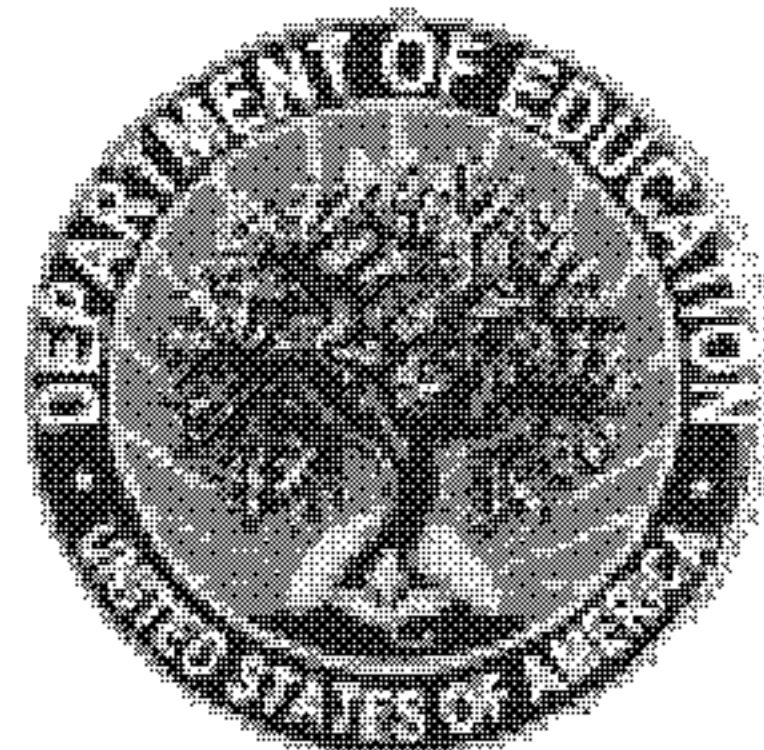


# **U.S. Department of Education**

Washington, D.C. 20202-5335



## **APPLICATION FOR GRANTS UNDER THE**

**STATEWIDE LONGITUDINAL DATA SYSTEM RECOVERY ACT GRANTS  
CFDA # 84.384A  
PR/Award # R384A100020**

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
Project Narrative - Project Abstract	e13
2. Project Narrative - (Project Narrative - Project Narrative...)	e14
Project Narrative	e15
3. Project Narrative - (Project Narrative - Appendix A, Optional Attach.....)	e45
Attachment A optional	e46
4. Project Narrative - (Project Narrative - Appendix B Resumes of Key P.....)	e52
Key Resumes	e53
5. Project Narrative - (Project Narrative - Appendix C Current Status o.....)	e68
Current SLDS	e69
6. Project Narrative - (Project Narrative - Appendix D Letters of Support...)	e72
Support_letters	e73
7. Budget Narrative - (Budget Narrative - Budget Justification...)	e92
Budget Narrative	e93
8. Budget Narrative - (Budget Narrative - ED 524 Section C Spreadsheet...)	e99
Budget Spreadsheet	e100

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.).

<b>Application for Federal Assistance SF-424</b>		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: 12/3/2009	4. Applicant Identifier:	
5a. Federal Entity Identifier:	* 5b. Federal Award Identifier: NA	
<b>State Use Only:</b>		
6. Date Received by State:	7. State Application Identifier:	
<b>8. APPLICANT INFORMATION:</b>		
* a. Legal Name: Kentucky Department of Education		
* b. Employer/Taxpayer Identification Number (EIN/TIN): 610600439	* c. Organizational DUNS: 102594426	
<b>d. Address:</b>		
* Street1:	500 Mero Street	
Street2:		
* City:	Frankfort	
County:	Franklin	
State:	KY	
Province:		
* Country:	USA	
* Zip / Postal Code:	40601	
<b>e. Organizational Unit:</b>		
Department Name: Bureau of Learning and Results Services	Division Name:	
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>		
Prefix:	Dr.	* First Name: Larry
Middle Name:		

\* Last Name: Stinson

Suffix:

Title: Deputy Commissioner

Organizational Affiliation:

Kentucky Department of Education

\* Telephone Number: (502)564-5130 Fax Number: (502)564-4007

\* Email: LARRY.STINSON@EDUCATION.KY.GOV

**Application for Federal Assistance SF-424**

Version 02

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

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

**10. Name of Federal Agency:**

U.S. Department of Education

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

84.384A

CFDA Title:

Statewide Longitudinal Data System Recovery Act Grants

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

ED-Grants-072909-001

Title:

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

**13. Competition Identification Number:**

Title:

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

KY-All

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

Kentucky 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: KY-All

\* b. Program/Project: KY-All

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	\$ 19572239
b. Applicant	\$
c. State	\$
d. Local	\$
e. Other	\$
f. Program	\$
Income	
g. TOTAL	\$ 19572239

**\* 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: Terry

Middle Name:

\* Last Name: Holliday

Suffix:

Title: Commissioner

\* Telephone Number: (502)564-3141 Fax Number: (502)564-5680

\* Email: TERRY.HOLLIDAY@EDUCATION.KY.GOV

\* Signature of Authorized Representative:

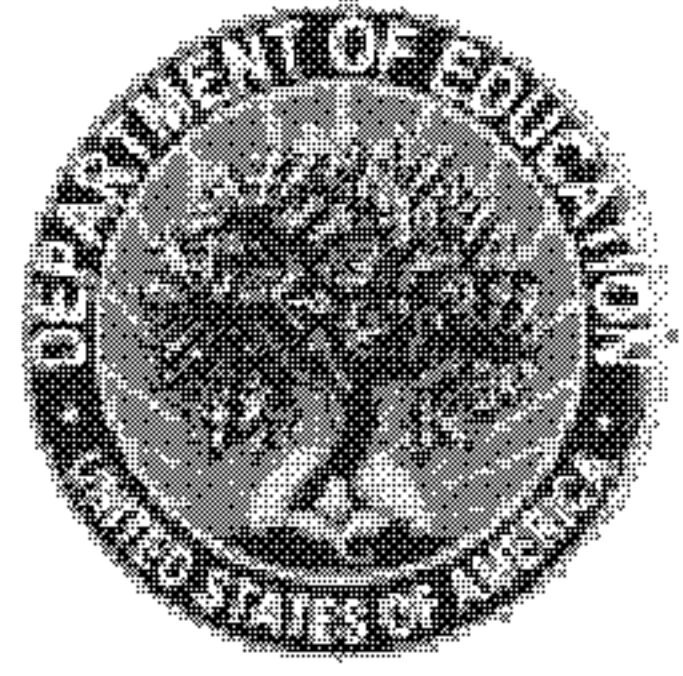
\* Date Signed:

**Application for Federal Assistance SF-424**

Version 02

**\* Applicant Federal Debt Delinquency Explanation**

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



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

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:  
Kentucky 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	\$ 92,000	\$ 92,920	\$ 93,850	\$ 0	\$ 0	\$ 278,770
2. Fringe Benefits	\$ 27,600	\$ 27,876	\$ 28,155	\$ 0	\$ 0	\$ 83,631
3. Travel	\$ 10,000	\$ 15,000	\$ 15,000	\$ 0	\$ 0	\$ 40,000
4. Equipment	\$ 262,416	\$ 787,250	\$ 0	\$ 0	\$ 0	\$ 1,049,666
5. Supplies	\$ 595,741	\$ 3,374,000	\$ 2,099,000	\$ 0	\$ 0	\$ 6,068,741
6. Contractual	\$ 2,150,000	\$ 4,424,000	\$ 4,541,000	\$ 0	\$ 0	\$ 11,115,000
7. Construction	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
8. Other	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
9. Total Direct Costs (lines 1-8)	\$ 3,137,757	\$ 8,721,046	\$ 6,777,005	\$ 0	\$ 0	\$ 18,635,808
10. Indirect Costs*	\$ 102,273	\$ 494,881	\$ 315,277	\$ 0	\$ 0	\$ 912,431
11. Training Stipends	\$ 0	\$ 12,000	\$ 12,000	\$ 0	\$ 0	\$ 24,000
12. Total Costs (lines 9-11)	\$ 3,240,030	\$ 9,227,927	\$ 7,104,282	\$ 0	\$ 0	\$ 19,572,239

**\*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

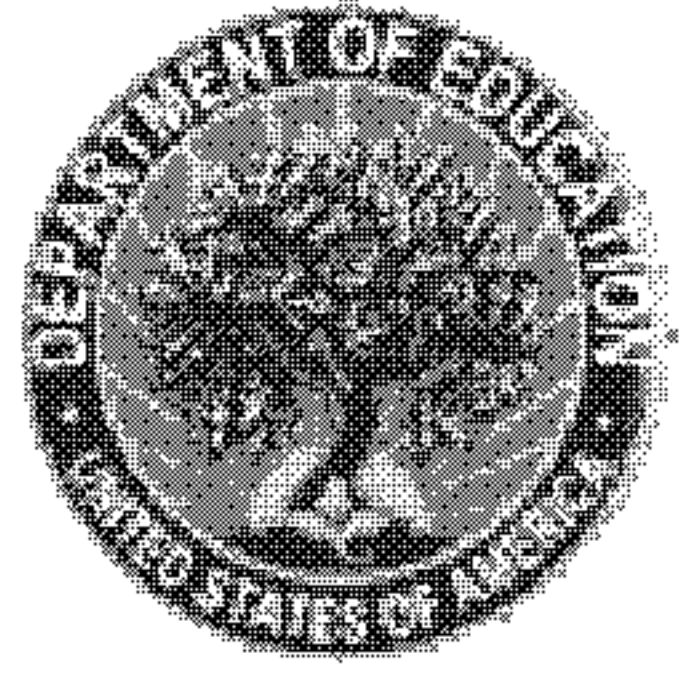
(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: 7/1/2007 To: 12/31/2010 (mm/dd/yyyy)

Approving Federal agency:  ED  Other (please specify): \_\_\_\_\_ The Indirect Cost Rate is 14.1%

(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:  
 Kentucky 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	\$ 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:** Dr. Terry Holliday

**Title:** Commissioner

**Date Submitted:** 11/18/2009

### 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 checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier, if known: 0  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: \$0</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: Dr. Terry Holliday Title: Commissioner Applicant: Kentucky Department of Education Date: 11/18/2009	
<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.

<b>APPLICANT'S ORGANIZATION</b>
---------------------------------

Kentucky Department of Education
----------------------------------

<b>PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE</b>
--

Prefix: Dr.	First Name: Terry	Middle Name:
Last Name: Holliday		Suffix:
Title: Commissioner		

Signature: _____	Date: 11/18/2009
------------------	------------------

ED 80-0013

03/04

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

**1. Project Director:**

Prefix:	* First Name:	Middle Name:	* Last Name:	Suffix:
Dr.	Larry		Stinson	

Address:

\* Street1: 500 Mero Street  
 Street2:  
 \* City: Frankfort  
 County:  
 \* State: KY \* Zip / Postal Code: 40601 \* Country: USA

* Phone Number (give area code)	Fax Number (give area code)
(502)564-5130	(502)564-4007

Email Address:

LARRY.STINSON@EDUCATION.KY.GOV

**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: **Project Narrative - Project Abstract** Pages: **1** Uploaded File: **C:\Documents and Settings\ptrotter\My Documents\SLDS 2009\DRAFTS\FINAL STUFF\Abstract final 12-1.pdf**

## **Abstract**

The P-20 Data Collaborative is a unique collaboration with the Kentucky Department of Education (KDE), the Council on Postsecondary Education (CPE), the Educational Professional standards Board (EPSB), the Kentucky Higher Education Assistance Authority (KHEAA) and the Education and Workforce Development Cabinet. The Collaborative is seeking funds to expand and enhance the Kentucky Statewide Longitudinal Data system (KY SLDS) in order to meet the statewide longitudinal data system requirements and thus improve its ability to support and improve student achievement, ensure that all students are adequately prepared for postsecondary education, the workforce or Armed Services, and to inform education and workforce policy across the Commonwealth.

Kentucky has made great strides in building the infrastructure necessary for a robust statewide longitudinal data system. The memorandum of agreement, signed by the Collaborative, provides a governance arrangement for managing the implementation of the current KY SLDS expansion and will be the foundation for the creation of a comprehensive and flexible governance structure necessary to the future credibility and success of this endeavor.

To accomplish this ambitious task four key goals will be addressed: 1) adding additional data from the Education and Workforce Development Cabinet, KHEAA, and Kentucky Adult Education (KyAE); 2) expanding and updating existing data sources and collection processes; 3) enabling widespread access through the establishment of an identity management solution and the development and implementation of a comprehensive communications and training package; and 4) refining the administration of the KY SLDS by revisiting the governance structure, conducting a data audit, establishing a data audit system and providing for enhanced research and program evaluation capabilities.

The expected outcomes of this project include the establishment of an identity management solution which will result in the ability to authenticate and authorize users from a variety of stakeholder groups. Another outcome is the establishment of a state data audit system, one of the required data capabilities that Kentucky has yet to meet. Focus groups and the subsequent development and implementation of a comprehensive communications, training and evaluation process will ensure that all stakeholders not only have access to the KY SLDS, but can use it to make changes in policy and practice to improve student learning, measure the effectiveness of teachers and administrators, ensure that the labor market pipeline meets the state's projected workforce needs, etc. Identity management will be a critical element within the review process for the governance structure.

The addition of new data from the student financial aid sector, adult education and the labor market, is critical in Kentucky's move to create a seamless P-20 data system that will inform education policy at all levels. The KY SLDS will, among other things, be used to evaluate how well students are being prepared for college or the 21<sup>st</sup> Century workforce; determine how well the state's postsecondary educator preparation programs are preparing our future teachers and administrators; demonstrate whether or not all students have access to highly effective teachers; explore the relationship between the state's scholarship program and college-going/college completion rates; track employment outcomes for each institution of higher education; and connect the education pipeline to earnings, job retention and job stability.

# Project Narrative

## Project Narrative - Project Narrative

### Attachment 1:

Title: **Project Narrative** Pages: **30** Uploaded File: **I:\GRANTS\_External\_OIAS\KSLDS2010\Project Narrative\FINAL NARRATIVE 12-02-09.pdf**

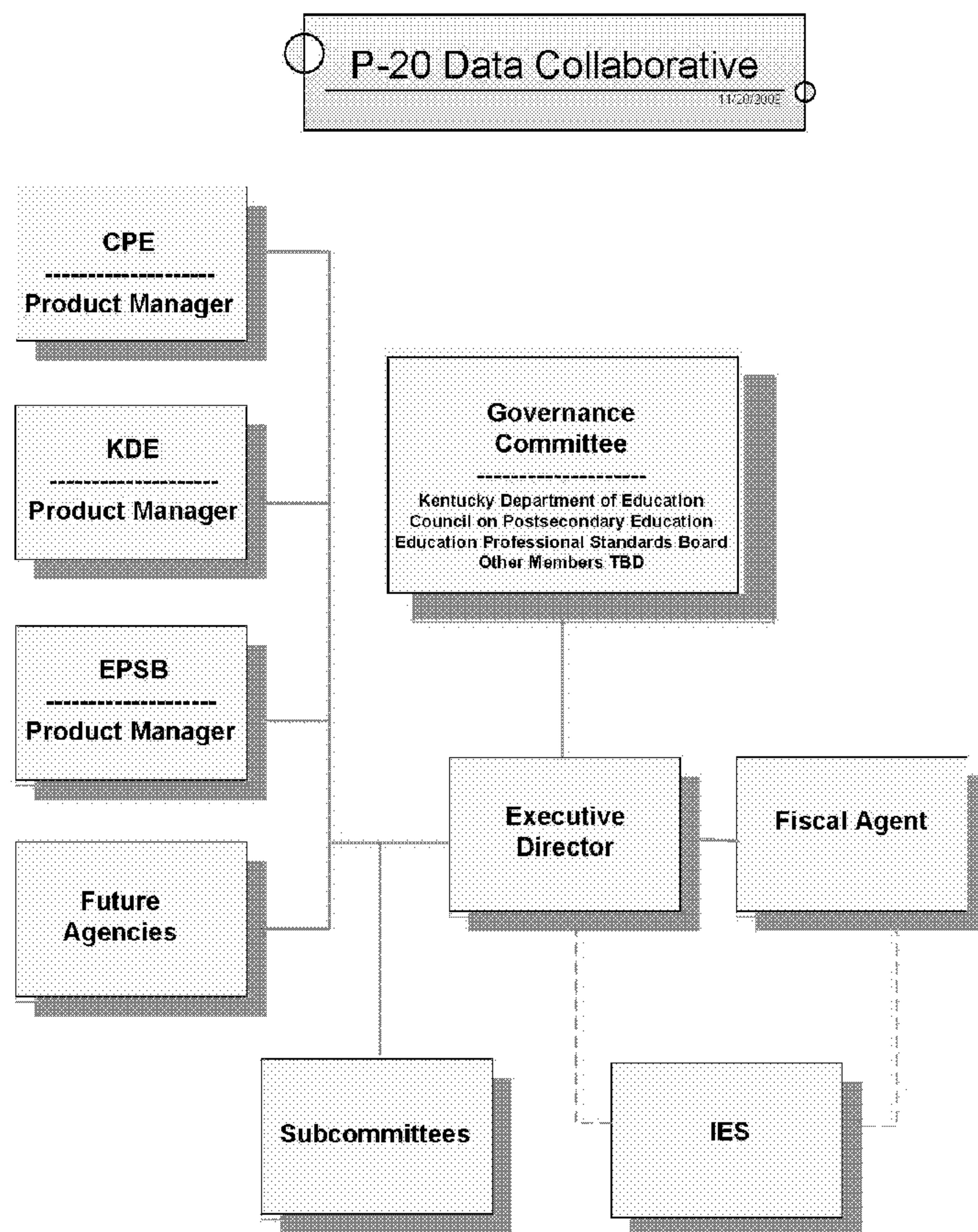


## PROJECT NARRATIVE

### Introduction

This proposal, which is being submitted by the Kentucky Department of Education (KDE) was developed through a collaboration of the KDE, the Council on Postsecondary Education (CPE) and the Education Professional Standards Board (EPSB) and is a request for \$19.6 million over three years from the U.S. Department of Education, Institute for Education Sciences (IES) to support further expansion of Kentucky’s multi-agency longitudinal data system. This new initiative will address four main objectives: 1) administration refinement, which will include a review of the governance structure, a one-time data audit and establishment of a state data audit system; 2) expansion of existing sources, including updating and re-engineering of data collection processes of the partner agencies; 3) addition of new data from workforce and the student financial aid system and 4) establishment of an identity management system. These are more fully discussed under the Project Outcomes and Objectives section. As the state education agency (SEA), KDE will serve as the fiscal agent for this grant award.

A major issue facing Kentucky is how to address the issues and concerns of each of the agencies participating in the expansion of the Kentucky Statewide Longitudinal Data System (KY SLDS). On August 20, 2009, KDE, CPE, and EPSB entered into a unique Memorandum of Agreement for the purpose of creating a P-20 Data Collaborative (hereafter referred to as the Collaborative) to oversee the process of merging P-20 data within a shared repository, creating rules governing access to and use of the data, and making it available for reporting, analysis and research. The need for a review of this governance structure as additional agencies become partners in the KY SLDS is addressed under the governance section of this grant application. The Collaborative supports the merging of P-20 data to facilitate educational research and development of reports; provide feedback to Kentucky’s educational and workforce institutions; and put information in the hands of stakeholders. Decisions of the governing board, composed of the three agency heads and the Secretary of the Education and Workforce Development Cabinet, are made by unanimous consent. Each principal member of the Collaborative is the owner of the respective feeder systems and therefore, part owner in the Kentucky Statewide Longitudinal Data System (KY SLDS). The



Collaborative is responsible for the support and maintenance of the KY SLDS. Additional members of the Collaborative will be added as more agencies participate in the statewide data system. This collaboration is unique among state agencies and provides a vehicle for continuous dialogue across agencies regarding the development of the KY SLDS.

For the past 20 years, Kentucky has been a consistent leader in education reform and after three years of fluctuation in education leadership, now has strong leadership in place that is needed to launch a bold new vision for education in the Commonwealth. The KDE is led by a newly appointed Commissioner of Education, Dr. Terry Holliday, who brings with him a strong background in advancing student achievement and turning around low performing schools, and a strong commitment to ensuring that every child is taught by a highly effective teacher. He also is a committed user of data to inform decisions. Under his leadership, the KDE has developed a Learning Framework to provide a roadmap for the 21st Century reform upon which it has embarked. The foundation of the framework resides in four basic areas: that every student learns under the guidance of a highly effective teacher, in a school led by a highly effective principal, in a district led by a highly effective superintendent; that a continuum of interventions is customized to meet the needs of every child; that the use of a single set of content standards leads to the readiness standards deemed necessary by institutions of higher education; and that the data system provides timely information about what is effective, where it is effective and for whom so that the education and workforce communities can shift from “autopsy” data use to preventive data use..

The CPE also welcomed new leadership in January 2009, with the hiring of Robert King, J.D. as President. A hallmark of Mr. King’s first year leading CPE’s staff is his focus on K-12 education, including both the continuous improvement of teacher education and professional development and the establishment of a single state-wide standard for college readiness. Mr. King recognizes higher education’s critical relationship with K-12 through the provision of teacher preparation and the career-long support of teachers through active involvement in professional development and research. As an avid user of data for decision-making, President King is also looking forward to expanding the capacities of the KY SLDS to improve postsecondary education in Kentucky through the inclusion of the new postsecondary data sources and other enhancements proposed here.

Under the leadership of Dr. Phillip Rogers, the EPSB has established its highest priority as strengthening the quality of educator preparation so that every Kentucky child has a highly effective teacher and school leader. Recent bold board actions include sun-setting all master’s degree and principal preparation programs and requiring all new program proposals to focus on improving student learning. Dr. Rogers has led the EPSB to migrate from its old paper file system to an electronic data system that permits the board to make data-driven and research-based decisions and now makes the EPSB a valuable partner in the KY SLDS. A strong advocate of the KY SLDS who understands the value of sharing data across agencies in order to make more informed decisions, Dr. Rogers is working closely with his counterparts in the Collaborative to ensure the sustainability of the KY SLDS in the Commonwealth.

Kentucky, as a state, has also begun a fundamental re-thinking of how it organizes and administers information. Education and labor market groups recognize that education is a lengthy, lifelong process that evolves at different rates and in different ways for individuals. P-20 and workforce sectors are inextricably intertwined and the way in which information is collected, stored, shared and

used should contribute to student achievement and success in life. Kentucky also recognizes that the success of the education reform efforts individually and collectively is dependent, in part, upon the cooperation and collaboration between and among the groups and agencies that are responsible for overseeing the reforms.

In late October 2009, Governor Beshear announced the formation of the Transforming Education in Kentucky Task Force (TEK Task Force – see appendix) comprised of over 30 individuals representing all areas of the state and various stakeholder groups. Kentucky's education commissioner serves as co-chair of the task force. The task force work is scheduled to begin in December. The first several months will be focused on fact-finding about the many excellent programs that already exist and challenges the state faces. Among those specific items that the governor requested the task force to review are: increasing early childhood education opportunities, increasing opportunities for students to get college credit while in high school, increasing the rigor of Kentucky's career and technical programs so they are seen as options of first choice, and decreasing dropouts and increasing graduation rates. The use of data is critical to this work as is access to a robust statewide longitudinal data system (SLDS). The expansion of the KY SLDS for which funds are being requested in this application will provide the robust data tool needed to guide this work.

As the United States moves to a knowledge economy requiring higher educational levels and improved workforce skill levels among its population, it is critical for a high poverty/low educational level state like Kentucky to determine the status of its workforce in terms of educational levels and workforce skill levels. Kentucky needs to examine its current educational levels and workforce skill levels, compare them to education and workforce skill levels needed in the developing knowledge economy, and track over time the state's movement to ensure the workforce is better prepared for today's and tomorrow's economy. As of the date of this writing, the current KY SLDS contains data from pre-K through high school. Through a second round of funding from IES the KY SLDS is in the early stages of acquiring data that will enable the tracking of student and teacher information from early childhood, adult education and post-secondary institutions. This includes the process of incorporating data on teacher education, certifications, and assignments. Student financial aid data, and employment information from outside the educational environment have not yet been incorporated into the KY SLDS nor has information about non-degree teaching certifications, alternative routes to teaching, or the military. Funds are being requested in this grant proposal to allow expansion of the KY SLDS into these areas, with the exception of the military, by the addition of new data as well as to: address source data collection problems, quality and validity; ensure a strong operating discipline for managing data and information as a key enterprise asset; and, establish an identity management solution that allows access to a broad spectrum of users based on their role identification and authorization.

The Collaborative understands that without a robust decision support system, easily accessible to a broad-based constituency and which uses valid and reliable data to inform policy and practice from the state down to the classroom level the reform effort will not get off the ground. Data provide the roadmap to reform. They tell us where we are, where we need to go, and who is most at risk.

The creation of the KY SLDS, formerly known as the Kentucky Instructional Data System (KIDS), was made possible by a \$5.8 million grant from IES in the first round of competition, and \$2.9 in

