

# **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 # R384A100049**

Closing Date: NOV 19, 2009

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**Application for Federal Assistance SF-424**

Version 02

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

* 3. Date Received:	4. Applicant Identifier:
12/4/2009	

5a. Federal Entity Identifier:	* 5b. Federal Award Identifier:
	CFDA 84.384A

**State Use Only:**

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

**8. APPLICANT INFORMATION:**

\* a. Legal Name: Maine Department of Education

* b. Employer/Taxpayer Identification Number (EIN/TIN):	* c. Organizational DUNS:
016000001	809045545

**d. Address:**

* Street1:	23 State House Station
Street2:	
* City:	Augusta
County:	
State:	ME
Province:	
* Country:	USA
* Zip / Postal Code:	04333

**e. Organizational Unit:**

Department Name:	Division Name:
Maine Department of Education	School Finance and Operations

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

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

\* Last Name: Hurwitch

Suffix:

Title: SLDS Project Director

Organizational Affiliation:

\* Telephone Number: (207)624-6816 Fax Number: (207)624-6791

\* Email: BILL.HURWITCH@MAINE.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 CFDA 84.384A

**13. Competition Identification Number:**

84-384A

Title:

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

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

TEAchME - Tools for Educational Achievement in Maine

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: ME 1

\* b. Program/Project: ME 1

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	\$ 9531000
b. Applicant	\$
c. State	\$ 3800000
d. Local	\$ 0
e. Other	\$
f. Program Income	\$
g. TOTAL	\$ 13331000

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

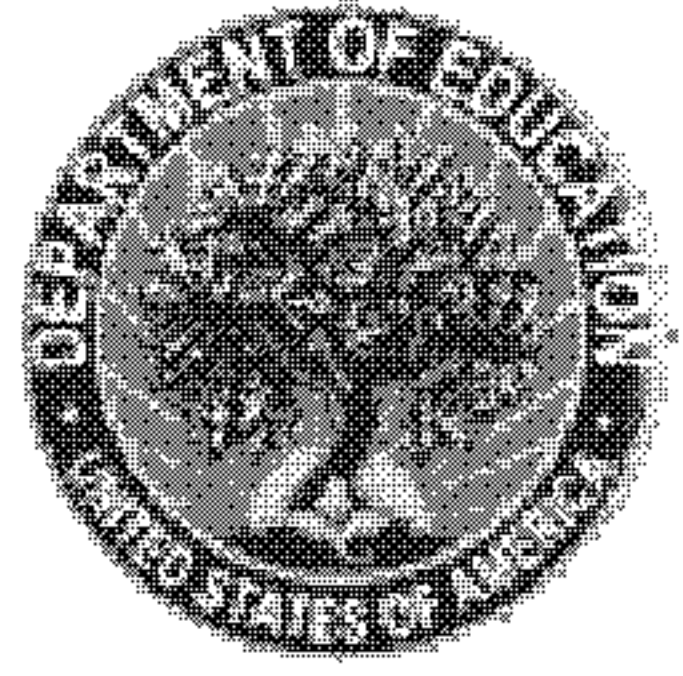
a. This application was made available to the State under the Executive Order 12372 Process for review on .

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.)**





**U.S. DEPARTMENT OF EDUCATION**

**BUDGET INFORMATION**

**NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:  
Maine 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	\$ 20,400	\$ 20,400	\$ 20,400	\$ 0	\$ 0	\$ 61,200
4. Equipment	\$ 120,000	\$ 20,000	\$ 10,000	\$ 0	\$ 0	\$ 150,000
5. Supplies	\$ 12,600	\$ 12,900	\$ 13,200	\$ 0	\$ 0	\$ 38,700
6. Contractual	\$ 3,513,000	\$ 2,592,900	\$ 2,406,800	\$ 0	\$ 0	\$ 8,512,700
7. Construction	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
8. Other	\$ 20,800	\$ 20,800	\$ 20,800	\$ 0	\$ 0	\$ 62,400
9. Total Direct Costs (lines 1-8)	\$ 3,686,800	\$ 2,667,000	\$ 2,471,200	\$ 0	\$ 0	\$ 8,825,000
10. Indirect Costs*	\$ 294,944	\$ 213,360	\$ 197,696	\$ 0	\$ 0	\$ 706,000
11. Training Stipends	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
12. Total Costs (lines 9-11)	\$ 3,981,744	\$ 2,880,360	\$ 2,668,896	\$ 0	\$ 0	\$ 9,531,000

**\*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 8%

(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:  
Maine 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	\$ 1,400,000	\$ 1,200,000	\$ 1,200,000	\$ 0	\$ 0	\$ 3,800,000
7. Construction	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
8. Other	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
9. Total Direct Costs (lines 1-8)	\$ 1,400,000	\$ 1,200,000	\$ 1,200,000	\$ 0	\$ 0	\$ 3,800,000
10. Indirect Costs	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
11. Training Stipends	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
12. Total Costs (lines 9-11)	\$ 1,400,000	\$ 1,200,000	\$ 1,200,000	\$ 0	\$ 0	\$ 3,800,000



## 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:** Susan A. Gendron

**Title:** Commissioner

**Date Submitted:** 12/04/2009



## 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

Maine Department of Education

### PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix:                      First Name: Susan    Middle Name: A

Last Name: Gendron    Suffix:

Title: Commissioner

Signature: \_\_\_\_\_    Date: 12/04/2009

ED 80-0013

03/04

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

**1. Project Director:**

Prefix:      \* First Name:                  Middle Name:                  \* Last Name:                  Suffix:  
Mr.            William                                                                                                    Hurwitch

Address:

\* Street1:                  23 State House Station  
Street2:  
\* City:                          Augusta  
County:  
\* State:                          ME\* Zip / Postal Code: 04333 \* Country: USA

\* Phone Number (give area                  Fax Number (give area  
code)    code)  
(207)624-6816    (207)624-6791

Email Address:

BILL.HURWITCH@MAINE.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 Abstrat** Pages: **1** Uploaded File: **H:\My Documents\ARRA\Final Application\Project Abstract.pdf**

## Project Abstract

The 2007 SLDS grant project TEAchME (Tools for Educational Achievement in Maine) established the core components of the Maine longitudinal data system and was designed to meet or exceed the Data Quality Campaign (DQC) Essential Elements for state longitudinal data systems, enable timely and accurate federal and State reporting, and provide training to stakeholders on collecting and reporting quality data and how to interpret data to make well-informed research-based decisions for improving student achievement.

While the 2007 SLDS grant project has provided significant value to the stakeholders in pre-k through 12 education, it does not include linkages to early childhood, postsecondary and workforce data. This inhibits the ability of educators, policy makers and researchers to conduct longitudinal studies and determine the effectiveness of early childhood programs, curriculum, teaching practices and other interventions throughout a person's life that impact education and workforce outcomes. Maine is seeking \$9,531,000 in additional funding to expand the core system to include a wider range of longitudinal data including early childhood programs, teacher effectiveness data, adult education and linkages to postsecondary and workforce data. Maine has identified the following five focus areas and key underlying components:

- 1) *Improve Teacher Effectiveness* through implementing of a new web-based **Educator Credentialing System** and a new web-based **Teacher Quality Management System**.
- 2) *Expand the SLDS Education Data Warehouse from a Pre-K through 12 to an Early Childhood through 20 system* by **Linking to Early Childhood Programs**; **Linking with Postsecondary Data** from the University of Maine System; replacing the existing **Adult Education System** with a more comprehensive centralized statewide system; and **Linking to Department of Labor Data Systems** to evaluate the relationships between student employment earnings outcomes and entry into Maine growth industries.
- 3) *Deliver Comprehensive Data Use Training Programs* by expanding the current SLDS Data Quality Certification Program to a wide range of stakeholders including the general public.
- 4) *Participate in Multi-State Collaboration Consortia* including the regional **New England Secondary School Consortium** and the national **CCSSO LEARN Consortium**.
- 5) *Partner with the Maine Education Research Policy Institute (MEPRI)* to conduct **Longitudinal Research Studies** utilizing the expanded TEAchME longitudinal data.

The 2009 grant project will be a coordinated effort that will include resources from the Maine Department of Education, the State Office of Information Technology, personnel from other State agencies, research organizations, contracted providers, local school administrative units, and public and private higher education institutions in Maine. Each component will add value to the existing longitudinal data system and address needs identified by stakeholders.

The 2009 grant components will leverage existing TEAchME capabilities including direct linkage to the education data warehouse and decision support business intelligence application and provide Maine with the tools and resources to meet or exceed the 2009 Recovery Act SLDS grant requirements. All new SLDS applications will be accessed through the education portal leveraging the State enterprise security model. Stakeholders will only need to sign-on to the portal to gain access to all the applications based on their roles and permissions.

# Project Narrative

## Project Narrative - Project Narrative

Attachment 1:

Title: **Project Narrative** Pages: **30** Uploaded File: **H:\My Documents\ARRA\Final Application\Project Narrative.pdf**



## Project Narrative

### 1. Project Need and Current SLDS Status

The 2007 SLDS grant project TEAchME (Tools for Educational Achievement in Maine) established the core components of the longitudinal data system and was designed to meet or exceed the Data Quality Campaign (DQC) Essential Elements for state longitudinal data systems, enable timely and accurate federal and State reporting, and provide training to stakeholders on collecting and reporting quality data and how to interpret data to make well-informed research-based decisions for improving student achievement. In 2007 Maine had three of ten DQC essential elements in place. Within one year of starting the SLDS project, Maine increased its number of essential elements to seven in the 2008 survey. The core components of the TEAchME system will be in place by June 2010 and the State is on track to achieving the three-year grant objectives.

A number of the TEAchME project components are operational including: the online **Education Data Dictionary** with 745 metadata elements defined, an inventory of data collections and repositories, and fully mapped NCES and ED Facts elements; a statewide **Financial Reporting System** with common codes and chart of accounts for LEA reporting; a **Statewide Student Information System** currently used by LEAs representing 40% of all students; and a **Data Quality Certification Training Program** that provides instructor-led and web-based courses on collecting, reporting and using data to improve student achievement. Additional key components including the **Education Data Warehouse/Decision Support System**, **Education Portal** and **eTranscript System** are scheduled to go live by summer 2010. Included in the TEAchME data warehouse design are a number of key data marts including: ED Facts, Essential Programs and Services, growth model, at-risk students and balanced scorecards.

While the 2007 SLDS grant project has provided significant value to the stakeholders in pre-k through 12 education, it does not include linkages to early childhood, postsecondary and workforce data. This inhibits the ability of educators, policy makers and researchers to conduct longitudinal studies and determine the effectiveness of early childhood programs, curriculum, teaching practices and other interventions throughout a person's life that impact education and workforce outcomes. In order for TEAchME to provide value to all stakeholders, the scope of the core system needs to be expanded to include a wider range of longitudinal data including early childhood programs, teacher effectiveness data, adult education and linkages to postsecondary and workforce data. The core system is designed to scale to an early childhood through workforce data system and can leverage the existing data dictionary, data warehouse, decision support system, education portal, and data quality training program.

In 2009 the Maine Department of Education received strong support from the State legislature with the passage of Public Law 2009, Chapter 448, *An Act To Improve the Ability of the Department of Education To Conduct Longitudinal Data Studies* (see Appendix A). The new law enables the Department of Education to collect student Social Security Numbers in order to link to postsecondary and workforce data.

The table below displays the results of an evaluation of Maine's current SLDS capabilities measured against the 2009 Recovery Act SLDS grant requirements and the plans to address the gaps with the 2009 grant application to meet Maine's needs.

## Required Data System Capabilities

<i>SLDS RFA</i>	<i>Maine SLDS</i>
<p><b>1</b> - The system must enable States to examine student progress and outcomes over time, including students' preparation to meet the demands of postsecondary education, the 21<sup>st</sup> century workforce, and the Armed Forces. Such a system must include data at the individual student level from preschool through postsecondary education and into the workforce (e.g., employment, wage, and earnings information).</p>	<p><i>Existing Capabilities:</i> The current SLDS is designed to track individual student enrollment, program participation and assessment data from pre-kindergarten through secondary education.</p> <p><i>Proposed Capabilities:</i> Linkages with early childhood, postsecondary, adult education and workforce data systems through cross agency client index tables with measurable outcomes established at all levels.</p>
<p><b>2</b> -The system must facilitate and enable the exchange of data among agencies and institutions within the State and between States so that data may be used to inform policy and practice. Such a system would support interoperability by using standard data structures, data formats, and data definitions to ensure linkages and connectivity among the various levels and types of data.</p>	<p><i>Existing Capabilities:</i> All students enrolled in publically funded pre-k through 12 programs as well as all staff employed by school units are assigned unique identifiers. Maine has developed a data dictionary with standard definitions that can be shared with other agencies and institutions.</p> <p><i>Proposed Capabilities:</i> Interoperability through data standards, SIF, PESC transcript standards and linkage of State agency systems (vertical expansion of data warehouse). Multi-state collaboration with partner New England states and participation in the CCSSO LEARN Consortium.</p>
<p><b>3</b> - The system must link student data with teachers, i.e., it must enable the matching of teachers and students so that a given student may be matched with the particular teachers primarily responsible for providing instruction in various subjects.</p>	<p><i>Existing Capabilities:</i> School units representing over 40% of Maine's students are using the statewide SIS with extensive teacher/student matching capabilities.</p> <p><i>Proposed Capabilities:</i> Continued expansion of statewide SIS (State-funded) and expanded local and State teach/class/student data collection.</p>
<p><b>4</b> - The system must enable the matching of teachers with information about their certification and teacher preparation programs, including the institutions at which teachers received their training.</p>	<p><i>Existing Capabilities:</i> Legacy credentialing system.</p> <p><i>Proposed Capabilities:</i> New self-service credentialing system linked with a new Teacher Quality Management System and collaboration with post-secondary teacher preparation programs.</p>
<p><b>5</b> - The system must enable data to be easily</p>	<p><i>Existing Capabilities:</i></p>

<p>generated for continuous improvement and decision-making, including timely reporting to parents, teachers, and school leaders on the achievement of their students.</p>	<p>TEAchME pre-k through 12 education data warehouse and decision support system with school improvement, balanced scorecards and growth model data marts linked to the education portal with public and secure access. <i>Proposed Capabilities:</i> Expansion of the scope of the data warehouse and creation of new data marts supported by education research partners.</p>
<p><b>6</b> - The system must ensure the quality and integrity of data contained in the system.</p>	<p><i>Existing Capabilities:</i> Maine business rules require validation of data before being loaded into the staging area and the data warehouse and regular data cleansing routines are scheduled. Users are encouraged to attend SLDS data quality certification training. <i>Proposed Capabilities:</i> The data quality certification training program will be expanded to a wider range of stakeholders as the sources of longitudinal data are increased.</p>
<p><b>7</b> - The system must provide the State with the ability to meet reporting requirements of the Department, especially reporting progress on the metrics established for the State Fiscal Stabilization Fund and the reporting requirements included in the EDFacts data collection and reporting system.</p>	<p><i>Existing Capabilities:</i> The SLDS data warehouse has an EDFacts data mart for federal reporting and an Essential Programs and Services (EPS) data mart for State reporting. All EDFacts and EPS data elements are defined and mapped in the data dictionary. ARRA data are maintained in the existing State system. <i>Proposed Capabilities:</i> A SFSF data mart will be created for reporting and analysis.</p>

**Required Data System Elements (America COMPETES Act):**

<i>SLDS RFA</i>	<i>Maine SLDS</i>
<p><b>8</b> - A unique statewide student identifier that does not permit a student to be individually identified by users of the system (except as allowed by Federal and State law).</p>	<p><i>Existing Capabilities:</i> All students enrolled in publically funded Pre-K through 12 programs are assigned unique identifiers. <i>Proposed Capabilities:</i> Linkages to identifiers used by other State agencies will be created through cross-agency client index tables.</p>
<p><b>9</b> - Student-level enrollment, demographic, and program participation information.</p>	<p><i>Existing Capabilities:</i> All student-level information including demographics and program participation are</p>

	<p>collected.</p> <p><i>Proposed Capabilities:</i> Expanded local and State teacher/class/student data collection.</p>
<p><b>10</b> - Student-level information about the points at which students exit, transfer in, transfer out, drop out, or complete P-16 education programs.</p>	<p><i>Existing Capabilities:</i> Student-level information about the points at which students exit, transfer in, transfer out, drop out, or complete PreK-12 education programs.</p> <p><i>Proposed Capabilities:</i> Measuring post-secondary matriculation and success rates are part of the planned post-secondary and multi-state collaboration.</p>
<p><b>11</b> - The capacity to communicate with higher education data systems.</p>	<p><i>Existing Capabilities:</i> A pilot program using common transcript data is a 2007 SLDS grant component.</p> <p><i>Proposed Capabilities:</i> Expanded multi-state electronic transcript system based on PESC standards and collaboration with the National Student Clearinghouse. Linkage with State postsecondary systems to measure college readiness and provide feedback to secondary schools.</p>
<p><b>12</b> - A state data audit system assessing data quality, validity, and reliability.</p>	<p><i>Existing Capabilities:</i> Data validation is built into the staging systems and verification and cleansing routines are part of the data warehouse architecture.</p> <p><i>Proposed Capabilities:</i> Additional data quality checks and reports for cross-agency and multi-state data.</p>
<p><b>13</b> - Yearly test records of individual students with respect to assessments under section 1111(b) of the elementary and Secondary Education Act of 1965.</p>	<p><i>Existing Capabilities:</i> Individual statewide assessment data are collected in the State system.</p> <p><i>Proposed Capabilities:</i> Expanded local and State capabilities to include incremental and formative assessment data.</p>
<p><b>14</b> - Information on students not tested, by grade and subject.</p>	<p><i>Existing Capabilities:</i> Information is collected on students who are not administered the statewide exams.</p> <p><i>Proposed Capabilities:</i> Expanded capabilities to collect data on the reasons why students are not tested.</p>
<p><b>15</b> - A teacher identifier system with the ability to match teachers to students.</p>	<p><i>Existing Capabilities:</i> All teachers are assigned unique identifiers.</p>

	<p>The rollout of the statewide SIS has increased the number of school units with extensive teacher/student matching capabilities.</p> <p><i>Proposed Capabilities:</i> Continued expansion of statewide SIS (State-funded) plus greater integration of local systems with the State data warehouse.</p>
<p><b>16</b> - Student-level transcript information, including information on courses completed and grades earned.</p>	<p><i>Existing Capabilities:</i> The statewide SIS produces student-level “official” transcripts for transmission to postsecondary institutions as well as the ability to electronically move student records between schools within and outside the State.</p> <p><i>Proposed Capabilities:</i> Development of electronic transcripts based on PESC and multi-state standards and expansion of horizontal and vertical records exchange.</p>
<p><b>17</b> - Student-level college readiness test scores.</p>	<p><i>Existing Capabilities:</i> All Maine students take the SAT in 11<sup>th</sup> grade and the PSAT twice in 10<sup>th</sup> grade.</p> <p><i>Proposed Capabilities:</i> Proposed regional multi-state college readiness data including ACT and SAT benchmark comparisons.</p>
<p><b>18</b> -Data that provide information regarding the extent to which students transition successfully from secondary school to postsecondary education, including whether students enroll in remedial coursework.</p>	<p><i>Existing Capabilities:</i> Data received from National Student Clearinghouse.</p> <p><i>Proposed Capabilities:</i> Proposed regional multi-state postsecondary matriculation and success rates data collection and reporting.</p>
<p><b>19</b> - Data that provide other information determined necessary to address alignment and adequate preparation for success in postsecondary education.</p>	<p><i>Proposed Capabilities:</i> Proposed NESSC multi-state postsecondary college success criteria in addition to college readiness data project with University of Maine System.</p>

**Other Application Requirements:**

<i>SLDS RFA</i>	<i>Maine SLDS</i>
<p><b>20</b> - States are encouraged to include or integrate data from special education, programs for English language learners, early childhood programs, human resources, finance, health, postsecondary, and other relevant areas, with the purpose of allowing important questions</p>	<p><i>Existing Capabilities:</i> Data on ELLs, early childhood, all school staff, finance and health are collected.</p> <p><i>Proposed Capabilities:</i> Expansion of early childhood data to include additional programs and linkage with</p>

