being able to reach an end-result that would yield higher test scores, more students gaining access to higher education, and school teachers earning higher salaries while exemplifying more productive methods of teaching in the classroom.

³ Jordan, Mary and Barr, Stephen, "Clinton Crowd Reports to Work," The Washington Post, January 22, 1993.

⁴ Innerst, Carol, "Straight Arrow: Education nominee has reputation for integrity, efficacy, and moderation," The Washington Times, January 13, 1993.

⁵ For more in-depth understanding of Richard W. Riley prior to his terms of office as Secretary of Education see Hodges, Sam. "The Right Man at the Right Time," Forman University Magazine, Fall 1998, pp. 32-35.

Given the politically divided Congress, and a skeptical probing media,⁶ it was necessary for the Clinton administration to put into place a Secretary of Education that could be an advocate for much needed education reform and do so in a way that would be palatable to Members of Congress opposed to a national education policy.⁷ With relatively little opposition to his appointment, Riley was approved by the full Committee on Labor and Human Resources on January 19, 1993.⁸

In an interview conducted with a staff member from the National Education Association newsletter, NEA Today, Riley explained the underlying philosophy behind his first term of office and the fundamental motivation that prompted modern national education reform. He says,

“You have to look back at our history in South Carolina to see why education has been so important to me. A percentage of our people had been systematically deprived of education. The only way for my state to come out of the hole educationally was for us to make major reforms... With changing circumstances in the economy and society and the world in general, the demands put upon education are just much, much greater. I think we’ve made a mistake over the years—probably it was a period of transition—but a lot of young people are identified as being poor students early on and almost pointed in that direction... my goal is to shift things from the negative to the positive. My motivation would be to change a nation at risk to a nation on the move.”⁹

During the President’s first term, Riley helped launch historic initiatives to raise academic standards; to improve instruction for the poor and disadvantaged; to expand grants and loan programs to help more Americans go to college; to prepare young people for the world of work; and to improve teaching. He also helped to create the Partnership for Family Involvement

⁶ Broder, David S., “The Hine Junior High Example,” The Washington Post, November 28, 1993.

⁷ Committee on Labor and Human Resources, Transcript of Proceedings, United States Senate Confirmation Hearing of Governor Richard W. Riley to be Secretary of Education, January 12, 1993

⁸ See Answers to Questions submitted to Riley by various members of the Committee on Labor and Human Resources, January 8, 1993.

⁹ National Education Association, NEA Today, May 1994, pp. 1-2.

in Education, which today includes over 7,000 groups—starting just five years earlier with only 43 groups.

Riley will be remembered for his ability to get things done by reaching out to all citizens. He prefers partnership to partisanship.¹⁰ His quiet, self-effacing style "can drive impatient, assertive young Washington movers and shakers crazy," the *National Journal* has written. "He doesn't grab headlines or clamor for credit... But, inevitably, Riley reaches his goal."¹¹

Riley's efforts were so successful during his first term that President Clinton asked him to stay on for four more years in order to lead the President's continued national crusade for excellence in education. Riley and the President agreed that education would be the pivotal issue that would lead the nation's policy agenda for the next four years. Therefore, it was time to expand the foundations for education reform--which had been established during the first term, narrow the focus of several key programs, and move full steam ahead with a program that would help all children to master the basics of reading and math; make schools safer; reduce class sizes in grades 1-3 by helping states and schools to hire 100,000 more good teachers;¹² modernize and build new schools to meet record-breaking student enrollments; help students learn to use computers;¹³ and expanding after-school programs.¹⁴

Accompanied by his wife Ann Yarborough Riley and using the political background he gained during his almost 20 years as a member of the South Carolina legislature and state governor, Riley went at the traditional Washington, D.C. policy making establishment and began

¹⁰ See U.S. Department of Education, Newsletter, Education Daily, November 4, 1997, p. 19-21.

¹¹ Peristein, Linda. "Pursuing a Mild-Mannered Passion for Education," Washington Post, December 15, 1998.

¹² Anderson, Nick. "With a Gift for Dialogue, Education Chief Gets Congress Talking", LA Times.Com, Tuesday, July 6, 1999.

¹³ "Education Secretary Richard Riley: Infrastructure, teachers and technology head his unfinished agenda," The Hill, September 22, 1999.

¹⁴ See Riley, Richard W.; U.S. Secretary of Education, "The Role of the Federal Government in Education—Supporting a National Desire for Support for State and Local Education," Saint Louis University Public Law Review, (Volume XVII, Number One, 1997).

to forge new trails that would lead the way in affecting education change in the eight years to come.

EDUCATION LANDMARKS:

POLICY MAKING TO EFFECT POSITIVE CHANGE

Setting the Agenda

There were three visions that established the foundation upon which Secretary Riley would base his policy-making decisions during his first year at the Department:

- Creating process leadership to build ownership for sustained educational reform;
- Establishing comprehensive and systematic education reform; and
- Focusing on challenging high standards and for all students.

Each element was introduced in one of several speeches presented during the early months of the Clinton administration. On July 15, 1993, Secretary Riley described the philosophy surrounding the administration's education policy agenda as one that involved "process leadership."¹⁵ Specifically, the reforms that were to be pursued in the next four years were based upon the idea that local ownership in education policy making must be preserved such that it compels local interest and excitement about the change process. The over-riding objective was to insure that the buy-in of local education reform efforts coupled with changes in federal education policy would create a partnership between state and local decision-making bodies thus securing the fiscal and political support necessary for developing consensus and ownership for education reform.¹⁶

The Riley administration inherited a fragmented education program that was based upon standards and assessments haphazardly implemented in only 14 states; reading and math scores that were below average especially for high-poverty schools; federal funding that was targeted toward groups of students and teachers who had the least need; a less than a 50% graduation rate for high school students in urban areas; and federal aid for higher education assistance that

¹⁵ Riley, Richard W., Remarks, "Education Commission of the States' National Forum and Annual Meeting," July 15, 1993.

benefited only 43% of college students; and with the most important Pell grants frozen at \$2300 for almost four years.¹⁷ In outlining his specific proposals for comprehensive education reform, Riley indicated that an initial assessment of state and local reforms put into place during the late 1980s and early 1990s and their intended outcomes were first required in order to determine where federal assistance could best be used.¹⁸

Politically, it was clear that if a new plan for education reform were to be the autonomy of already established state programs would need to be maintained. Additionally, no state, in the midst of an ambitious reform effort should even think about reinventing itself as a result of new federal reform initiatives. Instead, the goal was to establish a reform policy that would put in place a national program to help make systematic, bottom-up reform a reality.¹⁹

In order to provide a coherent direction and strategy, voluntary national standards which provided a shared vision of what all students needed to know and would be able to do when they leave school needed to be developed. The hope expressed by senior staff was that the present efforts currently under way by subject-matter associations, state policy-makers, and local school districts could be reinforced by linking various federal programs to the same high standards and offering all children the opportunity to achieve them.²⁰ Specifically, the administration would legislatively advance the following priorities:

- (1) Create a vision of excellence and equity that guides all federal education and related programs. This would involve writing the National Education Goals into law and the authorization of \$3 million for a National Education Goals Panel to monitor and report on progress towards achieving the goal;

¹⁶ Riley, Richard W., "Remarks at National Forum Annual Meeting," July 1993.

¹⁷ U.S. Department of Education, "K-12 Transition Team Executive Summary," February 1993, p. 41.

¹⁸ Riley, Richard W., Remarks, "Council of Chief of State School Officers," Seattle, Washington, July 25, 1993

¹⁹ *Ibid.*, p. 42-44.

- (2) authorize comprehensive grant programs to assist states and communities in developing systematic reform plans that would include improvements in curriculum, teacher preparation, assessments, and strategies for increasing family and community involvement;
- (3) provide funding to establish a National Skill Standards Board comprised of representatives from business and industry, labor unions, education and training providers, and other related groups that would be responsible for establishing a system of standards, assessments and certification designed to facilitate lifelong learning.²¹

These objectives would allow states to use their established education objectives to analyze programs currently in place and help to determine the next steps in the process for improving student achievement.

In establishing a systematic reform, it was the consensus of senior staff that a comprehensive reevaluation of the status quo that would focus policy making upon high-performance teaching and learning was needed. The reauthorization of the Elementary and Secondary Act (ESEA) would provide the vehicle for establishing programs that would offer ongoing professional development for teachers; change the way postsecondary students received Federal aid by phasing in a new and more efficient Direct Loan program; change the way our education system deals with school youth who do not plan to attend a 4-year college program by improving the school-to-work transition;²² opening up more effective uses of time and technology; and create better ways of involving parents and the community in a child's

²⁰ Ibid., p. 43-44

²¹ Riley, Richard W., Remarks, Fiscal Year 1994 Request for the Department of Education before the House Subcommittee on Labor-HHS-Education Appropriations, July 1993.

²² Ibid.

education. Internally, it would require a massive reorganization of the Department that would streamline the policy-making process and create a continuous and effective system for evaluating program success. However, the key to making these changes would rely upon an application of public policy that was both “constructive and helpful...not burdensome.”²³

Building Continuity: America 2000 to Goals 2000

Beginning with the first days of the new administration, attention focused on policy initiatives that would clarify the stand alone, largely disconnected message and service delivery programs put into place by the previous administration. The previous Secretary of Education, Lamar Alexander, created an initiative, America 2000, that was intended to be a “bold strategy to...move us toward the six ambitious national education goals...” which had been established in the late 1980s. Alexander America 2000 as a vehicle for creating an education “revolution” where higher standards would “break the grip of the educational complacency that was holding America back.”

He believed that programs like the New American Schools (goal two of the America 2000 initiative) would help improve classroom teaching so that students could reach higher academic standards. He believed that by adding the notion of local and state flexibility in implementing new rules and regulations, every school could “chart its own course” to the new standards.²⁴ Fundamentally, the key to making America 2000 work was choice. Allow schools and America 2000 Communities to establish their own methods for achieving nationally set standards, then step back and let the progress be achieved²⁵ hoping that results would be realized by 1995. The problem was there were no significant resources or incentives to help communities and states put in place higher standards or quality assessments of the higher standards. In

²³ Ibid.

²⁴ Ibid., p. 2.

addition, there were no proposals in America 2000 to provide the extra help for students to reach the tougher standards.

Those who worked against America 2000 deemed it an effort to use federal money for private schools.²⁶ The previous administration referred to America 2000 as a “bold strategy to...move us toward six ambitious national education goals...” and had put forth an intensive public-relations campaign to promote the program. However, while the philosophy was sound, the America 2000 programs were fraught with simplistic program designs and would require a massive allocation of federal resources which were not available at the time. The previous administration spent an immense amount of time focusing on the most publicly recognized part of the program—America 2000 Communities. The remaining three parts of the program were virtually ignored given that implementation of 44 separate action items was viewed by many in the Alexander administration as too large to be implemented on a national scale.²⁷

Riley’s transition team and first senior policy advisers found that under the Bush administration, Schedule C employees had primarily staffed the program and left when the administration changed. Therefore, the Department, in attempting to understand the America 2000 programs were left with a void in the base of knowledge needed to maintain the workability of the project. However, the motivation to create and implement new standards had not been embraced by many communities and the program was stagnating. The new staff was struck by the previous administration’s lack of an “overall game plan or evidence of a comprehensive systematic plan for implementation”²⁸ for America 2000.

²⁵ Ibid, p. 2.

²⁶ Ibid, p. 3

²⁷ Ibid, p. 2.

²⁸ Ibid, p. 3. See margin notes prepared by Terry K. Peterson, Counselor to Secretary Riley.

The first objective of the Riley administration would be to build upon existing local mobilization efforts and create a vision for excellence and equity that would guide education and related programs.²⁹ To carry out this mission, the Department would first need to promote setting higher standards in each state, with the voluntary national standards serving as benchmarks that would lead to a comprehensive effort in assisting states and communities to implement a program that would move communities towards the previously articulated National Education Goals. Underlying higher standards was a unique developmental sequence of educational experiences that allowed for continuous life-long learning--a factor that was previously absent from federal education policy. Also, new resources were provided to states and communities thorough the new legislative initiatives and agreements.

To carry out the new initiative the Department would develop "new partnerships" with states and communities, all federal agencies, research centers, and interested national advocacy organizations and corporations who could become positive forces in education change.³⁰ The goal was to emphasize all levels of education delivery so as to improve the capacity of students and teachers to meet higher standards, improve coordination within and across programs, and aligning the national goals and standards with other policies and programs.³¹

To motivate local and state school officers to become involved in this effort, incentives were created in the form of grants, and community recognition events that promoted true reform efforts. Senior advisors proposed that each senior level officer within the Department be assigned to a specific urban or rural area in order to develop a conduit for coordination of information and technical assistance. The Office of Educational Research and Improvement

²⁹ U.S. Department of Education, K-12 Transition Team Executive Summary, February 1993, p. 42

³⁰ Ibid, p. 43.

³¹ Ibid, p. 43-44

(OERI) would be the key in coordinating this effort, as it served as the point of origin for other reform programs.

Perhaps most importantly, the Riley administration knew that the greatest obstacle to achieving adoption of the reform effort would require a change in the public's attitude toward public education. Rather than focusing upon the failures of America's schools, the Department would now start a public outreach campaign that would emphasize the Department's role as a clearinghouse for information and education success stories.³² This was facilitated by improving the use of existing mediums currently being by the Department to promote its programs; newsletters, hotlines, Satellite town meetings, daily phone conferences, and workshops.³³ Additionally, the Department would put greater focus upon the use of technology to allow for greater access to the Department's resources and personnel.

The ideas for change were abundant the early days of the Riley transition, however, the obstacles that would need to be addressed were readily apparent and a plan for quick implementation of the Secretary's reform program would need to be initiated immediately. While speaking before the National School Boards Association on March 27, 1993, Riley outlined the three guiding principals that would become backbone of educational reform initiatives for the next eight years: flexibility, fluidity and efficiency.³⁴ The first concrete legislative initiative of the Riley administration that would bridge the gap in assisting states and communities to implement education policies that would move communities towards the National Education Goals put into place four years earlier was Goals 2000: Educate America Act (Goals 2000).

³² See U.S. Department of Education, "Inside Edition," March 4, 1993.

³³ Ibid, p. 44.

³⁴ Riley, Richard W., U.S. Secretary of Education. speech before the National School Boards Association, March 27, 1993.

On April 21, 1993, Goals 2000 was formally introduced before both Houses of Congress.³⁵ The legislative strategy that would be pursued to insure comprehensive political support from Members of Congress in order to achieve passage before the FY 1994 appropriations cycle was complete.

Secretary Riley presented the administration's position on this legislation in numerous appearances before congressional panels with jurisdiction³⁶, in public speeches before private advocacy groups, and in personal correspondence exchanged with state and local educators.³⁷ Goals 2000 was described, by a nonpartisan, congressionally mandated review panel, as one of the most important education initiatives "in the history of postwar federal aid to elementary and secondary education. It saw a shift toward different ideas about educational improvement and the ways the federal government could best support states and schools districts."³⁸

Goals 2000: Educate America Act

Goals 2000 was signed into law March 31, 1994³⁹, with bipartisan congressional support and the backing of major education, business, and labor organizations.⁴⁰ The legislation was unique in that it authorized few federal restrictions upon the use of funding of state and local reform efforts that were currently underway while also setting challenging academic standards for all students.

³⁵ Riley, Richard W., U.S. Secretary of Education, "Statement by Secretary Richard W. Riley on the Goals 2000: Education America Act", April 21, 1993.

³⁶ Riley, Richard W., U.S. Secretary of Education, "Statement by Secretary of Education Richard W. Riley before the U.S. Senate Committee on Labor and Human Resources," May 4, 1993.

³⁷ Riley, Richard W., U.S. Secretary of Education, "Remarks Prepared for Richard W. Riley U.S. Secretary of Education before the Education Commission of the States National Forum and Annual Meeting", Pittsburgh, Pennsylvania July 15, 1993.

³⁸ U.S. U.S. Department of Education, Planning and Evaluation Service, Measured Progress: The Report of the Independent Review Panel on the Evaluation of Federal Education Legislation, April 1999, p. 9.

³⁹ Riley, Richard W., "Signing of Goals 2000: Educate America Act" San Diego, California, March 31, 1994.

⁴⁰ 108 Stat. 125, Public Law 103-227, "Goals 2000: Educate America Act," March 31, 1994.

Eight years later, in practice, the most common uses of Goals 2000 funding has been supporting professional development initiatives aimed at improving teachers' ability to teach to higher standards, aligning local curriculum and instruction with state standards, and developing assessments linked to those standards. State participation in the program was entirely voluntary under the original statute, but widely adopted as a means to accomplish a much-needed end.

Goals 2000 became a lightning rod for questioning the political efficacy of federal education policy, however, many detractors) in later years concluded that the law was a measurable success. In fact, some state political leaders(e.g. Governor George Allen of Virginia) lead efforts within their states to not accept Goals 2000 funding.⁴¹ Some extreme conservative groups incorrectly stated that Goals 2000 could lead to massive federal intervention, despite the fact that the program had very few requirements or paperwork demands associated with it.⁴²

Late, in one evaluation of the program by the General Accounting Office it was found that the legislation, "helped state promote and accomplish reforms at an accelerated pace—which state officials believed would not have occurred without this funding".⁴³

In 1996, only 14 states had designed and adopted academic standards; today, 49 states have developed content standards and 48 have assessments to measure student progress in core academic subjects. All states are required to have standards, assessments, and accountability systems in place by FY 2000. For the first time, these systems are allowing states and districts to identify low-performing schools and then offer solutions for effective change.

⁴¹ Cohen, Mike, "Memorandum to Governor Kunin re: Political Strategy for Implementing Goals 2000," May 2, 1994.

⁴² Riley, Richard W., U.S. Secretary of Education, "Goals 2000 Legislation: Overview of Goals 2000: Educate America Act," 1994.

⁴³ General Accounting Office, Report to Congressional Committees, Goals 2000: Flexible Funding Supports State and Local Education Reform, November 1998, p. 15.

ESEA Reauthorization 1994⁴⁴

Passage of Goals 2000 was only the first step toward school reform. Now, the Administration would need to identify specific programs to meet the goals and secure authorization for funding. In March of 1993, the Administration proposed a reauthorization of the Elementary and Secondary Education Act (ESEA) later passed into law under the title of the Improving America's Schools Act (IASA).^{45,46} The legislation allowed the federal government to allocate resources for elementary and secondary education programs placed into service as far back as 1965.⁴⁷ It also encompassed a broad array of new programs⁴⁸ and initiatives that would affect all students, parents, and teachers.⁴⁹ Additionally, it would reorganize presently diverse education reform objectives around a central, unifying goal: support state and local efforts to help students achieve at the challenging levels that Goals 2000 had put into place⁵⁰ while codifying specific goals that IASA would seek to achieve. Those goals included:

1. All children in American will start school ready to read.
2. The high school graduation rate will increase to at least 90 percent.
3. All students will leave grades 4, 8, and 12 having demonstrated competency over challenging subject matter.
4. The nation's teaching force will have the opportunity to acquire the knowledge and skills needed to instruct and prepare all American students for the next century.
5. U.S. students will be first in the world in mathematics and science achievement.
6. Every adult American will be literate and will possess the knowledge and skills necessary to compete in a global economy and to exercise the rights and responsibilities of citizenship.

⁴⁴ See U.S. Department of Education, Office of Elementary and Secondary Education, "OESE—Briefing January 23, 1993."

⁴⁵ White, Barry and Sawhill, Belle, Memorandum to Tom Corwin re: Status of the Elementary and Secondary Education Act (ESEA) Reauthorization—S. 1513/11.R. 6, July 28, 1994.

⁴⁶ U.S. Department of Education, "Improving America's Schools Act of 1993," Executive Summary, undated.

⁴⁷ U.S. U.S. U.S. Department of Education, Side-by-Side Comparison of "Current Law" and "Improving America's Schools Act." November 3, 1993.

⁴⁸ Ibid.

⁴⁹ U.S. Department of Education, "Evaluations Included in the Improving America's Schools Act of 1994." December 16, 1994.

⁵⁰ U.S. U.S. U.S. Department of Education, Improving America's Schools Act of 1994: Summary Sheets, October 27, 1994.

7. Every school in the United States will be free of drugs, violence, and the unauthorized presence of firearms and alcohol, and will offer a disciplined environment conducive to learning.
8. Every school will promote involvement and participation in the social, emotional, and academic growth of children.⁵¹

Six of the goals were proposed to the 50 governors lead by Governor Bill Clinton of Arkansas and President Bush in 1989 during the famous Charlottesville Summit. Two new goals were added in IASA—one to increase parent involvement the other to improve teaching. Also, a positive addition to the original goals was the inclusion of the arts as a core academic subject. As a result the Department and the National Endowment for the Arts created a successful Arts Education Partnership to help achieve this goal.

In order to meet the more rigorous standards of academia established in Goals 2000, IASA also sought to align state and local standards with this new—more specific—set of federal objectives.⁵² The idea was to bring a coherent focus to what was previously a disparate, largely unrelated collection of programs and standards so that federal funds could be better used to more precisely meet the needs of all student populations. By providing federal support for a push to meet higher standards, a bridge could be built to bind the gap between the economically advantaged and disadvantaged student.⁵³

Specifically, the final form of the legislation sought to embody five fundamental principals: all children can achieve to high academic standards; professional development for teachers and other educators must be an integral part of every educator's job; Federal resources must be targeted to communities and schools where the needs are greatest and in amounts

⁵¹ Ibid. p. i.

⁵² See U.S. Department of Education, "Specification Documents for ESEA 1994," dated May 5, 1993 through December 1994.

⁵³ See Riley, Richard W. "The Improving America's Schools Act and Elementary and Secondary Education Reform." *Journal of Law and Education*, South Carolina Law Center and the University of Louisville School of Law, Fall, 1995, pp. 513-566.

sufficient to make a difference⁵⁴; schools and school districts must have the flexibility to implement reform geared to their individual needs⁵⁵; and reaching high standards will require a strong partnership with parents and others in the community.⁵⁶

Beginning with an overhaul of the "old" Chapter 1 program (now reverting back to its first-born state of Title I in the new authorization package) new initiatives were introduced to provide resources to help link schools, parents, and communities. Over 30 programs already administered by the Office of Elementary and Secondary Education (OESE) with a total budget of over \$9 billion were added to a long list of changes made to create flexibility and efficiency. Previously, Chapter 1 served one in nine school-age children, largely providing compensatory reading and mathematics instruction at the elementary school level. The consensus was that the time to reinvent Chapter 1 had come given that, on average, the program added only about 10 minutes more to a day of reading and mathematics instruction and took a remedial basic skills approach that was inconsistent with substantive curricula.

Additionally, while the percentage of school districts offering in-class Chapter 1 instruction increased from 28 to 58 between 1985-1986 and 1990-1991 school years, respectively, this instruction was often characterized by drill and practice instruction and homogeneous groupings.⁵⁷

A report of the National Performance Review concluded that the need for reinventing Chapter 1 law and regulations was far past due. The reauthorization package sought to respond to this need and enumerated four specific goals:

⁵⁴ U.S. Department of Education, Office of the General Counsel, "Cross-Cutting Issues for ESEA Reauthorization," July 7, 1993.

⁵⁵ U.S. Department of Education, Office of the General Counsel, "Amendments to the General Education Provisions Act (GEPA), July 7, 1993.

⁵⁶ Riley, Richard W., Letter to the Honorable Alice M. Rivlin, October 17, 1994.

⁵⁷ U.S. Department of Education, Reinventing Chapter 1: The Current Chapter 1 Program and New Directions, Final Report of the National Assessment of the Chapter 1 Program. (Washington, D.C., February 1993).

- Replace rigidity in the Chapter 1 program with accountability for results.
- Reverse the disincentives created by the use of standardized testing.
- Concentrate Chapter 1 funding on schools serving large proportions of low-income students
- Use Chapter 1 funds—at the discretion of the schools and school districts—for needed social services.⁵⁸

Some of the Title I programs and activities of OESE which were affected by IASA included:

- Part A of Chapter 1, Part A formula grants to local education agencies (LEAs) for supplemental instruction and support services to educationally disadvantaged children. In FY 1993 \$6.13 billion was distributed to over 5 million students through basic grants and Concentration grants.
- Chapter 1, Part D of the Migrant Education program approximately \$300 million in grants to state agencies and non-profit organizations were introduced to assist migrant students from pre-K through college levels for supplemental instruction and intra-and inter-state coordination of services to migrant children.
- Chapter 1, Part B of the Even Start program approximately \$89 million is designated to foster parent literacy and child development needs. The program investigated adult and child education, but served as the hub for community-based services for low-income children, often linking Head Start and Chapter 1.
- The Office of Indian Education where grants were administered to LEAs for programs designed to meet educational needs of Native American students.⁵⁹ In

⁵⁸ U.S. U.S. Department of Education, "Statement by the Secretary of Education on the FY 1993 Economic Stimulus Supplemental Appropriation Request." February 23, 1993.

⁵⁹ See U.S. Department of Education, "Draft Specifications for Reauthorization of the Indian Education Act of 1988."

addition, fellowships for graduate studies for Native Americans and programs for adult education were funded.⁶⁰

- Impact Aid programs received \$750 million to provide financial assistance to schools in LEAs whose local revenues are adversely affected by federal activity.⁶¹ The funds were used to help serve 1.8 million students whose parents work or live on federal property including military bases, whose Federal presence has an adverse impact on local school districts.⁶² The program was intended to provide a more equitable distribution formula for the distribution of aid, creates a separate categorical assistance provision for federally connected children with disabilities,⁶³ provides supplemental payments for school districts experiencing increases in military dependent students, and established limited funding for school construction to LEAs adversely affected by federal activity.⁶⁴

Under the new Title I programs \$7.1 billion in funds—for Title I alone--would be appropriated in fiscal year 1994 amounting to almost 21 percent of the Department's total budget request.

The implications of these changes would be monumental.

"Changes...could bring Chapter 1 into the mainstream—indeed, the forefront—of reform in curricular standards, whole school improvement, performance monitoring, and integrated services. The urgent need to transform Chapter 1 reflects the need to transform American education with special attention paid to schools serving the most disadvantaged students."⁶⁵

⁶⁰ See U.S. Department of Education, Office of the General Counsel, "Draft Language of the Indian Education Reauthorization," July 26, 1993.

⁶¹ See U.S. Department of Education, "Impact Aid Reauthorization Specifications," May 11, 1993.

⁶² See U.S. Department of Education, Office of the General Counsel, "Key Issues in Impact Aid," undated.

⁶³ See U.S. Department of Education, "Response to OMB Comments on Impact Aid Specifications," July 13, 1993.

⁶⁴ See U.S. Department of Education, "Draft Impact Aid bill," July 20, 1993.

⁶⁵ U.S. Department of Education, Reinventing Chapter 1, p. 183.

In addition to the significant beefing up of Title I programs, the legislation consolidated many previously introduced school reform initiatives and established five new school improvement programs:

1. The state and local Educational Improvement programs would be used to fund state and local education accounts for the general improvement of elementary and secondary education.
2. The Eisenhower Math and Science State grant programs would be used to provide financial assistance to institutions of higher education for programs and activities to improve the skills of teachers and the quality of instruction in mathematics and science in public and private elementary and secondary schools.
3. The Drug Free Schools and Communities program would provide a formula grant to states for school and communities based programs of drug and alcohol abuse education and prevention.
4. The Magnet Schools Assistance Program would provide financial assistance to support the elimination, reduction, or prevention of minority-group isolation in elementary and secondary schools. Funds would be appropriated to support courses of instruction that will substantially strengthen the knowledge of academic subjects and marketable vocational skills of students attending these schools.
5. The School Dropout Demonstration program would provide funds to community-based organizations, and educational partnerships for dropout prevention and reentry programs.

Additional programs, which would have long term significance, addressed in the legislation included:

1. A reauthorization for the National Center for Education Statistics.⁶⁶
2. Establishment of the Fund for Innovation in Education.⁶⁷
3. A Proposed Women's Educational Equity Act.⁶⁸
4. The Jacob K. Javits Gifted and Talented Students Education Act.⁶⁹
5. The Public Charter Schools program⁷⁰
6. The Arts in Education program⁷¹
7. Civic Education programs⁷²

All of these programs, together, would be the beginning of an intense effort to improve teacher quality by stimulating high-quality professional development in the core academic subjects and address school and community needs that were necessary to help students meet the more challenging State and local content requirements as well as meet the previously adopted National Education Goals.⁷³

Additionally, prompted by a Department mandate to promote the use of technology in public schools, Congress approved new technology access and use programs that would enhance

⁶⁶ See U.S. Department of Education, "Draft Specifications for Reauthorization of the National Center for Education Statistics." May 27, 1993.

⁶⁷ U.S. Department of Education, Office of the Secretary; memorandum "Fund for Innovation in Education," May 25, 1993.

⁶⁸ U.S. Department of Education, Office of the General Counsel, "The Department's draft legislative language for reauthorization of title IV-A of ESEA (WEEA)," June 2, 1993.

⁶⁹ See U.S. Department of Education, "First Draft: Program Descriptions ESEA", October 1994 for program accomplishments, proposals that were not enacted, and proposals that were not supported by the Department.

⁷⁰ Ibid.

⁷¹ Ibid.

⁷² Ibid.

⁷³ U.S. U.S. U.S. Department of Education, Improving America's Schools Act of 1994: Summary Sheets, p. 9.

curricula, instruction, and administrative support.⁷⁴ These programs included the Fund for the Improvement of Education (FIPE),

In 1999, an independent non-partisan evaluation group evaluating the impact produced by these reforms conducted a review. They concluded, especially with regard to Title I funding, that

“for the first time, the Title I law [of ESEA] now explicitly states that the disadvantaged children should be held to the same standards as other children and it ties accountability to these results, asking states to create consequences for schools that fail to raise the academic performance of children participating in the Title I program.”⁷⁵

The 1994 laws complemented and helped to accelerate reforms in states and school districts. School districts in states that had begun standards-based reforms early found new federal support to help them use challenging standards to improve teaching and learning. In states and districts where standards are used as a tool for classroom instruction, student achievement has shown significant gains in both reading and math.

For states that had not yet begun standards-based reform, the 1994 laws were a catalyst to change curriculum, teaching practices, and assessments in support of more rigorous and challenging instruction. According to the General Accounting Office (GAO), state officials believe that Goals 2000 and ESEA are spurring standards-based reform in local schools and communities.⁷⁶ More than 80 percent of poor school districts, and almost half of all districts nationwide, reported that Title I is “driving standards-based reform in the district as a whole.”⁷⁷

⁷⁴ Ibid. p. 10.

⁷⁵ U.S. Department of Education, Planning and Evaluation Service, Measured Progress: The Report of the Independent Review Panel on the Evaluation of Federal Education Legislation, April 1999, p. 9.

⁷⁶ See U.S. General Accounting Office, Goals 2000: Flexible funding supports state and local education reform, Washington, D.C. 1998.

⁷⁷ U.S. Department of Education, Office of the Under Secretary Planning and Evaluation Service, “Promising results, continuing challenges: The final report of the national assessment of Title I,” Washington, D.C., 1999.

In 1994 laws significantly expanded the flexibility of states to submit a single, consolidated application for the majority of ESEA programs, helping reduce paperwork by 85 percent while encouraging a comprehensive approach to planning. The laws also allowed the Department to waive statutory and regulator requirements that block innovative reform upon the request of states districts and schools. The Department has received 648 requests for waivers, roughly 85 percent that were either approved or withdrawn because applicants learned they had sufficient flexibility under the law to proceed without a waiver.⁷⁸

Partnership for Family Involvement in Education

As an outgrowth of the Goals 2000 movement the administration, at the prompting of Secretary Riley, began to recruit the business community to participate in reform initiatives via educational partnerships. Family-school, community, business, and faith-based organizations were also encouraged to work together to increase family involvement and to improve schools. Most organizations, in the private sector, were created to advocate narrow interests, however, it was widely proven that entering into a partnership encourages groups to form alliances so that the whole is larger than the sum of the parts.

President Clinton, acknowledging the importance of one of the Department's first education/business partnership advocacy organizations, the New American Schools Development Corporation (NASDC). This program, introduced by the previous administration to involve the private sector in the America 2000 campaign, aimed to leverage venture capital funds to be used towards the development of innovative models and designs for education reform.⁷⁹ In fact, the President and Riley helped build support for the New American Schools Corporation

⁷⁸ U.S. Department of Education, "Waivers: Flexibility to Achieve High Standards Report to Congress on Waivers Granted Under the Elementary and Secondary Education Act," Washington, D.C. 1998.

⁷⁹ Memorandum of Understanding, New American Schools Development Corporation, 1991.

and other reform efforts through the creation of a very highly visible White House event announcing a multi-million dollar gift from Walter Annenberg.

Riley, upon taking over the leadership of the Department, maintained that groups like NASDC were essential to the design and implementation of exciting and innovative ideas. He believed that they could act as a catalyst for developing customer focused materials and activities that could make resources available in larger quantities that would strengthen family involvement as well as community connection to education. Out of this the Partnership for Family Involvement in Education (PFIE) was born.⁸⁰

Since its launch in 1994, over 7,500 partnering organizations have pledged to implement effective family involvement practices using resources and research provided by the Department. States, corporations, unions, non-profits, local schools, and faith communities have joined. Diverse partners include major national entities such as federal agencies, YMCA, Girl Scouts, National Parent Teacher Association, IBM, AT & T, National Tennis Association, as well as individual schools, churches, museums and cultural alliances. Organizations are working together on issues such as expanding after-school programs, improving reading, increasing father involvement, preparing teachers to involve families, supporting family-friendly business practices, and preparing guidelines for faith community to support children's learning.

Based on 30 years of research that finds that children learn better and are more successful in school when their families and communities are involved in their education, more than 6,000 schools, businesses, community groups and faith based organizations are conduits for providing information, expanding professional development and sharing via community networks the

⁸⁰ See U.S. Department of Education, "White Paper on the Partnership for Family Involvement," undated.

education practice and theory.⁸¹ PFIE began as a way to increase opportunities for families to be more involved in their children's learning at school and at home while also strengthening schools and improving student achievement.⁸²

At the local level, PFIE supported efforts to strengthen communication and mutual responsibility for a child's learning,⁸³ provide before and after-school learning activities, make effective use of facilities-schools, community buildings, and churches for children and families while giving parents the resources, training and information they need to help children learn.⁸⁴

At the state and national level, PFIE forums and conferences have been used to educate their partners about current, relevant family-friendly policies and exemplary practices while providing partners with the resources and research provided by the Department and other national, state, or local partners to mobilize interest, energy, and expertise through convened meetings, directed research materials, hosted teleconferences, a monthly newsletter, a Web site, and extended technical assistance.⁸⁵

America Goes Back to School

Started by the Secretary in 1995 and sponsored by the Partnership for Family Involvement in Education, the America Goes Back to School program encouraged families and communities to make the most of the back-to-school time by launching or expanding family-school-community partnerships. In the first two years of the program, 100 different events were

⁸¹ U.S. Department of Education, "The Study of Opportunities for and Barriers to Family Involvement in Education," pp. 2-13.

⁸² See U.S. Department of Education, Corporate Involvement in Education publications on individual Department initiatives promoted by the business community.

⁸³ See U.S. Department of Education, "Community Update" newsletters for example of PFIE communication mediums.

⁸⁴ U.S. Department of Education, "The Partnership for Family Involvement in Education: Who We Are and What We Do," April 2000, p. 13.

⁸⁵ *Ibid.*, p. 1.

typically hosted in local communities and attended by various Cabinet and sub-Cabinet level officials to stress the importance of involvement in education.

By 1999, over 1000 different events⁸⁶ were taking place in communities all over the country that would encourage family and community involvement in education.⁸⁷ To lead the effort, the Secretary,⁸⁸ accompanied by staff, community leaders, teachers and students⁸⁹ would board school buses and travel through a number of communities.⁹⁰ During these bus tours a series of events in each state were conducted intended to highlight educational successes and partnerships. These visits and other events ignited employers, parents, educators, community leaders, law enforcement officials, teachers and students to become excited about the opening of school and stress the importance of involvement in education.⁹¹ During the 2000 bus tour up the Mississippi Delta, 24 communities in seven states were visited in five days—all during record breaking temperatures usually exceeding 105 degrees.

America Read Campaign

In 1994, the Department's National Center for Education Statistics (NCES) completed a periodic surveys of student achievement, and found evidence of an alarming national problem: The inability of many children to read well. Forty percent of fourth graders had not attained its Basic level of reading skills, and 70 percent could not be considered Proficient in reading. The results were bleaker for students from poor families and students attending urban public schools. Two-thirds of African-American and Hispanic students had not attained Basic reading skills.

⁸⁶ U.S. Department of Education, "Success Express: Destination Education Event Description," August 30, 2000.

⁸⁷ See "Speech Chart for Success Express Bus Tour", pp. 1-3.

⁸⁸ Riley, Richard W., U.S. Secretary of Education, "Remarks by Secretary Richard W. Riley, Warren E. Hearnes Elementary School, Charleston, Missouri, Success Express Bus Tour," August 31, 2000.

⁸⁹ See "AGBTS 2000: Bus Manifest," August 30, 2000, pp 25-30.

⁹⁰ See Sample Map of "America-Goes-Back-To-School Bus Tour," August 27-31, 2000.

⁹¹ Riley, Richard W. U.S. Secretary of Education, "Back-to-School Time is Not Just for Kids Anymore", 2000.

Research indicated that early interventions aimed at improving reading skills can produce lasting rewards. The America Reads Challenge - an initiative unveiled in August 1996 - took advantage of this opportunity to make early investments that yield long-term rewards.⁹² The initiative was a model new approach to governance - often called the "Third Way" -, which emphasized the mobilization of community resources to conquer the most pressing social problems. America Reads was a summer program that arose out of a desire to involve parents and community volunteers in a campaign to read with their children for at least 30 minutes each day and secure a library card for their child. The first summer, perhaps 100,000 children participated. By the summer of 2000 over 3 million children were reached. The effect of the program has grown into a year around initiative that provides best practices guidance to teachers in the classroom during the regular school year.

With limited new resources individuals and organizations across the country were energized into action. America Reads was responsible for raising the public's awareness of what many Americans considered a crisis. By 1998 survey of local efforts found that many organizations were making intensive efforts to start or improve programs for young children.

America Reads involved a simple but important goal, all children should be able to read well and independently by the end of third grade. One element of the strategy for achieving that goal aimed at a major obstacle to improved reading skills: the lack of practice time. In August 1996, President Clinton proposed a national literacy campaign that would enlist "one million volunteer tutors ready and able to give children the personal attention they need to catch up and get ahead." The federal government would play a crucial but limited role as a catalyst in building the President's "citizen army" of reading tutors. Using existing programs like the Department's

⁹² NASFAA, Student Aid Transcript, "America Reads and America Counts" Community Service in Action," Summer 2000.

work-study program, which in 1996 provided \$617 million to support part-time employment for 713,000 students at 3,400 colleges and universities, the government would waive the requirement that one-quarter of wages for work-study students be paid by the employers. The new rule became effective in July 1997.

In addition, the Administration recruited college and university presidents to champion the establishment of new work-study tutoring programs. In December 1996, the President appointed of a steering committee of 21 presidents, chaired by Robert Corrigan of San Francisco State University, to recruit other institutions to the campaign. Each of the 21 pledged that their institutions would dedicate half of any increase in work-study funding to new tutoring programs. An overall increase of \$213 million in work-study funding was planned in the FY 1998 budget.

By June 1998, 1,100 colleges and universities were using the America Reads waiver, and 22,000 students were working as reading tutors.⁹³

In 1998, its Office Educational Research and Improvement provided \$3 million in funding to 60 projects that would identify promising volunteer tutoring practices. A report on best practices, "So That Every Child Can Read", was published in April 1999. The Office of Elementary and Secondary Education worked with one of its grantees, the not-for-profit organization Reading Is Fundamental.

The Office of Postsecondary Education used its Teacher Quality Initiative to improve teachers' skills in reading instruction.

Direct government action was only one part of the America Reads Challenge. A more important component is the recruitment of individuals within a community to identify and respond to local needs. To promote public awareness about early childhood literacy, the

⁹³ U.S. Department of Education, "Federal Work-Study and Community Service Award Year 2000-2001 and the America Reads Challenge," 2000.

Education Department has built links with non-governmental organizations already working in the area. It encourages its partners to participate in the annual "Read Across America Day", sponsored by the National Education Association, and "National Family Literacy Day", sponsored by the National Center for Family Literacy. It also encouraged the Learning First Alliance - which includes a dozen national associations representing teachers, parents, and school administrators - to give more prominence to the issue.

Further, the Department of Education encouraged participation from the private sector. Scholastic Inc., a leading publisher of children's books, has supported America Reads by developing a training kit for tutors who work with young readers. In 1997, the company pledged to donate over a million books to national and state literacy programs aimed at younger children. In 1998, the Pizza Hut Corporation introduced a new reading program for pre-schoolers, "BOOK IT! Beginners", modeled on a school-based reading motivation program that began in 1984. Twenty thousand preschool and pre-kindergarten facilities are now participating in the read-aloud program.

The Department worked hard to provide to build a national community of groups committed to America Reads. In 1997, it began President Clinton's Coalition for the America Reads Challenge, which now includes more than 300 local, state and national organizations. Over the last two years, the department has sponsored conferences, satellite town meetings, and teleconferences that provide forum in which coalition members can discuss issues that arise in the implementation of literacy programs. An electronic mailing list maintained by the Corporation for National Service serves the same purpose. A range of print, video and web resources were also available to support local efforts. The Department has distributed over 3 million of its Read-Write-Now! Reading activity kits in English and Spanish since 1998.

While it has been possible to implement much of America Reads through an inventive use of established programs, the plan also included legislative action. The America Reads Challenge Act, sent to Congress in April 1997, proposed a new program that would provide \$2.5 billion in grants over five years to state and local agencies, and national not-for-profit organizations, to support reading tutoring programs for young children.

Obtaining congressional support for the legislation was not a simple task. There were serious differences about the federal role in education, evidenced in the debate over the President's proposal for a voluntary national testing initiative, and congressional proposals to convert federal education aid into block grants to state governments.

A commitment to fund a child literacy initiative consistent with the America Reads Challenge program was included in the balanced budget agreement of May 1997 and appropriations for the program were approved in November, contingent on the passage of authorizing legislation by July 1998. That deadline lapsed, however, and negotiations on authorizing legislation continued into the fall of 1998. Finally, The Reading Excellence Act was adopted in October 1998 as part of the omnibus appropriations bill for FY 1999.⁹⁴ Its focus was broader than the original bill. Eighty-five percent of funding would be used to support improved reading instruction within schools through professional development for teachers, as well as family literacy programs. The balance dedicated to tutorial assistance programs.

The Act authorized the Department of Education to undertake evaluations of literacy programs funded by the law. The Department will submit a detailed assessment plan for 2002.

In the short term, feedback from tutoring programs has been very positive. So much so that in December 1998 the department began a companion initiative, America Counts, intended to help students master the fundamentals of algebra and geometry by eighth grade.

America Counts Initiative and Inter-Agency Agreements

Many initiatives undertaken during the Riley administration utilized more inter-agency cooperative agreements than any other agency in the federal government. Established in April of 1998, the Federal Resources for Educational Excellence (FREE) created a one-stop shopping resource was established by the Department to make available the resources of over 35 federal agencies that would be beneficial for carrying out education initiatives originating at the state and local level. The America Counts initiative was one of largest such initiatives.

America Counts was born out of a March 6, 1997, directive from the President directing the Secretary and the Director of the National Science Foundation to form an interagency working group to develop an action strategy for using Federal resources to assist States and local school systems in preparing students to meet challenging mathematics standards in the eighth grade, and for involving the mathematical, scientific, and technical communities in support of the these efforts.

The program set out to accomplish six specific goals:

- Equip teachers to teach challenging mathematics through high-quality preparation and ongoing professional growth.
- Provide personal attention and additional learning time for students.
- Build public understanding of the mathematics today's students must master.
- Encourage a challenging and engaging curriculum for all students based on rigorous standards.
- Promote the coordinated and effective use of Federal, State, and local resources.

⁹⁴ U.S. Congress, Title VII –Reading Excellence Act, 1999.

The action strategy identified three priorities that would help to focus Federal investment in the improvement of math and science skills. They included:

- Assisting States, local school districts, and the nation's colleges and universities to provide skills and knowledge that equip teachers in grades 5-8 to teach challenging mathematics content in effective ways, with high expectations for students;
- Assisting States and local school district to select and implement high-quality, standards based curricula and instructional materials, including effective use of educational technologies; and
- Building parent and public understanding of challenging mathematics in grades 5-8, and gaining public support for raising student achievement toward high standards.⁹⁵

In a follow-up assessment of the program, it was determined that programs like America Counts were having a positive impact upon the learning occurring in the classroom. Specifically, mathematics scores from the National Assessment of Education Progress (NAEP) increased from 1978 by 15 percent. But that greater resources would be necessary to insure that teachers in K-12 schools were prepared to teach even the most basic of math courses.⁹⁶

From this effort, in 1999, the Secretary established the National Commission on Mathematics and Science Teaching for the 21st Century to focus on the preparation of teachers for higher standards in math and science classrooms.⁹⁷

⁹⁵ See U.S. Department of Education, "An Action Strategy for Improving Achievement in Mathematics and Science," 1998.

⁹⁶ Riley, Richard W., U. S. Secretary of Education, "The State of Mathematics Education: Building a Strong Foundation for the 21st Century," January 8, 1998, Conference of American Mathematical Society and Mathematical Association of America.

⁹⁷ Riley, Richard W., "Remarks as prepared for delivery by U.S. Secretary of Education Richard W. Riley, Announcement of National Commission Mathematics and Science Teaching for the 21st Century," July 20, 1999, Washington, D.C.

After-school Programs: The 21st Century Community Learning Centers

The 21st Century Community Learning Centers program was authorized under Title X, Part I, of the ESEA.⁹⁸ It was a key component of the administration's commitment to help families and communities keep their children safe and provide additional learning opportunities. The program enabled school districts to partner with community based groups and keep public schools open as community education centers, keeping children safe in the after-school hours while they learn and build new skills. Congress supported this initiative by initially appropriating \$1 million in FY 1994. Since that time, Congress has appropriated nearly \$454 million for after-school programs in FY 2000 and \$845 million in FY 2001. These funding levels allow the Department to offer grants to 600 21st Century Community Learning Centers in every state, the District of Columbia, Puerto Rico, the Virgin Islands and the Federated States of Micronesia. The grants were used to provide high-quality academic, arts, and cultural enrichment expanded youth services, within a community schools context, for 6700 schools and provides services to over 1.2 million children and 675,000 adults.⁹⁹ A major factor contributing to the success of the rapid expansion of the 21st Century Community Learning Centers was a unique public foundation partnership with the Mott Foundation. The Foundation, under Bill White's leadership, invested over 100 million in training, technical assistance, networking, sharing best practices to bring high quality and grass roots ownership to this initiative. An After School Alliance is developing out of this partnership promoting local, state, and federal efforts to make schools the center of the community.

⁹⁸ See U.S. Department of Education, "White Paper on 21st Century Community Learning Centers: A 5 Year Plan," undated.

⁹⁹ See U.S. Department of Education, "21st Century Community Learning Centers: Providing Quality After-school Learning Opportunities for America's Families," September 2000.

1999 ESEA¹⁰⁰

Through the 1994 reauthorization of ESEA and the Goals 2000: Educate America Act, Congress and the Administration took a number of historic steps toward addressing the concerns that were expressed regarding preparing America's students to meet high academic standards. As the Department began an extremely officious effort¹⁰¹ to address the reauthorization of the 1994 ESEA law in 1997-1999^{102,103}, it was forced to examine the performance indicators developed under the Government Progress and Results Act;¹⁰⁴ congressionally mandated evaluations of Title I and other federal education programs resulting from the law; and nationwide input¹⁰⁵ by hundreds of Department officials,^{106,107} teachers, principals, parents, community activists,¹⁰⁸ state and local policymakers,¹⁰⁹ researchers,¹¹⁰ and other education experts.¹¹¹

However, despite this multi-year effort to prepare for ESEA reauthorization, Congress failed to act.^{112,113} Because of the importance of this initiative and its results, what follows is a description of the Department's proposal.

¹⁰⁰ See background information and major themes to be outlined in the 1999 Reauthorization legislation in U.S. Department of Education, "The 1999 Reauthorization of the Elementary and Secondary Education Act," November 24, 1998.

¹⁰¹ See U.S. Department of Education "Reauthorization Work Plan" numerous planning documents, undated.

¹⁰² U.S. Department of Education, "Agenda, Meeting on Organizing the ESEA Reauthorization Process," November 21, 1997.

¹⁰³ See U.S. Department of Education, "The Role and Function of ESEA Reauthorization Groups," undated.

¹⁰⁴ See U.S. Department of Education, "Preliminary Plans—Gearing Up for Reauthorization of ESEA," November 21, 1997.

¹⁰⁵ See listing of ESEA Reauthorization Forum June 3, 1998 representing a small portion of the populations involved in providing policy input.

¹⁰⁶ See also, U.S. Department of Education, "Minutes: ESEA Reauthorization Meeting," June 2, 1998.

¹⁰⁷ U.S. Department of Education, "Work Group Meeting Minutes," February 19, 1998.

¹⁰⁸ See Draft AASA Reform Proposal and Press Release dated January 21, 1998.

¹⁰⁹ See U.S. Department of Education, "ESEA Reauthorization Outreach Activities, Cross-Cutting Issues," 1998.

¹¹⁰ Federal Register, Department of Education, "Reauthorization of Elementary and Secondary Education Programs," request for comments, June 2, 1998.

¹¹¹ See U.S. Department of Education, "Notes from Reauthorization Meeting on December 15," December 17, 1997.

¹¹² See "Meeting with House Democrats," talking points for Secretary Riley in discussing the ESEA reauthorization proposal. May 13, 1999.

By 1998, 48 states, Puerto Rico, and the District of Columbia completed the development of state content standards for all children,¹¹⁴ and the other two states had promoted challenging standards at the local level—all mandated under Goals 2000 and the 1994 ESEA reauthorization. In supporting the development of the same challenging standards for all children in all public schools, the reforms advanced by the 1994 laws had fundamentally transformed the Federal role in education, which had for too long accepted lower expectations for low-income students in high-poverty schools. However, the concerns raised by several senior officials at the Department indicated that major changes to the 1994 Act may not be necessary—in order to continue funding of the Goals 2000 initiative¹¹⁵¹¹⁶—but were probably necessary to achieve the original Goals 2000 objectives.¹¹⁷

The goals of the proposed 1999 Educational Excellence for All Children Act (EEACA) were to continue to build upon the progress that had been made by supporting the efforts of states, school districts, and individual schools to make high standards a reality in American classrooms.¹¹⁸ Specifically, the EEACA would attempt to meet four goals: make a firm commitment to high standards in every classroom; improve teacher and principal quality to ensure high-quality instruction for all children; strengthen flexibility coupled with accountability for results; and ensure safe, healthy, disciplined, and drug-free school environments where all

¹¹³ U.S. Department of Education, "Questions and Answers to Questions from Members of Congress on ESEA 99," undated.

¹¹⁴ Johnson, Judith, "Memorandum to ESEA Reauthorization CORE Group re: The Status of Standards-Based Reform and Summary of State Status Re: Standards," April 13, 1998.

¹¹⁵ Tirozzi, Gerald and Johnson, Judith, "Memorandum re: the ESEA Reauthorization," January 6, 1998.

¹¹⁶ See U.S. Department of Education, "Summary of the First Retreat on the Reauthorization of ESEA," January 27, 1998.

¹¹⁷ Tirozzi, Gerry, "Memorandum to Mike Smith re: Consideration Regarding the Reauthorization of Goals 2000 July 7, 1997.

¹¹⁸ Fagan, Tom, Memorandum to Reauthorization workgroup re: Request for development of option for reauthorization of Goals 2000 and other programs," May 1998.

children feel connected, motivated, and challenged to learn, and where parents are welcomed and involved.¹¹⁹

In terms of raising student performance through rigorous academic standards the Department's proposal would retain many of the programs that proved successful from the 1994 Improving America's Schools Act.¹²⁰ However, in order to hold schools, teachers, and students accountable for meeting higher academic standards, a great deal of fine-tuning was initiated.¹²¹ For example, the 1994 Title I requirements mandated content standards, student performance standards, and assessments aligned to high academic standards.¹²² The 1999 proposed legislation made these standards a requirement for implementation by 2000-01 school year.

Additionally, under the proposed legislation the Department would continue the Class-Size Reduction initiative by not only hiring additional teachers to give all students the individual attention they need to read well and independently by the end of the third grade. By focusing professional development programs, extend learning time, and family literacy through the Reading Excellence Act (passed a year earlier) all children would be given the opportunity to start school ready to learn—especially when these efforts were complimented by family literacy services provided under the Even Start Family Literacy program.¹²³

Under the Teaching to High Standards initiative contained in Title II, states would receive a set-aside to continue the development and implementation of standards with a specific

¹¹⁹ U.S. Department of Education, "Overview of the Educational Excellence for all Children Act of 1999", Washington, D.C. 1998.

¹²⁰ U.S. Department of Education, "Agenda: Reauthorization of Goals 2000 and ESEA," August 18, 1998 and "ESEA Reauthorization Proposal to Support Standards Based School Reform," August 6, 1998 and "Working Draft: Rationale for a restructured Goals 2000/ESEA." August 26, 1998.

¹²¹ U.S. Department of Education, "Back-up Sheet Proposed Program Creations, Repeal, and Consolidations," ESEA 1999, undated.

¹²² See U.S. Department of Education, "Title I Reauthorization Issues," various planning documents, November 1998.

¹²³ 112 Stat. 2681, Public Law 105-277, Omnibus Consolidated and Emergency Supplemental Appropriations Act of 1999, October 21, 1998.

focus on bringing standards into the classroom through improved professional development. The initiative would also help states and districts align instruction, curriculum, assessments, and professional development to challenging academic standards.

The new teaching initiative would continue placing an emphasis on improving mathematics and science instruction by dedicating the first \$300 million of the Teaching to High Standards grants to improve professional development opportunities for teachers of math and science.¹²⁴ The poor performance of U.S. students on the Third International Mathematics and Science Study (TIMSS) and the evidence that high student achievement depends greatly on high-quality teaching made it imperative to continue this special emphasis. Therefore, the proposal called for reauthorization of the Eisenhower National Clearinghouse for Mathematics and Science Education and the Eisenhower Regional Mathematics and Science Education Consortia.

Given all of the advances in the area of technology over the previous four years, the legislation created the Technology for Education initiative that would (1) help prepare new teachers to actively engage students in learning challenging content; (2) support high poverty school districts' efforts to help teachers use technology—including simulations, "hands-on modeling," and exploration in virtual environments—to better teach students to challenging state standards; (3) use such tools as distance learning and web-based instruction to bring challenging subject matter into all classrooms; and (4) provide national leadership by encouraging innovative technology applications and disseminating information about them.¹²⁵

To implement these requirements would require a more focused effort to educate teachers and attract individuals to the profession in higher numbers. Specifically, teachers would be given professional development opportunities to teach to the high standards, recruit talented

¹²⁴ U.S. Department of Education, Draft Reauthorization Meeting minutes re: Teacher Quality issues, November 1, 1998.

individuals to become better principals and support their professional development.¹²⁶ This legislation mandated an end to the practice of hiring emergency certified teachers and asking teachers to teach classes out of their subject area. Special focus was placed upon better serving limited English proficiency (LEP) students. School districts and schools would be held accountable for ensuring that all LEP students make progress toward mastering challenging standards and developing English proficiency.

Finally, in Title XI of the legislation, the Education Accountability Act was included that established measures to hold schools, district, teachers, and students to ever-higher standards. Building upon the success of the 1994 laws and the recently passed Education Flexibility Partnership Act of 1999, states and districts would have increased flexibility to coordinate, modify and combine program activities in exchange for greater accountability for their schools' and students' performance.¹²⁷ States, districts, and schools were interested in being given the opportunity to develop one rigorous accountability system for all districts and schools, provide additional resources to turn around low-performing schools, and update the recently enacted Education Flexibility Partnership Act of 1999 that would waive selected requirements of ESEA programs.

Following the introduction of the Administration's proposal, the House and Senate introduced their own versions of an ESEA reauthorization bill.¹²⁸ A great deal of discussion took place over the following 10 months between key members of the Congress, the Administration, and representatives from the Department. The Senate Health, Education, Labor and Pensions (HELP) Committee finished their work on the Senate ESEA bill, S.2, on March 9th, 2000. An

¹²⁵ U.S. Department of Education, "Education Technology," planning documents, undated.

¹²⁶ Conaway, Ellen, e-mail correspondence re: Tax Credit for Professional Development for K-12 Teachers, September 8, 1998.

¹²⁷ See U.S. Department of Education, "Issues Related to State Competition Programs," September 4, 1998.

amendment to the bill, the Straight A's plan introduced by Senator Judd Gregg of New Hampshire, made it possible for a state to dismantle ESEA funds into block grants.

Additionally, Senator Gregg proposed that the Title I funds be given to schools to serve disadvantaged students become portable. This meant that individual students could demand that their allocation of Title I grants go to any qualified service provider, including commercial tutoring or services provided by private schools. This proposal diluted the impact Title I funding would have on individual public schools that serve all children and potentially could turn Title I into a voucher program a direction that neither the Administration nor the Department was willing to accept.

The House passed three separate initiatives: "Teacher Empowerment Act," the "Student Results Act", and their version of "Straight A's" legislation. Each of these bills would impact upon the 1994 legislation by diluting targeted funds to high-poverty schools, failing to provide resources to ensure a qualified teacher in every classroom, and eliminating class size reduction as a program of ESEA. While the Student Results Act reauthorized the Bilingual Education Act (Title VI), rural education programs and programs for gifted and talented, migrant and homeless students, the bill diverted some of the Title I funding in the bill to "academic achievement awards" and exempted charter schools from maintaining teacher quality standards.

Under the House passed version of the Straight A's bill, Governors would have the ability to combine Title I funds along with funds from other ESEA programs into one block grant.

Given the contentious atmosphere of the coming presidential elections, and distinct differences between the House and Senate bills, neither chamber of Congress was able to agree on a compromised position prior to the end of the 106th Congress. As a stopgap measure, the

¹²⁵ See U.S. Department of Education, "ESEA Reauthorization Q & As for Meeting with Hill Staff, undated. See also, "Reauthorization Briefing of Senate Staffers," January 25, 1999.

final Labor-HHS-Education Appropriations package, passed in December 2000, included a few reauthorization provisions, including:

- An extension of the Even Start Family Literacy program;
- A one-year Rural Education Initiative (REI) allowing small, rural districts to combine funds received under ESEA Titles II (professional development), III (education technology), IV (Safe and Drug-Free schools), and VI (Innovative Education Strategies), and to use these funds for programs under Titles I, II, III, or IV.
- Expansion of provisions requiring Title I LEAs to provide public school choice to students in low performing schools.
- A provision requiring schools and libraries receiving either E-rate or technology funds to install Internet blocking and filtering software.
- Funds for demonstration programs for high school reform, physical education programs in schools, drop out prevention, and the teaching of American history.

Education Spending¹²⁹

The direct Federal investment in education has grown substantially increasing from \$23 billion in FY 1996 to \$42 billion in FY 2000. The Riley administration has made every attempt to insure that education remain primarily a State and local responsibility in the United States, yet a national priority. It is States and communities, as well as public and private organizations of all kinds, that establish schools and colleges, develop curricula, and determine requirements for enrollment and graduation. The structure of education finance in America reflects this predominant State and local role. Of the more than \$600 billion spent nationwide on education at all levels each year, 91 percent comes from State, local, and private sources.

¹²⁹ See "M & B/CFO Briefing for Secretary Riley," Transition documents, 1993.

That means the Federal contribution to national education expenditures is about 9 percent. However, this 9 percent includes educational expenditures from other Federal agencies, such as the Department of Health and Human Services' Head Start program and the Department of Agriculture's School Lunch program. Subtract these dollars, and the Department is left with only about 7 percent of total education spending, or roughly \$42 billion a year. That \$42 billion, by the way, is just 2 percent of the Federal Government's \$1.8 trillion budget.

Seven percent may not sound like much, but the Department works hard to get a big bang for its taxpayer-provided bucks by targeting its funds where they can do the most good. This targeting reflects the historical development of the Federal role in education as a kind of "emergency response system," a means of filling gaps in State and local support for education when critical national needs arise.¹³⁰ In areas critical to the mission of the Department, the percentage of the budget is much higher. For example, in very high poverty schools, the federal budget share may be as high as one fourth.

In addition to direct appropriations to increase resources to achieve excellence and equity in education, the Administration has championed innovative ways to provide investments in improving schools and help families pay for college. For example, the education rate (e-rate) program, paid from the universal fund for telephone access, provides about \$2.5 billion annually to help get Internet service to schools and libraries. This involved effort was lead by Vice President Gore and Riley and has made a profound impact on technology use in American schools.

The tax credits for college tuition—the Hope and Lifetime Learning tax credits—championed by the President provides about \$10 billion a year in aid for colleges bound students in an indirect but effective way.

While the Department's responsibilities have grown substantially over the years, the Department itself has not. In fact, the staff of 4,700 is nearly 40 percent below the 7,500 employees who administered Federal education programs in several different agencies in 1980, when the Department was created. These staff reductions, along with a wide range of management improvements, have helped limit administrative costs to less than 2 percent of the Department's budget. This means that the Department delivers 98 cents on the dollar in education assistance to States, school districts, postsecondary institutions, and students. In fact a recent GAO study found that 99 percent of the funds from the 10 largest programs went to states and local schools with little time required for processing the funds at the school site.

In terms of programs administered by the Department, in 1993 the Department was responsible for 240 programs. Through the process of consolidation and streamlining, this number has been reduced to 174 program over a seven-year period.¹³¹ Most of the programs are small demonstration programs that play an important role as a test bed of new ideas. The Department administers only 11 programs over \$500 million each. In FY01, the Department proposed adding several initiatives to address the growing unmet needs facing America's students. These included a school renovation program, Teaching to High Standards, the Small, Safe, and Successful High Schools program, and expansion of the Teacher Quality Incentives.¹³²

The approved FY 2001 budget package included \$6.5 billion in new funding to reduce class size, provide emergency repairs for run-down schools, increase after-school opportunities, improve teacher quality, help turn around low-performing schools, strengthen support for

¹³⁰ See U.S. Department of Education, FY 1993-2001 Department of Education Budget by Major Program.

¹³¹ U.S. Department of Education, Fiscal Year 2000 Briefing: Summary of Program Terminations, 1999, p. 5.

¹³² U.S. Department of Education, FY2001 ED Reform Briefing Documents," 2000.

children with disabilities, and expand access to and funding for college.¹³³ The increased funding levels reflected an 18 percent increase over the FY 2000 and was the largest one-year increase in education funding in the Department's history.¹³⁴

The FY2001 Appropriations bill provided funds to:

- **Provide a 25 percent increase in the initiative to reduce class size** which would assist in training and hiring 8,000 of the 100,000 necessary new teachers over seven years in early grades to 18 students per class: \$1.6 billion.
- **Increase by 45 percent funds for the improvement of teacher skills and quality** with Eisenhower Professional Development State Grants with nearly 15,000 school districts receiving \$485 million to help reduce the number of uncertified teachers and teachers who are not trained in the subjects they are teaching.¹³⁵
- **Increasing Title I grants to improve reading and math scores** to help disadvantaged students learn the basics and achieve high standards: \$8.6 billion - an 8.3 percent increase. The bill also included the full Administration request - \$286 million - for the Reading Excellence Act.¹³⁶
- **Begin much needed school renovation projects by providing Urgent School Renovation Grants** for emergency repairs, such as repair of roofs, plumbing and electrical systems, and meeting fire and safety codes. These funds also include funding for special education services or technology-related construction activities and support for a new charter school facility financing pilot: this new program was funded for \$1.2 billion.¹³⁷

¹³³ See U.S. Department of Education, FY 2000 Budget Request Committee Program Questions and Answers", November 2000.

¹³⁴ U.S. Department of Education, News Release, "Congress Passes Record \$42 Billion Education Budget," December 21, 2000.

¹³⁵ U.S. Department of Education, "Fiscal Year 2001 Congressional Action," December 21, 2000, p. 18.

¹³⁶ Ibid., p. 1.

¹³⁷ Ibid., p. 6.

- **Increased funding of the 21st Century After-School Programs** providing 650,000 additional school-age children in 3,100 new family centers a safe, drug-free environment to learn during after-school and summertime hours while helping strengthen academic achievement: \$845 million - an increase of 87 percent. These centers, approximately 6,700 centers in 2001, would also offer lifelong learning opportunities for adults.¹³⁸
- **Strengthen Accountability** by accelerating state and local efforts to improve the lowest performing Title I schools with reforms ranging from intensive teacher training to required implementation of proven reforms to school takeovers: \$225 million.¹³⁹
- **Increase by \$50 million funding** to help teachers to effectively use technology in their classrooms.
- **Increase by 18 percent funding comprehensive school reform** programs that help schools develop or adapt comprehensive school reform models based on reliable research and effective practices: \$260 million.¹⁴⁰
- **Increase by \$80 million the effort to create smaller and successful high schools.**
- **Increase by 27 percent the Special Education Grants to States** to assist them in providing a free appropriate public education to more than 6.3 million children with disabilities nationally: \$6.3 billion.¹⁴¹
- **Increase by 15 percent funding for Pell Grants** that provide grant assistance to help low-income undergraduate students attend college: \$8.8 billion which provides an increase of \$450 in the maximum Pell Grant to \$3,750.¹⁴²

¹³⁸ Ibid., p. 10.

¹³⁹ U.S. Department of Education, "Fiscal Year 2001 Congressional Action," December 21, 2000.

¹⁴⁰ Ibid., p. 1.

¹⁴¹ Ibid., p. 10.

¹⁴² Ibid., p. 11.

- **Increase by 9.5 percent the Supplemental Educational Opportunity Grants** to provide to tuition assistance to low-income undergraduate students: \$691 million.¹⁴³
- **Increase by 8 percent funding for the Federal Work-Study** which helps undergraduate and graduate students pay for college through part-time work assistance: \$1 billion.¹⁴⁴
- **Expand funding for the GEAR UP and TRIO programs** which prepare low-income middle and high school students for college through a variety of approaches: \$295 million for GEAR UP and \$730 million for TRIO.¹⁴⁵

In addition, a number of important expansions were made in areas that provide guidance and support to innovations in education. Arts education, international education and foreign language acquisition, adult education and civic literacy, charter schools, reading, comprehensive school reform, community technology learning centers, and small and successful high schools are among the activities that received new or expanded funding.

Higher Education Reforms¹⁴⁶

The Higher Education component of the Department, administered and supported projects that broadened access to higher education. The Higher Education Programs (HEP) can be divided into five specific service areas: (1) Federal TRIO programs, (2) Institutional Development and Undergraduate Education Programs Service, (3) International Education and Graduate Programs Service, and (4) Program Monitoring and Information Technology Service.

Early in 1998, the Clinton administration introduced legislation that would reauthorize the Higher Education Act of 1965. The reauthorization effort proposal was based on seven guiding principles: (1) make college more affordable, (2) simplify the student aid process, (3)

¹⁴³ Ibid., p. 11.

¹⁴⁴ Ibid., p. 12.

¹⁴⁵ Ibid., p. 14.

¹⁴⁶ U.S. Congress, "Higher Education Act of 1998."

ensure students receive a high quality education and taxpayer dollars are well spent, (4) encourage Americans to work and save for college, (5) help more low-income Americans prepare for and go to college, (6) help working Americans improve their wages and their lives through further education, and (7) recruit qualified teachers to high-need communities with a teacher shortage.

To support the continued authorization of higher education programs, the Department relied not only upon the philosophy of college access, but the facts as well. It was noted that under HEA, access to postsecondary education was accelerated with college enrollment increasing from 5.9 million students in the fall of 1965 to 14.3 million in the fall of 1995. In academic year 1998-99, over 8 million students received more than \$40 billion through HEA student financial aid programs, at a cost to the Federal Government of approximately \$12 billion.

In 1996, only 49 percent of 18- and 19-year-old high school graduates from the lowest income quintile entered college within two years of graduation, compared to 58 percent of students in the middle three quintiles and nearly 80 percent of students in the highest quintile.

Pell Grants, which were the foundation of Federal student aid, made postsecondary education possible for millions of low-income students who otherwise would not have had the opportunity to attend college. To this end, the Administration proposed a \$3,100 maximum award in the 1999 budget to provide a total of \$7.6 billion in Pell Grants to nearly 4 million students.

In order to reduce the costs of borrowing, the Department proposed to reduce the loan fees that borrowers pay by 1 percent in 1999, and eliminating them entirely for needy students by 2003, saving the average student borrower \$40 in 2000 and needier student borrowers an average of \$150 by 2003. For students who choose to repay their Direct loans as a share of their

income, the Department proposed a loan forgiveness program that allowed the student to pay their loans from pre-tax income for up to 25 years of repayment. The justification was that this tax burden should not be inflicted on borrowers who responsibly worked to pay off their debts over a long period of time.

The first of the proposals to be addressed in the reauthorization process was to make college more affordable. The Riley administration emphasized universal access to postsecondary education and lifelong learning as a top priority. Realizing that more than ever before, education was the fault line between those who would prosper in the new economy, and those who would be left behind, Riley stressed programs that would develop skills and training beyond a high school education, and made available effective and accessible postsecondary education critical to enhancing the productivity the workforce and enriching lives.

Despite the progress being made in ensuring access and making college more affordable, the Department was concerned that students and parents, especially those from low-income families, had incomplete and sometimes misleading information on the cost of attending postsecondary education, the availability of financial aid, and eligibility requirements for aid. Recent reports indicated that parents of even very young children view college costs as one of their foremost worries. Although it is not the role of the Federal Government to determine tuition levels, it was Riley's desire to create an avenue of access that would allay fears about college prices by providing more up-to-date information for families, encourage long-term planning for education after high school, and help institutions find innovative ways to lower their own costs.

The Department produced and widely distributed an information guide entitled "Getting Ready for College Early" that was intended to address these needs. This guide for parents of middle school students described typical college costs, the financial and academic steps

necessary to prepare for college, and the types of financial aid available to students. Although the publication has only been in print since August of 2000, the Department has already distributed nearly 400,000 copies.

Additionally, the President requested in his FY 1999 budget funds to provide information on preparation for college to over 10 million middle school students, with particular emphasis on students from high-poverty areas. The \$15 million Early Awareness Information program would educate students and their parents about the importance of higher education and the many steps necessary to prepare for college, through pamphlets and videos, community events, and public service announcements. This new program would inform families about the academic course work that is needed in middle school and high school to gain entrance into college, and about the financial aid opportunities available to finance postsecondary education.

Additionally, the Department encouraged institutions to operate more efficiently through programs such as the Fund for the Improvement of Postsecondary Education (FIPSE). FIPSE supported projects encouraged innovation in postsecondary education while enhancing quality and cost effectiveness. This effort is consistent with the recommendations of the National Commission on the Cost of Higher Education, which highlighted FIPSE as a valuable program and recommended that it be reauthorized. Riley, even from his earliest days in office continually stressed the dissemination of model practices as an important feature of the reauthorized FIPSE, thereby encouraging replication of the exciting and effective projects it funded.

Simplifying the Student Aid Process

The second guiding principle sought during the reauthorization of HEA revolved around efforts to improve Student Financial Aid program management and simplify aid delivery. The

Department was intent on reducing the burden on institutions by providing them with the flexibility to manage the programs so that they can better serve students.

A half century after the initial GI Bill, three decades since the establishment of federally guaranteed student loans, and more than two decades following the creation of a national basic grant program, both the Department and the Clinton administration maintained a central commitment to federal support for higher education. What has changed since the principal federal aid programs of today were first legislated? In one sense not a great deal. The student-based strategy Congress adopted in the 1960s and 1970s--granting and lending to students rather than institutions--has become the system's hallmark. Today more than 90 percent of Department funds for postsecondary education are provided in the form of student financial aid. With additions and elaborations, in fact, the same programs are in place that were established a quarter century ago.

However, the underlying policies have shifted dramatically. On many counts, today's aid system looks much different from what the early legislative framers envisioned.

Even as Congress was planning out their 1992 legislative agenda, presidential candidate Bill Clinton was on the campaign trail promising a complete overhaul of the student aid system if he was elected. He repeatedly cited defaults, excessive bank fees, high government costs of the loan program, and the aid system's overall lack of effectiveness in making college affordable. Emphasizing the responsibilities of those who receive aid, Clinton called for benefits that students could earn through community service or reimburse at rates geared to their future income.

Soon after taking office, President Clinton sent to the Congress a student loan reform package that would revamp the student loan system to simplify the administrative tasks of

educational institutions, make the system easier to understand, provide students with greater choice in repayment plans and lower the costs to the taxpayers and students.¹⁴⁷

The system, then under operation, consisted of 7,800 lenders, 46 guarantee agencies, and numerous services and secondary markets. The result? An error prone process which was hard to monitor and cumbersome to borrowers and schools.¹⁴⁸ On August 10, 1993, President Clinton signed the Student Loan Reform Act of 1993 authorizing the Federal Direct Student Loan Programs.¹⁴⁹ The Student Loan Reform Act of 1993, a part of the Omnibus Budget Reconciliation Act of 1993, appropriated funding and acted as an authorizing agent for the incremental phase in of the program.

The Act was intended to redress many of the problems that had grown over the previous 25 years with the existing Federal Family Educational Loan Program (FFELP). The following specific changes resulted:

- Improved service to students by providing one-stop shopping for aid and choices in repayment plans that were income contingent.
- Simplified administrative tasks for schools.¹⁵⁰
- Simplified system designs making it easier for participants and lower costs to taxpayers.¹⁵¹

The legislation authorized the implementation of the William D. Ford Federal Direct Loan Program which resulted in improved accountability, simplicity in administration, integration of existing student financial aid structures within the Department, customer service to insure excellent service to students and schools, and timeliness to insure faster deliver in student aid.

¹⁴⁷ Riley, Richard W., Dear Colleague Letter to college, university and trade school presidents announcing the new student loan program, April 29, 1993.

¹⁴⁸ U.S. Department of Education, "Direct Lending: Background Material for Education Institutions," April 1993.

¹⁴⁹ 107 Stat. 313, Public Law 103-66, "Omnibus Budget Reconciliation Act of 1993," August 10, 1993.

¹⁵⁰ U.S. Department of Education, Press Release, "105 Schools Selected for Direct Loan Program's First Year," November 15, 1993.

¹⁵¹ Ibid.

The Direct Loan program established four types of Individual Education Accounts (Direct Stafford Loans, Direct Unsubsidized Loans, Direct PLUS Loans and Direct Consolidation Loans) that could help to streamline procedures for students, parents and schools and save the taxpayers \$4.3 billion over a 5 year period. This program symbolized one of the biggest changes to hit the student loan industry since 1973 when the Pell Grant Program was initiated. The law required phase-in of 5 percent of the total volume of participating institutions in 1994-1995, 40 percent in 1995-1996, 50 percent in 1996-1997 and 1997-1998, and 60 percent in 1998-1999.¹⁵²

Such a phase-in would be based on total guaranteed student loan volume: 5 percent in the first year, 1994-95; 40 percent in the second year, 1995-96; 50 percent in the third and fourth years, 1996-97 and 1997-98; and 60 percent in the fifth year, 1998-99. After the 1995-96 year, the loan volume percentages may be increased if institutional demand for participation is greater.

The 1993 legislation also greatly expanded on the Direct Loan demonstration program authorized in 1992. In the approved Direct Loan program there were only three players: the student, the school and the Department of Education. Students completed only one application, the Free Application for Federal Student Aid (FAFSA). The new law called for at least a 60 percent conversion of federal student loan volume from guaranteed to direct lending over a five-year period. The Department and key members of Congress recognized that more flexibility in how borrowers repaid their loan, including an income-contingent plan that calibrates monthly repayments to a percentage of the borrower's income for up to 25 years, was more efficient and less costly to the potential user.

¹⁵² U.S. Department of Education, Office of Public Affairs, "Individual Education Account Background Information," undated.

From an administrative standpoint the Direct Loan program offered many advantages to postsecondary institutions. There was no longer a need for a separate loan application to a bank. The school determined how much could be borrowed and electronically transmitted all the required loan information to the Department. When the loan was approved, the student simply signed a promissory note and the school credited the student's tuition account.

The primary benefits to students were a quicker receipt of their loan funds; a streamlined communication process for exactly who to contact for deferments and repayment or any questions that might arise about their loan, because their loans would never be sold. The benefits for schools were: greater control over the loan process by receiving the loan funds electronically; receipt of tuition payments in a more timely manner; and improvement of cash flow, a benefit for large schools as well as smaller ones. In the first year of the program 104 institutions participated. By the 1997-98 school year approximately 1350 institutions were participating providers.

Having made student aid reform a top domestic policy commitment, and having won early legislative victories to support plans in this area, the Clinton Administration struggled to fulfill another campaign promise--to streamline the regulatory process for student aid programs. Yet to implement the host of legislative initiatives passed in both 1992 and 1993 the Department ultimately generated more than 70 rule-making packages. The volume and complexity of the new rules as well as contention within the education community over many of them, led to a sense that the regulatory process was as overwhelming as ever.

Riley, therefore, sought to project a longer-range, Phase II agenda of student aid reform. The Department held regional hearings around the country to test reactions and gather ideas on how federal aid might be further restructured, better targeted, and simplified. However, the

Riley's Phase II vision sparked little enthusiasm among aid administrators coping with the broad scale of change already under way, or with college leaders preoccupied with the Administration's SPRE proposals. The Phase II designs were also overtaken by political events, namely the 1994 election.

After the election, Riley's second term began with an implementation of several key enhancements to the financial aid program. From a management perspective, the Office of Student Financial Aid developed and implemented the second of its five-year plans. The focus of the second Riley term would be to achieve three fundamental goals:

- Improve Service
- Reduce Costs
- Systems Integration and Modernization

As a result, the first of several initiatives were pursued to offer students more direct lines of receiving financial aid. The operation of both the FFEL and Direct Loan programs, since 1995 fostered strong program competition between the two programs and among FFEL lenders, resulting in improved customer service to students and institutions, along with a greater emphasis on borrower satisfaction. FFEL improvements, spurred by Direct Loan innovations, included simpler and faster loan processing, new income-related repayment options, lower fees on loan origination, and improved loan counseling.

Under the Tuition Taxpayer Relief Act of 1997, the federal government provided two ways of delivering college financial assistance – one through the tax code, and one through direct appropriations. These two sets of benefits operated on different principles and served different, though overlapping populations. In general, under the tax code, the more income one had (up to the income ceilings established in the law), the more one benefited. Under the need-based aid programs authorized by Title IV of the Higher Education Act amendments of 1998, the less

income one had, the more one benefited. And, again, in general, the tuition tax benefits went primarily to students and families with incomes above the median, while most Title IV assistance goes to families below the median.

Today, the Administration leaves behind a \$30 billion expansion of eligibility for the Lifetime Learning Credit over the next 10 years. Currently, SFA has completed its Y2K renovation and testing and now is working to insure that institutional partners are ready for the new millennium. The Department's goal was to provide customers with nine new positive experiences in service delivery between 1999 and 2001. They include FAFSA Corrections on the Web, web-based Direct Loan Exit Counseling, and the establishment of "business partnerships" with Guaranty Agencies to share best practices related to debt collection efforts.

The Department has introduced five new electronic products and services. One product is "SFA Coach" a basic training course for school aid administrators. Its development was accelerated in response to the expressed needs of the postsecondary institutions. Available on the web, the course contains 36 lessons. The Department met the spirit of the goal to complete all critical transactions affecting schools so that we would not disrupt service to the students. The Student Financial Aid office was able to manage to avoid disrupting service to students, but only by devising workarounds for late transactions.

From a financial perspective, the overall cost of delivering Student Aid decreased dramatically. Default costs moved from 15 percent in FY1992 to 8.8 percent in FY 1998.

In FY 99, the FFEL and the Direct Loan program accounted for an estimated \$30.1 billion in new loans, representing 57 percent of all federal postsecondary student financial assistance. When Consolidation loan volume is considered the overall loan volume in FY 1999 totaled some \$42.8 billion.

Additionally, both programs helped to ensure access to a completion of high-quality postsecondary education. In past years new FFEL and Direct Loan volume have expanded tremendously increasing from \$16 billion in FY 1993 to \$30.1 billion in FY 1999. Similarly, the number of loans taken out has also expanded from 5.2 million in FY 1993 to about 8.2 million in FY 1999.

Additionally, it was the goal of the Department that students and postsecondary institutions receive efficient, seamless and predictable customer service that enabled them to plan ahead, while maintaining accountability for Federal funds. The 1998 HEA reauthorization proposals, thus, included a number of changes that would allow the Department to develop and use new technologies and systems, simplify existing systems, and reduce burden for students, schools and the Department.

For example, the Department eagerly sought the adoption of the fundamental elements of a performance-based organization (PBO) structure for delivering student aid. Creation of this type of organization enhanced the Department's flexibility with respect to potential management and contracting reforms, and allowed the Department to deliver student aid more efficiently. At the same time, the organization could now be held accountable for results.

In addition to the changes made during HEA reauthorization, the Department sought ways to simplify the student aid application process and allow institutions to make earlier financial aid packaging decisions. The Department consulted with all relevant parties before implementing this authority, but believed that it would help students and parents plan for and finance college more effectively while reducing administrative and applicant burden. Additionally, the Department proposed clarifications to the provisions that authorized financial

aid administrators to use their professional judgment in making adjustments in the determination of need that would clarify whether these particular protections applied to dislocated workers.

One example of the agency's efforts to reduce the filing burden for students was to allow the use of the Free Application for Federal Student Aid (FAFSA) as the loan application for the FFEL program. This proposal had the widespread support of the higher education community and streamlined the application process for schools, lenders, and the Department.

The Department made big strides in reinventing federal regulations and tailoring regulations that balanced flexibility and accountability. In order to continue to move away from a "one size fits all" approach these changes enabled the Department to more effectively target its resources to institutions needing more attention and assistance. The performance-based approach to institutional oversight would create a balance between reducing burdens on schools and protecting students and Federal funds. A gatekeeping and oversight system based on the institutions' respective track records and the relative risk each posed to the Federal taxpayer... reduce burden where appropriate, while providing incentives for institutions to be fiscally and administratively responsible. To do so the Department proposed a system to simplify, substantially, the rules that institutions would follow when providing a refund of Federal student aid after a student withdrawn. These changes to the refund requirements made the refund process simpler and easier to understand for both schools and students.

Ensuring that Title IV student aid funds are used appropriately and that taxpayer funds were not wasted continued to be a crucial part of the Department's mission. To that end, the Department sought to impose time limits on a student's ability to receive Pell Grants. Students would be able to receive Pell Grants for up to 150 percent of the time normally required to complete their course of study. Time limits would be adjusted for part-time students, while

students with disabilities would be exempt from the time limits. For example, a student who was enrolled half-time in a 2-year associate degree program would be eligible for Pell Grants for up to six years. By providing different treatment for students with disabilities and those who enrolled part-time, the requested proposal was sensitive to their particular needs.

In addition, the Department believed that institutions that were not providing adequate education or training should not be eligible to participate in federal programs. The Department proposed an extension of the so-called "70/70" requirement, which required that 70 percent of an institution's students must graduate and 70 percent must find jobs in order for a program to continue to be eligible for Title IV aid. Under previous policy, the requirement applied only to very short-term vocational programs; however, the Department are proposed that all vocational programs of one year or less at all proprietary institutions be subject to the 70/70 rule. Extending this requirement to more schools ensured that proprietary institutions that offered vocational programs were providing effective education, serving their students well, and meeting their mission to train students for employment in a job commensurate with their education.

The Secretary was also authorized to prescribe in regulation additional performance measures that that institutions make publicly available regarding certain student outcome information (i.e. program completion rates, job placement rates, and earnings) for programs that are two academic years or less and provide occupational training. These new requirements would significantly enhance the ability of students to make informed choices.

Similarly, institutions with high student loan default rates -- default rates greater than 25 percent for three consecutive years -- were not serving their students well and would not be eligible to participate in any of the student aid programs.¹⁵³ Certain institutions that faced exceptional circumstances, such as those enrolling a significantly high proportion of low-income

students and others with few borrowers, would be exempt from the loss of eligibility under the 1998 law.

Finally, in order to reduce federal costs and improve efficiency in the Federal Family Education Loan (FFEL) program, the Department streamlined the current guaranty agency system to make it more accountable and performance-based, and clarified that the Federal Government is the sole insurer of all guaranteed student loans.¹⁵⁴

Encourage Americans To Work And Save For College

Not only was making college more affordable a primary goal of the Department, but ensuring access to postsecondary education for all Americans was equally important.

Recognizing that while States, institutions of higher education, and the Federal Government all had important roles in making that opportunity a reality, students and their parents were most responsible for taking an active role in financing their own education. Riley, though, believed that they should be given incentives to work and save for postsecondary education, and do so without jeopardizing the amount of aid that would otherwise be available.

Help More Low-Income Americans Prepare For And Go To College

As a result of the programs and initiatives instituted during the Riley administration students are now better prepared for college and are more likely to succeed than they were a decade ago.

As students go to college in record numbers the Department continually worked to ensure that all students—especially low-income students—had access to demanding coursework and solid academics, good information and advice about financial aid and college options, as well as adequate resources and preparation for college entrance exams.

¹⁵³ U.S. Department of Education, "Student Loan Defaults Declining Riley Says," September 2, 1994.

..... Recognizing that early preparation and intervention were crucial to gaining admission to college, the Department in 1998 worked, as part of the HEA legislation, to authorize GEAR UP—Gaining Awareness and Readiness for Undergraduate Programs—to encourage students to begin planning for college as early as 6th grade. Through GEAR UP, high-poverty middle schools partnered with local colleges and universities to provide all students at a particular grade level (typically beginning with 6th or 7th grade) and their families with information about college options, financial aid, and guiding and supporting students to take the right classes. The program offered academic enrichment and mentors to each class of participating students not only during middle school but also throughout high school. In some cases, States and districts used GEAR UP funds to support college scholarships. In GEAR UP's first year, the Department of Education received 678 applications for the \$120 million available in grants from all 50 States involving 4,500 school districts and other organizations partnering with more than one-fifth of the Nation's colleges. The program now benefits over 250,000 students and involves 164 institutions of higher education. Given the demand for funding, the Administration successfully... increased GEAR UP funding each year, enabling the program to benefit an additional 230,000 students.

In addition, creating unique partnerships with private education foundations and advocacy group leaders. Secretary Riley launched a Pathways to College Network to provide a catalyst by which to build school-college partnerships and increasing college access. By providing funding to Occidental College, the Department triggered the creation of a coalition of 14 major private advocacy groups and 5 educational foundations to join together to make post-secondary education a reality for all students.

¹⁵⁴ U.S. Department of Education, "Statement by U.S. Secretary of Education, Richard W. Riley on the Student Loan Default Rate," Washington, D.C. October 2, 2000.

In addition, the Department also expanded the TRIO programs, a network of 8 initiatives designed to help low-income, first-generation college, and disabled individuals achieve academic success beginning in middle school, throughout college, and into graduate school. Since 1993, funding for the programs has increased from \$388 million to \$645 million, and TRIO programs now offer services to 730,000 students. Upward Bound, for example, provides intensive mentoring and academic enrichment throughout high school to low-income, first-generation college-bound youth. In 1999, over 560 Upward Bound projects engaged 42,000 students in demanding coursework and summer residential programs. Educational Opportunity Centers provided pre-college academic and financial aid counseling primarily for adults seeking to return to school. Student Support Services provided tutoring and counseling help students stay in college. And the Ronald McNair Post-baccalaureate Achievement Program provided colleges and universities with funds to subsidize research projects by low-income students to prepare them for a doctoral program.

Complementing GEAR UP and TRIO, the Department's Think College Early campaign provided accessible guidance to students and their families as they planned for college. The campaign targeted the Nation's 19 million adolescents, 20 percent of whom live in poverty. Recognizing that disproportionate numbers of low-income students and minority students attend 2-year colleges, Think College Early encouraged all students to pursue admission to a 4-year college.

In particular, the campaign urges students to take algebra by the 8th grade, as students who gained early exposure to high school math were far more likely to go to a 4-year college than those who did not. Furthermore, early exposure to career opportunities also helped ensure that young people and their parents set their sights high as they planned for the future.

Through the School-to-Work Opportunities Act of 1994, the Administration provided seed money to help every State develop programs that broadened young people's career options, make learning more relevant, and promoting successful transitions to college and careers. The School-to-Work Opportunities Act of 1994, responded to a growing awareness of the challenges young people face as they transition from high school to further college, jobs and life long learning. Over the past 6 years, this unique legislation provided roughly \$1.6 billion in seed money to all States to encourage teaching and learning strategies that increase student opportunities for integrating work-based learning with classroom academics.

The Administration has made additional efforts to help low-income students prepare for college. In 1999, the Department's Advanced Placement Incentive Program provided funding to 40 states in order to help schools encourage low-income students to take AP classes and tests. Schools used the funds to pay test fees for low-income students.¹⁵⁵ Schools also used funds for tutoring, classroom materials, and other innovative methods to boost the number and quality of AP classes and participation by low-income students.

Since 1998, over 92,000 low-income students have benefited from the program. Federal support has also encouraged many schools that had not participated in the AP program to begin offering AP courses.

Adult Lifetime Learning Opportunities

Responding to changes in the demographics of the college population as well as technological innovations Riley saw the want, and need, to improve opportunities in adult education that would upgrade their skills. By 1995, 33 percent of all higher education institutions offered distance education to more than 700,000 students. While the rapid growth in

¹⁵⁵ Federal Register Notice, "Office of Elementary and Secondary Education—Advanced Placement Incentive Program; Notice Inviting Applications for New Awards for Fiscal Year (FY) 2000," February 10, 2000.

technology-based education was not envisioned as recently as five years prior, it was apparent that this model would continue to spread dramatically. While on-campus, or site-based, education continued to play an important role in providing students with experiences and opportunities that could not be duplicated in a technological environment, the use of technology became even more important in expanding access to students who were unable to take advantage of on-campus programs.

In institutions that offered distance learning programs and which sought to participate in the Federal student aid programs, the Department assisted in developing and enforcing appropriate outcome standards in order to ensure program quality.

In addition, the Department proposed a new \$30 million competitive grant program. The Learning Anytime Anywhere Partnership Program would encourage partnerships between educational institutions (including four-year institutions, community colleges, technical institutes, adult literacy and education programs, and regional vocational/technical schools that served adults), community-based organizations, software and technology developers, learning assessment specialists, and private industry employers in an effort to develop new models of quality education that could reach a variety of students who faced time and place constraints. Under this initiative, projects emphasized the development of innovative ways to ensure quality and measure student achievement that were appropriate to distance education.

In order to make these new educational opportunities a reality, the Department offered financial incentives. When President Clinton took office in 1993, the maximum Pell Grant was \$2,300. Now, it is \$3,500, a \$9.2 billion investment that will benefit over 3.8 million students. In addition, under the Riley administration, Federal work-study funds increased 43% since 1993. More than \$934 million in work-study funds were provided to give one million students the

opportunity to participate in post-secondary education, over 250,000 more students than in 1993. Since 1994, AmeriCorps participants earned up to \$4,725 for college while serving local communities.

As part of his goal to make 2 years of college as universal as high school, the President signed the Hope Scholarship tax credit legislation into law in 1997. The Hope credit provided a tax credit for low- and middle-income students worth up to \$1,500 per student against tuition and fees for the first 2 years of college. Also in 1997, the President signed into law the Lifetime Learning tax credit proposal, which provided a 20 percent credit against tuition and fees for college, graduate study, or job training worth up to \$1,000 per family through 2002 and up to \$2,000 thereafter. In 1998, these measures provided \$3.5 billion in educational savings for 4.8 million families.

Recruit Qualified Teachers To High-Need

Finally, one of the greatest concerns that was consistently addressed in Department policy was the investment in teacher recruitment and preparation. In order to helping meet the President's goal of ensuring a talented, dedicated, and well-prepared teacher in every American classroom, the Department proposed replacing the numerous small, disconnected authorities within the old HEA Title V with two new programs that would attract 35,000 qualified teachers to high-poverty urban and rural areas, while also dramatically improving the quality of training and preparation provided to our future teachers.¹⁵⁶

The Recruiting New Teachers for Underserved Areas proposal was designed to increase the number of well-prepared teachers, especially in underserved urban and rural areas. The program would award competitive grants to partnerships between teacher preparation programs

¹⁵⁶ Riley, Richard W., "Remarks as prepared for delivery by U.S. Secretary of Education Richard W. Riley, Annual Back to School Address," Press Club, Washington, D.C. September 15, 1998.

and high-poverty school districts. These partnerships collaboratively determined their schools' needs for teachers, identified a pool of potential teachers to meet those needs, and developed recruitment, preparation, and retention programs tailored to those individuals

The Lighthouse Partnerships program was also designed to be a catalyst for improving teacher education. It would provide five-year competitive grant to a number of partnerships among teacher preparation institutions and school districts in high-poverty urban and rural areas. The program, which emphasized the vital role of K-12 educators play in designing and implementing effective teacher preparation programs, linked higher education institutions from across the country with each other, and with K-12 schools, shared best practices, learned from each other's work, and improved their teacher education programs.

The Administration's HEA reauthorization programs addressed important national needs and priorities that aided in the continuing development of a strong system of postsecondary education and lifelong learning for all Americans. They were the product of a long and open Department policy development process, including extensive public hearings that sought to obtain the best ideas from all concerned.

Civil Rights Initiatives: Ensuring Equity and Excellence for All Students

When Riley took over the Department of Education, there were immediate problems to be addressed in the Office of Civil Rights. Discrimination complaints had increased 125% since 1987. In 1992, 4,432 complaints had been filed, the highest in OCR's history.¹⁵⁷ OCR also pointed out several issues of their own that needed to be addressed including, unresolved policy issues, the lack of timeframes by which complaint processing should be completed, and the need

¹⁵⁷ U.S. Department of Education, Briefing on the Office for Civil Rights Major Issues for Secretary Richard W. Riley, January 23, 1993.

for new policies regarding desegregation processes and compliance reviews.¹⁵⁸ Outside groups went so far as to recommend a major overhaul for the Office of Civil Rights to address even more issues in need of attention.¹⁵⁹

The introduction to the U.S. Department of Education's (the Department's) Strategic Plan (the Plan) emphasizes that the words "all children" means "all" regardless of race, national origin, color, gender, age, or disability.¹⁶⁰ The Plan makes a clear commitment to closing achievement gaps, increasing access, and eliminating discriminatory practices within schools while supporting educational reform that meets the diverse needs of "all students."

Informed by multiple data sources and input from parents, educators, researchers and others, Office of Civil Rights (OCR) traced the symptoms that occur when there are barriers to equal educational opportunity—such as large achievement gaps, significant drop-out rates, lower high school graduation rates, and lower college entry rates, among others—to the core civil rights problems. OCR's civil rights agenda for the last eight years was designed to identify the barriers and to not only alleviate the symptoms, but also eliminate or prevent the discriminatory practices that are their cause with legally and educationally sound solutions. OCR's civil rights agenda included the following issues:

- Provision of services to English language learners;
- Disproportionate representation of minority children in special education;
- Access for minority students and girls to high quality, advanced level classes such as Advanced Placement classes, Gifted and Talented classes, and higher level courses;
- Provision of a safe environment for learning free from harassment on the basis of race, gender or disability;
- Access to athletic opportunity for all students regardless of gender;
- Elimination of the vestiges of de jure segregation in elementary and secondary and higher education institutions;

¹⁵⁸ Tadel, David S. Office for Civil Rights, Memorandum to Governor Richard Riley, January 15, 1993.

¹⁵⁹ Brown, Cynthia G. Council of Chief State School Officers, Memorandum to Secretary-Designate Richard Riley, January 14, 1993.

¹⁶⁰ U.S. Department of Education Strategic Plan, 2001-2005, September 2000, p.1.

- Promotion of the lawful efforts to create a diverse learning environment for all students in elementary and secondary and post-secondary institutions;
- Involvement of parents in their child's education by being informed about their rights and responsibilities and being empowered to effectively interact with school officials to ensure access to high quality education for their children;
- Affirmative action
- Encouragement of fair, accurate and non-discriminatory use of high stakes tests; and
- Provision of equal educational opportunity in school choice programs.

The promotion of educational excellence for all students has been central to the direction of OCR policy since 1993.

Beginning in 1993, this Administration inherited a reactive approach to civil rights enforcement. More than 420 complaints of discrimination from the public had been unresolved for more than a year. Then, hardly a year went by without a public report critical of OCR's operations. Credibility among parents, advocates, as well as among the school, college and university officials, who had to work with the agency, was low. The majority of the agency's resources were spent reacting to complaints.¹⁶¹

Today, OCR devotes 40% of its resources to a proactive civil rights law enforcement program that can credibly claim to protect America's most vulnerable students from illegal discrimination. The results of our efforts over the last eight years evidence success by the measure of performance that really counts – making a difference in the lives of students:

- In FY 2000 alone, OCR activities impacted over 7 million students.¹⁶²
- From FY 1998 through FY 2000, OCR made a difference in the lives of over 20 million students.¹⁶³
- Since FY 1998, over 5,000 recipients changed policies, practices, and procedures to comply with Federal civil rights laws.¹⁶⁴
- From 1993 through 2000, more than two thirds of the states entered into agreements to correct or prevent statewide civil rights problems.¹⁶⁵

¹⁶¹ OCR Annual Report to Congress Fiscal Year 1993, p. 10

¹⁶² OCR FY 2002 Performance Plan and FY 2000 Performance Report

¹⁶³ Ibid

¹⁶⁴ Ibid

- Over 825 OCR initiated proactive activities have resulted in positive change for students since FY 1994.¹⁶⁶
- The average time to resolve complaints and the inventory of unresolved complaints has been significantly reduced since 1993.¹⁶⁷

These achievements were at a cost significantly below the cost of doing business prior to FY 1993, and OCR not only reached more students but a wider array of students facing discrimination throughout the country. This includes minority students seeking access to challenging curricula, female athletes, English language learners from emerging immigrant populations, and others. OCR's persistent and focused attention to civil rights problems since 1993 is paying off in substantial improvements for students.¹⁶⁸

The activities of OCR alone are insufficient to stop illegal discrimination in education. Students, parents, and educators must have the knowledge and skills to prevent illegal discrimination from occurring in the first place. Where resource limitations in the past caused almost exclusive focus on responding to discrimination after it happened, OCR's program is now aimed at prevention as well. We work with parents and educators to help them develop local partnerships, and we give parents and educators the tools to solve problems themselves. For example, OCR sponsored several workshops for local education agencies at which experts in family involvement provided guidance on various means of working in partnership with parents on their children's education. Many of the districts reported to OCR that they used ideas gleaned from these informal working sessions and were more successful in reaching out to the parents of English language learners. As a result, some of the districts formed Parent Action Committees

¹⁶⁷ GAO Report B-281748, Department of Education: Resolving Discrimination Complaints Has Improved with New Processing System, March 23, 1999

¹⁶⁸ See OCR Annual Reports to Congress Fiscal Years 1993-1999 for numerous examples of success stories.

and most acknowledged an increased involvement of ELL parents in their children's education.¹⁶⁹

The first phase of an OCR outreach initiative is aimed at empowering others to develop, for example, effective harassment prevention programs in elementary and secondary education institutions. OCR typically held conferences and workshops designed to promote understanding of the complex issues confronted by school districts attempting to address harassment and violence and presented at statewide conferences focused on this theme. These activities provided useful information about effective prevention strategies and in some cases featured educators with first-hand experience about dealing with real life harassment cases. In addition, many of these workshops provided participants an opportunity to examine their own anti-harassment policies and procedures for clarity, effectiveness, and legal sufficiency.

The second phase of the outreach initiative focuses on building partnerships among parents, students, school districts and the community to empower them to identify and address civil rights problems related to the provision of appropriate services for students with disabilities. For example, a series of focus group meetings were held in Wisconsin to identify the kinds of information needed by the stakeholders to serve students with disabilities appropriately and the districts and individuals most in need of clarification about Section 504 obligations. These open forums with our customers were helpful in shaping a resource document that explains in plain language the Section 504 requirements and dispelled the then existing confusion among stakeholders in Wisconsin. It is anticipated that the resource document will be made available on the Wisconsin Department of Education's website in FY 2001.¹⁷⁰

¹⁶⁹ Midwestern Division Retrospective

¹⁷⁰ Ibid.

With a renewed focus on prevention, OCR worked to describe in clear terms the laws and policies that should guide recipients in their efforts to eliminate discrimination, and OCR has developed self help tools and guides that enhance prevention efforts. More than 4400 parents, educators, and others call the OCR hotline in headquarters for information and assistance every year. This figure does not include the substantial service rendered by customer service staff in OCR's 12 enforcement offices who respond to many more inquiries from the public. Over 32,230 OCR publications were distributed in response to customer demand during FY 2000.

Using partnerships, OCR has become a unique civil rights enforcement organization that goes beyond the complaint workload to address the complex systemic civil rights problems of today. OCR partners with stakeholders who share its interest in equal opportunity for all students to identify and create legally and educationally sound solutions to civil rights problems. OCR brings these stakeholders to the table for joint problem identification and problem solving. OCR has also encouraged parental and stakeholder involvement in monitoring voluntary action plans that are developed as part of corrective action measures resulting from its compliance activities.

OCR set its course after holding an unprecedented number of town meetings, focus groups, and other forums at the local, state, and national level to uncover the concerns hopes and ideas of OCR staff and the educational community. In each of OCR's 12 enforcement offices in the field, OCR staff listened to their local communities. This outreach continues to provide the foundation for the clear articulation of OCR's civil rights agenda, the direction of OCR's enforcement activities, and staff resources.

OCR has facilitated discussion on a wide range of policy problems that had received less attention over the previous decade: minorities and special education, access to challenging college prep courses, racial and sexual harassment, illegal testing and assessment practices. In

other emerging issues requiring the collective attention of policy makers inside and outside of the Department. OCR has been a leader in creating the national dialogue among stakeholders to address issues of fairness in the areas of diversity and the appropriate use of high stakes tests.

Exemplifying OCR's efforts to remain current with the critical civil rights issues of the day is the 2000 Civil Rights Compliance Report (E&S Survey) which will collect civil rights information from the nation's 16,800 public school districts and its 92,500 public schools for the first time since 1976. In response to stakeholder input, the E&S Survey has been improved to collect information on a wide range of civil rights issues in the nation's public schools, including local and state zero tolerance policies, high stakes testing, teacher certification, and services to English language learners. The availability of this unprecedented amount of information will enable OCR, other components of the Department, other Federal agencies, civil rights stakeholder groups, educational researchers, and educational institutions to identify trends and target civil rights problems.

OCR has responded to customers by articulating standards for equal access to high quality education for all students in guidance that is responsive to current needs, readily available in a variety of media, understandable by the public [parents, students, teachers, educational institutions], and usable by educational institutions. ¹⁷¹OCR's re-invented process for policy development and dissemination makes it faster, more responsive, and more inclusive of internal and external input of stakeholders and customers. Policy is better informed and efficiently developed by teams of OCR field and HQ staffs in coordination with communities of interest called Issue Networks that develop and share information and expertise internally.

With an emphasis on prevention, OCR proactively engages stakeholders at the table by providing common sense guidance to real-world problems. For example, OCR co-authored, with

the National Association of Attorneys General, a guide intended to help school officials deal more effectively with instances of harassment and violence in elementary and secondary schools. The guide provides practical advice on how to deal with persistent episodes of student harassment and hate-motivated threats and violence.¹⁷²

OCR also coordinates closely with Department offices and other Federal agencies. OCR has been a visible and consistent presence in the work of the Department, ensuring that equity considerations are addressed in Department programs, particularly key legislative and policy initiatives. Building on these relationships, OCR has collaborated with other offices in the Department to ensure attention to equity considerations is included in the policy initiatives.

OCR has created a unique approach to ensuring that school districts, colleges, and universities provide access to quality education for all students. We meet with parents, educators, administrators, and other interested parties to identify acute or systemic problems that are not adequately addressed through our complaint process. Efforts undertaken as a result of this outreach ensure that civil rights issues that unlawfully limit students' access to quality education are dealt with strategically.

Above all, OCR's program is now fair and balanced in its implementation and meets rigorous performance measures. Increased emphasis on providing information and assistance for students and educators about their rights and responsibilities under the civil rights laws has led to improved compliance by educational institutions. Prevention strategies translates into less money expended in private litigation and saves time and money for institutions that are subject to claims of discrimination.

¹⁷¹ See Appendix # 1 1993 - 2000 Summary of OCR Policy and Investigative Guidance

¹⁷² Protecting Students from Harassment and Hate Crime, U.S. Department of Education and the National Association of Attorney General, January 1999.

Improving Teacher Quality and Retention

Educators and non-educators alike agree that the Nation's success in increasing student achievement hinges on the quality of its teachers. The Department played a pivotal role in supporting state and local efforts to ensure that all students have the benefit of capable and dedicated teachers. Given that approximately 2 million new teachers would be needed in America's classroom before 2010, the Department recognized the need to make sure that these new teachers—along with their veteran colleagues—were prepared to teach all students to higher standards.¹⁷³

In 1992, the Higher Education Act was reauthorized with a multitude of disconnected programs designed to recruit, prepare, and provide ongoing professional development to teachers or administrators. With no clear focus, these programs addressed the whole continuum of teacher development and essentially represented the pet ideas and projects of various members of Congress and their constituents. While authorized at \$446 million, only one program in Title V, a minority teacher recruitment program was funded in 1997 at a mere \$2.2 million.¹⁷⁴

In 1993, no single office had the responsibility or means for coordinating efforts in the key area of teacher quality. Rather, individual offices addressed issues of teacher quality through the various programs and activities they administered, and staff working on them often did not know of activities other offices were implementing or proposing. The result was replication, overlap, and a disjointed policy focus.¹⁷⁴

¹⁷³ See U.S. Department of Education, National Center for Education Statistics, "Teacher Quality: A Report on the Preparation and Qualifications of Public School Teachers," NCEs 1999-080, 1999.

¹⁷⁴ See U.S. Department of Education, National Center for Education Statistics, 1993-1994 Schools and Staffing Survey, unpublished tabulations, 1999.

In 1994, the Secretary created a Teacher Quality Team¹⁷⁵ to help focus the teacher quality issues while streamlining the Department's efforts in outreach and reform.¹⁷⁶ Headed by the Secretary's Senior Advisor on Teaching, a former National Teacher of the Year, the Team was comprised of representatives from each principal office and other staff whose work was related to teacher quality. The Team met bi-weekly to share ongoing projects, shape and carry out the Department's strategic plan, and initiate activities that supported the Administration's priorities.

In 1996, a report of the National Commission on Teaching and America's future (NCTAF) identified five major barriers to successful education reform that related directly to the quality of teaching in America.¹⁷⁷ They included:

1. Poor teacher recruitment and hiring practices.
2. Seriously flawed teacher preparation programs.
3. Unenforced standards for teachers.
4. Inadequate support for beginning teachers.
5. Lack of professional development and rewards for knowledge and skills.^{178, 179, 180}

To address these needs, Riley issued a number of challenges to the higher education community, states and school districts seeking to redress the flaws of the current preparation program and offer federal assistance to states and districts.¹⁸¹ Supported by an unprecedented one-quarter of the President's 1997 State of the Union speech which issued a "call to action for

¹⁷⁵ See "Notes: Meeting with First Lady Hillary Clinton, Secretary Riley and Deputy Secretary Designate Kunin," January 28, 1993.

¹⁷⁶ See Riley, Richard W., U.S. Secretary of Education, "Remarks: Education Issues before the American Public—1994" George Washington University, Washington, D.C. October 13, 1994.

¹⁷⁷ See National Commission on Teaching and America's Future. "What Matters Most: Teaching For America's Future," New York, 1996.

¹⁷⁸ Ibid.

¹⁷⁹ See also, Riley, Richard W. and Kunin, Madeleine, Dear Colleague letter calling for input regarding professional development strategies for teachers and educators, December 19, 1994.

¹⁸⁰ See "The Goals 2000 Teacher Forums: Building Teachers' Leadership Capacity white paper and sample information packet sent to Ms. Ellen A. Thompson regarding the Goals 2000 Teacher Forum, February 1, 1994.

American Education," the goal of placing a talented, dedicated, and well-prepared teacher in every classroom would become a reality.

By 1998, the focus began to shift toward the reauthorization of the Higher Education Act and a new emphasis was emerging with regard to Title V programs. Prompted by extensive press coverage of the release of a 1996 report, What Matters Most: Teaching for America's Future issued by the National Commission on Teaching and America's Future, serious questions were be asked about the effectiveness of the teaching profession.

The Department worked over the next 5 years to aggressively improve the quality of the nation's teaching force. To do so, would require strengthening the recruitment, preparation and support of new teachers.¹⁸² The Republican leadership in Congress felt that the schools of education were the problem and therefore, could not be part of the solution. They opposed programs that would give money to schools of education. They also mistrusted the state education agencies that in their view had been unable to address the inadequacy of teacher education in the past.

Representatives of the K-12 community felt that institutions of higher education were not responsive to their needs and concerns. Teacher education focused too much on theory and not enough on practice. These feelings were reinforced with the higher education community organized a working group to develop a proposal for Title V. Except for the Council of Chief State School Officers, the K-12 organizations were not sought or involved.

As the Clinton Administration began work on the HEA, many small task forces were created to develop options. However, months after other groups had been meeting, no teacher

¹⁸¹ See Riley, Richard W. U.S. Secretary of Education, "Fourth Annual State of American Education Address Putting Standards of Excellence into Action," The Carter Center, Atlanta, Georgia, February 18, 1997.

¹⁸² See Riley, Richard W. U.S. Secretary of Education, "National Forum: Attracting and Preparing Teachers for the 21st Century." April 17, 1997.

education group had been created. This was in large part due to the fact that the Office of Post Secondary Education (OPE) was dominated by financial aid experts and because Title V had not generated any real support in Congress. The sheer size of the appropriations for the rest of HEA made efforts to focus on Title V a very low priority.

The reauthorization of the HEA of 1998 would eventually respond to the Nation's critical need for high-quality teachers by enacting much of the Administration's proposal to improve teacher recruitment and preparation.¹⁸³ Leading this effort would be a task force developed specifically for the purpose of creating Title V.¹⁸⁴ The stated goal was to hire 2.2 million teachers over the next decade that would meet the highest standards of teaching to replace an aging population of teachers and principals.¹⁸⁵¹⁸⁶

Title V provided new opportunities to invest in the recruitment,¹⁸⁷ preparation, licensing, and support of teachers.¹⁸⁸ The Teacher Quality Enhancement Grants initiative created three separate programs to implement stronger national teacher education programs: Partnership Grants for Improving Teacher Education, State Grants, and Teacher Recruitment Grants.¹⁸⁹

Partnership Grants for Improving Teacher Education were designed to provide funds to partnerships among teacher preparation institutions, schools of arts and sciences, and local school districts in high-need areas. The partners would work to strengthen teacher education through activities such as: implementing reforms that hold teacher education programs

¹⁸³ Riley, Richard W. U. S. Secretary of Education, "Statement on the Reauthorization of the Higher Education Act before the Senate Committee on Labor and Human Resources," February 27, 1997.

¹⁸⁴ See Dosier, Terry, White Paper titled "Developing the Title V Proposal: Logic Mixed with Luck" undated.

¹⁸⁵ See Riley, Richard W. Annual Back to School Address National Press Club, "The Challenge for Americana High Quality Teacher in Every Classroom," September 15, 1998.

¹⁸⁶ See Also U.S. Department of Education, "Summary of HEA Title V Task Force Meeting," April 10, 1997.

¹⁸⁷ See Dosier, Terry. White Paper titled, "The Minority Teacher Recruitment Program: Policy Options, Pragmatic Concerns and Political Realities," Undated.

¹⁸⁸ U.S. Department of Education, White Paper entitled "Transforming the Vision Into a Legislative Strategy," draft March 28, 1997.

¹⁸⁹ See U.S. Department of Education, Grant Announcement, "A Partnership for Excellence and Accountability in Teaching," January 31, 1997.

accountable, improving prospective teachers' knowledge of academic content, ensuring that teachers are well-prepared for the realities of the classroom, and preparing prospective teachers to use technology and to work effectively with diverse students.

State Grants would encourage States to improve the quality of their teaching force through activities such as: strengthening their teacher certification standards, implementing reforms that hold institutions of higher education accountable, establishing or strengthening alternative pathways into teaching, and recruiting new high-quality teachers for high-need areas.

Teacher Recruitment Grants supported State and local efforts to recruit highly qualified teachers for high-need areas. The program's goal was to establish high-quality teacher preparation and induction programs tailored to meet locally-identified needs, identify pools of potential teachers who address these shortages, and recruit individuals from those pools.

By FY 2001 over \$567 million was specifically targeted to support improved teaching, and efforts to recruit and retain high quality teachers. Of these funds, millions would be used to support professional development, recruit and place new teachers promote rigorous standards for excellent teaching, and target the strengthening of school leadership.¹⁹⁰

In addition to authorizing the funding of teacher education programs, the HEA also established the first requirements for states and institutions of higher education to prepare "report cards" on the quality of teacher preparation. An action that would help in identifying weaknesses in vital teacher training programs.

To support the reform efforts of states and local school districts, the Department instituted several national initiatives that would provide guidance and reward for outstanding

¹⁹⁰ See United States Congress, "FY 2001 Budget," November 2000.

teacher recruitment,¹⁹¹ preparation and support programs.¹⁹² Specifically, the Preparing Tomorrow's Teachers to Use Technology initiative to provide grants to build the capacity of teacher preparation institutions to ensure that new teachers were prepared to integrate technology effectively into the curriculum.¹⁹³

The Contextual Teaching and Learning project studied the design and dissemination of teacher preparation and professional development models that could adequately prepare teachers to help students make connections between what they are learning and its value in their lives in and beyond school.

A National Job Bank and Clearinghouse on Teacher Recruitment would link teachers with the schools that need them and provide information on successful teacher recruitment programs and policies.

The Troops to Teachers program recruited retired military personnel and other mid-career professionals into teachers.

The National Awards Program for Model Teacher Preparation was developed to highlight exemplary teacher preparation programs.

Additionally, the Teacher Quality Initiative strengthened standards within the profession by supporting state-mandated standards for initial teacher licensure for general and special educators be developed by the Interstate New Teacher Assessment and Support Consortium. The National Academy of Sciences was directed to analyze the state of teacher testing and recommend ways to improve existing tests while suggesting viable alternatives to measuring a

¹⁹¹ See Riley, Richard W. U.S. Secretary of Education, "National Conference on Minority Teacher Recruitment," Arlington, Virginia, January 23, 1996.

¹⁹² Riley, Richard W. U.S. Secretary of Education, "New Challenges, A New Resolve: Moving American Education into the 21st Century," The Sixth Annual State of American Education Speech, Long Beach, California, February 16, 1999.

¹⁹³ See Memorandum from Kirk to Terry D., Mary Anne, Alan re: establishing the technological capacity to connect teachers to Department resources, June 23, 1993.