

# U.S. Department of Education

Washington, D.C. 20202-5335



## APPLICATION FOR GRANTS UNDER THE

**STATEWIDE LONGITUDINAL DATA SYSTEM RECOVERY ACT GRANTS**  
**CFDA # 84.384A**  
**PR/Award # R384A100008**

Closing Date: DEC 04, 2009

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<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: 12/2/2009	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: North Carolina Department of Public Instruction		
* b. Employer/Taxpayer Identification Number (EIN/TIN): 561492826	* c. Organizational DUNS: 809581762	
<b>d. Address:</b>		
* Street1:	301 North Wilmington Street	
Street2:		
* City:	Raleigh	
County:	Wake	
State:	NC	
Province:		
* Country:	USA	
* Zip / Postal Code:	27601	
<b>e. Organizational Unit:</b>		
Department Name: Office Of State Superintendent	Division Name: Policy and Strategic Planning	
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>		
Prefix:	Mr.	* First Name: Adam
Middle Name:		

\* Last Name: Levinson

Suffix:

Title: Director, Policy and Strategic Planning

Organizational Affiliation:

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

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

**Application for Federal Assistance SF-424** Version 02

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

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

**10. Name of Federal Agency:**

U.S. Department of Education

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

84.384A

CFDA Title:

Statewide Longitudinal Data System Recovery Act Grants

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

NCES09-02

Title:

Grants for statewide Longitudinal Data Systems Under the American Recovery and Reinvestment Act of 2009

**13. Competition Identification Number:**

Title:

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

Statewide

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

NC P20+ Statewide Longitudinal Data System

Attach supporting documents as specified in agency instructions.

**Attachment:**

Title :

File :

**Attachment:**

Title :

File :

**Attachment:**

Title :

File :

**Application for Federal Assistance SF-424**

Version 02

**16. Congressional Districts Of:**

\* a. Applicant: 13th

\* b. Program/Project: 13th

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

**Attachment:**

Title :

File :

**17. Proposed Project:**

\* a. Start Date: 7/1/2010

\* b. End Date: 6/30/2013

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

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

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

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

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

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

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

Yes  No

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

\*\* I AGREE

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

**Authorized Representative:**

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

Title: Enterprise Data Manager

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

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

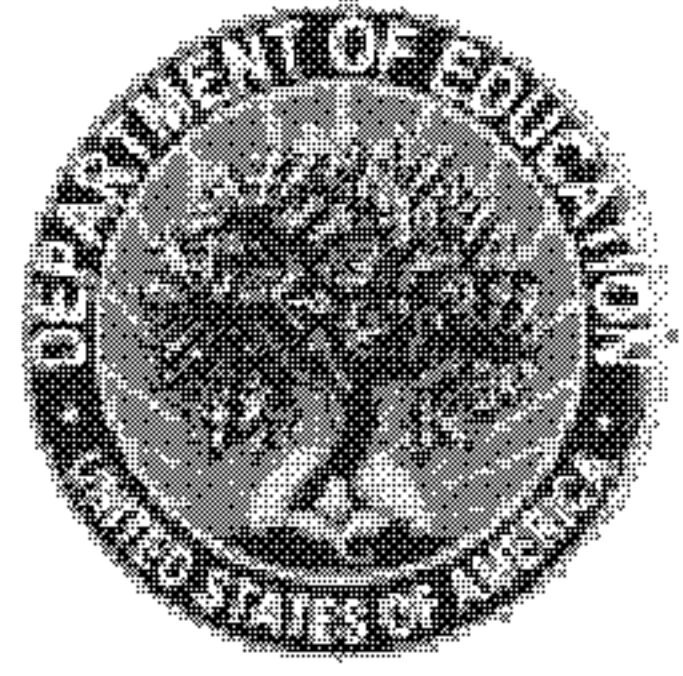
\* Signature of Authorized Representative: \* Date Signed:

**Application for Federal Assistance SF-424**

Version 02

**\* Applicant Federal Debt Delinquency Explanation**

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



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

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:  
North Carolina Department of Pub...

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

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

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

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

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

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

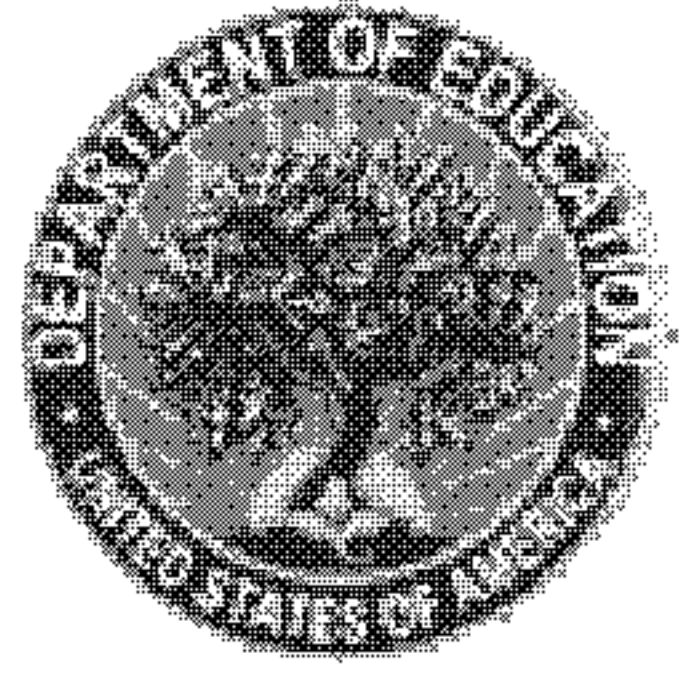
(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: 7/1/2009 To: 6/30/2010 (mm/dd/yyyy)

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

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

Is included in your approved Indirect Cost Rate Agreement? or,  Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is 0%



**U.S. DEPARTMENT OF EDUCATION**

**BUDGET INFORMATION**

**NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:  
North Carolina Department of Pub...

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

**SECTION B - BUDGET SUMMARY**

**NON-FEDERAL FUNDS**

Budget Categories	Project Year 1(a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	\$ 88,685	\$ 91,346	\$ 94,086	\$ 0	\$ 0	\$ 274,117
2. Fringe Benefits	\$ 17,737	\$ 18,269	\$ 18,817	\$ 0	\$ 0	\$ 54,823
3. Travel	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
4. Equipment	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
5. Supplies	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
6. Contractual	\$ 51,429	\$ 52,955	\$ 54,526	\$ 0	\$ 0	\$ 158,910
7. Construction	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
8. Other	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
9. Total Direct Costs (lines 1-8)	\$ 157,851	\$ 162,570	\$ 167,429	\$ 0	\$ 0	\$ 487,850
10. Indirect Costs	\$ 5,297	\$ 5,297	\$ 5,297	\$ 0	\$ 0	\$ 15,891
11. Training Stipends	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
12. Total Costs (lines 9-11)	\$ 163,148	\$ 167,867	\$ 172,726	\$ 0	\$ 0	\$ 503,741



## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Standard Form 424B (Rev.7-97)

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

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

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

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

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

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

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

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

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

**Signature of Authorized Certifying Representative:**

**Name of Authorized Certifying Representative:** Karl R. Pond

**Title:** Enterprise Data Manager

**Date Submitted:** 11/24/2009

### Disclosure of Lobbying Activities

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

<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: Karl R. Pond Title: Enterprise Data Manager Applicant: North Carolina Department of Public Instruction Date: 11/24/2009	
<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.

### APPLICANT'S ORGANIZATION

North Carolina Department of Public Instruction

### PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

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

Last Name: Pond      Suffix:

Title: Enterprise Data Manager

Signature:

Date:

11/24/2009

ED 80-0013

03/04

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

**1. Project Director:**

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

Address:

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

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

Email Address:

ALEVINSON@DPI.STATE.NC.US

**2. Applicant Experience**

Novice Applicant                       Yes               No               Not applicable

**3. Human Subjects Research**

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

Yes               No

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

Yes    Provide Exemption(s) #:

No    Provide Assurance #, if available:

**Please attach an explanation Narrative:**

**Attachment:**

Title :  
File :

# Project Narrative

## Project Narrative - Project Abstract

### Attachment 1:

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

## **I. Project Abstract**

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

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

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

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

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

# Project Narrative

## Project Narrative - Project Narrative

### Attachment 1:

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



# **I. Substantial Need for Project**

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## **1.1 Overview of Need**

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

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

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

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

## **1.2 Current Status of the P-20 SLDS in NC**

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

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

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

### **1.2.1 Elements of NC P20+ Already in Place**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

