

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 # R384A100008**

Closing Date: DEC 04, 2009

****Table of Contents****

Forms

1. Application for Federal Assistance (SF-424)	e1
2. Standard Budget Sheet (ED 524)	e5
3. SF 424B - Assurances Non-Construction Programs	e7
4. Disclosure of Lobbying Activities	e9
5. ED 80-0013 Certification	e10
6. Dept of Education Supplemental Information for SF-424	e11

Narratives

1. Project Narrative - (Project Narrative - Project Abstract...)	e12
NC P20 SLDS Abstract	e13
2. Project Narrative - (Project Narrative - Project Narrative...)	e14
NC P20 SLDS Narrative	e15
3. Project Narrative - (Project Narrative - Appendix A, Optional Attach.....)	e43
NC P20 SLDS Appendix A	e44
4. Project Narrative - (Project Narrative - Appendix B Resumes of Key P.....)	e55
NC P20 SLDS Proposal Appendix B	e56
5. Project Narrative - (Project Narrative - Appendix C Current Status o.....)	e103
NC P20 SLDS Appendix C	e104
6. Project Narrative - (Project Narrative - Appendix D Letters of Support...)	e108
NC P20 SLDS Appendix D	e109
7. Budget Narrative - (Budget Narrative - Budget Justification...)	e119
NC P20 SLDS Proposal Budget Narrative	e120
8. Budget Narrative - (Budget Narrative - ED 524 Section C Spreadsheet...)	e173
NC P20 SLDS Budget with Outcomes	e174

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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:
12/2/2009	

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: North Carolina Department of Public Instruction

* b. Employer/Taxpayer Identification Number (EIN/TIN):	* c. Organizational DUNS:
561492826	809581762

d. Address:

* Street1:	301 North Wilmington Street
Street2:	
* City:	Raleigh
County:	Wake
State:	NC
Province:	
* Country:	USA
* Zip / Postal Code:	27601

e. Organizational Unit:

Department Name:	Division Name:
Office Of State Superintendent	Policy and Strategic Planning

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

Prefix:	Mr.	* First Name:	Adam
Middle Name:			

* Last Name: Levinson

Suffix:

Title: Director, Policy and Strategic Planning

Organizational Affiliation:

* Telephone Number: (919)807-3283 Fax Number: (919)807-4000

* Email: ALEVINSON@DPI.STATE.NC.US

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:**

NCES09-02

Title:

Grants for 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.):

Statewide

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

NC P20+ Statewide 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: 13th

* b. Program/Project: 13th

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

Attachment:

Title :

File :

17. Proposed Project:

* a. Start Date: 7/1/2010

* b. End Date: 6/30/2013

18. Estimated Funding (\$):

a. Federal	\$ 18063674
b. Applicant	\$ 503741
c. State	\$ 0
d. Local	\$ 0
e. Other	\$ 0
f. Program Income	\$ 0
g. TOTAL	\$ 18567415

*** 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: Mr. * First Name: Karl
Middle Name: R
* Last Name: Pond
Suffix:

Title: Enterprise Data Manager

* Telephone Number: (919)807-3241 Fax Number: (919)807-4000

* Email: KPOND@DPI.STATE.NC.US

* 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:
North Carolina Department of Pub...

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	\$ 278,200	\$ 286,646	\$ 295,142	\$ 0	\$ 0	\$ 859,988
2. Fringe Benefits	\$ 55,640	\$ 57,309	\$ 59,028	\$ 0	\$ 0	\$ 171,977
3. Travel	\$ 4,800	\$ 4,800	\$ 4,800	\$ 0	\$ 0	\$ 14,400
4. Equipment	\$ 338,000	\$ 40,000	\$ 30,000	\$ 0	\$ 0	\$ 408,000
5. Supplies	\$ 9,000	\$ 0	\$ 0	\$ 0	\$ 0	\$ 9,000
6. Contractual	\$ 7,139,314	\$ 5,808,758	\$ 3,337,769	\$ 0	\$ 0	\$ 16,285,841
7. Construction	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
8. Other	\$ 15,000	\$ 12,000	\$ 15,000	\$ 0	\$ 0	\$ 42,000
9. Total Direct Costs (lines 1-8)	\$ 7,839,954	\$ 6,209,513	\$ 3,741,739	\$ 0	\$ 0	\$ 17,791,206
10. Indirect Costs*	\$ 131,451	\$ 73,251	\$ 67,866	\$ 0	\$ 0	\$ 272,568
11. Training Stipends	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
12. Total Costs (lines 9-11)	\$ 7,971,405	\$ 6,282,764	\$ 3,809,605	\$ 0	\$ 0	\$ 18,063,774

***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: 7/1/2009 To: 6/30/2010 (mm/dd/yyyy)

Approving Federal agency: ED Other (please specify): _____ The Indirect Cost Rate is 15.1%

(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:
North Carolina Department of Pub...

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	\$ 88,685	\$ 91,346	\$ 94,086	\$ 0	\$ 0	\$ 274,117
2. Fringe Benefits	\$ 17,737	\$ 18,269	\$ 18,817	\$ 0	\$ 0	\$ 54,823
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	\$ 51,429	\$ 52,955	\$ 54,526	\$ 0	\$ 0	\$ 158,910
7. Construction	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
8. Other	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
9. Total Direct Costs (lines 1-8)	\$ 157,851	\$ 162,570	\$ 167,429	\$ 0	\$ 0	\$ 487,850
10. Indirect Costs	\$ 5,297	\$ 5,297	\$ 5,297	\$ 0	\$ 0	\$ 15,891
11. Training Stipends	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
12. Total Costs (lines 9-11)	\$ 163,148	\$ 167,867	\$ 172,726	\$ 0	\$ 0	\$ 503,741

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: Karl R. Pond

Title: Enterprise Data Manager

Date Submitted: 11/24/2009

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 checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier, if known: 0 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: \$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: Karl R. Pond Title: Enterprise Data Manager Applicant: North Carolina Department of Public Instruction Date: 11/24/2009	
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

North Carolina Department of Public Instruction

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix: Mr. First Name: Karl Middle Name: R

Last Name: Pond Suffix:

Title: Enterprise Data Manager

Signature: _____

Date:

11/24/2009

ED 80-0013

03/04

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

1. Project Director:

Prefix: * First Name: Middle Name: * Last Name: Suffix:
Mr. Adam F Levinson

Address:

* Street1: 301 North Wilmington Street
Street2:
* City: Raleigh
County: Wake
* State: NC* Zip / Postal Code: 27603 * Country: USA

* Phone Number (give area Fax Number (give area
code) code)
(919)807-3283 (919)807-4000

Email Address:

ALEVINSON@DPI.STATE.NC.US

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: **NC P20 SLDS Abstract Pages: 1** Uploaded File: **E:\P-20 Submission\NC P20 SLDS Proposal Abstract (11-24-09) - final.pdf**

I. Project Abstract

North Carolina (NC) must establish a robust P-20 statewide longitudinal data system (SLDS) to enable education leaders at the State and local levels to make outcome-based decisions regarding policies, programs, and practices aimed at increasing student success at every point along the State education-workforce continuum. With an official mandate from Governor Perdue, the NC Education Cabinet, and the NC General Assembly, a committee composed of representatives from the NC Department of Public Instruction (NCDPI), NC Community College System (NCCCS), University of North Carolina General Administration (UNC), NC Independent Colleges and Universities (NCICU), NC Early Childhood Data Group (NCECDG), and Employment Security Commission of NC (NCECSC) has been working to craft a collective vision and high level implementation plan for an NC SLDS. This vision is “NC P20+,” an SLDS that will include formal, Statewide, collaborative governance, and technology infrastructure that will enhance accessibility, quality, interoperability, and use of “shared” data needed both for sector-specific and Statewide, cross-sector analysis and reporting. Many elements of NC P20+ are either in place or in the process of being developed, while other components are yet to be designed or implemented. Perhaps the most critical elements that are already in place are the strong existing collaboration among the NC P20+ sectors to use data to promote continuous improvement of education services, and the Statewide P13 Unique Student Identifier (UID).

NC P20+ is designed to address NC’s critical need for an SLDS by addressing five core goals around which the project’s 16 measurable outcomes are organized. The five goals are as follows:

- Goal 1: Institutionalizing Rigorous Governance
- Goal 2: Implementing a Statewide P20+ Unique Student Identifier (UID)
- Goal 3: Building a Comprehensive P20+ Data Exchange (NC Data Hub)
- Goal 4: Ensuring High Data Quality in Each Sector and in the Exchange
- Goal 5: Building Capacity for Stakeholders to Access and Use Data

Led by the NC P20+ Steering Committee, NC will accomplish these goals by employing a proven project management and governance structure based on the one used to implement the ongoing Common Education Data Analysis & Reporting System (CEDARS) project (a P13 SLDS funded through cohort 2 of the Institute of Education Sciences SLDS grant program). NC P20+ will leverage both specific CEDARS technology investments and various lessons learned from implementation.

Establishing NC P20+ is critical to enabling NC leaders at all points along the NC education-workforce continuum access to a broader view of the State’s educational needs. As NC strives to find the right formula(s) for ensuring that our State’s spectrum of education services can facilitate every student’s achievement of college- and/or career-readiness, our leaders must have access to this holistic view. In the current and foreseeable State fiscal climate, however, NC faces extreme challenges in trying to achieve the NC P20+ vision. Without the IES SLDS grant funds requested in this proposal, efforts will be severely limited, and the State will be at risk of not being able to create the robust SLDS capability we need to move our education system forward.

Project Narrative

Project Narrative - Project Narrative

Attachment 1:

Title: **NC P20 SLDS Narrative Pages: 28** Uploaded File: **E:\P-20 Submission\NC P20 SLDS Proposal Narrative (11-24-09) - final.pdf**

I. Substantial Need for Project

1.1 Overview of Need

North Carolina (NC) must establish a robust P-20 statewide longitudinal data system (SLDS) to enable NC education leaders at the State and local levels to make outcome-based decisions regarding policies, programs, and practices that will increase student success at every point along the State education-workforce continuum.

In NC, as in many other states, for too long, decisions regarding such key State education system elements as standards, assessments, graduation requirements, and resource allocation have been made based largely on intuition, anecdote, and political considerations. Efforts to be more evidence-based have often been frustrated by the inaccessibility or lack of the kind of complete, reliable data needed to evaluate relationships between specific “inputs” and the most critical educational outcome, student achievement.

NC has made great strides over the past twenty years in increasing the collection and use of data both within and across education sectors to measure outcomes, inform decisions, and increase system accountability, but much of the data has been used only for compliance reporting purposes or specific, “siloes” operational functions. Although we have forged strong collaborative partnerships between sectors that have produced some useful insight and improvement, we have struggled to produce the deep, coherent, comprehensive analyses and associated information products needed to help our leaders “optimize” the functioning of our State education system. A major impediment has been the absence of an aligned governance and technology infrastructure that would support cross-sector, longitudinal analysis.

Establishing a comprehensive, streamlined P-20 SLDS will enable leaders at all points along the NC education-workforce continuum to access a “big picture” view and the meaningful information it can provide. As we strive to find the right formula(s) for ensuring that our State’s spectrum of education services can facilitate every student’s achievement of college- and/or career-readiness, we must have access to this holistic view. In the current and foreseeable State fiscal climate, however, we face extreme challenges in trying to achieve this vision. Without the IES SLDS grant funds requested in this proposal, our efforts will be severely limited, and we will be at risk of not being able to create the robust SLDS capability we need to move our State forward.

1.2 Current Status of the P-20 SLDS in NC

NC’s effort to address the needs referenced above predates the American Recovery & Reinvestment Act (ARRA) of 2009. Since mid-2008, a committee composed of representatives from the NC Department of Public Instruction (NCDPI), the NC Community College System (NCCCS), the University of North Carolina General Administration (UNC), the NC Independent Colleges and Universities (NCICU), and the NC Early Childhood Data Group (NCECDG) has been meeting to explore options for building a joint data system that connects all NC education sectors. The NC Employment Security Commission (NCESC) joined the group in early 2009 to represent the workforce end of the education-workforce continuum. Individually, each sector has been working on increasing the quality and accessibility of its data (see Appendix A.1 for brief descriptions of each sector, including the scope of each sector’s data-related activities). Collectively, the group has been envisioning an aligned, robust data system that would include formal, Statewide, collaborative governance, and technology infrastructure that would enhance accessibility, quality, interoperability, and use of “shared” data needed both for sector-specific and Statewide, cross-sector analyses. The group has termed this vision the NC P20+ SLDS (NC P20+), with the “P” representing various early childhood programs that work with children prior

to their entry into kindergarten, the “20” reflecting the highest achievement levels in higher education, and the “+” accounting for the variety of workforce activities that form the upper “bound” of our longitudinal continuum.

As documented in detail in Appendix C of this proposal, many elements of both NC’s individual sector visions and the collective vision are either in place or in the process of being developed. Other pieces are yet to be designed and implemented. The following two subsections describe at a high level what elements are in place and what elements are missing (and are targeted for establishment with the SLDS grant funds requested in this proposal).

1.2.1 Elements of NC P20+ Already in Place

As reflected in Appendix C, NC has much existing capability to use data systems to support continuous improvement of the NC education system. In most of the NC P20+ sectors, existing data systems are adequate for meeting reporting requirements (e.g., EdFacts, Consolidated School Performance Report, and Integrated Postsecondary Education Data Systems reports) and even support some cross-sector standard and ad hoc analyses. These capabilities and relationships provide a solid base upon which to build NC P20+.

Governance: NC P20+ Steering Committee. As noted in section 1.2, all of the NC education sectors represented in this proposal have been meeting together regularly since mid-2008 to explore options for establishing an SLDS that would enable analysis of data spanning the entire educational continuum, from early childhood programs through higher education and the workforce. This workgroup has focused on what enhancements and new structures or capabilities would be required to support secure, easy, automated exchange of high quality standard, individual record-level education data that could be assembled into longitudinal data sets for use in analysis and reporting. Consistent with the workgroup’s efforts, in August 2009, the NC General Assembly (NCGA) enacted as part of the State budget (see Appendix A.2: S.L. 2009-451, section 7.19) a Governor-recommended directive that these same entities collaborate to “develop a PreK-20 data system” and submit their plans to the NC Education Cabinet (Education Cabinet) by January 2010. Since the committee was already forming early plans to submit a proposal for SLDS grant funds, this mandate did not pose any new challenges, but the legislation did inject a greater sense of urgency and focus into committee meetings. In September 2009, the Education Cabinet officially endorsed this committee as the “NC P20+ Steering Committee” and sanctioned the group’s effort to prepare this SLDS grant proposal. The Education Cabinet also gave advance approval for the NC P20+ Steering Committee to both serve as the project steering committee (see section 4.2) and later, to transform into a standing governing body once NC P20+ reaches “steady state” operations. This strong State commitment to clear, formal governance of NC P20+ demonstrates that the State’s senior leadership understands that NC P20+ is not a “technology initiative,” but rather is a “governance and strategic planning initiative that happens to harness technology to achieve its aims.” This clarity of leadership vision is the key to any SLDS ultimately being successful.

Sector Source Data Collection Systems. All of the participating sectors except NCECDG and NCICU have centralized source data systems that enable them to meet basic reporting requirements. These two sectors manage through other, distributed data systems to meet their reporting requirements. NCCCS and UNC have centralized State data repositories, and NCDPI is in the process of establishing a P13 SLDS (the Institute of Education Sciences SLDS cohort 2-funded CEDARS project). Appendix A.1 contains descriptions of each sector’s data-related activities.

Common Infrastructure: Unique Identifier and Data Exchange. NC does not currently have a common Statewide student identifier, other than Social Security Number (SSN), that is used by each education sector to uniquely identify students as they cross sectors. NC P20+ recognizes that a unique, Statewide identifier to be used for education research and evaluation purposes only (ie, not an SSN) is essential for operating an SLDS. Since the CEDARS project has established a unique Statewide identifier (UID) system as part of the P13 SLDS, however, NC does have an existing capability to assign and maintain a common UID across the education-workforce continuum. The NC P20+ Steering Committee has committed to adopting the P13 UID as the common identifier to be used, at least collaterally (ie, not as a replacement for, but in addition to any existing sector-specific ID) by each NC P20+ sector. This approach is consistent with specific recommendations that NCECDG developed through a USED planning grant for providing unified student identification in NC's early childhood service environment. Thus, NC P20+ proposes to leverage several prior U.S. Department of Education (USED) and NC investments in order to establish a P20+ UID.

Similarly, while NC does not have an existing shared P20+ data exchange infrastructure, the CEDARS project has established a source data system exchange mechanism in the P13 SLDS that can serve as a model for the NC P20+ data exchange. NC P20+ intends to leverage knowledge gained through the CEDARS project in order to minimize effort required to establish a like service for NC P20+ (see section 2.3.2).

Information for Decision Makers/Stakeholders. All of the NC P20+ sectors are committed to improving student learning and to collecting the data needed to establish which policies and practices are effective; that is, to enable true evidence-based decision-making. Most of the sectors currently produce information products (e.g., School Report Cards) for their direct clients and the public that are built on sector-specific data.

The NC P20+ sectors also have a long history of cooperating to use cross-sector data to assess student achievement, evaluate policies and practices, and inform decision making. For example, close working relationships between the NCECDG entities and DPI help both entities refine programs to promote school readiness and smooth transition from early childhood programs to kindergarten; NCCCS and UNC provide extensive performance feedback to high schools regarding how their graduates have performed in college; UNC provides similar feedback to all NC community colleges regarding their students who later attend State universities; and UNC, NCCCS, and NCICU work with NCEC through the Common Follow-up System (CFS; see Appendix A.1) to relate educational experience to workforce participation and performance. One example of rigorous action-oriented research using cross-sector data is UNC and NCDPI's recent collaboration on a study of teacher quality that tracks the impact on student learning at the elementary, middle, and secondary school levels of teachers trained by the different UNC colleges of education. UNC is already using the results of this study to guide modifications to the teacher preparation programs operating on its various campuses.

1.2.2 Elements of NC P20+ Missing (Targeted for Completion with Grant Funds)

As reflected in Appendix C and in the explanations in section 1.2.1 of what is already in place, NC does have some significant gaps in its P20+ data system landscape. While existing sector data systems are in most cases adequate for meeting reporting requirements and supporting selected cross-sector standard and ad hoc analyses, the quality of the data contained in the source data systems is in some cases problematic and the inaccessibility and/or incompatibility of the data often inhibits richer, more efficient cross-sector analysis. NC P20+ must therefore elevate both data accessibility and quality across the sectors to make meaningful analysis more feasible and ensure that NC may draw reliable and valid conclusions from NC P20+ data.

Governance: NC P20+ Steering Committee. The NC P20+ Steering Committee has much work to do to formalize the governance function it was created to perform. As reflected in tables 2.2 and 3.1, there are a number of key start-up tasks that will be high priorities and will be essential for moving the overall project forward. These tasks include establishing formal inter-sector agreements, creating a committee process and sub-committee structure, and engaging all relevant stakeholders, including the Education Cabinet, to inform the detailed design plans for NC P20+. Institutionalizing such practices as master data management and transparent, coordinated decision-making regarding the NC P20+ data set and operational policies (e.g., regarding access and security) will be essential to ensure that NC P20+ is more than just hardware and software.

Sector Source Data Collection Systems. As noted in section 1.2.1, NCECDG and NCICU do not have centralized source data collection systems. These two entities must establish this capability while the other sectors must refine their existing data systems. NCDPI, which in a separate, but related project will complete the initial implementation of the CEDARS P13 SLDS by October 2009, must improve the quality of P13 data (and reduce local school district data entry burden) by adding point-of-entry data validation controls and integrating its numerous source data collection systems. NCCCS, UNC, and ESC must modernize their collection and storage technologies to facilitate data linkage, quality, and accessibility.

Common Infrastructure: Unique Identifier and Data Exchange. As noted in section 1.2.1, the NC P20+ Steering Committee has committed to adopting the P13 UID as the common identifier to be used, at least collaterally (ie, not as a replacement for, but in addition to any existing sector-specific ID) by each NC P20+ sector. To implement this approach, each sector must establish business practices for obtaining the UID for its students and must modify its source data systems, as needed, to store the UID in student records. In addition, the State UID system software may require some enhancements to facilitate its effective and efficient use by all sector partners.

Leveraging the knowledge gained in establishing the data exchange mechanism that is part of CEDARS, NC P20+ must develop an inter-sector data exchange infrastructure. In addition, NC P20+ must implement consensus data standards, such as the School Interoperability Framework Association (SIFA), National Education Data Model (NEDM), and Postsecondary Electronic Standards Council (PESC) data standards, for use in the cross-sector data exchange.

Information for Decision Makers/Stakeholders. To make meaningful analysis and production of rich, useful information products more feasible, reliable, and valid, NC P20+ must first improve both data accessibility and quality across the sectors. At the same time, the NC P20+ Steering Committee must engage stakeholders early and often to determine what information products are most valuable and ensure that NC P20+ is designed to support their creation and use. This means clarifying the questions that the system needs to be prepared to answer and ensuring that the required data is included in NC P20+. The Steering Committee must also assess various data consumers' capabilities to use different types of information products or artifacts, and coordinate with other State initiatives, such as Race to the Top (RTTT), that are working to increase education leaders' capability to conduct data-driven decision making that fosters continuous system improvement and, ultimately, increased student achievement.

Since NC does not have a central State research or analysis agency or function, current creation of useful information products is distributed, incomplete, and not necessarily coordinated. The NC P20+ Steering Committee must assume responsibility for ensuring that State leaders have access to the data and information products they need. One challenge will be figuring out the extent to which existing sector staff, including numerous world-class researchers, and other partners can be called upon to conduct the needed analyses, drawing on enhanced data created

through NC P20+ initiatives. A subsequent challenge will be determining the most efficient and effective way to coordinate this distributed activity through NC P20+ to ensure that collectively, the member sectors and/or other partners can produce the information products of highest value to the State. In many ways, addressing this challenge is the most daunting and most exciting aspect of the NC P20+ initiative. The NC P20+ partners understand very clearly that an SLDS is only as valuable as its governance is collaborative, and as its data is used by targeted stakeholders. Simply creating new, user-friendly views of or interfaces with data will not necessarily be a high value-add innovation. NC P20+ must take great pains to ensure that it supplies not only new capability, but capability that enables decision-makers to do things they could not do before to improve student outcomes.

1.3 Using NC P20+ to Support NC's Efforts to Improve Student Achievement

By increasing data accessibility and quality within each sector, NC P20+ will enhance each sector's capability to accurately assess and document the achievement of its students and the continuous improvement of the services it provides to them. NC P20+ will also enhance each sector's capability to answer programmatic, policy, and legislative questions about the efficacy and cost-effectiveness of various targeted sector-specific investments. Finally, by enabling better exploration of questions related to the movement of students between the State's education sectors, NC P20+ will provide more comprehensive information for assessment, evaluation, and continuous improvement purposes than the current stand-alone data systems operated in each individual sector are able to provide. This cross sector-analysis is perhaps the most promising NC P20+ innovation.

Opportunities for cross-sector analysis that will support NC's efforts to improve services to students at various points along the education-workforce continuum abound. Several examples already targeted for exploration include:

- Assessing the associations between various types of teacher preparation programs and student achievement, and using that information to improve those preparation programs
- Evaluating the relationships between P13 course-taking patterns and student performance in higher education, and using that information to adjust P13 standards, curricula, and graduation requirements
- Exploring the relationships between various early care and education services and student performance in kindergarten and beyond, and using that information to inform investments in early care and education services, and curricula and practice through grade three
- Relating P13 course taking patterns, degree or certification attainment, and workforce experience, and using that information to adjust and inform investments in various curricula, degree and certification programs.

The State's enhanced capability for cross-sector analysis will also create new opportunities to access funding for research and development initiatives. For example, data generated through NC P20+ will be used in the recently funded National Personnel Development Center grant and future Early Learning Challenge grant efforts.

II. Project Goals, Measurable Outcomes, and High-Level Implementation Plan

2.1 Project Goals

NC P20+ is designed to address the needs outlined in Section I by addressing five core goals, around which the project's 16 measurable outcomes are organized. The five goals are as follows:

Goal 1: Institutionalizing Rigorous Governance

Goal 2: Implementing a Statewide P20+ Unique Student Identifier (UID)

Goal 3: Building a Comprehensive P20+ Data Exchange

Goal 4: Ensuring High Data Quality in Each Sector and in the Exchange

Goal 5: Building Capacity for Stakeholders to Access and Use Data

The following paragraphs provide detail regarding each goal and explain briefly how each goal addresses the substantial needs identified in Section I of this proposal.

Goal 1: Institutionalizing Rigorous Governance

NC will establish a formal SLDS governance structure with agreements between the six sectors to ensure that P20+ data can be exchanged, analyzed, and used by each participating sector for the purposes of evaluation and continuous improvement.

How Goal 1 meets urgent NC needs. While representatives from each sector have been meeting since mid-2008 to discuss building a statewide P20+ SLDS, a formal partnership supported through memoranda of understanding is required to move this effort forward. NC P20+ will use SLDS grant funds to provide the support, focus, and momentum needed to craft agreements, obtain a formal implementation charge from the NC Education Cabinet, and institutionalize a governance structure for ongoing operation of NC P20+.

Goal 2: Implementing a Statewide P20+ Unique Student Identifier (UID)

All NC P20+ sectors will modify their data systems as needed to store NC's P20+UID in relevant data files to ensure that data moving across sectors can be reliably linked, analyzed, and used for the purpose of evaluation and continuous improvement.

How Goal 2 meets urgent NC needs. The NC P20+ Steering Committee has agreed to adopt the P13 UID as the Statewide P20+ UID. In order to implement this approach, each sector must enable their institutional data system(s) to accommodate the UID. Each sector (other than NCDPI) is at a different stage of readiness to make these accommodations, but all sectors (other than NCDPI) must complete this work. NC P20+ will use SLDS grant funds to provide the support, focus, and momentum required to leverage existing IES and State investments in the P13 UID to complete full Statewide adoption. This effort is a cornerstone to establishing a P20+ SLDS.

Goal 3: Building a Comprehensive P20+ Data Exchange

NC P20+ will develop the infrastructure necessary to enable the exchange of linkable, interoperable student, employee, and other related longitudinal education data electronically across P20+ sectors for the purpose of examining the relationships between inputs and educational outcomes, including student progress over time and student readiness to meet the demands of postsecondary education, the workforce, and the Armed Forces.

How Goal 3 meets urgent NC needs. NC education sectors are awash in data and are eager to share it with each other, but lack a streamlined mechanism for easily doing so. The NC P20+ data exchange infrastructure will not only supply this capability, it will ensure that the exchange is guided by standards that enforce consistency of definitions and thereby promote reliable, valid data use. NC P20+ will use SLDS grant funds to provide the support, focus, and momentum needed to facilitate the establishment of the data exchange infrastructure, including both shared technology and business practices and enhancements to each sector's technology and business practices that will make interoperable exchange possible. This infrastructure, in turn, will enable the cross-sector analysis that is the core justification for a P20+ SLDS.

Goal 4: Ensuring Data Quality in Each Sector and in the Exchange

NC P20+ will ensure the quality of data contained in the P20+ data exchange by enhancing each sector's data collection systems, requiring that each sector has data quality assurance policies and practices in place, and auditing the data files that each sector contributes to the data exchange to ensure compliance with standard definitions, accuracy, and validity.

How Goal 4 meets urgent NC needs. The usefulness of NC P20+ depends on the quality (and therefore, trustworthiness) of the data it contains. Since the exchange data is simply a product of data feeds from source data collection systems in each sector, NC P20+ must focus primarily on ensuring the quality of the data in each sector's source systems. In addition, NC P20+ must ensure that the exchange is governed by business practices that maintain the quality of data once contributed to the exchange. NC P20+ will use SLDS grant funds to implement a cross-sector data quality audit and to ensure that data quality policies and procedures are formally established both in each sector and for the exchange.

Goal 5: Building Capacity for Stakeholders to Access and Use Data

NC P20+ will ensure that the executive and legislative branches of government, as well as designated staff in each sector, have the capability to use the P20+ longitudinal data for effective and efficient federal and state reporting, for analysis that promotes effective decision-making and continuous improvement of policies and practices, and for reporting to school districts, parents, and the public regarding key education indicators.

How Goal 5 meets urgent NC needs. NC's senior leadership (Governor, Education Cabinet, General Assembly) and its educational sector leadership must have access to quality, longitudinal data upon which to base outcome-focused data-driven decisions. Establishing the infrastructure needed to make this data available is necessary, but not sufficient to enable leadership to use the data. NC P20+ must promote effective outcome-based analysis of policies and practices by ensuring that relevant stakeholders are engaged in the design of the new information products that can be produced through an SLDS. NC P20+ will use SLDS funds to engage these stakeholders and subsequently, ensure that NC P20+ will produce the types of information products that will enable the stakeholders to make better informed decisions and ultimately, work toward optimizing the performance of the NC education system.

2.2 Project Measurable Outcomes

Collectively, the NC P20+ project's 16 measurable outcomes address each of the seven required SLDS capabilities and twelve data elements, as outlined in the SLDS Program Announcement. The specific capabilities and elements met are broken down by outcome in Table 2.2.

**Table 2.2 Relationship of Project Outcomes to Mandatory Capabilities and Elements
(See Appendix C, Tables 1 and 2)**

<p>Goal 1: Institutionalizing Rigorous Governance. NC will establish a formal SLDS governance structure with agreements between the six sectors to ensure that P20+ data can be exchanged, analyzed, and used by each participating sector for the purposes of evaluation and continuous improvement.</p>	
Outcomes:	Capabilities & Elements:
<p>1.1 A Steering Committee, to be charged with governing NC P20+, will meet on a monthly to quarterly basis during and after the grant award to oversee the successful implementation of NC’s first comprehensive P20+ SLDS.</p>	Data Capability: 1
<p>1.2 Each sector will commit to a Memorandum of Understanding (MOU) reflecting the policy and procedures developed by the NC P20+ Steering Committee to include, at minimum, the determination of common privacy and security standards, the specification of data elements and files, the adoption and consumption of NC’s Statewide Unique Student Identifier (UID), the development of a common schedule for making specified data elements available, and other governance issues arising during the establishment of the SLDS.</p>	Data Capability: 1
<p>1.3 An NC P20+ data set will be determined and maintained during and after the grant award.</p>	Data Capability: 1 Data Element: 2, 3, 6, 7, 9, 10, 11
<p>1.4 NC P20+ data standards (e.g., SIFA, NEDM, PESC) will be established and maintained during and after the grant award.</p>	Data Capability: 1 Data Element: 2, 3
<p>1.5 An NC P20+ enterprise data dictionary will be established and maintained during and after the grant award.</p>	Data Capability: 1 Data Element: 2, 3
<p>Goal 2: Implementing a Statewide P20+ Unique Student Identifier (UID). All NC P20+ sectors will modify their data systems as needed to store NC’s P20+ UID in relevant data files to ensure that data moving across sectors can be reliably linked, analyzed, and used for the purpose of evaluation and continuous improvement.</p>	
Outcomes:	Capabilities & Elements:
<p>2.1 A policy requiring each sector to implement the NC P20+ UID will be enacted.</p>	Data Capability: 3, 4 Data Element: 1, 8
<p>2.2 Enhancements necessary to the Statewide UID System to enable all sectors to implement the P20+ UID will be completed.</p>	Data Capability: 2, 4 Data Element: 1
<p>2.3 Sector data systems will be modified as needed to enable them to associate the P20+ UID with their student/employee record level data.</p>	Data Capability: 2, 3, 4, Data Element: 2

**Table 2.2 Relationship of Project Outcomes to Mandatory Capabilities and Elements
(See Appendix C, Tables 1 and 2)**

<p>Goal 3: Building a Comprehensive P20+ Data Exchange. NC P20+ will develop the infrastructure necessary to enable the exchange of linkable, interoperable student, employee, and other related longitudinal education data electronically across P20+ sectors for the purpose of examining the relationships between inputs and educational outcomes, including student progress over time and students' preparation to meet the demands of postsecondary education, the workforce, and the Armed Forces.</p>	
Outcomes:	Capabilities & Elements:
3.1 A mechanism will be established through which data will be exchanged across NC P20+ sectors.	Data Capability: 2 Data Element: 4
3.2 Mechanisms will be established through which each sector will contribute specified data that conforms to consensus data standards (such as SIFA, NEDM, and PESC) to the NC P20+ data exchange.	Data Capability: 2 Data Element: 4
<p>Goal 4: Ensuring High Quality Data in Each Sector and in the Exchange. NC P20+ will ensure the quality of data contained in the NC P20+ data exchange by enhancing each sector's data collections, requiring that each sector has data quality assurance policies and practices in place, and auditing the education sectors' data files included in the data exchange to ensure compliance with standard definitions, accuracy, and validity.</p>	
Outcomes:	Capabilities & Elements:
4.1 Sector source data collection systems and infrastructure will be established and/or enhanced to ensure the quality of data collected.	Data Capability: 6 Data Element: 5
4.2 Data quality assurance policies and procedures for each sector and the NC P20+ data exchange will be established and/or enhanced.	Data Capability: 6 Data Element: 5
4.3 The initial data set contributed to the NC P20+ data exchange will be audited.	Data Capability: 6 Data Element: 5
<p>Goal 5: Building Capacity for Range of Stakeholders to Access and Use Data. NC P20+ will ensure that the executive and legislative branches of government, as well as designated staff in each sector, have the capability to use high quality P20+ longitudinal data for effective and efficient federal and state reporting, for analysis that promotes effective decision-making and continuous improvement of policies and practices, and for reporting to schools, parents, and the public regarding key education indicators.</p>	
Outcomes:	Capabilities & Elements:
5.1 Benchmark education indicators will be identified that address Education Cabinet priorities.	Data Capability: 7 Data Element: 12
5.2 A process will be established for collecting ongoing input from stakeholders regarding information needs that the NC P20+ data exchange should address.	Data Capability: 5, 7 Data Element: 12
5.3 A process will be established for producing and publishing information artifacts (e.g., reports) that respond to the identified stakeholder needs.	Data Capability: 5, 7 Data Element: 12

2.3 High-Level Project Implementation Plan

The core development initiatives of NC P20+ break down into two major categories: 1) sector-specific enhancements aimed at increasing data quality and 2) the creation of shared infrastructure. The following two subsections describe the work involved in each category.

2.3.1 Sector-Specific Enhancements to Increase Data Quality

The sector-specific work involves enhancing and or creating source data collection systems in the sectors so that each sector will be able to contribute high quality data to NC P20+. As referenced in the proposal budget narrative (see Budget Narrative document), this work entails different activities in each sector. The range of work includes modifying existing source systems to have better automated point-of-entry controls, migrating source systems from older, less flexible technologies to newer, more flexible ones, and establishing central data collection systems to better organize and modernize variable, distributed data collection. Enhancements might also include addition of other (i.e., in addition to UID) common data fields, such as those relating to program quality, student outcomes, and staff qualifications, to synchronize collections both within and across sectors.

2.3.2 Shared Infrastructure

The shared infrastructure work centers on the establishment of the NC Education Data Hub (Data Hub; see Figure 2.3.2), a data exchange system through which the participating sectors, the State, and other interested stakeholders can take advantage of authorized role-based access to obtain various linkable, interoperable, high quality standard education data sets containing information on individuals from early childhood through the workforce. The infrastructure for the Data Hub will enable each authorized sector to acquire and assemble the data needed to complete required reports, answer key questions, and conduct longitudinal analysis aimed at producing efficiency, effectiveness, and continuous educational improvement. NC P20+ will utilize the Data Hub to facilitate the exchange of data for the educational research and analysis purposes deemed critical for the State.

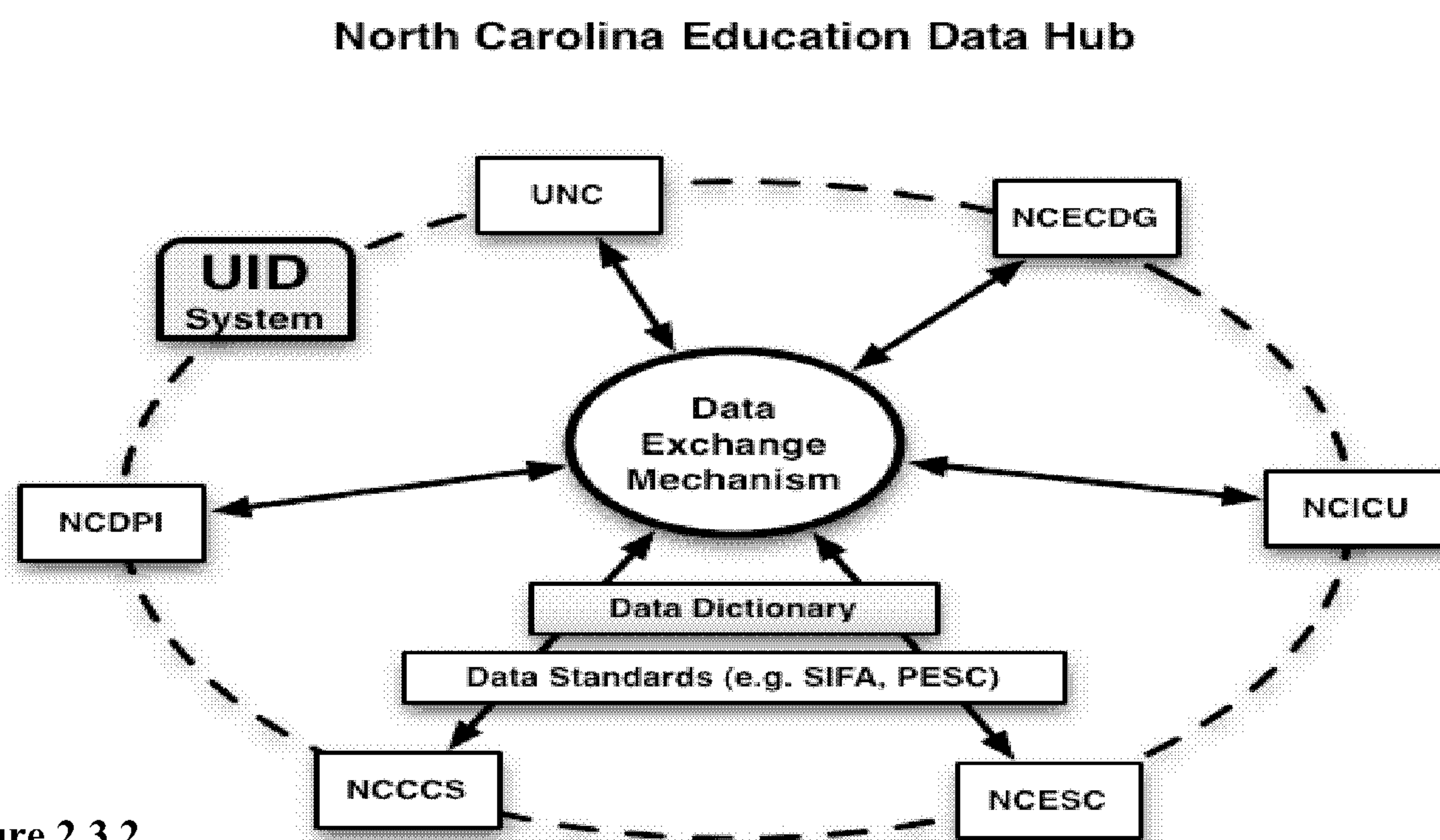


Figure 2.3.2

Data Hub Governance

The NC P20+ Steering Committee (and later, the NC P20+ Governing Council) will manage the Data Hub, set standards for the included data sets, establish policy and procedures for access and use of the data sets, and ensure that the data available through the Data Hub meets the informational needs of participating sectors and the State. The NC P20+ Governing Council will also be responsible for administering the day-to-day operations of the Data Hub (see section 4.3).

Data Hub Technology

The Data Hub will utilize several key technology components to enable the flow of specified, linkable, interoperable data from each sector into the Data Hub and out to authorized data consumers from participating sectors. The subsections below explain the contribution of each technology component.

Source Data Collection Systems. Each sector will contribute identified data from its source data collection and storage systems to the Data Hub. These source systems therefore must be capable of providing required high quality data in files that meet Data Hub file specifications. Files containing individual student or employee records will contain as part of that record the student or employee UID, as assigned by the Statewide UID system. The source data systems within each sector will, at a minimum, have the capacity to store UIDs generated from the Statewide system. NC P20+ will use SLDS grant funds to enhance sector source data systems, as needed, to ensure that this capacity is present.

Statewide Unique Identifier (UID) System. Each sector participating in NC P20+ will utilize the Statewide UID System to obtain and/or associate UIDs with the students about whom the sector collects and stores data. The UID System, powered by *eScholar's Uniq-ID* product, has been established through the NC CEDARS project and is currently used by the NCDPI to establish UIDs for both students and employees participating in the P13 programs that operate under the authority of the State Board of Education. Other participating sectors in North Carolina will interact with the UID System via its standard web interfaces, uploading student information and retrieving UIDs for association with those students.

Sectors will determine the extent to which interaction with the UID System is automated, however the most basic method of interaction with the system (web-based file upload/download and match resolution) should not require additional technology investments. In this context, the Data Hub will leverage prior IES and NC investments in the existing UID System. Because the current UID System has been designed for use primarily by the P13 education sector, the System may require some enhancements to facilitate use by the other sectors. NC P20+ proposes to use SLDS grant funds to identify and complete these enhancements.

Data Translation Mechanisms. Sectors participating in NC P20+ will not be required to change underlying source data collection structures, however they will be required to contribute data elements to the Data Hub that meet standard data definitions and formats. In order to accommodate the translation between disparate sector data structures, and collection and storage technologies, each sector will utilize translation mechanisms that will: 1) extract data from source systems, 2) transform the data into standard data structures and formats, and 3) present the data to the Data Hub for interoperable exchange. NC P20+ proposes to use SLDS grant funds to implement the translation mechanisms within each participating sector. This implementation may involve, depending on the sector, substantial investments in both software and hardware.

Data Exchange Mechanism. Each sector will make data available to the Data Hub in accordance with a consensus NC P20+ data calendar. The Data Hub’s Data Exchange Mechanism will utilize standard transport mechanisms to move the data, upon request, across the Data Hub to approved data consumers. This model of data sharing is flexible, enabling easy expansion to incorporate additional source entities (i.e., additional sectors, such as State Social Service or Juvenile Justice agencies) and data consumers. NC P20+ proposes to use SLDS funds to implement this data exchange mechanism. This implementation will require investment in both software and hardware, however similar existing efforts (e.g., as part of the CEDARS project) and State contracts for middleware may enable NC P20+ to leverage prior federal and State investments and limit additional costs and technology development.

Data Dictionary. To facilitate consistent use of data contained in the Data Hub, NC P20+ will establish and maintain a data dictionary that will document essential information, including metadata, about each Hub data element. This dictionary will be accessible to all NC P20+ member sectors and authorized data consumers. NC P20+ proposes to use SLDS grant funds to establish the Data Hub data dictionary.

III. Timeline for Achieving Project Outcomes

3.1 Achievement of Project Outcomes.

As described in Section 2.1, the project's 16 measurable outcomes each contribute to the achievement of one of five core project goals. Table 3.1 lists each goal, its associated outcomes, and the subordinate subtasks related to each outcome. Table 3.1 also lists a tentative start and completion date for each subtask and the party or parties primarily responsible for accomplishing it. Each outcome has its own discrete budget (see Budget Narrative document), within which the subtasks necessary to achieve the outcome have been carefully identified and delineated.

3.2 Alignment of NC P20+ with other SLDS and ARRA Activities

This NC P20+ proposal has been developed collaterally with NC's ongoing CEDARS effort, Race to the Top (RTTT) proposal development, and State Fiscal Stabilization Fund (SFSF) Phase II planning. Several members of the NC P20+ Steering Committee have also been working on these other efforts. Proposed NC P20+ Project Director, Adam Levinson (see section 4.1), is involved in a leadership role in all four projects. This interweaving of development activities will ensure the alignment of the respective plans.

While the greater challenge to maintaining alignment will likely come during implementation, several clear connections between the various planning efforts can be noted at present:

- CEDARS will be a source of high quality, linked P13 data that will supply both ARRA reporting (including much of the SFSF Phase II elements) and the NC P20+ data exchange. As has been noted in various places in this proposal, the P13 UID implemented as part of CEDARS will become the P20+ UID.
- The RTTT proposal will include initiatives to enhance public education leadership's capacity to conduct data-driven decision-making regarding policy and practices, using longitudinal data both within and across sectors. In planning discussions relative to NC's longitudinal data system capability, RTTT and NC P20+ project leadership have clarified that the NC P20+ proposal will focus on developing governance and technology infrastructure, while RTTT will focus on increasing the capacity Statewide to use that infrastructure to drive continuous improvement.
- The RTTT and NC P20+ leadership had also clarified, prior to the release of final RTTT guidelines, that RTTT would address the needs for instructional technology designed to assist instructional staff on a daily basis (ie, operational infrastructure), while NC P20+ would address the needs for infrastructure that would support reflective, longitudinal analysis (ie, strategic planning infrastructure).

Table 3.1: Plan for Achieving Project Outcomes, Organized by Project Goal
 (Please refer back to Table 2.1 for Descriptions of 16 Measurable Outcomes)

Goal 1: Institutionalizing Rigorous Governance				
Outcome	Subtasks	Start/Completion	Personnel/Sector	
1.1	Convene NC P-20+ Steering Committee on a monthly to quarterly basis during and after the grant award to oversee the successful implementation of NC's first comprehensive P20+ SLDS.	July 2010—June 2013	DPI, NCCCS, UNC, NCECDG, NCEC, NCICU	
1.2	Draft, review, and adopt MOU committing each sector to participation in NC P20+.	July 2010—Dec. 2010	NC P20+ PMO, DPI, NCCCS, UNC, NCECDG, NCEC, NCICU	
1.3	Determine initial data set to be included in the NC P20+ data exchange.	Oct. 2010—Jan. 2011	DPI, NCCCS, UNC, NCECDG, NCEC, NCICU	
	Determine modifications, as needed, to the NC P20+ data set.	Oct. 2010—June 2013	DPI, NCCCS, UNC, NCECDG, NCEC, NCICU	
1.4	Determine and adopt data standards (e.g., SIFA, NEDM, PES) for the NC P20+ data exchange.	Dec. 2010—June 2013	NC P20+ PMO, DPI, NCCCS, UNC, NCECDG, NCEC, NCICU	
1.5	Gather and document requirements for the NC P20+ enterprise data dictionary.	Feb. 2011—Dec. 2011	NC P20+ PMO	
	Determine best option and procure NC P20+ data dictionary solution.	Aug. 2011—Nov. 2011	NC P20+ PMO	
	Implement a NC P20+ enterprise data dictionary.	Dec. 2011—June 2013	NC P20+ PMO	
Goal 2: Implementing a Statewide P20+ Unique Student Identifier (UID)				
Outcome	Subtasks	Start/Completion	Personnel/Sector	
2.1	Draft and formally adopt Statewide UID policy through the NC P20+ Steering Committee.	July 2010—Aug. 2010	DPI, NCCCS, UNC, NCECDG, NCEC, NCICU	

Table 3.1: Plan for Achieving Project Outcomes, Organized by Project Goal
 (Please refer back to Table 2.1 for Descriptions of 16 Measurable Outcomes)

2.2	Demonstrate existing UID System capability, share technical specifications with all sectors, and conduct gap analysis to identify needs for each sector to effectively implement the UID.	July 2010—Sept. 2010	NC P20+ PMO, DPI, NCCCS, UNC, NCECDG, NCEC, NCICU
	Develop specific requirements for the Statewide UID system enhancements.	Sept. 2010—Oct. 2010	DPI, NCCCS, UNC, NCECDG, NCEC, NCICU
	Contract with UID software vendor to complete enhancements, as needed, to the Statewide UID system.	Oct. 2010—Nov. 2010	NC P20+ PMO, DPI
	Complete and implement enhancements to the Statewide UID system.	Nov 2010—Feb. 2010	NC P20+ PMO, DPI
2.3	Identify and implement data system changes needed to store the Statewide P20+ UID in each sector's student records.	Aug. 2010—Dec. 2010	DPI, NCCCS, UNC, NCECDG, NCEC, NCICU
2.3	Identify and implement sector data system modifications and/or acquisitions needed to integrate with the Statewide UID System.	Aug. 2010—June 2011	DPI, NCCCS, UNC, NCECDG, NCEC, NCICU
Goal 3: Building a Comprehensive P20+ Data Exchange.			
Outcome	Subtasks	Start/Completion	Personnel/Sector
3.1	Gather and document requirements for exchanging P20+ data across sectors.	Aug. 2010—Dec. 2010	NC P20+ PMO, DPI, NCCCS, UNC, NCECDG, NCEC, NCICU
	Determine and procure best option for NC P20+ data exchange mechanism, based on documented requirements.	Jan. 2011—June 2011	NC P20+ PMO, DPI, NCCCS, UNC, NCECDG, NCEC, NCICU
	Implement the NC P20+ data exchange mechanism.	July 2011—June 2012	NC P20+ PMO, DPI, NCCCS, UNC, NCECDG, NCEC, NCICU

