

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 # R384A100022**

Closing Date: DEC 04, 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:
12/3/2009	

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: New York State Education Department

* b. Employer/Taxpayer Identification Number (EIN/TIN):	* c. Organizational DUNS:
146013200	806782173

d. Address:

* Street1:	89 Washington Avenue
Street2:	
* City:	Albany
County:	Albany
State:	NY
Province:	
* Country:	USA
* Zip / Postal Code:	12234

e. Organizational Unit:

Department Name:	Division Name:

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

Prefix:	Ms.	* First Name:	Theresa
Middle Name:	E		

* Last Name: Savo

Suffix:

Title: Deputy Commissioner

Organizational Affiliation:

* Telephone Number: (518)474-2587

Fax Number:

* Email: TSAVO@MAIL.NYSED.GOV

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:

Statewide Longitudinal Data Systems Under the American Recovery and Reinvestment Act of 2009

13. Competition Identification Number:

Title:

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

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

P20 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: 21

* b. Program/Project: 21

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

Attachment:

Title :

File : C:\Documents and Settings\mireland\Desktop\FINAL-FINALSubmission120309\United State Senators and representatives.doc

17. Proposed Project:

* a. Start Date: 4/1/2010

* b. End Date: 3/31/2013

18. Estimated Funding (\$):

a. Federal	\$ 19874733
b. Applicant	\$
c. State	\$
d. Local	\$
e. Other	\$
f. Program Income	\$
g. TOTAL	\$ 19874733

*** 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: Ms. * First Name: Theresa
Middle Name: E
* Last Name: Savo
Suffix:

Title: Deputy Commissioner

* Telephone Number: (518)474-2547 Fax Number:

* Email: TSAVO@MAIL.NYSED.GOV

* 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.

United State Senators

Schumer, Charles E

Gillibrand, Kirsten E.

New York State Congressional Delegation

Ackerman, Gary, New York, 5th

Arcuri, Michael A., New York, 24th

Bishop, Timothy, New York, 1st

Clarke, Yvette D., New York, 11th

Crowley, Joseph, New York, 7th

Engel, Eliot, New York, 17th

Hall, John J., New York, 19th

Higgins, Brian, New York, 27th

Hinchey, Maurice, New York, 22nd

Israel, Steve, New York, 2nd

King, Pete, New York, 3rd

Lee, Christopher J., New York, 26th

Lowey, Nita, New York, 18th

Maffei, Daniel B., New York, 25th

Maloney, Carolyn, New York, 14th

Massa, Eric J.J., New York, 29th

McCarthy, Carolyn, New York, 4th

[Unfilled], New York, 23rd

McMahon, Michael, New York, 13th

Meeks, Gregory W., New York, 6th

Murphy, Scott, New York, 20th

Nadler, Jerrold, New York, 8th

Rangel, Charles B., New York, 15th

Serrano, José E., New York, 16th

Slaughter, Louise, New York, 28th

Tonko, Paul D., New York, 21st

Towns, Edolphus, New York, 10th

Velázquez, Nydia M., New York, 12th

Weiner, Anthony D., New York, 9th



U.S. DEPARTMENT OF EDUCATION

BUDGET INFORMATION

NON-CONSTRUCTION PROGRAMS

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:
New York State Education Department

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	\$ 464,500	\$ 478,435	\$ 577,659	\$ 0	\$ 0	\$ 1,520,594
2. Fringe Benefits	\$ 198,202	\$ 204,148	\$ 246,487	\$ 0	\$ 0	\$ 648,837
3. Travel	\$ 140,000	\$ 110,000	\$ 70,000	\$ 0	\$ 0	\$ 320,000
4. Equipment	\$ 330,000	\$ 0	\$ 400,000	\$ 0	\$ 0	\$ 730,000
5. Supplies	\$ 1,500,000	\$ 300,000	\$ 400,000	\$ 0	\$ 0	\$ 2,200,000
6. Contractual	\$ 3,740,000	\$ 5,050,000	\$ 5,200,000	\$ 0	\$ 0	\$ 13,990,000
7. Construction	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
8. Other	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
9. Total Direct Costs (lines 1-8)	\$ 6,372,702	\$ 6,142,583	\$ 6,894,146	\$ 0	\$ 0	\$ 19,409,431
10. Indirect Costs*	\$ 142,137	\$ 146,400	\$ 176,765	\$ 0	\$ 0	\$ 465,302
11. Training Stipends	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
12. Total Costs (lines 9-11)	\$ 6,514,839	\$ 6,288,983	\$ 7,070,911	\$ 0	\$ 0	\$ 19,874,733

***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

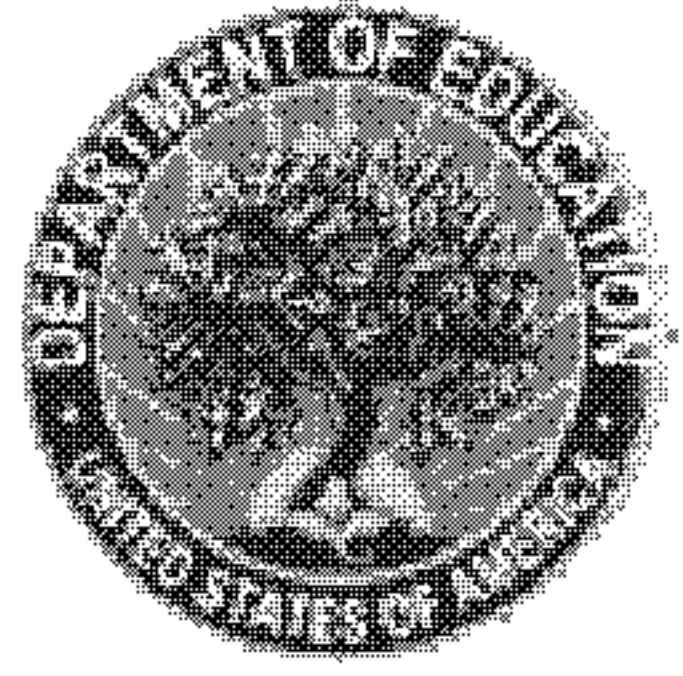
(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: 4/1/2009 To: 3/31/2010 (mm/dd/yyyy)

Approving Federal agency: ED Other (please specify): _____ The Indirect Cost Rate is 30.6%

(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 0%



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

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:
 New York State Education Department

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	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
2. Fringe Benefits	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
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)	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
10. Indirect Costs	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
11. Training Stipends	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
12. Total Costs (lines 9-11)	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0

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: Theresa E. Savo

Title: Deputy Commissioner

Date Submitted: 12/03/2009

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 checked="" 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 checked="" type="checkbox"/> Bid/Offer/Application <input type="checkbox"/> Initial Award <input type="checkbox"/> Post-Award	3. Report Type: <input checked="" 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 checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier, if known: 0 Name: New York State Education Department Address: 89 Washington Avenue City: Albany State: NY Zip Code + 4: 12234-	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: United States Education Department	7. Federal Program Name/Description: Institute of Education Sciences CFDA Number, if applicable: 84.384	
8. Federal Action Number, if known:	9. Award Amount, if known: \$0	
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: Theresa E. Savo Title: Deputy Commissioner Applicant: New York State Education Department Date: 12/03/2009	
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

New York State Education Department

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix: Ms. First Name: Theresa Middle Name: E

Last Name: Savo Suffix:

Title: Deputy Commissioner

Signature: _____

Date:

12/03/2009

ED 80-0013

03/04

Project Narrative

Project Narrative - Project Abstract

Attachment 1:

Title: Pages: **0** Uploaded File: **C:\Documents and Settings\mireland\Desktop\FINAL-FINALSubmission120309
\part 5 Abstract for submission.pdf**

Abstract
New York State LDS

The Board of Regents and the Commissioner of Education of New York State are committed to creating a Longitudinal Data System that supports their education goals for the state. They are further committed to assuring quality by authorizing the creation of a system that incorporates the seven data system capabilities and twelve data system elements defined by NCES.

The proposal that follows contains the blueprint for New York State's continuing journey towards the creation of a comprehensive P20 Longitudinal Data System.

This proposal incorporates all seven data system capabilities and twelve data system elements in six overarching objectives:

1. The Expansion of the Current LDS to include student-teacher matching along with the collection of a new set of data elements to support continuous improvement.
2. The creation of the "building blocks" for a full P20 system, including a re-engineering of the current P12 system, the creation of Longitudinal Data Systems for the state's public university systems, and an outreach to State Agencies housing workforce, health, and social service data.
3. The creation of an Instructional Support system providing teachers and other education professionals with information to support continuous improvement.
4. The creation of a Data Base to support research and policy analysis.
5. The creation of a system for tracking student progress and outcomes over time, including students' preparation to meet the demands of postsecondary education, the 21st century workforce and the Armed Forces.
6. The creation of processes to ensure quality and integrity of data across all systems.

The outcomes, products, and processes that will result from these activities will provide New York State and its residents with a rich resource. Properly deployed and supported this resource will enhance the education of children in the state, create an environment for supporting research and policy analysis, and form a foundation for the continuous analysis and improvement of the state's education structure.

Project Narrative

Project Narrative - Project Narrative

Attachment 1:

Title: Pages: **0** Uploaded File: **C:\Documents and Settings\mireland\Desktop\FINAL-FINALSubmission120309
\part 6 ies narrative for submission with steiner changes.pdf**

Section 6: Project Narrative

a) Need for Project

The New York State Board of Regents has embarked on a far-reaching campaign to transform education and close the achievement gap in New York State. The Regents believe that a comprehensive P20 Longitudinal Data System (LDS) is an essential tool in reaching their goals, and they are taking a series of major actions to complete the system during the next several years.

The Board of Regents sets educational policy for New York and governs the University of the State of New York (“USNY”), the most comprehensive and unified educational system in the nation. The University, established in 1784 and recognized by the State Constitution, is a legal corporation with broad powers that encompasses all of education from birth through adulthood and includes more than 225 public and private colleges and universities, 5,000 public and private schools, nearly 7,000 libraries, 750 museums, and 25 public broadcasting facilities. The Regents also license and regulate a million professionals practicing in 47 fields, and certify 250,000 public school teachers and administrators. The State Education Department is the administrative arm of the Board.

The Regents have applied for and received major foundation grants to help fund their reforms thus far. In 2007, the Board received \$6.2 million in support from the Bill & Melinda Gates Foundation and The Wallace Foundation for work to improve New York State’s high-school graduation rates, college readiness and college completion rates. In cooperation with the Parthenon Group, the Regents developed a detailed action plan for a comprehensive P20 data system. The Regents and our P20 partners – including representatives from the State University of New York (SUNY), the City University of New York (CUNY), and the New York City, Yonkers, and Syracuse City school districts – have all signed a memorandum of understanding to carry out the work. (Please see attached MOU.)

The current P12 LDS has been in place for seven years, and each year has brought expansion and improvement. The system reports on six years of student data with unique identifiers and includes demographic, enrollment, program participation, and assessment information. It includes general education as well as special education data domains.

Through funds already provided by the Institute of Education Sciences (IES), we have active initiatives in place to ensure data quality, strengthen the ability to audit data, improve the nature and extent of data reporting to school districts, design and implement an instructional support reporting center, provide standardized training to school district data administrators, and create standards for vendors of Student Management Systems (SMS) for compliance with LDS data needs. Additionally, these funds support planning for an architectural redesign of the system to include an Operational Data Store as well as planning the expansion of the system to P20.

The State Education Department (SED) also already maintains a database containing unique teacher IDs, as well as information about each teacher’s preparation program, credentials, and professional development activities. This extensive teacher data system places New York in an

excellent position to leverage its longitudinal data system to advance instructional improvement and reform.

All of these factors combined – an established and expanding P12 longitudinal data system, an integrated State-funded higher education system, a sophisticated teacher database, a commitment by the K-12 and higher education systems, and a reform mandate from the Board of Regents – position New York to lead in developing and carrying out the initiatives promulgated by the federal government and IES.

As outlined in Appendix C, New York has made progress in all seven data system Capabilities identified in section *IV. Statewide Longitudinal Data System Requirements*. Two of the 12 Elements have been completed and progress has been made in seven Elements. The requested application will allow New York to develop all Capabilities and Elements identified in section IV. Please see the features matrix in Appendix C for a complete status of New York's LDS as it relates to the required elements and capabilities. It will be noted that New York has either incorporated each item in its current LDS, is in the process of doing so, or is planning to do so in accord with the activities of this grant proposal.

This proposal leverages the existing data with a newly created Instructional Support network that will supplement access to data with training and technical assistance. The expansion of the LDS in the areas of teacher-student linkages, additional data elements, an integrated P20 system, an instructional support system, integration between the data system and policy analysis activities, an enhanced process for tracking student progress over time, and additional data quality procedures will all combine to provide essential information that can inform and guide the State's activities related to the education reform goals set by the Board of Regents and outlined in the State Fiscal Stabilization Fund.

b) Project Outcomes Related to System Requirements and Implementation

This proposal is organized into six interrelated objectives. Each objective is broken into sub-activities that address one or more of the seven Capabilities and 12 Elements. (Please see Appendix C.) The completion of all objectives will ensure that New York's data system is well-positioned to innovate and expand upon the solid foundation envisioned in the IES grant requirements and the America Competes Act.

Objective 1: Expand the current P12 LDS to include student-teacher linkages and other related P12 data elements.

The State is working to produce a system that matches teachers and their preparation programs to K-12 courses to enrolled students to performance assessments, attendance, discipline, and related indicators. In order to create the needed student-teacher and other linkages, the following activities are proposed:

**Activity 1.1: Integrate a Unique Teacher Identifier into the LDS.
Addresses Capabilities 3, 4, 5, 6 and Elements 5, 8, 9, 12**

In order to link teachers to student performance data, a standardized universal teacher ID system must be incorporated into the Student Information Repository System or SIRS – the State’s LDS. New York State has a set of teacher IDs and a teacher data system already in place to help facilitate this process. The State Education Department’s Teacher Certification Office has a comprehensive system (called TEACH) that tracks the certification status of all teachers and administrators (including the date of application, date of issuance, expiration, and renewal) and includes teacher demographics, preparation program, and teacher ID. The already existing unique teacher identifier present in the TEACH system will be utilized in the LDS, thereby avoiding complicated teacher identifier algorithms and duplication of effort.

The activity being proposed here will create work products that will:

- a) Standardize the import of teacher demographic information, from an LEA’s Human Resource (HR) system, and teacher course assignment information, from an LEA’s Student Management System, into the State’s LDS.

The State has been successful in standardizing data imports from Student Management Systems (SMS) into the LDS. This has been accomplished by adopting a standard LDS data model and providing a statewide standardized tool that facilitates the extraction and transformation of the required data elements from the SMS into the LDS.

This same process will be replicated to extract, transform, and load teacher demographic and course assignment information from the LEA into the State’s LDS. A standard data model will be created and established in the LDS. A front-end tool will be created for LEAs to utilize in the extraction and transformation process. Loading routines will move these data into the LDS.

- b) Create a mechanism for matching teacher demographic and course assignment information imported from the LEAs with teacher certification and preparation program information in the State’s TEACH database.

In order to leverage the State’s existing database of teacher certification and preparation information, along with an already existing unique teacher identifier, it will be necessary to establish an interoperability framework between the LDS and the TEACH system. This will involve the creation of a matching algorithm that ensures a unique one-to-one match between a teacher in the LDS and that same teacher in the TEACH database. Once matched, another extraction, transformation, and load process will be created to move relevant teacher data from the TEACH system to the LDS. Cross-walk edits will be added to ensure the consistency of the data in the two source systems.

**Activity 1.2: Create and Implement a Common Set of Course Codes
Addresses Capabilities 1, 3, 5, 7 and Elements 2, 3, 9, 10, 11**

The State’s school districts use a wide variety of Student Management Systems (SMS), course titles and course codes. This plan will create a system of standardized course codes. Specifically, we will create work products to:

- a) Establish a standard data model that incorporates all data fields related to course code.

The State's LDS already utilizes a data model created by eScholar LLC. The State will adopt the eScholar Course Delivery Model as its standard for collecting course data from SMS systems. This model is extensive and includes all data requirements needed to match every teacher to the students enrolled in each section of a school's master course schedule.

- b) Establish a standard system for extracting, transforming, and loading related data from SMS to LDS.

Once the data model is in place, the State-developed front-end tool will be expanded to include this data domain. This will provide LEAs with a familiar interface that will be used to extract, transform, and load the required data.

- c) Establish a Longitudinal School Course Classification System.

In June 2007, NCES published its "Secondary School Course Classification System: School Codes for the Exchange of Data". The State will adopt this taxonomy as its standard for secondary course codes. The State already has a system already in place that can assist in standardization of elementary course codes. The New York State Basic Education Data System (BEDS) already contains a unique coding system that can link teachers and students. These codes will be adopted as the LDS standard for elementary courses until a national standard is established by NCES.

- d) Publish a standard list of required course codes.

Common course codes are necessary for collecting and reporting data in the LDS. In particular, they will allow the State to link student performance data to their assigned teachers, as well as to develop standardized student transcripts. In order to facilitate the development of standard course codes, the State will adapt the NCES and BEDS taxonomy to create a set of common course codes for reporting purposes. This will be accomplished through the governance structure defined by the P20 data system MOU and the current IES grant and will utilize Department resources, consultant support, and a panel of instructional specialists and school administrators.

Since there is great variety in existing course codes, New York's solution will likely involve providing LEA's with a choice either to use the standard course codes in their district operations or incorporate a conversion table in their local SMS that transforms local course codes into the State's standard set of codes. These codes will then be extracted, transformed, and loaded into the LDS.

- e) Establish standards for SMS vendors.

With current IES funding, the State is already in the process of requiring SMS vendors to comply with its data standards. The State Education Department website includes a vendor page to keep vendors informed of existing and planned data standards. Data standards are being established to

require that SMS vendors create a field for maintaining the State's course code, as well as transforming any local codes into the State's common set of codes for loading into the LDS.

Activity 1.3 Provide Information, Training, Guidelines and Support to LEAs for Implementation of Student-Teacher Linking

Addresses Capabilities 1, 3, 5, 7 and Elements 2, 3, 9, 10, 11

In order to implement a system that expands the existing LDS, it will be necessary to provide clear guidance and training for LEAs. The District Data Coordinator Technical Assistance Center (TAC), through funding provided by the current IES grant, will play a major role in assisting school districts in their efforts to meet the challenges of collecting these additional data elements.

In addition, New York State has the benefit of an already-linked network of public sector partners who work with schools across the state on all matters related to the LDS. Known as Level 1 Data Centers, these partners consist of the data centers of the Big 5 city school districts (New York City, Rochester, Syracuse, Buffalo, and Yonkers) and 12 Regional Information Centers (RICs), which are part of the NYS BOCES system (Boards of Cooperative Education Services). These partners will be fully informed and take part in the development of the products related to linking student data to teachers. They will work in collaboration with the TAC to help create training and guidance products that are responsive to the needs of the LEAs in their regional network, and will provide ongoing support to schools as the new system expansion is implemented.

Activity 1.4: Expansion of the LDS to include other key data elements in support of teacher-student linking

Addresses Capabilities 1, 2, 3, 5, 7 and Elements 9, 10, 11

The three activities noted above will produce a system that matches teachers and their preparation programs to course sections to enrolled students to performance assessments. This linking will be made more powerful by including additional data elements in the LDS that are not currently collected or reported. To support this activity, the State will determine the most efficient manner to define, collect, extract, transform, and load new data elements. This will be accomplished through the use of State Education Department resources, consultant support, and a panel of instructional specialists, school administrators, and higher education teacher educators.

- Daily attendance

The State has long collected aggregate average daily attendance from school districts for state aid purposes. In addition, school districts are currently required to collect period-level attendance and to categorize student absences into a limited number of acceptable fields. Building on this foundation, the State will develop guidelines that school districts will follow to report student-level daily attendance. SMS vendors will be required to create data collection and extracts to load student-level daily attendance into the LDS.

- Suspensions and violent and disruptive behavior incidents

The State currently requires school districts to collect student-level data on violent and disruptive behavioral incidents and suspensions. All incidents are categorized in an existing State-defined system. Although the data are currently reported into an aggregate-level data system, SMS vendors will be required to create the appropriate data extracts so that student-level incidents and suspensions can be loaded into the LDS.

- College readiness data, including SAT, ACT, IB, AP and other related information: New York has made progress in the collection and analysis of additional indicators that are linked to postsecondary success. On behalf of the Board of Regents, The Parthenon Group has already worked with the College Board to collect and analyze the predictive relationship between SAT scores and other data elements contained in the LDS. New York is working out a statewide agreement with the College Board to collect student-level SAT, PSAT, and AP scores for loading into the LDS. An agreement is also pending with ACT for collecting these student-level scores.

The integration of K-12 and 13-16 transcript data will facilitate discussions of curriculum alignment between the two sectors. For example, linkage of the data will allow policymakers to track the performance of students through course sequences in mathematics and English Language arts in K-12 and into higher education. This capability has gained greater urgency as the movement toward a national core curriculum gains momentum.

New York's eScholar data model is already compatible with loading these additional data elements into the LDS. A panel of statewide advisors, including representative superintendents, assistant superintendents for curriculum and instruction, special education and pupil personnel directors, principals, and guidance counselors and representatives of higher education will continue to provide guidance on additional data elements that can help achieve this critical objective.

- Standardized transcript information
An electronic student transcript will be one of the crowning achievements of New York's expanded LDS. An electronic student transcript requires that all of the data elements described above be integrated into the LDS. The transcript will provide many benefits to schools and school districts in New York and other states as well as to higher education in New York State. New York will utilize the LDS transcript to standardize school district data archive activities. In addition, the electronic exchange of transcript information to LEA's upon student transfer will ensure that students receive all appropriate services in a timely manner.

Finally, the electronic exchange of transcript information with institutions of higher education upon student enrollment in postsecondary education will not only enable data-driven discussions of curriculum alignment, as noted above, but also ease the burden of records exchange. As described below in Activity 2.2, the New York City Department of Education and the CUNY system already engage in a two-way exchange of electronic transcript data, both for the processing of applications for admission and for policy research. The lessons learned from this partnership will help ensure that New York successfully expands this initiative throughout the rest of the State. A unique statewide student identifier can be used to link K-12 with 13-16 records via a common transcript, streamlining application processing throughout the State and facilitating longitudinal tracking for policy purposes

As described below in Activity 2.2, the New York City Department of Education and the CUNY system already share an online student transcript system. The lessons learned from this partnership will help ensure that New York successfully expands this initiative throughout the rest of the State.

- Interim, local, and statewide assessments

The State recognizes that the predictive power of a LDS rests upon a comprehensive approach to assessment. Such an approach involves the collection of student performance data on annual State assessments, the collection of local course grades, and the collection of data on standardized interim and other local assessments.

The predictive value of the LDS will be enhanced as the State standardizes the collection of interim assessment data. Many interim assessment tools exist in the commercial market, and many schools already administer commercial or other locally-designed quality assessments to their students. Future discussions of the Board of Regents will determine the ways in which such benchmark assessments will be integrated into the existing curricular requirements. Once these policy issues are decided, procedures and requirements will be established to load these assessments into the LDS.

In addition, a comprehensive LDS will facilitate the ongoing development of statewide examinations such as New York State's Regents examinations. Specifically, when test scores and transcript data are integrated, analyses of the predictive validity of the State's assessments become possible.

The addition of attendance, course and transcript information, violent and disruptive behavior data, and interim assessments will facilitate the development of another crowning achievement of the State's LDS - an "Early Warning System," discussed in greater detail in Objective 5 below. These elements will also play a role in the ability of the state to monitor and support continuous improvement over time.

Objective 1: Conclusion

The outcome of the four activities related to Objective 1 will be the creation of concrete products and processes to expand the current LDS to include the linking of assigned teachers to their students' performance data. These accomplishments will further the development of:

- a P16 instructional data reporting and support system;
- an analysis of teacher preparation programs; and
- a teacher evaluation system.

The fact that the State already maintains unique teacher ID, certification, and teacher preparation program data in its TEACH system puts the State in a competitive position to achieve these goals more quickly than will many other states with less comprehensive systems.

Beginning in 2005, the SUNY and CUNY systems as well as a large number of teacher education programs at independent colleges and universities formed a partnership to enhance

program evaluation for accreditation and tracking graduates into the classroom. The Carnegie Corporation of New York provided \$50,000 to fund this project with a matching grant of \$50,000 from the State. The project provided tables that showed comparisons for each institution to its sector and to the state averages on teaching placements, retention in teaching positions, and a large number of other variables. Plans are to expand this system so that all teacher education programs will have individual student records for analysis, and to foster large scale research on teacher education success. New York State teacher education programs are eager to enhance their capacity to use statewide data for program improvement and research on best practices in teacher education.

Finally, the completion of this objective will form an important foundation for an instructional data reporting system and a teacher evaluation system based in part on the performance of students. New York State United Teachers received a grant this year from the American Federation of Teachers Innovation Fund to develop a model teacher evaluation system that uses multiple measures including student achievement results. The grant is funded in part by the Bill & Melinda Gates Foundation, the Carnegie Corporation of New York, the Ford Foundation, and the Eli and Edythe Broad Foundation. In addition, instructional data reporting systems are currently being developed and expanded in New York City and in certain other areas of the State. These efforts will be closely monitored – and the lessons learned will be used – as we expand the initiative statewide.

Objective 2: Create and implement a 13 – 20 System with Interactive Links to the expanded P12 system.

The three component modules of an integrated P20 system will be described as the P12 module; the higher education module; and the Health/Human Services/Workforce module (including military service).

Objective 2 calls for the integration of a P20 data system in New York State. It provides for a series of actions, followed by a systems integration process. The modular steps being proposed here are:

- Complete the reengineering of the P12 system;
- Complete the internal integration of the SUNY system with a full SUNY LDS;
- Complete the internal integration of the CUNY system with a full CUNY LDS;
- Create a plan for the integration of health/human services/workforce data; and
- Integrate these databases into a comprehensive P20 system.

**Activity 2.1: Expanding the Architecture of the P12 Module
Addresses Capabilities 1, 2, 5, 6, 7 and Elements 4, 5**

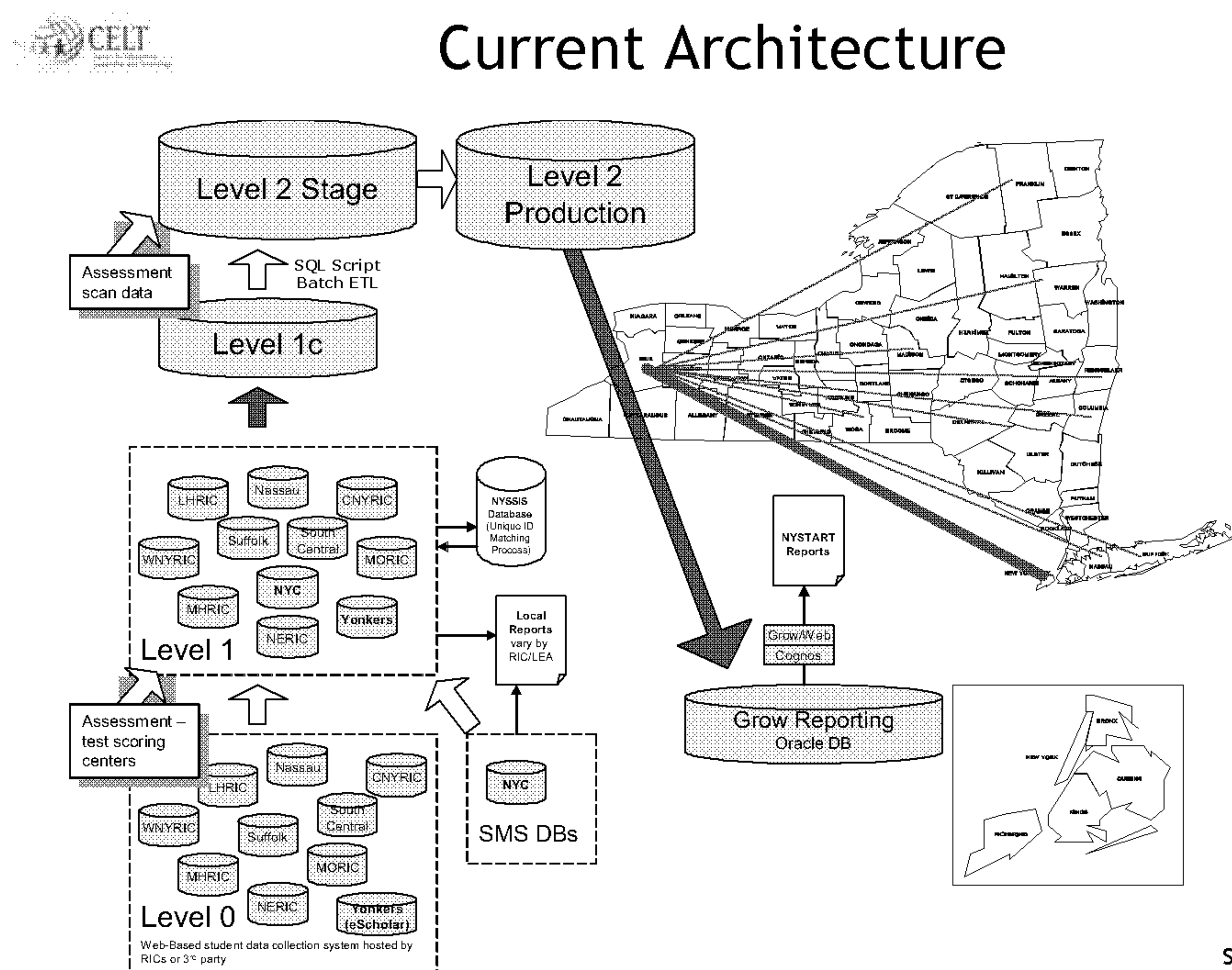
As noted above, the current P12 module is mature, having been designed and implemented seven years ago. Many of the objectives and activities being proposed in this grant application will expand the P12 module substantially.

In the previous IES grant round, the State received funds to **plan** a substantial architectural redesign of the P12 system. While this redesign will not affect any of the data elements included in the LDS, it will create a streamlined flow of data that will make the system more efficient and less prone to data errors. This is a necessary antecedent to including the P12 system as one of the modules in the overall P20 system.

This IES-funded planning process is well underway in accord with the grant’s approved timeline. We engaged the Parthenon Group and the Center for Education Leadership and Technology (CELT), both leading IT consultants, to help redesign the system, and their work is complete. In this current grant application, we propose to **implement**, under the coordination of the Product Development Supervisor funded by the current IES grant, the architectural design that results from this process.

The planning is focused on changing the design of the data flow in the P12 system from the “current state” to the “future state” (depicted below).

Current State

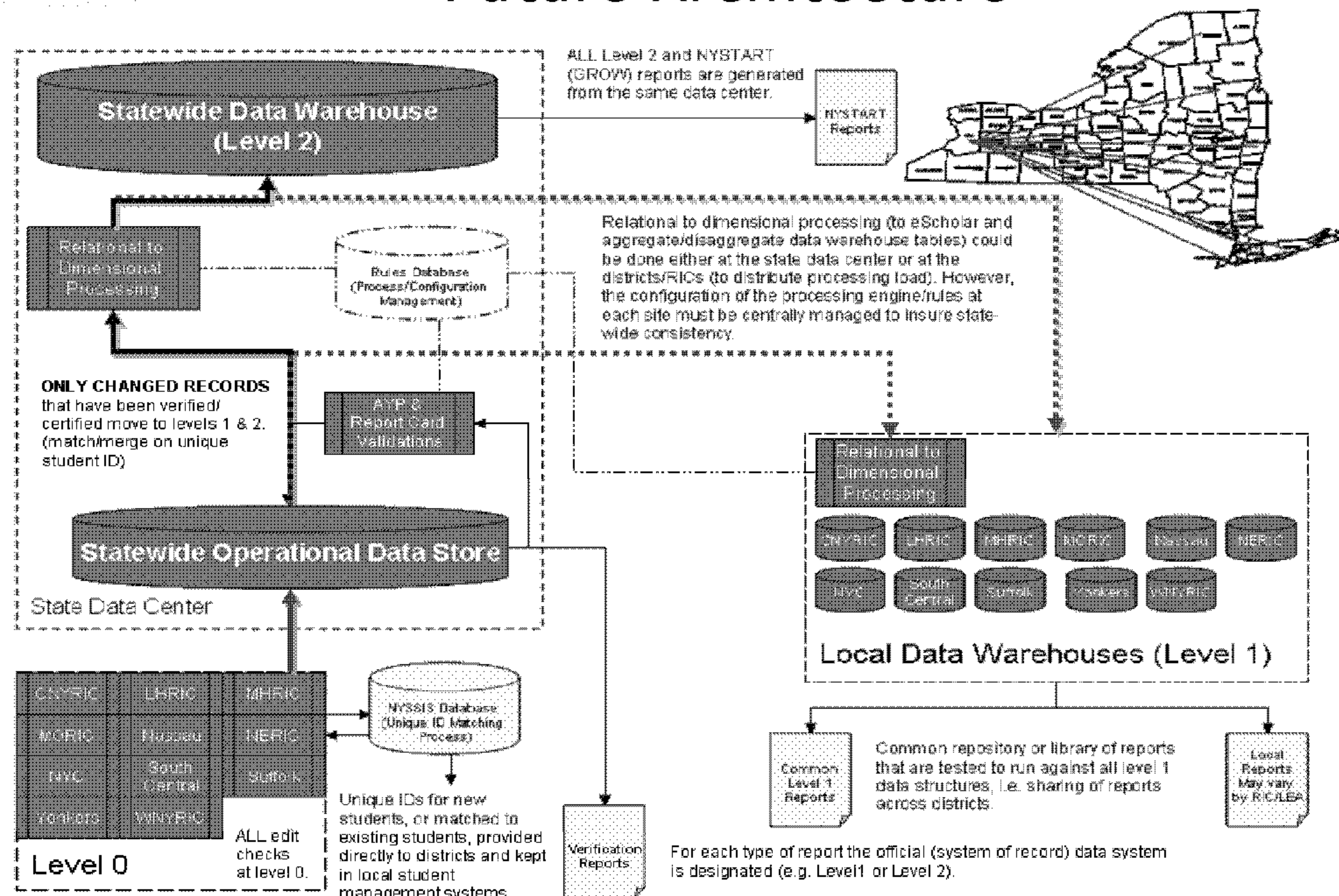


Slide 5

Future Architecture



Future Architecture



6

A variety of layered products and processes will be purchased or developed in order to create this new architecture. Included among those products will be:

An Operational Data Store (ODS)

Already in the design phase with support from existing IES funds, an Operational Data Store will be implemented to integrate the key data architecture and data processing recommendations made by The Parthenon Group and CELT. The ODS will allow districts to load their data directly into a staging area for continuous update and correction. The State will take snapshots from the ODS at various points in time to fulfill reporting requirements or to take a subset of the data for further analyses.

An Expanded Data Loading Tool with Increased Auditing Capabilities

New York has created and distributed a statewide front-end data loading tool. This application (called "Level 0") forces the standardization of data elements prior to loading in the LDS. In addition, it has a series of data edits to help ensure data quality and reasonableness.

The updated front-end data loading tool will be expanded to standardize the collection of the additional P20 data elements. The tool will integrate the functionality of a "rules engine" to provide increased checking for data quality and reasonableness. This integration of a rules engine is being carried out already on a pilot basis in various regions of the State. Our planning

team is actively considering products from competing commercial vendors. We will integrate the lessons learned from these pilots and presentations to enhance the success of the statewide deployment.

This rules engine will operate at the point of data entry and provide valuable feedback to users of the system. It will contain the entire set of business rules used by the State LDS, as well as programmed logic to perform year-to-year and other within- and cross-domain reasonability/audit queries to ensure data integrity at all levels of the system. For example, a user will not be permitted to designate a student as a high school graduate unless s/he has the required number of State assessments in the LDS. In addition, a user will be required to verify the data before entering a total number of high school graduates that differs from the prior year by more than 10 percent.

It is anticipated that on or around April 2010, upon the completion of the planning process for these changes, a Request for Proposals will be created to acquire the relevant products and services. New York intends to fund this RFP in part with monies secured in this round of the IES grant program.

**Activity 2.2: Plan and Implement a Higher Education LDS module
Addresses Capabilities 1, 2, 5, 6 and Elements 1, 2, 3, 4, 5, 11, 12**

New York State has two separate public university systems: the State University of New York (SUNY) and the City University of New York (CUNY). SUNY consists of 64 universities, state colleges, and community colleges with a total student enrollment of approximately 465,000 students. Approximately 90% of these students attended a New York State high school. SUNY's senior colleges maintain a 6-year graduation rate of 60%, and the system is largest public college system in the nation. CUNY serves the population of New York City with 21 campuses enrolling approximately 260,000 students. The senior colleges maintain 6 year graduation rates of approximately 51%. CUNY is the largest urban public university system in the nation.

These university systems are at different stages in the integration of their own internal data systems. CUNY has a longitudinal decision-support data warehouse integrating data for all campuses, as well as a high degree of automated interaction among its administrative systems. The University Application Processing Center creates transcripts via a direct electronic link to the New York City Public Schools, and the local instances of the CUNY student management system receive these and other data from the processing center. CUNY is currently implementing a system-wide Enterprise Resource system.

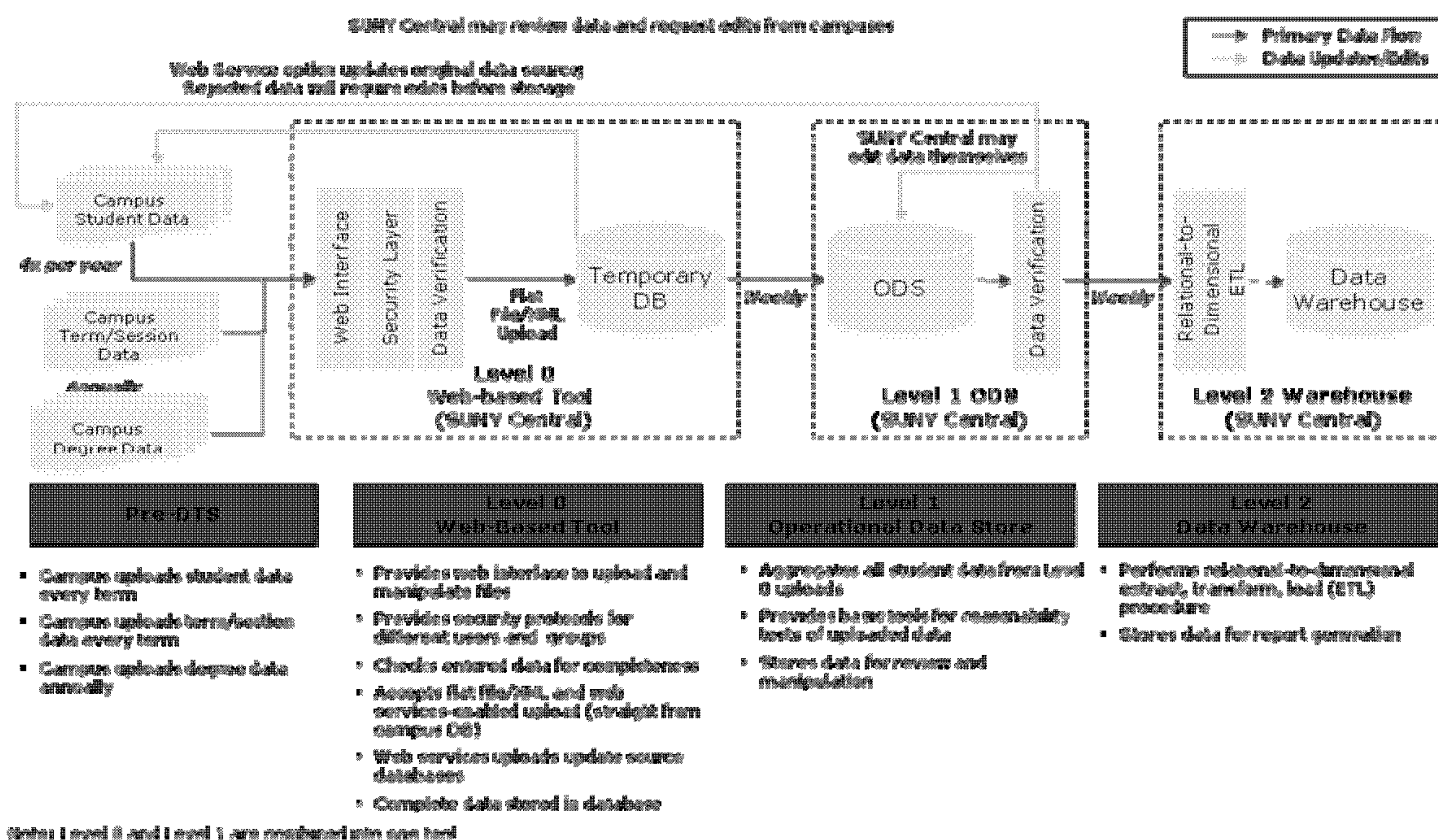
SUNY tends to be more administratively diverse due to local sponsorship of its 30 community colleges. Also, five of SUNY's colleges are operated independently under contract with Cornell and Alfred Universities. Most of the colleges and university centers in the SUNY network have or are adopting the System's technology standard—the BANNER student information system. However, the flow of information from the campuses to SUNY is currently based on periodic data submissions which do not contain all of the information required by a P-20 LDS.

SUNY is in the process of planning an integrated consolidation of its data system as defined in the diagram below. This consolidation will address the deficiencies in data needed for a P-20 system. CUNY continues to develop its existing longitudinal data warehouse. These designs will result in each system having its own comprehensive LDS.

These university systems are at different stages in the integration of their own internal data systems. CUNY has a single, integrated data system across all campuses, as well as a high degree of automated interaction. The application processing center and the local instances of the student management system are integrated. CUNY and the New York City Public Schools share an online transcript system.

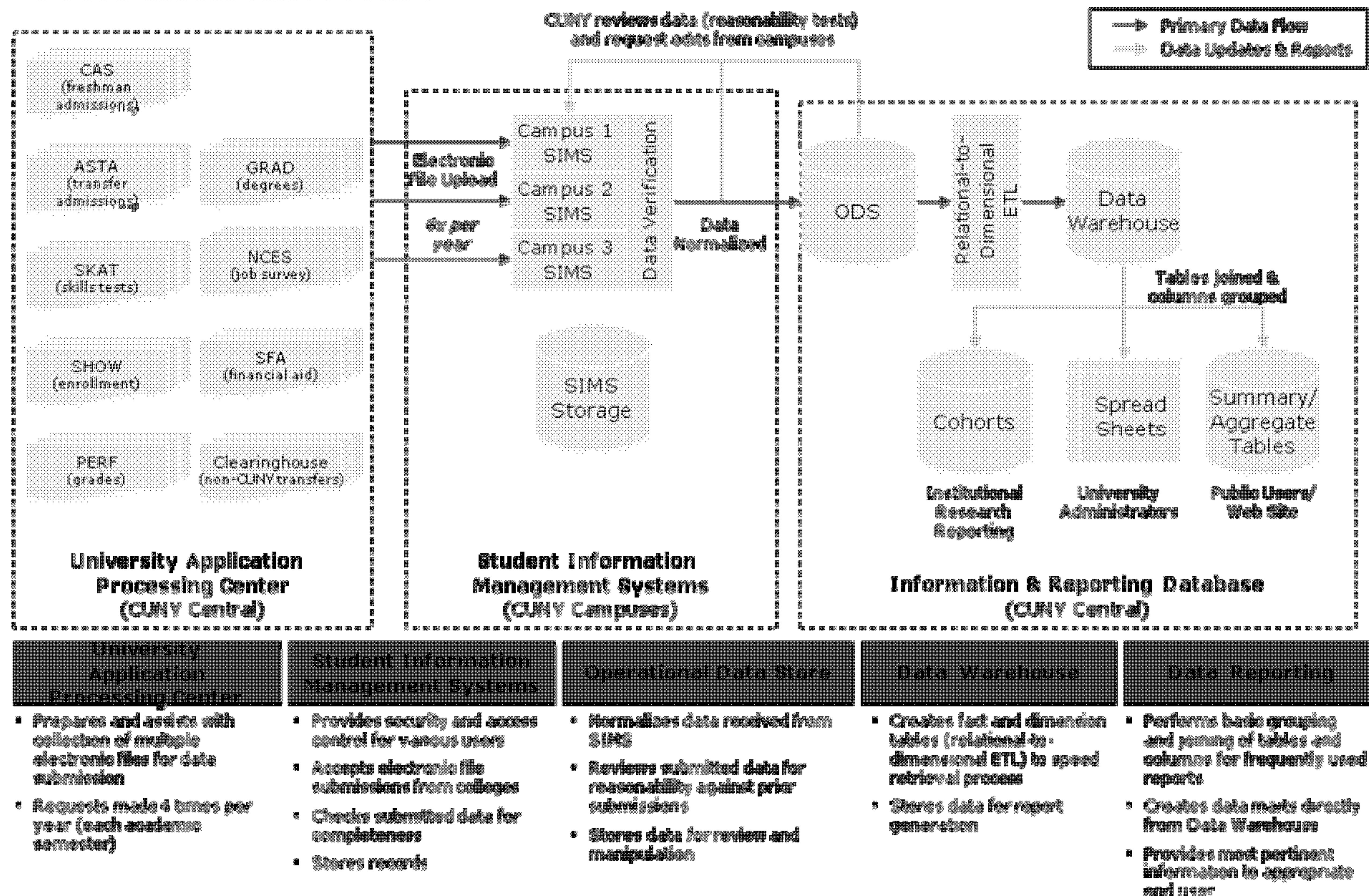
The future state of the SUNY system

SUNY IR Architecture



The future state of the CUNY system

CUNY IR Architecture



Over the past 6 months, the P20 partners have sought information through a Request for Information (RFI) process on how best to expand and integrate these higher education data systems into a functional P16 LDS. The State will fund the resulting RFP, in whole or in part, through this grant application.

The RFP anticipates that the final design of the system will conform to this high level design, resulting in an integrated higher education LDS data system for the CUNY and SUNY systems:

