

# **U.S. Department of Education**

Washington, D.C. 20202-5335



## **APPLICATION FOR GRANTS UNDER THE**

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

Closing Date: NOV 19, 2009

# **\*\*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
ALSDE SLDS Grant - Project Abstract	e13
2. Project Narrative - (Project Narrative - Project Narrative...)	e14
ALSDE SLDS Grant - Project Narrative	e15
3. Project Narrative - (Project Narrative - Appendix A, Optional Attach.....)	e41
ALSDE SLDS Grant - Project Narrative Appendix A	e42
4. Project Narrative - (Project Narrative - Appendix B Resumes of Key P.....)	e48
ALSDE SLDS Grant - Project Narrative Appendix B	e49
5. Project Narrative - (Project Narrative - Appendix C Current Status o.....)	e77
ALSDE SLDS Grant - Project Narrative Appendix C	e78
6. Project Narrative - (Project Narrative - Appendix D Letters of Support...)	e82
11 - Appendix D - Letters Of Support.pdf	e83
7. Budget Narrative - (Budget Narrative - Budget Justification...)	e91
Budget Narrative (Justification)	e92
8. Budget Narrative - (Budget Narrative - ED 524 Section C Spreadsheet...)	e133
Budget Information Non-Construction Programs (ED 524)?Section C	e134

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**Application for Federal Assistance SF-424**

Version 02

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

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

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

**State Use Only:**

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

**8. APPLICANT INFORMATION:**

\* a. Legal Name: Alabama Department of Education

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

**d. Address:**

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

**e. Organizational Unit:**

Department Name:	Division Name:
Information Systems	Instructional Services Division

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

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

\* Last Name: Weatherly

Suffix:

Title: Director

Organizational Affiliation:

Alabama Department of Education

\* Telephone  
Number:

(334)242-9724

Fax Number:

(334)242-2818

\* Email: GWEATHERLY@ALSDE.EDU

**Application for Federal Assistance SF-424**

Version 02

**9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

**10. Name of Federal Agency:**

U.S. Department of Education

**11. Catalog of Federal Domestic Assistance Number:**

84.384A

CFDA Title:

Statewide Longitudinal Data System Recovery Act Grants

**\* 12. Funding Opportunity Number:**

ED-GRANTS-072909-001

Title:

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

**13. Competition Identification Number:**

84-384A2009

Title:

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

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

State of Alabama

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

Alabama Longitudinal Data System

Attach supporting documents as specified in agency instructions.

**Attachment:**

Title :

File :

**Attachment:**

Title :

File :

**Attachment:**

Title :

File :

**Application for Federal Assistance SF-424**

Version 02

**16. Congressional Districts Of:**

\* a. Applicant: 2

\* b. Program/Project: AL-ALL

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

**Attachment:**

Title :

File :

**17. Proposed Project:**

\* a. Start Date: 5/1/2010

\* b. End Date: 4/30/2013

**18. Estimated Funding (\$):**

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

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

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

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

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

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

Yes  No

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

\*\* I AGREE

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

**Authorized Representative:**

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

Title: Deputy Superintendent

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

\* Email: TBICE@ALSDE.EDU

\* Signature of Authorized Representative: \* Date Signed:

**Application for Federal Assistance SF-424**

Version 02

**\* Applicant Federal Debt Delinquency Explanation**

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



**U.S. DEPARTMENT OF EDUCATION**

**BUDGET INFORMATION**

**NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:  
Alabama Department of Education

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

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

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

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

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

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

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

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

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

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

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



**U.S. DEPARTMENT OF EDUCATION**

**BUDGET INFORMATION**

**NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:  
Alabama Department of Education

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

**SECTION B - BUDGET SUMMARY**

**NON-FEDERAL FUNDS**

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



## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Standard Form 424B (Rev.7-97)

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

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

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

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

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

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

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

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

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

**Signature of Authorized Certifying Representative:**

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

**Title:** Deputy Superintendent

**Date Submitted:** 11/25/2009

### Disclosure of Lobbying Activities

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

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

## CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance.

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

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

### APPLICANT'S ORGANIZATION

Alabama Department of Education

### PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

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

Last Name: Bice      Suffix:

Title: Deputy Superintendent

Signature:

Date:

11/25/2009

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.	Gary	E	Weatherly	

Address:

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

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

Email Address:

GWEATHERLY@ALSDE.EDU

**2. Applicant Experience**

Novice Applicant                       Yes                       No                       Not applicable

**3. Human Subjects Research**

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

Yes                       No

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

Yes    Provide Exemption(s) #:

No    Provide Assurance #, if available:

**Please attach an explanation Narrative:**

**Attachment:**

Title :  
File :

# Project Narrative

## Project Narrative - Project Abstract

Attachment 1:

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

## **Alabama State Department of Education SLDS Grant Project Abstract**

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

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

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

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

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

# Project Narrative

## Project Narrative - Project Narrative

Attachment 1:

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



# Alabama State Department of Education SLDS Grant Project Narrative

## Introduction

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

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

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

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

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

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

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

### **a. Need for Project**

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

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

### **Capabilities**

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

##### **Current Status**

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

##### **Proposed Developments and Improvements**

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

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

Current Status

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

Proposed Developments and Improvements

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

3 *Link student data with teachers*

Current Status

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

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

Current Status

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

#### Proposed Developments and Improvements

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

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

##### Current Status

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

##### Proposed Developments and Improvements

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

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

##### Current Status

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

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

#### *7 Provide ability to meet reporting requirements of USED*

##### Current Status

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

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

#### Key Elements

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

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

##### Current Status

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

##### Proposed Developments and Improvements

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

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

##### Current Status

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

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

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

Current Status

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

Proposed Developments and Improvements

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

*4 Capacity to communicate with higher education data system*

Current Status

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

Proposed Developments and Improvements

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

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

Current Status

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

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

#### Preschool through grade 12 education

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

##### Current Status

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

##### Proposed Developments and Improvements

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

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

##### Current Status

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

*8 Teacher identifier with the ability to match teachers to students*

##### Current Status

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

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

##### Current Status

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

##### Proposed Developments and Improvements

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

#### *10 Student-level college readiness test scores*

##### Current Status

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

#### Postsecondary Education

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

##### Current Status

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

##### Proposed Developments and Improvements

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

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

##### Current Status

This key element does not currently exist.

##### Proposed Developments and Improvements

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



