

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 # R384A100021**

Closing Date: NOV 19, 2009

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This application was generated using the PDF functionality. The PDF functionality automatically numbers the pages in this application. Some pages/sections of this application may contain 2 sets of page numbers, one set created by the applicant and the other set created by e-Application's PDF functionality. Page numbers created by the e-Application PDF functionality will be preceded by the letter e (for example, e1, e2, e3, etc.).

Application for Federal Assistance SF-424		Version 02
* 1. Type of Submission		
<input type="checkbox"/> Preapplication	* 2. Type of Application: * If Revision, select appropriate letter(s):	
<input checked="" type="checkbox"/> Application	<input checked="" type="checkbox"/> New	
<input type="checkbox"/> Changed/Corrected Application	<input type="checkbox"/> Continuation	* Other (Specify)
	<input type="checkbox"/> Revision	
* 3. Date Received:		4. Applicant Identifier:
12/3/2009		
5a. Federal Entity Identifier:		* 5b. Federal Award Identifier:
N/A		N/A
State Use Only:		
6. Date Received by State:		7. State Application Identifier:
8. APPLICANT INFORMATION:		
* a. Legal Name: Education, Hawaii Department of		
* b. Employer/Taxpayer Identification Number (EIN/TIN):		* c. Organizational DUNS:
990266482		809935513
d. Address:		
* Street1:	Queen Liliuokalani Building	
Street2:	1390 Miller Street	
* City:	Honolulu	
County:	Honolulu	
State:	HI	
Province:		
* Country:	USA	
* Zip / Postal Code:	96813	
e. Organizational Unit:		
Department Name:		Division Name:
Hawaii Department of Education		Office of the Superintendent
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix:	Ms.	* First Name: Kathryn
Middle Name:		

* Last Name: Matayoshi

Suffix:

Title: Deputy Superintendent

Organizational Affiliation:

* Telephone Number: (808)586-3316 Fax Number: (808)586-3314

* Email: KATHRYN_MATAYOSHI@NOTES.K12.HI.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:**

EdGrants-072909-0001

Title:

Institute of Education Sciences (IES) Grant Program for Longitudinal Data Systems Recovery Act Program

13. Competition Identification Number:

Title:

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

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

Ho'okele: Guiding Hawaii to Meet its Human Capital Goals Through a P-20 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: HI-All

* b. Program/Project: HI-All

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

Attachment:

Title :

File :

17. Proposed Project:

* a. Start Date: 6/1/2010

* b. End Date: 5/31/2013

18. Estimated Funding (\$):

a. Federal	\$ 11945285
b. Applicant	\$
c. State	\$
d. Local	\$
e. Other	\$
f. Program Income	\$ 0
g. TOTAL	\$ 11945285

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

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

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

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

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

Yes No

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

** I AGREE

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

Authorized Representative:

Prefix: Ms. * First Name: Kathryn

Middle Name:

* Last Name: Matayoshi

Suffix:

Title: Deputy Superintendent

* Telephone Number: (808)586-3316 Fax Number: (808)586-3314

* Email: KATHRYN_MATAYOSHI@NOTES.K12.HI.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:
 Education, Hawaii Department of

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	\$ 1,056,958	\$ 1,132,282	\$ 1,071,598	\$ 0	\$ 0	\$ 3,260,838
2. Fringe Benefits	\$ 382,808	\$ 411,658	\$ 410,426	\$ 0	\$ 0	\$ 1,204,892
3. Travel	\$ 81,610	\$ 88,210	\$ 81,610	\$ 0	\$ 0	\$ 251,430
4. Equipment	\$ 685,279	\$ 243,060	\$ 0	\$ 0	\$ 0	\$ 928,339
5. Supplies	\$ 755,759	\$ 59,466	\$ 142,398	\$ 0	\$ 0	\$ 957,623
6. Contractual	\$ 1,003,104	\$ 1,561,972	\$ 542,993	\$ 0	\$ 0	\$ 3,108,069
7. Construction	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
8. Other	\$ 568,618	\$ 266,243	\$ 243,641	\$ 0	\$ 0	\$ 1,078,502
9. Total Direct Costs (lines 1-8)	\$ 4,534,136	\$ 3,762,891	\$ 2,492,666	\$ 0	\$ 0	\$ 10,789,693
10. Indirect Costs*	\$ 488,990	\$ 386,180	\$ 280,422	\$ 0	\$ 0	\$ 1,155,592
11. Training Stipends	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
12. Total Costs (lines 9-11)	\$ 5,023,126	\$ 4,149,071	\$ 2,773,088	\$ 0	\$ 0	\$ 11,945,285

***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 13.3%

(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:
 Education, Hawaii Department of

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

SECTION B - BUDGET SUMMARY
NON-FEDERAL FUNDS

Budget Categories	Project Year 1(a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
2. Fringe Benefits	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
3. Travel	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
4. Equipment	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
5. Supplies	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
6. Contractual	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
7. Construction	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
8. Other	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
9. Total Direct Costs (lines 1-8)	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
10. Indirect Costs	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
11. Training Stipends	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
12. Total Costs (lines 9-11)	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Standard Form 424B (Rev.7-97)

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

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

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

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

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

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

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

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

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

Signature of Authorized Certifying Representative:

Name of Authorized Certifying Representative: Kathryn Matayoshi

Title: Deputy Superintendent

Date Submitted: 12/04/2009

Disclosure of Lobbying Activities

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

1. Type of Federal Action: <input type="checkbox"/> Contract <input checked="" type="checkbox"/> Grant <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Loan <input type="checkbox"/> Loan Guarantee <input type="checkbox"/> Loan Insurance	2. Status of Federal Action: <input checked="" type="checkbox"/> Bid/Offer/Application <input type="checkbox"/> Initial Award <input type="checkbox"/> Post-Award	3. Report Type: <input checked="" type="checkbox"/> Initial Filing <input type="checkbox"/> Material Change For Material Change only: Year: 0 Quarter: 0 Date of Last Report:
4. Name and Address of Reporting Entity: <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier, if known: 0 Name: Education, Hawaii Department of Address: 1390 Miller Street City: Honolulu State: HI Zip Code + 4: 96813-2403 Congressional District, if known: 01	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: U. S. Department of Education	7. Federal Program Name/Description: Longitudinal Data System Recov CFDA Number, if applicable: 84.384A	
8. Federal Action Number, if known: EdGrants-072909-0001	9. Award Amount, if known: \$0	
10. a. Name of Lobbying Registrant (if individual, last name, first name, MI): N/A Address: City: State: Zip Code + 4: -	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI): N/A 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: Kathryn Matayoshi Title: Deputy Superintendent Applicant: Education, Hawaii Department of Date: 11/04/2009	
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
Education, Hawaii Department of
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE
Prefix: Ms. First Name: Kathryn Middle Name:
Last Name: Matayoshi Suffix:
Title: Deputy Superintendent
Signature: _____ Date: 11/04/2009

ED 80-0013

03/04

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

1. Project Director:

Prefix: * First Name: Middle Name: * Last Name: Suffix:
Ms. Kathryn Matayoshi

Address:

* Street1: 1390 Miller Street
Street2:
* City: Honolulu
County:
* State: HI* Zip / Postal Code: 96813 * Country: USA

* Phone Number (give area Fax Number (give area
code) code)
(808)586-3316 (808)586-3314

Email Address:

KATHRYN_MATAYOSHI@NOTES.K12.HI.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) #: 4

No Provide Assurance #, if available:

Please attach an explanation Narrative:

Attachment:

Title : HIDEOE Exempt Narrative 12-2-09
File : HIDEOE Exempt Narrative 12-2-09.pdf



Exempt Research Narrative
Hawaii Department of Education
P-20 Longitudinal Data Project

Exemption reviewed and granted through the application process for New Approval of a Study Involving Human Subjects:

University of Hawai'i, Committee on Human Studies (CHS)
Biomedical Bldg, Room B-104, 1960 East-West Road. Honolulu, Hawai'i 96822
Telephone: (808) 956-5007

Date: November 3, 2009

Co-PI's (name & title) Kathryn Matayoshi, Deputy Superintendent, Hawaii Department of Education; Linda Johnsrud, Vice-President for Academic Planning and Policy, UH System;

Email: johnsrud@hawaii.edu Phone: (808) 956-7101

Department: Hawaii Department of Education, Office of the Superintendent; Office of the Vice-President for Academic Planning and Policy

[X] Faculty or Staff [] Student - name of supervising professor: ___

Project Title: State of Hawaii: P20 Longitudinal Data System

Proposed Sponsoring Agency: Hawaii P-20 Partnerships for Education Start Date: June 2010

Agency address: Sinclair Library, Rm 504, 2425 Campus Rd. Honolulu, HI 96822

Institutional Biosafety Committee (IBC) Review:

No biohazardous materials, recombinant DNA and/or gene therapy involved.

For this project, the following exemption would apply [as defined by the U.S. Dept. of Education SF 424 Supplement Instructions, Section B, item number (4)]: Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

1. Summary of proposed research, including outline of objectives and methods.

Develop a Statewide Longitudinal Data System that links State of Hawaii Department of Education K-12 data systems with early learning, postsecondary education, workforce, social services and other critical state agency data systems to inform a wide range of policy- and decision-making questions addressing the educational and workforce outcomes of Hawai'i's citizens, and meet cross-agency reporting requirements. The University of Hawaii System, Department of Education, Department of Labor and Industrial Relations and other major stakeholders are collaborating to design and implement a SLDS that will allow effective management and deployment of a data system encompassing the Hawaiian Islands.

The P20 Longitudinal Data System (LDS) will extract and upload data from various databases. Initially, the data will encompass student-level records from the Hawai'i

Department of Education (HIDOE), the University of Hawai'i (UH) and the Department of Labor and Industrial Relations/Unemployment Insurance Division (DLIR). HIDOE, UH and DLIR have signed a Memorandum of Understanding, vetted through UH Legal Counsel and respective Attorney General Offices of HIDOE and DLIR, to share data to support research and evaluation to inform educational and workforce policy- and decision-making (see Appendix A).

The P20 LDS will be a repository of data extracted from various institutional databases at DOE, UH and DLIR. The individual-level records will contain personally identifiable information that is the basis for linking records between the disparate institutions. Once data is linked between systems, identifying information will be replaced with a unique P20 identifier and will be de-linked from the student-level information.

Data from the P20 LDS will be used for analyses for evaluation, policy development and research. Analyses will be conducted by Hawaii P-20 and its partners on data sets that would be considered secondary data since they will be stripped of personally identifiable information.

2. *Summarize all involvement of humans in this project (who, how many, age, sex, length of involvement, frequency, etc.) and the procedures they will be exposed to.*

The Statewide Longitudinal Data System (SLDS) will encompass pre-existing secondary data collected from the K-12 data systems, early learning, postsecondary education, workforce, social services and other critical state agency data systems, and will involve all Hawaii students in P-12 and post-secondary education. Research subjects will include minors.

3. *Procedures that will be used to protect human participants from risks:*

Risks associated with participating in this research is considered minimal but may involve a loss of privacy. However, precautions will be taken to minimize these risks. Risks associated with the loss of privacy in this research will be addressed through the maintenance of confidentiality of all subjects. Data for analyses will be de-identified in that data will not contain any names or other identifying information. Additionally, all data will be kept in password-protected files on a password secured server. Adherence to FERPA and other related federal and/or state policy and regulations will be followed in order to maintain protect individual rights to confidentiality and privacy.

Student-level records will be matched and de-identified by the assignment of a unique P20 Identifier as follows:

Record linkage: Records will be matched on common identifiers collected within the three different data sources. Common demographic variables found in HIDOE and UH include: last name, first name, date of birth and gender. DLIR records contain social security number

(SSN), last name and first name. UH collects SSN. HIDOE does not collect SSN.

Once records are matched across databases, a unique P20 identifier will be assigned to student-level records. Any student-level data output from the P20 LDS will utilize the P20 identifier. HIDOE, UH and DLIR have agreed to abide by the following methodology:

FERPA as amended in 2008, under 34 CFR Section §99.31 (b) De-identified Records and Information recognizes that an educational agency or institution, may release de-identified student level data from education records for the purpose of education evaluation, audit and research by attaching a code to each record, provided that the following conditions are met:

- a. The educational agency or institution will not disclose any information on how it generates and assigns a record code, or that would allow a recipient to identify a student based on a record code;
- b. The record code is used for no purpose other than identifying a de-identified record for purposes of education research and cannot be used to ascertain personally identifiable information about a student and;
- c. The record code is not based on a student's social security number or any other personal information.

Protection against accidental disclosure: The P20 LDS data warehouse will be housed at the UH, Information Technology Services. To ensure confidentiality of the records and to protect against accidental disclosure, access to the identified student-level data will be through approval via secured, role-based access coordinated by UH ITS. That is, access will be approved based on institution and role affiliation. Data will be secured and password-protected.

Additional individual- or student-level identifiable data sources incorporated into the P20 LDS will be matched according to compatible demographic variables across data sources, assigned a unique P20 Identifier, and protected against accidental disclosure as described above.

4. Describe mechanism for safety monitoring: How will you detect if greater harm is accruing to your subjects than you anticipated? What will you do if such increased risk is detected?

The P20 LDS project will establish and implement a Data Governance and Access Committee to develop data governance policies and procedures governing data-related matters for the Department. This includes, but may not be limited to, the following:

- a. Clarify who is accountable for various portions or aspects of the data, including accuracy, accessibility, consistency, completeness, and updating.
- b. Define processes concerning how the data are to be stored, archived, backed up, and protected from mishaps, theft, or attack.

- c. Develop a set of standards and procedures that define how the data are to be used by authorized personnel.
- d. Establish a set of controls and audit procedures that ensure ongoing compliance with government regulations.

5. *Benefits that will accrue to each human subject or to humankind in general, as a result of the individual's participation in this project, so that the committee can assess the risk benefit/ratio.*

The P20 LDS will provide teachers, education administrators, and educational researchers with a strategic tool in the student learning process, offering better management of student information and a focus on differential instructional and support services targeted to specific segments of students. The ability to utilize trending for proactive decisions related to the delivery of appropriate strategies and services is projected to result in increased academic growth and improved educational achievement for all groups of students.

6. *Participation must be voluntary: the participants cannot waive legal Rights, and must be able to withdraw at any time without prejudice. Indicate how you will obtain informed consent:*

- Subject (or Parent/Guardian) reads complete consent form & signs ('written' form)
- Oral briefings by PI or project personnel, with simple consent form ('oral' form).
Explain below the reason(s) why a written consent form is not used
- Other- explain - All data are secondary data sources.

Project Narrative

Project Narrative - Project Abstract

Attachment 1:

Title: **Project Abstract Final** Pages: **1** Uploaded File: **Project Abstract Final.pdf**

HO'OKELE:***Guiding Hawaii to meet its human capital goals through a P-20 longitudinal data system***

This project, “Ho’okele,” will develop a P20 statewide longitudinal data system (P20 LDS) to track individuals’ participation, progress and performance from early childhood education to the workforce.¹ The project will enable use of the longitudinal, inter-agency data to improve educational and workforce development outcomes, achieving Hawai’i’s goal for human capital development: *By the year 2025, 55% of Hawai’i’s working age adults will have a 2 or 4 year college degree.*

The Hawai’i State Department of Education (HIDOE), University of Hawai’i System (UH), Department of Labor and Industrial Relations (DLIR), and other partners commit to a quality, robust P20 LDS that will be developed by Hawai’i P-20 Partnerships for Education located at UH. This \$11,945,286 grant request focuses on using *inter-agency* individual-level data throughout the educational pipeline from early childhood education to the workforce to:

- Make data transparent, accessible in secure environments and action-able for multiple stakeholders;
- Evaluate the impact of programs, policies, interventions and resource allocations on educational attainment and workforce development;
- Inform decision-making for governance, management, resource allocation, student choices, curriculum and instruction;
- Improve quality and efficiency of data analyses and reporting.

P20 LDS plans extend the state’s capacity for the K-12 longitudinal data system being developed through the state investments and a 2009 U.S. Department of Education Statewide Longitudinal Data Systems (SLDS) grant award. Together with the additional functionality of the HIDOE’s K-12 LDS, the P20 LDS will meet ARRA assurances for use of student data, develop or significantly advance data system capabilities, and complete the requirements of the America COMPETES Act.

Ho’okele addresses three goals:

1. Establish a data governance structure for the P20 LDS which creates interoperability among agencies’ data and maintains flexibility to include additional data.
2. Build the state’s technical capacity for the P20 LDS by developing a new P-20 data warehouse and train staff on the use of reporting tools for inter-agency data analyses.
3. Develop a culture of quality data use that empowers stakeholders to make critical data-based decisions by providing access to data for analyses and research and by communicating data transformed into information for decision-making through stakeholder portals and reports.

The P20 LDS application proposes six major outcomes representing a range of investments—human capital, financial, technological, and institutional—to develop a robust P20 LDS that supports improved student outcomes and educational attainment. The outcomes include a multi-state data exchange among western states encompassing K-12, postsecondary and workforce longitudinal data from Hawai’i, Idaho and Oregon; the Western Interstate Commission for Higher Education (WICHE) will coordinate the “Multi-State Human Capital Development Data System.”

¹ “Ho’okele” is the Hawaiian word for a steersman who guides a canoe and its paddlers to its destination safely; likewise, this project will develop a P20 LDS to provide information needed to ensure that stakeholders achieve improved educational and workforce outcomes.

Project Narrative

Project Narrative - Project Narrative

Attachment 1:

Title: **Project Narrative Final** Pages: **29** Uploaded File: **Project Narrative Final.pdf**

HO'OKELE:

Guiding Hawai'i to meet its human capital goals through a P-20 longitudinal data system

This application is in response to the U.S. Department of Education's Institute of Education Sciences' invitation for proposals for Statewide Longitudinal Data Systems Grants under CFDA 84.384. The Hawai'i Department of Education (HIDOE), Hawai'i's state education agency, proposes a three-year project, "Ho'okele,"¹ that will allow the state to develop and implement a statewide, inter-agency P20 longitudinal data system (P20 LDS). The P20 LDS will represent Hawai'i's educational and workforce development pipeline, tracking individuals' participation, progress and performance data elements from early childhood programs, public K-12 education and postsecondary education to employment. The project will enable use of the longitudinal, inter-agency data to improve educational and workforce development outcomes, achieving Hawai'i's goal for human capital development: *By the year 2025, 55% of Hawai'i's working age adults will have a 2 or 4 year college degree.*

P20 LDS plans extend the state's capacity for the K-12 longitudinal data system being developed through the state investments and a 2009 U.S. Department of Education SLDS grant award. Consistent with provisions specified by the America COMPETES Act, the P20 LDS will allow the efficient input and transfer of data and promote interoperability across the data-sharing agencies, while protecting the privacy of individuals including applicable requirements of the Family Educational Rights and Privacy Act (FERPA). Together with the additional functionality of the HIDOE's K-12 LDS, the P20 LDS will meet ARRA assurances for use of student data, develop or significantly advance data system capabilities, and complete the requirements of the America COMPETES Act.

The long-term goal of this project is to create an inter-agency P20 LDS that manages, disaggregates and allows analyses of data that will track individuals' progress across the P20 educational pipeline to inform practice, policy and decision-making. HIDOE, together with its partner agencies, including the University of Hawai'i System (UH) and Department of Labor and Industrial Relations (DLIR) commit to constructing a quality and sustainable P20 LDS which will be developed under contract by Hawai'i P-20 Partnerships for Education (Hawai'i P-20) at the UH.

I. Need for the Project

Tracking students longitudinally throughout Hawai'i's educational systems has been a decade-long goal for a number of stakeholders. This design for a P20 LDS culminates legislative directives, needs analyses and proof of concept projects to analyze longitudinal student data between K-12 and postsecondary. The current status of the state's educational data systems, groundwork laid for linking K-12 and postsecondary data, the state's inter-agency educational policy actions supported by Hawai'i P-20, and demands of accountability locally and nationally via the American Recovery and Reinvestment Act (ARRA) and No Child Left Behind (NCLB) poise the state to make a significant breakthrough in using longitudinal data to inform practice, policy and decision making. Ho'okele focuses on using *inter-agency* individual-level data throughout the educational pipeline from early childhood education through workforce development to:

- Make data transparent, accessible in secure environments and action-able for multiple stakeholders;

¹ "Ho'okele" is the Hawaiian word for a steersman who guides a canoe and its paddlers to its destination safely; likewise, this project will develop a P20 LDS to provide information needed to ensure that stakeholders achieve improved educational and workforce outcomes.

