

U.S. Department of Education

Washington, D.C. 20202-5335



APPLICATION FOR GRANTS UNDER THE

**STATEWIDE LONGITUDINAL DATA SYSTEM RECOVERY ACT GRANTS
CFDA # 84.384A
PR/Award # R384A100009**

Closing Date: NOV 19, 2009

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Application for Federal Assistance SF-424

Version 02

* 1. Type of Submission	* 2. Type of Application:* If Revision, select appropriate letter(s):	
<input type="checkbox"/> Preapplication	<input checked="" type="checkbox"/> New	
<input checked="" type="checkbox"/> Application	<input type="checkbox"/> Continuation	* Other (Specify)
<input type="checkbox"/> Changed/Corrected Application	<input type="checkbox"/> Revision	

* 3. Date Received:	4. Applicant Identifier:
11/25/2009	

5a. Federal Entity Identifier:	* 5b. Federal Award Identifier:
	NA

State Use Only:

6. Date Received by State:	7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name: Alabama Department of Education

* b. Employer/Taxpayer Identification Number (EIN/TIN):	* c. Organizational DUNS:
636000619	627193386

d. Address:

* Street1:	50 North Ripley Street
Street2:	5327 Gordon Persons Building
* City:	Montgomery
County:	Montgomery
State:	AL
Province:	
* Country:	USA
* Zip / Postal Code:	36130

e. Organizational Unit:

Department Name:	Division Name:
Information Systems	Instructional Services Division

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:	Mr.	* First Name:	Gary
Middle Name:	E		

* Last Name: Weatherly

Suffix:

Title: Director

Organizational Affiliation:

Alabama Department of Education

* Telephone
Number:

(334)242-9724

Fax Number:

(334)242-2818

* Email: GWEATHERLY@ALSDE.EDU

Application for Federal Assistance SF-424

Version 02

9. Type of Applicant 1: Select Applicant Type:

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

10. Name of Federal Agency:

U.S. Department of Education

11. Catalog of Federal Domestic Assistance Number:

84.384A

CFDA Title:

Statewide Longitudinal Data System Recovery Act Grants

*** 12. Funding Opportunity Number:**

ED-GRANTS-072909-001

Title:

Grant Program for Statewide Longitudinal Data Systems Recovery Act Program
(ARRA) CFDA84.384A

13. Competition Identification Number:

84-384A2009

Title:

Grant Program for Statewide Longitudinal Data Systems Recovery Act Program
(ARRA) CFDA84.384A

14. Areas Affected by Project (Cities, Counties, States, etc.):

State of Alabama

*** 15. Descriptive Title of Applicant's Project:**

Alabama Longitudinal Data System

Attach supporting documents as specified in agency instructions.

Attachment:

Title :

File :

Attachment:

Title :

File :

Attachment:

Title :

File :

Application for Federal Assistance SF-424

Version 02

16. Congressional Districts Of:

* a. Applicant: 2

* b. Program/Project: AL-ALL

Attach an additional list of Program/Project Congressional Districts if needed.

Attachment:

Title :

File :

17. Proposed Project:

* a. Start Date: 5/1/2010

* b. End Date: 4/30/2013

18. Estimated Funding (\$):

a. Federal	\$ 13788150
b. Applicant	\$ 0
c. State	\$ 976848
d. Local	\$ 0
e. Other	\$ 0
f. Program	\$ 0
Income	
g. TOTAL	\$ 14764998

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

a. This application was made available to the State under the Executive Order 12372 Process for review on .

b. Program is subject to E.O. 12372 but has not been selected by the State for review.

c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

Yes No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: Dr. * First Name: Thomas
Middle Name: R
* Last Name: Bice
Suffix:

Title: Deputy Superintendent

* Telephone Number: (334)242-8154 Fax Number:

* Email: TBICE@ALSDE.EDU

* Signature of Authorized Representative: * Date Signed:

Application for Federal Assistance SF-424

Version 02

*** Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.



U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION
NON-CONSTRUCTION PROGRAMS

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:
 Alabama Department of Education

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1(a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
2. Fringe Benefits	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
3. Travel	\$ 8,500	\$ 8,500	\$ 8,500	\$ 0	\$ 0	\$ 25,500
4. Equipment	\$ 463,300	\$ 0	\$ 0	\$ 0	\$ 0	\$ 463,300
5. Supplies	\$ 428,100	\$ 400,000	\$ 0	\$ 0	\$ 0	\$ 828,100
6. Contractual	\$ 1,860,625	\$ 3,745,625	\$ 1,515,000	\$ 0	\$ 0	\$ 7,121,250
7. Construction	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
8. Other	\$ 3,650,000	\$ 1,650,000	\$ 50,000	\$ 0	\$ 0	\$ 5,350,000
9. Total Direct Costs (lines 1-8)	\$ 6,410,525	\$ 5,804,125	\$ 1,573,500	\$ 0	\$ 0	\$ 13,788,150
10. Indirect Costs*	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
11. Training Stipends	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
12. Total Costs (lines 9-11)	\$ 6,410,525	\$ 5,804,125	\$ 1,573,500	\$ 0	\$ 0	\$ 13,788,150

***Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? Yes No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: ___/___/___ To: ___/___/___ (mm/dd/yyyy)

Approving Federal agency: ED Other (please specify): _____ The Indirect Cost Rate is _____%

(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

Is included in your approved Indirect Cost Rate Agreement? or, Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is _____%



U.S. DEPARTMENT OF EDUCATION

BUDGET INFORMATION

NON-CONSTRUCTION PROGRAMS

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:
Alabama Department of Education

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION B - BUDGET SUMMARY

NON-FEDERAL FUNDS

Budget Categories	Project Year 1(a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	\$ 219,076	\$ 376,075	\$ 156,500	\$ 0	\$ 0	\$ 751,651
2. Fringe Benefits	\$ 65,724	\$ 112,523	\$ 46,950	\$ 0	\$ 0	\$ 225,197
3. Travel	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
4. Equipment	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
5. Supplies	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
6. Contractual	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
7. Construction	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
8. Other	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
9. Total Direct Costs (lines 1-8)	\$ 284,800	\$ 488,598	\$ 203,450	\$ 0	\$ 0	\$ 976,848
10. Indirect Costs	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
11. Training Stipends	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
12. Total Costs (lines 9-11)	\$ 284,800	\$ 488,598	\$ 203,450	\$ 0	\$ 0	\$ 976,848

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Standard Form 424B (Rev.7-97)

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. "4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. "1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. '794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. "276a to 276a-7), the Copeland Act (40 U.S.C. '276c and 18 U.S.C. "874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. " 327-333), regarding labor standards for federally assisted construction sub-agreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. "1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. "7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. "1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance

of 1975, as amended (42 U.S.C. " 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) " 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. " 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. ' 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. "1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. '470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. "469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. "2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. "4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Signature of Authorized Certifying Representative:

Name of Authorized Certifying Representative: Dr. Thomas R. Bice

Title: Deputy Superintendent

Date Submitted: 11/25/2009

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

1. Type of Federal Action: <input type="checkbox"/> Contract <input type="checkbox"/> Grant <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Loan <input type="checkbox"/> Loan Guarantee <input type="checkbox"/> Loan Insurance	2. Status of Federal Action: <input type="checkbox"/> Bid/Offer/Application <input type="checkbox"/> Initial Award <input type="checkbox"/> Post-Award	3. Report Type: <input type="checkbox"/> Initial Filing <input type="checkbox"/> Material Change For Material Change only: Year: 0 Quarter: 0 Date of Last Report:
4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier, if known: Name: Address: City: State: Zip Code + 4: - Congressional District, if known:	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Name: Address: City: State: Zip Code + 4: - Congressional District, if known:	
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable:	
8. Federal Action Number, if known:	9. Award Amount, if known: \$	
10. a. Name of Lobbying Registrant (if individual, last name, first name, MI): Address: City: State: Zip Code + 4: -	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI): Address: City: State: Zip Code + 4: -	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Name: Title: Applicant: Alabama Department of Education Date:	
Federal Use Only:		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements.

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal Loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance.

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

APPLICANT'S ORGANIZATION

Alabama Department of Education

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix: Dr. First Name: Thomas Middle Name: R

Last Name: Bice Suffix:

Title: Deputy Superintendent

Signature: _____

Date:

11/25/2009

**SUPPLEMENTAL INFORMATION
REQUIRED FOR
DEPARTMENT OF EDUCATION GRANTS**

1. Project Director:

Prefix:	* First Name:	Middle Name:	* Last Name:	Suffix:
Mr.	Gary	E	Weatherly	

Address:

* Street1:	50 North Ripley Street
Street2:	5327 Gordon Persons Building
* City:	Montgomery
County:	Montgomery
* State:	AL* Zip / Postal Code: 36130 * Country: USA

* Phone Number (give area code)	Fax Number (give area code)
(334)242-9724	(334)242-2818

Email Address:

GWEATHERLY@ALSDE.EDU

2. Applicant Experience

Novice Applicant Yes No Not applicable

3. Human Subjects Research

Are any research activities involving human subjects planned at any time during the proposed project period?

Yes No

Are ALL the research activities proposed designated to be exempt from the regulations?

Yes Provide Exemption(s) #:

No Provide Assurance #, if available:

Please attach an explanation Narrative:

Attachment:

Title :

File :

Project Narrative

Project Narrative - Project Abstract

Attachment 1:

Title: **ALSDE SLDS Grant - Project Abstract Pages: 1** Uploaded File: **05 - Project Abstract.pdf**

Alabama State Department of Education SLDS Grant Project Abstract

The Alabama State Department of Education (ALSDE) has accomplished much in the development of its Statewide Longitudinal Data System (SLDS). Up until now, it has done so without the benefit of any Federal grants. Among the accomplishments are:

- Established a statewide K-12 unique student ID system
- Developed an assessment data warehouse
- Data sharing between ALSDE and the Alabama Commission on Higher Education
- Linked student data with teachers through the use of the unique student identifier and teacher social security number (SSN)
- Implemented the teacher education and certification that can match teachers with information about their certification and teacher preparation programs, including information about the institutions at which they received their training
- Built a system of reasonability checks and business rule validations for data submitted to the statewide student management system housed in each district

ALSDE has many of the parts in place to develop a true PK-20 SLDS that will meet the requirements of the America COMPETES ACT. However, in order to meet the requirements in a timely manner, ALSDE is seeking a grant for a Statewide Longitudinal Data System under the American Recovery and Reinvestment Act of 2009. ALSDE proposed to use these funds to achieve the following project outcomes.

- **Alabama Consolidated Education System (ACES)** – an internal data warehouse that would combine many current data collections into a longitudinal data repository
- **On-line Teacher Certification and Renewal System**
- **Teacher Education Program and Staff Evaluation System**
- **Alabama System for Collaborative Education Needs Data warehouse (ASCEND)** – a data repository that will allow the sharing of data between the ALSDE and as many as five other early childhood and higher education agencies
- **E-transcript transport system**

Funding from this grant will permit Alabama to increase the availability of information on student performance to all stakeholders (agency partners, parents, teachers, principals, local superintendents, researchers, legislators, media, and professional organizations in support of education). The result for the State of Alabama is to: better inform policy making; draw clearer focus on effectiveness of instruction from cradle to career; and equip students to compete in a global economy.

Project Narrative

Project Narrative - Project Narrative

Attachment 1:

Title: **ALSDE SLDS Grant - Project Narrative** Pages: **26** Uploaded File: **06 - Project Narrative.pdf**

Alabama State Department of Education SLDS Grant Project Narrative

Introduction

The Alabama State Department of Education (ALSDE) is very excited to submit this application for a Statewide Longitudinal Data System grant under the American Recovery and Reinvestment Act of 2009. Over the past several years, ALSDE has been developing the source systems for building a data warehouse which, in turn, would be used for Federal and state reporting, as well as to improve education within the state. To date, these source systems have been developed entirely with state resources. No Federal funds or grants have been used.

ALSDE realizes that, while it has accomplished much on its own, it will need funds from this grant in order to take our efforts to the next level: building a statewide longitudinal data system. Resources from this grant will enable ALSDE to proceed with the five project outcomes necessary to meet the expectations of the America COMPETES Act and the State Fiscal Stabilization Fund. These outcomes will provide the tools to drive education decision-making and create and enhance a culture of using data within ALSDE and among its partners in the education enterprise.

Perhaps the highlight of our vision for this project is the collaborative approach being undertaken to plan, develop, and extend the use of the project outcomes across the many education stakeholders in the state of Alabama. The Alabama Comprehensive Education System, the On-line Teacher Certification and Renewal System, and the Teacher Education-Program and Staff Evaluation System will integrate several systems within the Department. The resulting SLDS will be used to determine strengths and weaknesses in the state education system by analyzing trends in assessments, programs, and teacher effectiveness. This will only be accomplished through collaboration across many offices within the Department.

Similarly, the America COMPETES Act and the State Fiscal Stabilization Fund are clear about the need to track student progress from early childhood through higher education and into the workforce. To that end, ALSDE is seeking funds for two outcomes that will require collaboration across several other agencies in the state. The Alabama System for Collaborative Education Needs Data warehouse (ASCEND) and the E-transcript transport system will enable several stakeholders to share data in a common repository. These data will be used to determine the effectiveness of programs in preschool, K-12, and higher education. The backbone of this system will be the use of the statewide student ID system already in place in K-12 schools.

ALSDE has already initiated this collaborative work. For example, the Alabama Commission on Higher Education has proposed the establishment of a PK-20 Council to coordinate and advocate a fully integrated educational system in Alabama. Such a body will undoubtedly be a solid building block toward the success of this project and the coordination of efforts across all levels of education in Alabama.

Finally, the ALSDE appreciates the leadership that has been provided by the US Department of Education through the release of this grant application for statewide longitudinal data systems. Through its work with SEAs, the Department has compiled a vast library of best practice documents for states to use in SLDS development. ALSDE will make use of standards such as the Forum Guide to Metadata: The Meaning Behind Education Data, Traveling through Time: The Forum Guide to Longitudinal Data Systems, the NCES Data Handbooks Online, and the National Education Data Model—all of which will help to ensure that the systems developed as a result of these funds will be based on the best practices and education data standards available to the education community. We firmly believe that the integration of these standards during the development of our SLDS will improve the quality, comparability, and use of data within the state of Alabama and nationally.

ALSDE is proud to present its need and plan for the use of education data in Alabama.

a. Need for Project

Current Status of the SLDS: Capabilities and Key Elements to be Addressed in this Project

The following is a summary of the status of the Alabama State Department of Education's (ALSDE) ability to meet the Capabilities and Elements as defined in the America COMPETES Act. This is further summarized in Appendix C.

Capabilities

1. *Enable States to examine student progress over time*

Current Status

Student level data are currently collected in several different data bases within the ALSDE. Separate files are received for each assessment from the respective assessment vendor. These files are merged through a manual process to create a longitudinal assessment data warehouse which enables ALSDE and districts to track student assessments over time. These data can also be merged manually with other types of data collected by ALSDE. This is an on-going project that must be completed every time new data are received. The current assessment data warehouse has been developed without the assistance of federal resources.

Proposed Developments and Improvements

Funds from this grant would be used to create a consolidated operational data store called the Alabama Consolidated Education System (ACES) with an accompanying data warehouse. Using a common data dictionary (based, for example, on the NCES Handbooks Online) and metadata (see, for example, The Forum Guide to Metadata), the existing data files would be merged into a data repository through an automated process with several data marts made available to track student assessment results over time. ALSDE expects this automation to drastically improve the efficiency, timeliness, and quality of these data relative to our current manual processes.

2 *Facilitate and enable exchange of data among agencies and institutions within state and between states*

Current Status

Data are currently shared between ALSDE and the Alabama Commission on Higher Education (ACHE) for reporting purposes. However, this is done on a very limited basis and requires the manual merging of data files. Ideally, a true PK-20 SLDS enables and requires the exchange of data from the ALSDE and ACHE, as well as the Department of Children's Affairs - Office of School Readiness (DCA), Department of Industrial Relations (DIR), Department of Rehabilitation Services/Early Intervention (DRS), and the Department of Postsecondary Education (DPE).

Proposed Developments and Improvements

Funds from this grant would be used to develop the **Alabama System for Collaborative Education Needs Data Warehouse (ASCEND)**, a shared data repository that would store data from and for each of the participating agencies. As a component of planning this application, these agencies have agreed, in principle, to a shared data repository, and upon receipt of a grant, this vision will be formalized, similar to that between ALSDE and ACHE. Implicit in this cooperation, we will be using grant funds to develop an agreed upon set of data structures and elements that will be shared by all agencies through an appropriate transport mechanism or common data store.

3 *Link student data with teachers*

Current Status

ALSDE currently has the ability to link student data with teachers through the use of a unique student identifier and teacher social security number (SSN). This connection is now made through an official data collection. The data are sent to the vendor every two weeks to update the assessment data warehouse. This capability will not be addressed in this project.

4 *Enable the matching of teachers with information about their certification and teacher preparation programs, including the institutions at which they received their training*

Current Status

The current teacher education and certification system was developed internally. It can match teachers with information about their certification and teacher preparation programs, including information about the institutions at which they received their training. This is accomplished through the use of SSN. However, the existing system is fragmented, outdated, technologically insufficient, and incapable of meeting the changing needs of the policymakers, teachers, and other stakeholders.

Proposed Developments and Improvements

Funding from this grant will be used to enhance the current system to include a consolidated data store for all teacher education and certification information. This enhancement will be part of the overall data architecture for ACES, the data warehouse in ALSDE. It will include an on-line teacher certification and renewal system coupled with an automated workflow engine to assist in the certification and renewal process. A common data dictionary and metadata repository will include data on teacher education programs as well as the staff evaluation system, enabling staff performance to be linked to teacher training institutions. In addition, a staff evaluation system will be developed that will enabling staff performance to be linked to teacher training institutions.

5 *Enable data to be easily generated for continuous improvement and decision-making*

Current Status

ALSDE has been working on this capability for some time as state resources allow. Reports have been generated in areas such as student assessment, attendance, discipline, demographics, graduates, dropouts, and truancy. Since much of these data do not reside in the same repository or system, they have to be merged manually.

Proposed Developments and Improvements

Funding from this grant will enable ALSDE to develop a data reporting portal and associated tools that will work off of the ACES and data warehouse, making it easier to use the data for informed decision-making in a more accurate and timely manner.

6 *Ensure quality and integrity of data contained in the system*

Current Status

ALSDE has built a system of reasonability checks and business rule validations for all data submitted to the student management system (SMS) including student level data, staff data, and assessment data. Turn-around documents are provided to LEAs to verify or check the validity of data received at the LEA. Each LEA superintendent must approve and sign off on any data that will be used for official reporting, such as in school report cards and accountability reports. Only state funds have been used for this system thus far.

Although not part of this grant application, ALSDE has planned enhancements that would automate the process of providing turn-around data to the LEAs in order to enable quicker error identification and correction. It will also include enhanced training for staff in the field at all levels from the superintendent to data entry clerk, using tools that would allow repeatable training (i.e. video, Camtasia, etc.). The Forum Guide to Building a Culture of Quality Data (and the Curriculum) will be a helpful resource in this effort.

7 Provide ability to meet reporting requirements of USED

Current Status

Using funds from an existing USED, non-IES/LDS grant, full time staff are assigned to the creation and submission of ED Facts and CSPR data. Additional staff members are assigned to provide OSEP data, as well as data used for the Perkins Consolidated Annual Report (CAR). Proposed Developments and Improvements

ALSDE will use these state resources to develop highly automated processes to generate USED required submissions from ACES. It is not part of this current grant application.

Key Elements

The following elements focus on preschool through grade 12 and postsecondary education.

- 1 A unique statewide student identifier that does not permit a student to be identified by users of the system*

Current Status

ALSDE has developed a statewide unique student ID (SSID) for all public K-12 students in Alabama, as well as all Pre-K students participating in public school programs. This was accomplished without the use of external funds or grants. A student identifier defined as an encrypted SSN is currently being used to identify students in postsecondary and higher education and workforce preparation.

Proposed Developments and Improvements

Funds from this grant will be used to develop an e-transcript system that would include the SSID, matched with SSN, of all public school students in Alabama. This will result in a true P-20 student ID repository with a supporting data dictionary and common metadata.

- 2 Student-level data including Enrollment, Demographic, and Program Participation*

Current Status

Approximately 95% of these data are already captured in the statewide student management system, Software Technology, Inc. (STI). Data from some programs such

as Neglected and Delinquent and EvenStart are reported through separate data collections. The use of STI will be expanded to include these programs, resulting in a reduction in the number of non-standard data collections. This will be accomplished with ALSDE resources and will not be included as part of this grant.

3 Student-level information about the points at which students: Exit, Transfer in, Transfer out, Drop out, and Complete P-16 education programs

Current Status

The STI student management system currently includes enrollment, dropout, and high school graduation data for every K-12 student in public schools in Alabama using state resources. These data are not collected by ALSDE for students enrolled in postsecondary schools.

Proposed Developments and Improvements

ASCEND, the shared data repository proposed in this application, will connect data from ALSDE and partners such as the Alabama Commission on Higher Education (ACHE), the Department of Industrial Relations, Department of Children's Affairs - Office of School Readiness (DCA), the Department of Postsecondary Education (DPE), and the Department of Rehabilitation Services/Office of Early Intervention programs. This will link enrollment and graduation data for students in postsecondary schools with their K-12 data.

4 Capacity to communicate with higher education data system

Current Status

ACHE currently provides student level data to ALSDE periodically on a limited basis.

Proposed Developments and Improvements

With the development of ASCEND, funded by this grant, data will be linked electronically and automatically on a regularly scheduled basis between all partner agencies / entities. This will result in a common data store that can be shared between the ALSDE and other agencies / entities.

5 State data audit system assessing data quality, validity, and reliability

Current Status

ALSDE has built separate audit systems for each of the existing source data systems such as STI and the Assessment Data Warehouse. These audit steps check for validity, reliability, acceptable values, and format. After the components described in this application are completed, a single integrated audit system will be developed that will handle all existing and future source data systems as they are integrated into ACES and

ASCEND. It is anticipated that this will be accomplished after the completion of this grant with state resources.

Preschool through grade 12 education

6 Yearly test records of individual student with respect to assessments under section 1111(b) of ESEA 1965

Current Status

Individual student test records for each year already exist in the Assessment Data Warehouse for all statewide tests using the statewide unique student ID.

Proposed Developments and Improvements

Using funds from this grant, the ALSDE assessment data warehouse will be integrated into the ACES and ASCEND data repositories, providing partner agencies / entities with a longitudinal record of student assessments.

7 Information on students not tested by grade and by subject area

Current Status

The Assessment Data Warehouse also includes needed data on students not tested for each statewide assessment as well as reason not tested. Each assessment record includes the subject area of the assessment. This key element will not be addressed in this project.

8 Teacher identifier with the ability to match teachers to students

Current Status

ALSDE currently uses SSN as its unique staff identifier, which is used to link teacher information to students through the use of class lists and course enrollment information. While not part of this grant, ALSDE plans to develop a statewide staff unique identifier that does not use SSN as the key. It will be modeled after the student id system already in place. This will be undertaken using state resources after the completion of the projects funded by this grant.

9 Student-level transcript information including Courses completed and Grades earned data

Current Status

The data to support a student-level transcript currently exist in the statewide student management system housed at the LEA level. However, the data are not collected by the ALSDE.

Proposed Developments and Improvements

Funds from this grant will be used to develop a statewide e-transcript and storage system that will be part of the ASCEND repository used across all partner agencies / entities and based upon a common data dictionary and metadata repository.

10 Student-level college readiness test scores

Current Status

Individual scores for students who choose to take the ACT are currently provided to the state from the test vendor. These are loaded into the Assessment Data Warehouse. ALSDE is in the process of instituting a program that will require every eligible student to take the ACT free of charge as part of the state high-stakes testing program. These data will be included in ACES using state resources and funds requested in this grant application will not be used for this purpose.

Postsecondary Education

11 Data that provide information regarding extent to which students transition successfully from secondary school to postsecondary education, including whether students enroll in remedial coursework

Current Status

ACHE currently provides ALSDE with data on students who attend public higher education institutions and receive remedial course work.

Proposed Developments and Improvements

Because of a common data dictionary and metadata, the ASCEND data repository that will be developed with this grant will enable ALSDE and participating partners to share assessment, transcript, and other types of data. ALSDE will be able to determine how students perform in postsecondary programs and look for patterns based on programs and courses taken in high school.

12 Data that provide other information determined necessary to address alignment and adequate preparation for success in postsecondary education

Current Status

This key element does not currently exist.

Proposed Developments and Improvements

Data provided to ASCEND by each of the participating partners will enable the ALSDE and other stakeholders to address curriculum alignment and the adequacy of preparation for success in postsecondary education and the workforce. Plans are already underway to add components to the assessment program. The ACT Explore (8th graders Career exploration/interest), Plan Assessment (10th graders “pre-ACT” to gauge

students readiness for college), ACT (all 11th graders free of charge), Work Keys (12th graders indication of workforce readiness), the current graduation exam, Alabama High School Graduation Exam (AHSGE), will be included as end-of-course assessments that are more rigorous and indicative of college readiness. These will become part of the final grade for credit. These data will be added to ASCEND as part of this grant.

Capabilities and Key Elements will support Alabama's education improvement efforts, goals, and accountability system

As a result of capabilities and key elements already in place and those which will be developed as a result of this grant support, education improvement efforts, goals, and an accountability system will be enhanced at all levels of education, including local districts, multiple state agencies, and even the Federal government. As the proposed data standards, data collection processes, and other components are implemented, they will result in improved data quality, efficiency, timeliness, utility, and accessibility. Several disparate data systems within ALSDE will be consolidated in to a single ACES data warehouse, thereby eliminating redundancy of reporting and efficiency of efforts to maintain the data. Data from other state agencies will be integrated with ALSDE data in a comparable format, thereby increasing utility and policymaking throughout the preschool-K-12-postsecondary-workforce continuum.

The ASCEND data repository to be developed with support from this grant will be used across partner agencies / entities to enhance internal accountability as well as accountability across the entire system. For example, data from early childhood programs will be integrated with data from LEAs to determine which programs work best with students from various demographic groups in preparing children for school. Similarly, student and staff evaluation data from school districts will be integrated with data from higher education to determine which programs and courses better prepare students for success in college as well as in the work force. Also, ALSDE will be able to determine which teacher training programs and staff development programs result in better trained and more successful teachers. This will be aided by a common data dictionary and metadata shared between ALSDE and its partners. These are just a few examples of how this grant will impact on the use of data at all levels.

Finally, reporting and analytical tools will be developed as part of this grant that will provide end-users access to the data across all participating agencies. This will result in an improved ability for ALSDE to report accountability data to the US Department of Education, as well as its other constituents. Longitudinal data will result in improved analytical capabilities to determine trends in the education process as well as the ability for forecast future needs. The tools will provide decision-makers within ALSDE and partner agencies / entities with the ability to mine the data and generate information that will lead to the setting of policy based on longitudinal trends.

Alabama's current capacity to use the data system to support improvement efforts

ALSDE and its partners have demonstrated the capacity to use data to support improvement efforts at many levels. To date, this capacity has been developed solely with state resources. Data are currently collected in multiple formats, often on an ad hoc basis, to satisfy required data reporting for various state and federal agencies. These data are generally received as separate flat files. The data are provided to its users using canned or custom developed reports. At this stage, data from multiple files must be merged manually.

Accountability reporting is a good example of data use for improving education in Alabama. ALSDE provides data from STI, the statewide student management system, to DRC, the state assessment vendor. Using business rules provided by ALSDE, DRC generates the results of Adequate Yearly Progress (AYP) calculations to satisfy NCLB reporting requirements. These results, as well as several other types of data, are posted on the ALSDE website for public viewing. Some of these reports are available at the school level as far back as the 1998-1999 school year. ALSDE has developed an interactive reporting tool that allows end users to set filters based on multiple demographic characteristics. Additionally, the DRC data warehouse is used to provide teachers at the building level with the ability to look at the performance on state assessments of students in their classrooms.

ALSDE manually merges the same data with additional data sources to generate an annual statistical and financial report to the governor and legislature. These data are used by the Alabama legislature to support funding and legislation. The reports since 1999 are also made available on the ALSDE website.

ALSDE has also demonstrated its capability to share data with other agencies. ALSDE already exchanges data with the Alabama Commission on Higher Education (ACHE). Using these data, ALSDE has generated Higher Education Report Cards for teacher preparation programs at virtually every college in the state. These report cards go back as far as 2000 and are also available on the ALSDE website.

While the capacity exists to use the data to support school improvement efforts, doing so is a very time consuming and inefficient task. Using funds from this grant, ALSDE intends to streamline the data collection and reporting process. Savings in staff time will enable ALSDE to sustain the project.

Training and technical assistance needs to be addressed in this project

Virtually any project involving changes in the way data are collected, reported, and utilized requires training at many different levels. Such a focus on the use of data results in a change in the culture of using data to make decisions. All projects to be funded under this grant anticipate the appropriate training to all relevant constituencies.

Some of the projects to be funded by this grant involve the sharing of many types of data across agencies. Such sharing of data is regulated by the Family Educational Rights and Privacy Act (FERPA) which governs the disclosure of educational records. It is anticipated that FERPA related training would be an essential component in all training modules associated with the use of the proposed SLDS. It would include information on what data can be shared, who can use it, and what records need to be retained related to the disclosure of the data.

ALSDE anticipates using a “train-the-trainer” approach for any statewide delivery or interagency components of projects funded by this grant. Such training will be accomplished using state resources. Since ACES will be used within the Department, ALSDE will continue to use internal resources to provide all support for the users of the system. ASCEND, on the other hand will be used across several agencies. It is anticipated that technical assistance on an on-going basis would be provided by the third party vendor chosen to house the data-warehouse. The Forum Guide to Building a Culture of Quality Data (and the Curriculum) developed with NCES sponsorship will be a helpful resource in this effort.

Addressing requirements of SFSF with Alabama's SLDS

The US Department of Education has proposed data and information requirements for all states receiving funds under Phase 2 of the State Fiscal Stabilization Fund. These requirements provide indicators and descriptors for the four education reform areas:

a. **Alabama will work to Achieve Equity in Teacher Distribution**

The ALSDE will use data from the Teacher Education Program and Staff Evaluation, as well as the On-line Teacher Certification and Renewal System, to determine the level to which equity in teacher distribution has been achieved.

b. **Alabama is Improving the Collection and Use of Data**

ALSDE will be substantially improve data collection and use through the integration of several existing data sources into the ACES and ASCEND. These will result in more robust, efficient, and less redundant data to be used for reforming education.

c. Alabama is Raising Standards and Improving Assessments

ALSDE will use assessment and accountability data included in the SLDS (to be developed with funds from this grant) to determine the extent to which standards in reading/language arts, math, and science exist, whether there are assessments in these areas, whether all students are being assessed, and whether students are enrolling in and graduating from Institutes of Higher Education.

d. Alabama is Supporting Struggling Schools

ALSDE will use longitudinal data collected by this grant project to track changes in the status of struggling schools (including those designated as in improvement, corrective action, restructuring, or charter schools), and to determine which schools are most in need of support.

ALSDE will use the capabilities of the systems to provide tools, reports, and data to the applicable staff to enable them to make informed decisions with respect to their area of interest.

b. Project Outcomes Related to System Requirements and Implementation

As a result of the review of the America COMPETES, the Alabama State Department of Education has identified five project outcomes that will be funded by this grant. The first three will be focused within ALSDE. The other two outcomes will involve collaboration with several external agencies. Funds from this grant will enable all five project outcomes to be completed within the three year life of the grant.

Alabama Consolidated Education System (ACES)

ACES will enable ALSDE to comply with the following capabilities and elements as required by America COMPETES.

Capabilities

- 1 Must enable States to examine student progress over time
- 5 Must enable data to be easily generated for continuous improvement and decision-making

Elements

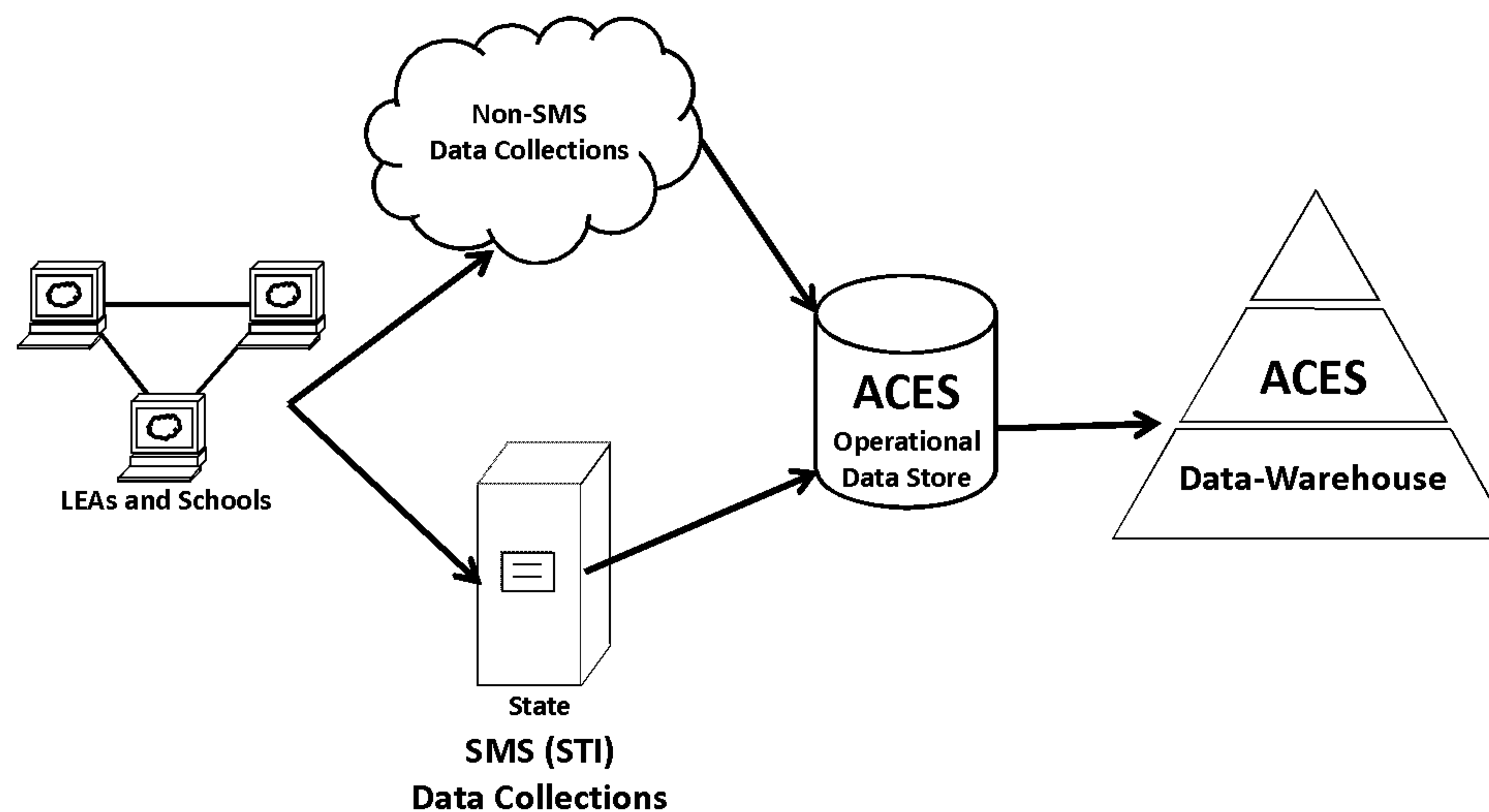
- 6 Yearly test records of individual student with respect to assessments under section 1111(b) of ESEA 1965

Products: ALSDE has already begun the development of several ACES components. Funds from this grant will enable the completion of a consolidated operational data store (ACES) and accompanying longitudinal data warehouse with associated data-marts. The operational data store will integrate data from the student management systems in each school and LEA, as well as other non-SMS data sources, using a common data dictionary and metadata repository. The data warehouse at a minimum will include student assessment, attendance, discipline, demographics, graduates, dropouts, and truancy data. This project outcome will include the development of a data reporting portal and associated tools for data mining that will enable a front end for user access to data.

Features: ACES will incorporate a robust and technically compliant suite of products. It will provide frequent updates from the operational data store to the data warehouse resulting in the availability of the most current data possible for use. The data reporting portal will be easy to use and include a comprehensive dashboard as well as current data-mining technologies. It will have the ability to produce predefined, canned reports as well as dynamic reports with the appropriate blend of graphical, tabular, and analytical presentations to assist SDE decision makers.

Benchmarks: By the end of this grant, ACES will provide an operational data store and data warehouse based on a common data dictionary and metadata repository that enables end users within ALSDE to quickly access the most current student level longitudinal data possible (following appropriate levels of training). Policy makers will be able to identify trends and needs within the state to address educational and operational issues related to student performance and school management. Student progress will be presented in an easy-to-navigate and user-friendly format. End users will be able to generate reports at the individual student level (after confirming user authentication and access privileges) to track progress on each content standard. These data will be used to identify at risk students and create “prescriptions” for student progress using a web-enabled dashboard. This will result in positive performance based outcomes for all Alabama students.

The following diagram illustrates how data from the schools and LEA’s will be integrated into the ACES data warehouse.



On-line Teacher Certification and Renewal System

This project outcome will be an additional component of ACES. It will enable ALSDE to comply with the following capability as required by America COMPETES.

Capability

- 4 Must enable the matching of teachers with information about their certification and teacher preparation programs, including the institutions at which they received their training

Products: Although a teacher education and certification system currently exists, it is fragmented, outdated, technologically insufficient, and incapable of meeting changing needs of the policymakers, teachers and other stakeholders. This consolidated data store will include all teacher education and certification information. It will become part of the ACES overall data architecture. The On-line Teacher Certification and Renewal System will be coupled with an automated workflow engine based on a common data dictionary and metadata repository. Through ACES, it will be linked with the Teacher Education Program and Staff Evaluation System.

Features: The Online Teacher Certification and Renewal System will be significantly enhanced by this grant to provide a simplified user experience. At the completion of this grant, this system will result in a reduction in time required to apply for, renew, and receive certification from the SDE. The efficiencies gained will provide cost containment opportunities achieved by

the redeployment of state resources. Savings gained as a result of these efficiencies will enable ALSDE to sustain the system following the completion of the grant.

Benchmarks: The success of the On-line Teacher Certification and Renewal System will be measured by end user satisfaction and reduced time for teacher certification and renewal processes. The elimination of unnecessary tasks required to support the certification process and improved human resource utilization will result in cost savings realized through greater efficiency of the process.

Teacher Education - Program and Staff Evaluation System

Like the Online Teacher Certification and Renewal System, this project outcome will be an additional component of ACES. It will also enable ALSDE to comply with the following capability as required by America COMPETES.

Capability

- 4 Must enable the matching of teachers with information about their certification and teacher preparation programs, including the institutions at which they received their training

Products: The Teacher Education-Program and Staff Evaluation System will be an online application that will provide capabilities necessary to evaluate teacher education programs and staff throughout the state. It will include an administrative tool to be used by ALSDE program staff for creating and maintaining a bank of test items that will be used to generate evaluation instruments for each of the following categories of certified staff:

- Teachers
- Special Education Teachers
- Principals and Assistant Principals
- Education Administrators
- Librarians
- Guidance Counselors
- Speech Pathologists
- Psychometrists

Each certified employee that fills a supervisory position in Alabama public schools will be able to log into the portal and complete evaluations of assigned staff. An automated process will be employed to calculate scores for the relevant evaluations. Evaluation history will include responses to questions as well as points scored by all certified staff throughout the relevant periods of employment in Alabama public schools.

Features: Deans of the Schools of Education will review the evaluations of all program completers from their respective institutions. Through this system, all program staff, deans, and other stakeholders will have the tools necessary to perform needed data analysis by program area. The system will interface with the existing Teacher Preparation Reporting System to ensure evaluation results are included in the annual teacher preparation report card.

Benchmarks: Detail project plans for conducting the analysis portion of this work will begin in 2011. Construction, testing, training and delivery of the new features will also be completed in this time period.

Alabama System for Collaborative Education Needs Data warehouse - (ASCEND)

The Alabama System for Collaborative Education Needs Data Warehouse is the project outcome that makes this a true PK-20 longitudinal data system. Funds from this grant will enable ALSDE to meet the greatest number of the required capabilities and elements specified in the America COMPETE Act.

Capabilities

- 2 Must facilitate and enable exchange of data among agencies and institutions within state and between states.
- 5 Must enable data to be easily generated for continuous improvement and decision-making

Elements

- 3 Student-level information about the points at which students: Exit, Transfer in, Transfer out, Drop out, and Complete P-16 education programs
- 4 Capacity to communicate with higher education data system.
- 6 Yearly test records of individual student with respect to assessments under section 1111(b) of ESEA 1965
- 11 Data that provide information regarding extent to which students transition successfully from secondary school to postsecondary education, including whether students enroll in remedial coursework
- 12 Data that provide other information determined necessary to address alignment and adequate preparation for success in postsecondary education

Products: The major product of this project outcome will be a shared data repository, called the Alabama System for Collaborative Education Needs Data Warehouse (ASCEND), that will connect data from ALSDE and partners such as the Alabama Department of Rehabilitation Services (DRS), Alabama Commission on Higher Education (ACHE), Alabama Department of Postsecondary Education (DPE), Alabama Department of Children's Affairs - Office of School Readiness (DCA), and the Alabama Department of Industrial Relations (DIR). A Memoranda of Understanding (MOU) between agencies has been agreed to in principle and will be formally signed early in the project. An executive order from Governor's office may be necessary in

order to share data across agencies. The project will begin by developing an agreed upon set of data structures and elements to be used among participating agencies. This will lead to the development of a common data dictionary and metadata repository. A transport mechanism, including data transformation and loading routines, will be developed to move data into the shared data store for use by all of the cooperating agencies. A data reporting portal and data mining tool will be implemented to provide easy access for each of the participating agencies.

Features: ASCEND will feature a common data standard with data that are regularly refreshed. It will provide easy access to required data for federal and state reporting needs, consistent with the business needs of the agencies involved. Reports, dashboards, and interactive inquiry capabilities will allow the ALSDE and partners to readily make informed decisions regarding policy, procedure, and education in Alabama.

Benchmarks: The creation of a common data store that can be shared between the ALSDE and other agencies such as ACHE and DIR will result in timely, accurate, and better quality data. The various constituents will be able to assess the frequency, impact, and nature of the success in programs targeted to improve student retention, completion, and performance. An Executive order may be required to enable the exchange of data between the ALSDE and ACHE, Department of Children's Affairs - Office of School Readiness (DCA), Department of Industrial Relations (DIR), Department of Rehabilitation Services/Early Intervention, and the Department of Postsecondary Education (DPE). The data store will include data from ACHE on student's enrollment/exit data from public colleges within the state, as well as similar data from DPE for two year colleges. Another goal will be to gather data from private colleges within the state. It is anticipated that this will be completed by the end of 2012.

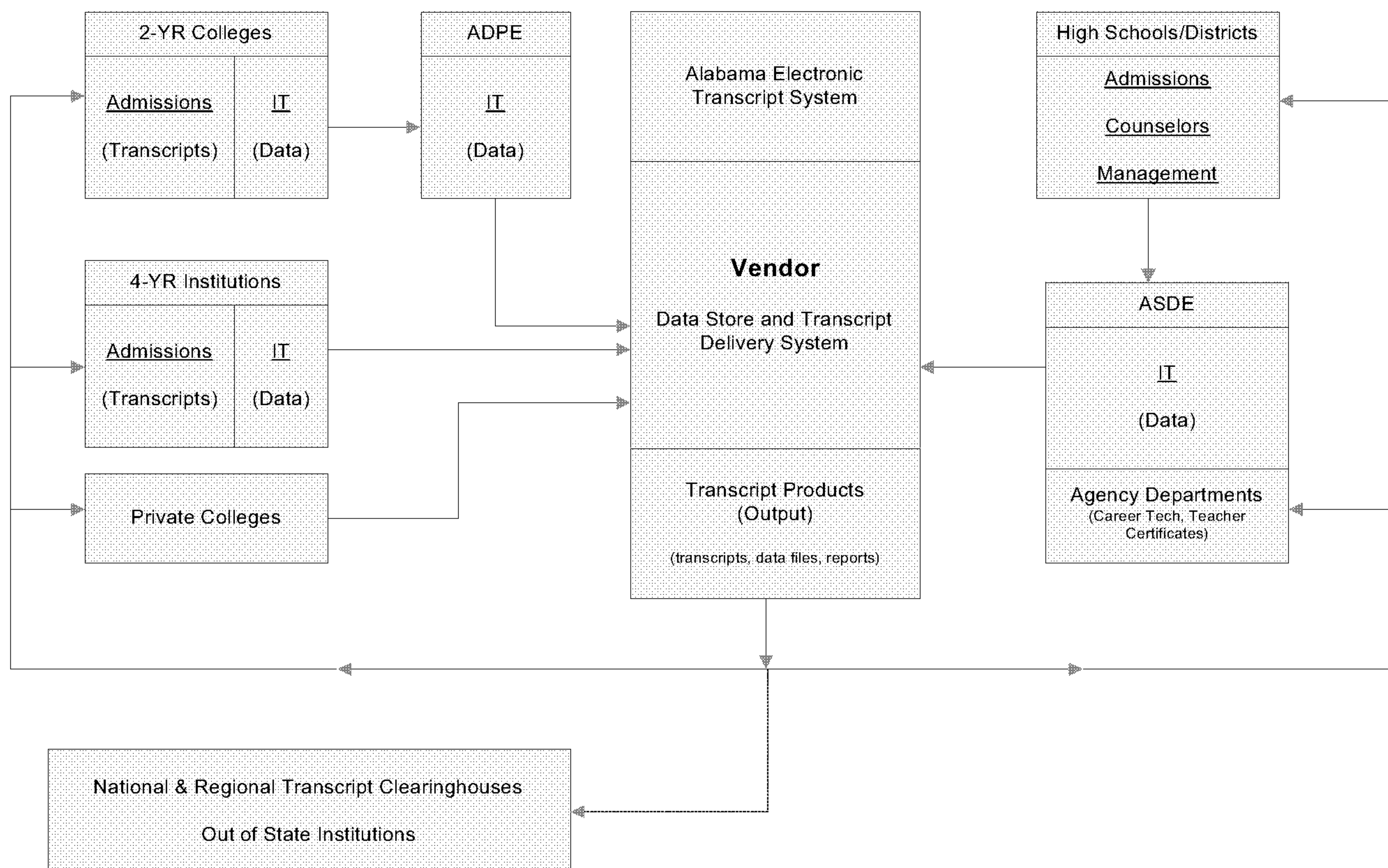
E-transcript transport system

Products: The E-transcript transport and storage system will be a component of the overall ASCEND Shared Data Repository. As such it will include a common data dictionary and metadata repository. The E-transcript system will contain statewide student ID of a public school student that will help to link PK-12 data with that of higher education.

Features: The E-transcript transport and storage system will have the ability to track students that have participated in Alabama public education through higher education using the statewide student ID as the key identifier. It will feature the automated movement of standardized student transcript information to the shared data repository and designated institutions of higher education. The transcript information will be permanently stored as an additional entity of a student’s profile.

Benchmarks: As a result of the E-Transcript transport and storage system, all students who participate in Alabama public education will have a unique state assigned identifier, which will be the foundation of longitudinal tracking across their entire education career. This will enable users to successfully move data to any Alabama institution of higher education.

Alabama Electronic Transcript System Transcript Record Flow Chart



c. Timeline for Project Outcomes

Upon notification of the grant award, the Alabama State Department of Education anticipates beginning this project in the second quarter of 2010. ALSDE will select a consultant to serve as the Project Management Office (PMO) director. This individual will coordinate the work of all five project outcomes to assure that activities in the individual plans proceed according to the established timetables.

Each project outcome will begin with a period of organization and administration. This will involve the development of a more detailed project plan and communications plan, followed by project administration and control activities. In the case of ACES, ALSDE expects to create a Request for Proposal (RFP) or an Invitation to Bid (ITB), as required by Alabama purchasing policy, to identify a vendor with the requisite skills and experience to assist in advancing this work in timely manner and design, develop, deploy, and migrate the data included in the scope of this work. Additional contract staff will be hired for each outcome as necessary.

During this planning stage, ALSDE will collaborate with external organizations as appropriate. In the case of ACES, ALSDE will engage various K-12 related groups (such as, principals, teachers, parents, and other K-12 entities) to determine their data-related needs and interests. ALSDE has already met with all state agencies that would be essential to providing data for ASCEND. Efforts are also underway to establish a PK-20 Council that would provide additional structure and complementary work undertaken as a result of this project. From these working groups, ALSDE will determine the best method of providing access to the information, consistent with privacy laws and other protections afforded to students and staff.

ALSDE LDS Grant Proposal Major Projects

Design, Construction, and Delivery		2010				2011				2012													
		2Q	3Q	4Q		1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q										
Proj	Task	Description																					
001		Alabama Consolidated Education System (ACES)																					
	000																						
	001																						
	002																						
	003																						
	004																						
	005																						
	006																						
	007																						
	008																						
002		On-line teacher certification and renewal system																					
	000																						
	100																						
	200																						
	300																						
	400																						
	500																						
003		Teacher education - Program and staff evaluation system																					
	000																						
	100																						
	200																						
	300																						
	400																						
	500																						

ALSDE LDS Grant Proposal Major Projects

Design, Construction, and Delivery		2010				2011				2012				
		2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q		
004	Shared data repository – (ASCEND)													
000	Organization and Administration													
001	Data warehouse / Data-marts / E-transcript storage													
002	Common data dictionary													
003	Meta data repository													
004	Transport mechanism – For Inter-Agency transport of data to the Shared Data Repository													
005	Data reporting portal													
006	Associated tools – Tools associated with the use and mining of Data													
007	Automated workflow -													
005	E-transcript transport system													
000	Organization and Administration													
001	Phase I (Vendor System)													
	Design													
	Construct													
	Policy & Procedure													
	Training													
	Implementation													
002	Phase II (Feed to ASCEND)													
	Design													
	Construct													
	Policy & Procedure													
	Training													
	Implementation													

As already indicated, work on parts of these project outcomes has been ongoing within ALSDE in advance of this grant application. These activities have been accomplished using only state resources. There are no existing grants with which activities funded by this grant will need to be coordinated.

d. Project Management and Governance Plan

The success of all project outcomes will depend on strong leadership and collaboration across numerous offices and departments both within and outside of ALSDE. It is anticipated that a Project Management Office will be formed within the ALSDE to coordinate the execution of the activities across all five of the project outcomes. The work of this office will be led by the contract Project Management Office Director to be hired upon notification of this grant award. The Project Management Office will work very closely with the Information System section, which already has a strong working relationship with all other sections within ALSDE, as well as other agencies in the state. The Information Systems section has developed the source systems for the other functional areas within ALSDE that will be integrated into the data warehouses and repositories to be included as part of this project. The Project Management Office will be responsible for approval and oversight of all project activities.

Standard Methodology will be employed for each project outcome with consideration given to the unique or specific requirements of each outcome. To the extent possible, the project will be organized and managed according to best practices as outlined in the Project Management Institute's Project Management Book of Knowledge (PMBOK). The use of these guiding principles will enable the Project Management Office to achieve the goals of each of the project outcomes on time and within budget.

As indicated in the Project Timeline, each of the project outcomes will be accomplished through a five step process. These steps will involve the design of the outcome, construction of the outcome, definition of policy and procedure, training, and implementation.

Three of the project outcomes will be designed and developed for use specifically within ALSDE. These include the Alabama Consolidated Education System (ACES,) the On-line Teacher Certification and Renewal System, and the Teacher Education-Program and Staff Evaluation System. The Information Systems section will have primary responsibility for the development and subsequent operation of these outcomes.

The remaining two project outcomes will be the result of collaboration across several agencies outside of ALSDE (but including the ALSDE). These outcomes included the Alabama System for Collaborative Education Needs Data warehouse (ASCEND,) and the E-transcript transport system. The Alabama Commission on Higher Education has recommended the establishment of a PK-20 Council in its State Plan for Alabama Higher Education for 2009-2014. This would be accomplished through Executive Order, legislation, or other means. This council would be comprised of executive level leadership from each of the respective agencies and serve as an advisory board for these project outcomes.

Upon receipt of the award letter for this grant, the PK-20 Council and the Project Management Office will begin to define the functional and technical requirements for ASCEND and the E-transcript Transport System. The groups will use these requirements to solicit and select the appropriate vendor, and oversee the implementation and any modifications to the chosen solutions. Upon completion, the selected entities or vendors will assume primary responsibility for the maintenance and operation of both ASCEND and the E-transcript Transport System. The ALSDE will work with the partner agencies / entities to finalize a multi-agency memorandum of agreement that permits the continuation/extension of this collaborative effort to be established through this grant in order to ensure the continuity and relevance of the system.

ALSDE fully anticipates that the following Agencies / Entities will be contributors/partners in the creation and development of the system:

- Alabama Commission on Higher Education (ACHE)
- Department of Postsecondary Education (DPE)
- Department of Rehabilitation Services (DRS)
- Department of Industrial Relations (DIR)
- Department of Children's Affairs - Office of School Readiness (DCA)
- Alabama Association of Independent Colleges & Universities (AAICU)

Stakeholders such as teachers, administrators, and others deemed as subject matter experts will be engaged (using surveys, roundtables, and working groups) in all phases of project planning and development as necessary in order to ensure that end-user needs are adequately addressed both functionally and technically.

e. Staffing

ALSDE's Director of Information Systems, Mr. Gary Weatherly, will serve as the Project Director for all projects enumerated herein. Working within an international consulting firm, Mr. Weatherly assisted more than two hundred client companies in the design and development of automated financial and operational systems. More recently, as the Chief Information Officer for three publicly traded companies, his leadership in executive management while overseeing a portfolio of information systems projects has complemented his broad industry and technical expertise.

In addition to leading an extensive array of engagements using highly structured systems development lifecycle methodology, Mr. Weatherly holds the Project Management Professional (PMP) certification sponsored by the Project Management Institute (PMI). Accordingly, ALSDE Information Systems projects are guided by the cumulative knowledge of successful project management tools and techniques, as well as lessons learned across many years of systems development efforts.

Mr. Dominique Martel, Mr. Scott Crews, and Mrs. Patsy Eiland are scheduled to provide direction and guidance to the various projects being undertaken. Mr. Martel and Mrs. Eiland

currently serve as programming managers responsible for ALSDE's application development staff.

Mr. Martel's focus includes web-based applications, EDEN submissions, annual data collections for the ALSDE, and thought leadership associated with the design of ACES and ASCEND.

Mrs. Eiland's twenty-plus years' service at ALSDE spans virtually the entire spectrum of education data requirements. Her participation in national education data forums lends additional perspective to all projects being undertaken. Mrs. Eiland's primary focus for the last few years has been in the Accountability and Assessment arena. In concert with her other duties Mrs. Eiland has also played a major role in the implementation of the assessment data-warehouse.

Mr. Crews manages the technical staff that provides support for the entire ALSDE and includes all aspects of desktop hardware support, network and security considerations, and all operational aspects of ALSDE's data center.

Additional ALSDE staff members have been slotted into projects where their specific talents are consistent with the applications and technologies included.

ALSDE proposes to deploy certain contract resources who are already familiar with ALSDE's functional requirements in the design and development of projects for which their expertise is appropriate. Mr. Charles Sullivan, Mr. Ray Faircloth, Mr. Joe Hall, Mr. Steven Jones, Mr. Charles Stringham, Mr. Jonathan Joiner, will fill various roles including project manager, business analyst, software architect, and software developer.

ALSDE's chosen contract PMO director will assure that all work is conducted using recognized best practices, including guidance from the PMI Project Management Book of Knowledge (PMBOK).

Resumes for all listed team members are provided in Appendix B.

Title	Description
SDE Project Director Gary Weatherly - (20 %)	Manage the preparation and execution of the RFP process coordinate the overall work of all concurrent activities and server as primary liaison to other agencies/stakeholders
Agency SME	Performs expert analysis of business requirements and serves as liaison for functional and technical aspects of the project activities relating to their respective agencies
SDE PM Scott Crews - (0 - 5 %) Patsy Eiland - (0 - 10 %) Dominique Martel - (25 - 100 %)	Develops and manages project plans, provides overall guidance to project team members, handle communication with stakeholders, address staffing assignments, and performs other leadership tasks to ensure the successful delivery of the project
SDE Business Analyst / SME BA #1 - (10 - 100 %) BA #2 - (10 - 100 %)	Performs expert analysis of business requirements and serves as liaison for functional and technical aspects of the project activities
SDE Developer Joe Reynolds - (0 - 75 %) Developer #2 - (0 - 75 %) Developer #3 - (0 - 75 %) Developer #4 - (0 - 75 %)	Prepares source code, tests developed applications for compliance with requirements, performs unit/integration testing of products. Prepares code to interface with existing and acquired systems to meet stated requirements and objectives
Contractual	
Contract PMO Director (100%)	Establishes the overall PMO for the five projects. Works with the individual Project Managers of the respective projects to coordinate activities and resources.

Title	Description
<p>Contract PM</p> <p>Charles Sullivan - (25 %) PM #2 - (25 - 100 %) PM #3 - (25 - 100 %) PM #4 - (25 - 100 %)</p>	<p>Develops and manages project plans, provides overall guidance to project team members, handle communication with stakeholders, address staffing assignments, and performs other leadership tasks to ensure the successful delivery of the project</p>
<p>Contract Business Analyst</p> <p>Ray Faircloth - (100 %) BA #2 - (100 %) BA #3 - (100 %) BA #4 - (100 %) BA #5 - (100 %)</p>	<p>Performs expert analysis of business requirements and serves as liaison for functional and technical aspects of the project activities</p>
<p>Contract Software Architect</p> <p>Joe Hall - (100 %) SA #2 - (100 %) SA #3 - (100 %) SA #4 - (100 %)</p>	<p>Designs, prepares, and configures the overall software structure, develops framework for integration with various components and subsystem whether built in-house or acquired for implementation</p>
<p>Contract DBA</p> <p>Charles Stringham - (25 - 100 %) Jonathon Joiner - (25 - 100 %) DBA #3 - (100 %) DBA #4 - (100 %) DBA #5 - (100 %)</p>	<p>Designs overall database architecture, schemas, scripts, data transformation of external data sources, and services of the enterprise data repositories. Monitors operational performance of database servers and all databases to ensure data integrity and reliability</p>
<p>Contract Developer</p> <p>Jamie Swindall - (25 - 100 %) Steven Jones - (100 %) Developer #3 - (100 %) Developer #4 - (100 %) Developer #5 - (100 %) Developer #6 - (100 %) Developer #7 - (100 %) Developer #8 - (100 %)</p>	<p>Prepares source code, tests developed applications for compliance with requirements, performs unit/integration testing of products. Prepares code to interface with existing and acquired systems to meet stated requirements and objectives</p>

Project Narrative

Project Narrative - Appendix A, Optional Attachments

Attachment 1:

Title: **ALSDE SLDS Grant - Project Narrative Appendix A Pages: 6 Uploaded File: 08 - Appendix A - Optional Attachments.pdf**

Appendix A - Exhibit 1
ALSDE LDS Grant Proposal Major Projects

ALSDE LDS Grant Proposal Major Projects			FTE												
Design, Construction, and Delivery			2010				2011				2012				2013
Proj	Task Step	Description	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	
001		Alabama Consolidated Education System (ACES)													
		Project Director	0.07	0.10	0.07	0.05									
		Contract PMO Director	0.33	0.50	0.33	0.25									
		Agency SME	0.00	0.00	0.00	0.00									
		Contract PM	1.00	1.00	1.00	1.00									
		SDE PM	0.50	0.25	0.25	0.25									
		Contract Business Analyst	0.00	1.00	1.00	1.00									
		SDE Business Analyst / SME	0.00	0.50	0.25	0.75									
		Contract Software Architect	0.00	0.00	1.00	1.00									
		SDE Software Architect	0.00	0.00	0.00	0.00									
	Contract DBA	0.00	3.00	3.00	3.00										
	SDE DBA	0.00	0.00	0.00	0.00										
	Contract Developer	0.00	1.00	2.00	2.00										
	SDE Developer	0.00	1.00	2.00	2.00										
000		Organization and Administration													
	010	Project Plan Development													
	020	Communications Plan													
	030	Project Admin & Control													
001		Operational Data Store													
		Design													
		Construct													
		Policy & Procedure													
		Training													
002		Common data dictionary													
		Design													
		Construct													
		Policy & Procedure													
		Training													
003		Meta data repository													
		Design													
		Construct													
		Policy & Procedure													
		Training													
004		Consolidated data store for all teacher education and certification information													
		Design													
		Construct													
		Policy & Procedure													
		Training													
005		ACES Data warehouse / Data-marts													
		Design													
		Construct													
		Policy & Procedure													
		Training													
006		Data reporting portal													
		Implementation													
		Design													

**Appendix A - Exhibit 1
ALSDE LDS Grant Proposal Major Projects**

ALSDE LDS Grant Proposal Major Projects Design, Construction, and Delivery		FTE													
		2010				2011				2012				2013	
Proj	Task Step	Description	Resource	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q
	200	Construct													
	300	Policy & Procedure													
	400	Training													
	500	Implementation													
007		Associated tools – Tools associated with the use and mining of Data													
	100	Design													
	200	Construct													
	300	Policy & Procedure													
	400	Training													
	500	Implementation													
008		Automated workflow -													
	100	Design													
	200	Construct													
	300	Policy & Procedure													
	400	Training													
	500	Implementation													
002		On-line teacher certification and renewal system													
			Project Director				0.07								
			Contract PMO Director				0.33								
			Agency SME				0.00								
			Contract PM				0.25								
			SDE PM				0.00								
			Contract Business Analyst				1.00								
			SDE Business Analyst / SME				0.25								
			Contract Software Architect				1.00								
			SDE Software Architect				0.00								
			Contract DBA				0.25								
			SDE DBA				0.00								
			Contract Developer				2.00								
			SDE Developer				0.50								
	000	Organization and Administration													
	100	Design													
	200	Construct													
	300	Policy & Procedure													
	400	Training													
	500	Implementation													
003		Teacher education - Program and staff evaluation system													
			Project Director											0.07	0.07
			Contract PMO Director											0.33	0.33
			Agency SME											0.00	0.00
			Contract PM											0.25	0.25
			SDE PM											0.00	0.00
			Contract Business Analyst											1.00	1.00
			SDE Business Analyst / SME											0.25	0.25
			Contract Software Architect											1.00	1.00
			SDE Software Architect											0.00	0.00

**Appendix A - Exhibit 1
ALSDE LDS Grant Proposal Major Projects**

ALSDE LDS Grant Proposal Major Projects			FTE													
Design, Construction, and Delivery			2010				2011				2012				2013	
Proj	Task	Step	Description	Resource	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q
				Contract DBA					1.00	1.00	1.00					
				SDE DBA					0.00	0.00	0.00					
				Contract Developer					2.00	3.00	3.00					
				SDE Developer					0.50	0.50	0.50					
		000	Organization and Administration													
		100	Design													
		200	Construct													
		300	Policy & Procedure													
		400	Training													
		500	Implementation													
004			Shared data repository – (ASCEND)													
				Project Director	0.07											
				Contract PMO Director	0.33											
				Agency SME	0.05											
				Contract PM	1.00											
				SDE PM	0.50											
				Contract Business Analyst	1.00											
				SDE Business Analyst / SME	0.25											
				Contract Software Architect	0.00											
				SDE Software Architect	0.00											
				Contract DBA	0.00											
				SDE DBA	0.00											
				Contract Developer	0.00											
				SDE Developer	0.00											
		000	Organization and Administration													
		010	Project Plan Development													
		020	Communications Plan													
		030	Project Admin & Control													
		001	Data warehouse / Data-marts / E-transcript storage													
		100	Design													
		200	Construct													
		300	Policy & Procedure													
		400	Training													
		500	Implementation													
		002	Common data dictionary													
		100	Design													
		200	Construct													
		300	Policy & Procedure													
		400	Training													
		500	Implementation													
		003	Meta data repository													
		100	Design													
		200	Construct													
		300	Policy & Procedure													
		400	Training													
		500	Implementation													
		004	Transport mechanism – For Inter-Agency transport of data to the Shared Data Repository													
		100	Design													

