

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 # R384A100056**

Closing Date: DEC 04, 2009

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

Application for Federal Assistance SF-424		Version 02
* 1. Type of Submission		
<input type="checkbox"/> Preapplication	* 2. Type of Application:* If Revision, select appropriate letter(s):	
<input checked="" type="checkbox"/> Application	<input checked="" type="checkbox"/> New	
<input type="checkbox"/> Changed/Corrected Application	<input type="checkbox"/> Continuation	* Other (Specify)
	<input type="checkbox"/> Revision	
* 3. Date Received:		4. Applicant Identifier:
12/4/2009		
5a. Federal Entity Identifier:		* 5b. Federal Award Identifier:
		NA
State Use Only:		
6. Date Received by State:	11/17/2009	7. State Application Identifier: UTG091117-030RA
8. APPLICANT INFORMATION:		
* a. Legal Name: Utah State Office of Education		
* b. Employer/Taxpayer Identification Number (EIN/TIN):		* c. Organizational DUNS:
876000545		029999372
d. Address:		
* Street1:	P.O. Box 144200	
Street2:	240 E 500 S	
* City:	Salt Lake City	
County:		
State:	UT	
Province:		
* Country:	USA	
* Zip / Postal Code:	84114	
e. Organizational Unit:		
Department Name:		Division Name:
Utah State Office of Education		Data, Assessment and Accountability
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix:	Dr.	* First Name: John
Middle Name:	H	

* Last Name: Brandt

Suffix:

Title: Information Technology Director

Organizational Affiliation:

Utah State Office of Education

* Telephone Number: (801)538-7953 Fax Number: (801)538-7938

* Email: JOHN.BRANDT@SCHOOLS.UTAH.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-072909-000

Title:

Institute of Education Sciences, ARRA-2009 Grant Program for Statewide Longitudinal Data Systems CFDA 84.384A

13. Competition Identification Number:

Title:

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

State

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

Utah Data Alliance

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: UT-02

* b. Program/Project: UT-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	\$ 9617736
b. Applicant	\$
c. State	\$
d. Local	\$
e. Other	\$
f. Program	\$
Income	
g. TOTAL	\$ 9617736

*** 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 11/19/2009.

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: Randy

Middle Name:

* Last Name: Raphael

Suffix:

Title: Statistician

* Telephone Number: (801)538-7802 Fax Number: (801)538-7938

* Email: RANDY.RAPHAEL@SCHOOLS.UTAH.GOV

* Signature of Authorized Representative:

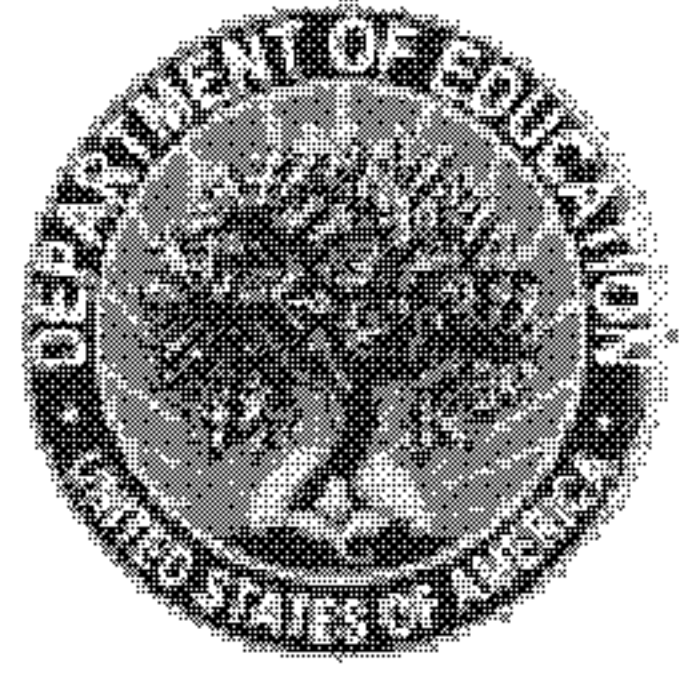
* Date Signed:

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:
Utah State Office 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	\$ 1,133,400	\$ 1,550,440	\$ 1,439,160	\$ 0	\$ 0	\$ 4,123,000
2. Fringe Benefits	\$ 386,184	\$ 518,784	\$ 481,406	\$ 0	\$ 0	\$ 1,386,374
3. Travel	\$ 138,000	\$ 124,500	\$ 84,500	\$ 0	\$ 0	\$ 347,000
4. Equipment	\$ 1,394,600	\$ 334,500	\$ 328,500	\$ 0	\$ 0	\$ 2,057,600
5. Supplies	\$ 5,000	\$ 5,000	\$ 5,000	\$ 0	\$ 0	\$ 15,000
6. Contractual	\$ 768,750	\$ 300,000	\$ 25,000	\$ 0	\$ 0	\$ 1,093,750
7. Construction	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
8. Other	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
9. Total Direct Costs (lines 1-8)	\$ 3,825,934	\$ 2,833,224	\$ 2,363,566	\$ 0	\$ 0	\$ 9,022,724
10. Indirect Costs*	\$ 164,115	\$ 223,476	\$ 207,421	\$ 0	\$ 0	\$ 595,012
11. Training Stipends	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
12. Total Costs (lines 9-11)	\$ 3,990,049	\$ 3,056,700	\$ 2,570,987	\$ 0	\$ 0	\$ 9,617,736

***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

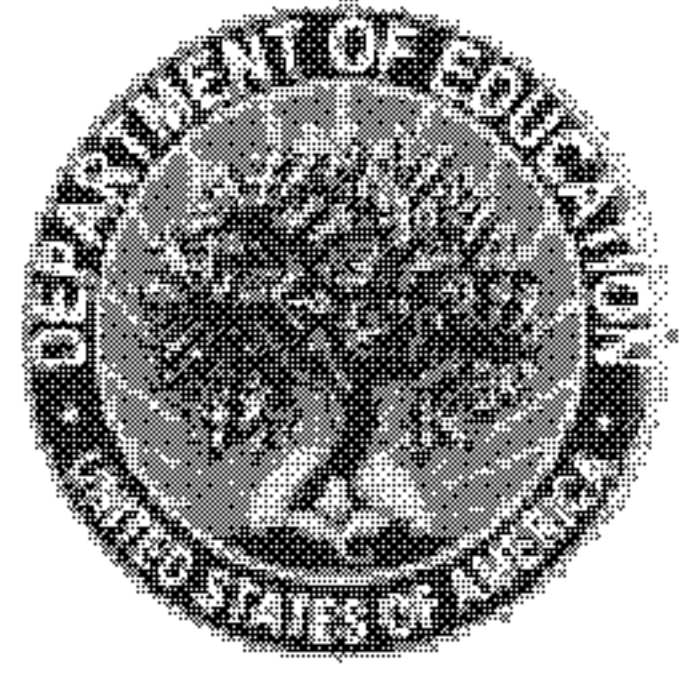
(2) If yes, please provide the following information:

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 10.8%

(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 10.8%



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

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:
 Utah State Office 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: Randy Raphael

Title: Statistician

Date Submitted: 12/04/2009

Disclosure of Lobbying Activities

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

1. Type of Federal Action: <input type="checkbox"/> Contract <input checked="" type="checkbox"/> Grant <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Loan <input type="checkbox"/> Loan Guarantee <input type="checkbox"/> Loan Insurance	2. Status of Federal Action: <input checked="" type="checkbox"/> Bid/Offer/Application <input type="checkbox"/> Initial Award <input type="checkbox"/> Post-Award	3. Report Type: <input checked="" type="checkbox"/> Initial Filing <input type="checkbox"/> Material Change For Material Change only: Year: 0 Quarter: 0 Date of Last Report:
4. Name and Address of Reporting Entity: <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier, if known: 0 Name: Utah State Office of Education Address: 250 E 500 S City: Salt Lake City State: UT Zip Code + 4: 84114-4200 Congressional District, if known: 01	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Name: Address: City: State: Zip Code + 4: - Congressional District, if known:	
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable: 84.384A	
8. Federal Action Number, if known:	9. Award Amount, if known: \$0	
10. a. Name of Lobbying Registrant (if individual, last name, first name, MI): Address: City: State: Zip Code + 4: -	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI): Address: City: State: Zip Code + 4: -	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Name: John Brandt Title: Information Technology Director Applicant: Utah State Office of Education Date: 12/04/2009	
Federal Use Only:		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance.

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

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

APPLICANT'S ORGANIZATION

Utah State Office of Education

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix: Mr. First Name: Randy Middle Name:

Last Name: Raphael Suffix:

Title: Statistician

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:
Dr. John H Brandt

Address:

* Street1: P.O. Box 144200
Street2: 250 E 500 S
* City: Salt Lake City
County:
* State: UT* Zip / Postal Code: 84114 * Country: **USA**

* Phone Number (give area Fax Number (give area
code) code)
(801)538-7953 (801)538-7938

Email Address:

JOHN.BRANDT@SCHOOLS.UTAH.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 Abstract** Pages: **1** Uploaded File: **Project_Abstract.pdf**

Utah Application for 2009 USED-IES-NCES-SLDS Grant Program Utah Data Alliance (UDA)

Utah has a well-established history of strong student longitudinal data systems in the K-12 range of public education. Utah public education systems fulfill, in part or completely, most of the seven capabilities and twelve elements that the statewide longitudinal data system (SLDS) request for application prescribes. The objectives and outcomes of this Utah Data Alliance (UDA) project can be summarized as the fulfillment of the entire set of SLDS requirements. Some of these requirements must be completed while others need improvements-- most notably in the availability of data for decision-making.

The fulfillment of these requirements brings several state agencies together, first to share their de-identified data, and then to coordinate analyses and research using those data. This work allows the partner agencies to answer questions about their policies, programs and practices. The questions include, but are not limited to, those asked by the American Recovery and Reinvestment Act (ARRA), Institute of Educational Sciences (IES), SLDS grants program; the ARRA, Race to the Top (RttT); and the State Fiscal Stabilization Fund (SFSF) assurances.

The Utah Education Network (UEN) will build and manage the Utah Data Alliance Data Share (UDADS) to maintain these data, while the other agencies provide and consume needed data from UDADS. The Utah Education Policy Center (UEPC) also plays a key role in the project. The UEPC provides overall data and research coordination functions while pursuing its own and contracted research projects using the UDADS.

This application describes the development and delivery of numerous tangible outcomes (e.g. human resources, tools, databases, organizational and management structures, and processes) that complete all seven capabilities and twelve elements prescribed by the grant request for applications. These tangible or enabling outcomes provide the capacity to achieve answers to multiple categories of education and workforce policy, practice and program questions. The application describes those questions the UDA partners will address with the resources provided by the UDA. The enabling outcomes include:

- 1) **Human resources are the major component of the project** - Numerous positions and roles are needed. Business and systems analysts will define the needed systems, processes and procedures. IT specialists working with the analysts will build the data warehouse. Trainers will ready the data analysts and researchers so they can effectively use the data. Moreover, those data analysts, statisticians and researchers will answer the policy, practice and program questions.
- 2) **UDADS** - UDADS is the project's primary technical and enabling outcome. It will be constructed and updated through scheduled import of data from partner agencies. UDADS will transform, clean and load the data and integrate them into an accessible and timely data store for the analysts, statisticians and researchers.
- 3) **Project management and data governance** - Management of UDA's data, processes and procedures is vital not only in the initial development phases of the project, but in the following years as the teams in the partner agencies work on individual research questions and collaborate on shared outcomes. During the initial period, this work will take the form of project management. As the UDADS becomes operational, management roles will shift towards data governance and the coordination of data access and research. The UDA will emphasize sound data management and governance practice throughout the project.
- 4) **Training and staff development** - Those using the data need to understand the semantics and the structure of the data as well as the business intelligence tools used to work with those data. Training and staff development must be ongoing throughout the project.

Project Narrative

Project Narrative - Project Narrative

Attachment 1:

Title: **Project Narrative** Pages: **30** Uploaded File: **Project Narrative.pdf**

Utah Application for FY09/ARRA SLDS Grant Program

Utah Data Alliance (UDA)

Section 1 - Need for the Project

1.1. INTRODUCTION

Utah has a well-established history of strong student longitudinal data systems in K-12 public education. Section 1.2 and **Appendix C** describe Utah's progress in completing the capabilities and elements required by the FY09/ARRA-SLDS grant completion.

Utah still needs to complete two significant capabilities. The first of these capabilities is linking an individual's K-12 data to pre-kindergarten, postsecondary, workforce and Armed Forces records. Such linking enables the analysis of student progress, and outcomes over a longer period. The second capability is exchange of those data using widely recognized data standards. Through the work proposed in this application, the fulfillment of these two capabilities extends the usefulness, quality and availability of all twelve required elements.

This application describes the development and delivery of numerous technology outcomes including data exchange procedures, technology resources, and organizational structures that enable the fulfillment of all seven capabilities and twelve elements. More importantly, these outcomes include the capacity to analyze data from all levels of education and into the workforce in order to answer questions about education and workforce policy, practice and programs.

When the grant application committee first met in August of 2009, the number of agencies to include was a major topic. The committee decided to limit the initial scope to six partners. They are listed here with examples of the data they provide and their roles in the project.

- **Utah State Office of Education (USOE)** - pre-kindergarten and K-12 enrollments and achievement
- **Utah System of Higher Education (USHE)** - higher education enrollments
- **Utah College of Applied Technology (UCAT)** - Postsecondary
- **Utah Department of Workforce Services (DWS)** - employment/unemployment, Armed Services, Federal employees
- **Utah Education Network (UEN)** - custodian of the data
- **Utah Education Policy Center (UEPC)** - University of Utah College of Education, the primary independent data analysis and research entity

The committee named the organization that will pursue these outcomes the **Utah Data Alliance (UDA)**. The UDA includes the **Utah Data Alliance Data Share (UDADS)**; analysis, research and business intelligence tools; analysts and researchers; trainers and managers; and inter-agency governance processes and structures. **Appendix A, Attachment 1** contains a flow diagram that provides an overview of the exchange of data and the governance between the partners.

The grant application committee fully recognizes the need to involve additional partners over time as the UDA and the UDADS evolve. These additional partners may include the following.

- Utah Department of Corrections - incarcerations, recidivism
- Utah Department of Health - pre-kindergarten programs, Immunizations
- Utah Department of Human Services - Head Start, foster students, youth in custody
- Utah Department of Public Safety - Driving records

1.2. UTAH’S EXISTING AND FUTURE SLDS - SUMMARY TABLE

This section and **Appendix C** provide a comprehensive description of the present and future status of Utah’s P-20 SLDS. It begins with a summary table, and then in a more detailed narrative it lists the capabilities and elements the UDA adds.

The **bolded text** in the cells under the heading **Required Capabilities** and later **Required Elements** indicates the SLDS requirements fulfilled through the work and funds proposed in this application. The acronyms in the **Funding Sources** column indicate where the funds used to fulfill a capability or element to the left originate. The acronyms are defined here.

- *2007 SLDS*: funds from the 2007 SLDS grant
- **2009/ARRA SLDS**: funds to complete the work proposed in this application
- *USED*: from other recovery act funds, federal formulas or discretionary funds
- *UTAH*: from state funds

Required Capabilities	Funding Sources
<p>1 - The system must enable States to examine student progress and outcomes over time, including students’ preparation to meet the demands of postsecondary education, the 21st 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>UTAH</i> <i>USED</i> <i>2007 SLDS</i> 2009/ARRA SLDS</p>
<p>2* - 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 linkage and connectivity among the various levels and types of data.</p>	<p><i>UTAH</i> <i>2007 SLDS</i> 2009/ARRA SLDS</p>
<p>3 - 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>UTAH (applies to K-12 only)</i></p>
<p>4 - 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</p>	<p><i>UTAH (applies to K-12 only)</i></p>

training.	
5 - The system must enable data to be easily generated for continuous improvement and decision-making , including timely reporting to parents, teachers, and school leaders on the achievement of their students.	<i>UTAH 2007 SLDS 2009/ARRA SLDS</i>
6 - The system must ensure the quality and integrity of data contained in the system.	<i>UTAH 2007 SLDS (already addressed at K-12) 2009/ARRA SLDS</i>
7 - 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 ED Facts data collection and reporting system.	<i>UTAH USED 2007 SLDS 2009/ARRA SLDS</i>
Required Elements	Funding sources
With respect to preschool through grade 12 education and postsecondary education:	
1 - 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)	<i>UTAH (P-16) 2007 SLDS (K-16) 2009/ARRA SLDS</i>
2 - Student-level enrollment, demographic, and program participation information	<i>UTAH (K-12 & postsecondary) 2009/ARRA SLDS</i>
3 - Student-level information about the points at which students exit, transfer in, transfer out, drop out, or complete P-16 education programs	<i>UTAH (K-12 and postsecondary) 2009/ARRA SLDS</i>
4 - The capacity to communicate with higher education data systems	<i>UTAH (K-12) 2007 SLDS (K-16) 2009/ARRA SLDS</i>
5 - A State data audit system assessing data quality, validity, and reliability	<i>UTAH (K-12) 2007 SLDS (K-12) 2009/ARRA SLDS</i>
With respect to preschool through grade 12 education:	
6 - Yearly test records of individual students with respect to assessments under section 1111(b) of the Elementary and Secondary Education Act of 1965	<i>UTAH (K-12) 2009/ARRA SLDS</i>
7 - Information on students not tested, by grade and subject	<i>UTAH (K-12) 2009/ARRA SLDS</i>
8 - A teacher identifier system with the ability to match teachers to students	<i>UTAH (K-12) 2009/ARRA SLDS</i>

9 - Student-level transcript information, including information on courses completed and grades earned	<i>UTAH (K-12) 2007 SLDS (K-16) 2009/ARRA SLDS</i>
10 - Student-level college readiness test scores	<i>UTAH 2009/ARRA SLDS</i>
With respect to postsecondary education:	
11- 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	<i>2009/ARRA SLDS</i>
12 - Data that provide other information determined necessary to address alignment and adequate preparation for success in postsecondary education	<i>2009/ARRA SLDS</i>

***Note:** The UDA will not actually develop the sub-part of capability 2 that addresses the exchange of data between states. However, it will consider and cooperate with WICHE's multistate data projects. The UDA will adhere to standards such as the School Interoperability Framework (SIF), the Postsecondary Electronic Standards Council (PESC) and other XML schemas. These standards lay the groundwork for future interstate data exchanges and cooperative data projects.

1.3. ADDITIONAL SLDS CAPABILITIES AND ELEMENTS (ABSENT FROM THE EXISTING SLDS)

Utah has completed many SLDS requirements, some are under development and a third group have not begun. The following paragraphs describe that third group and the outcomes of the UDA work that will fulfill those requirements. They do not address the improved access to complete SLDS elements or elements under development when that improved access is just a byproduct of those elements' incorporation into the UDADS. **Appendix C** lists these byproduct outcomes.

SLDS Capabilities The highlighted text indicates the parts of an SLDS RFA requirement the UDA project will fulfill.

Capability #1 - The system must enable States to examine student progress and outcomes over time, including **students' preparation to meet the demands of postsecondary education, the 21st 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).**

A primary product/outcome of this application is a shared pre-kindergarten, K-12, postsecondary, and workforce services longitudinal data warehouse, the Utah Data Alliance Share (UDADS). It will collect, store and make available the data necessary to analyze data and answer these and many other questions about the success of policies, practices and programs for students at all levels of their education and employment preparation. This data share protects

individual privacy. It provides only de-identified unit record data. Any personally identifiable information is maintained in separate data structures that are never shared or otherwise exposed to any user of the data. Access to even the de-identified data is restricted to authorized researchers who are bound to strict use policies.

Capability #2 - 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 linkage and connectivity among the various levels and types of data.**

The UDADS will collect and import data from the partner agencies in the formats most appropriate for that data. Pre-kindergarten and K-12 data can be collected via SIF objects and postsecondary data via PESC. Workforce services and Armed Forces data can be collected in various formats and via data specific XML schemas wherever possible. Once in the UDADS, partners will share the data as described in data dictionaries and data views. Data will be exported through various formats and protocols including XML, Microsoft Excel and any number of other formats (e.g. SIF, PESC).

Capability #5 - The system must enable data to be easily generated for **continuous improvement and decision-making**, including timely reporting to parents, teachers, and school leaders on the achievement of their students.

Although Utah's K-12 system includes a wide range of student level data and can deliver it to the SEA, LEA, school, classroom and parent levels in a timely manner such delivery is not done uniformly. The current UTREx project funded by the 2007 SLDS grant will make that possible for every classroom, school, LEA and the SEA. This outcome/improvement complements Utah's Race to the Top (RttT) application that seeks to expand the use of data at the school and classroom levels. Most notably, part of Utah's RttT proposal includes the integration of Utah SIS2000+ system's grade book with its Utah Test Item Pool (UTIPS) formative assessment delivery system. This integration would automate the updating of each state standard and objective achieved by the student based on his or her performance on UTIPS items. Utah's RttT also includes plans for more comprehensive professional development at the school and classroom levels so those data can be used for making data driven decisions to improve student achievement. See related components of Utah's RttT draft application in **Appendix A, Attachment 2.**

Although Utah's K-12 longitudinal data system collects student-level classroom data from LEAs and provides data, especially student performance data, to the LEA, school and classroom levels, the K-12 SLDS needs to collect and manage more data about the settings, types and methods of instruction, as well as the teacher's practice and behavior in the classroom. This will help to fulfill one of Utah's major RttT K-12 goals, continuous improvement of instruction. Better data about instruction will require significant modification to local K-12 systems, the statewide K-12 data warehouse and eventually the UDADS. The USOE data warehouse currently only collects and maintains data about the instructional setting (e.g. face-to-face, online, independent) of

individual classes within a school. However, the collection of more comprehensive data about classroom instruction is beyond the scope of UDA. Such work will be proposed in Utah RttT application.

Capability #6 - The system must ensure the quality and integrity of data contained in the system.

This applies to all components and databases that make up the P-20 SLDS. Utah is already addressing data quality and integrity in the K-12 environment but must continue to do so as the SLDS reaches below and above the K-12 range. The application will address how databases and the processes surrounding those databases in the pre-kindergarten and postsecondary ranges will be designed to ensure data quality and data integrity. Most of this effort will be focused on the proposed data warehouse (UDADS) to be shared by the UDA partners.

Capability #7 - 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 ED Facts data collection and reporting system.

Many SFSF reporting needs include the capabilities and elements to track students from K-12 into postsecondary. With the UDA data, one will be able to determine the outcomes of postsecondary experiences and how well students were prepared for the postsecondary environment. Two key areas of improvement related to SFSF requirements are 1) the ability to determine which K-12 student entered postsecondary institutions 2) whether or not they finished a program 3) how long they were enrolled, and 4) if their K-12 preparation work prepared them for postsecondary work. Utah also needs to report on the performance evaluations of K-12 principals and teachers. In addition, Utah will use 2009/ARRA SLDS funds to continue to automate and improve the accuracy and timeliness of its ED Facts reporting.

SLDS Elements

Element #1 - 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)

UDADS will collect, store and make available, individual data necessary to research and answer these and many other questions about the success of programs for students at all levels of their education and employment preparation. Primary matching across the data will be done by SSID (for pre-kindergarten and K-12 to postsecondary) and SSN (for workforce to postsecondary). Since public postsecondary databases generally have the K-12 SSID and the SSN, this will allow for indirect matching for K-12 to workforce data. In other instances, such as an individual going directly to the workforce after K-12, some type of attribute-probabilistic matching will be employed. The SSID is being treated as a personally identifiable piece of information like name and address. It is not provided on public documents and will not be distributed in data files going to analysts/researchers. In 2007 the Utah State Legislature passed a statute requiring the use of

the K-12 SSID to follow students through their public postsecondary education careers (See **Appendix A, Attachment 3**). The legislature mandated the use of the K-12 SSID in a prior session.

Element #3 - Student-level information about the points at which students exit, transfer in, transfer out, drop out, or complete P-16 education programs

Most of these data points already exist for students in K-12 and then again in the postsecondary for Utah's public education institutions, but the data are not integrated in one common data warehouse. The USOE has a warehouse that contains the K-12 data points while the Utah State Board of Regents (USOR) and the Utah College of Applied Technology (UCAT) maintains a data warehouse that contains such data for postsecondary institutions. The UDADS will bring all those data together into one longitudinal database.

Element #4 - The capacity to communicate with higher education data systems

Although Utah public K-12 data are passed to public postsecondary institutions via transcripts aided by the Utah SSID, work must be done to integrate workforce data, postsecondary data and K-12 data. Work also needs to be completed in order to include private postsecondary and possibly private K-12. Within the UTREx system SIF standards are employed extensively at the K-12 level. For the transfer of electronic records to the postsecondary schools EDI/Speede as well as PESC standards and protocols can be employed. Likewise, these standards will be used whenever possible to move data within the UDA.

Element #5 - A state data audit system assessing data quality, validity, and reliability

Data quality audits are being done at the K-12 level, but as those data become integrated with both postsecondary and workforce data, additional auditing will need to be implemented to ensure the quality of those combined datasets. The UDA provides for staff to be hired in each partner agency and for a dedicated auditor over all UDA work. Agency UDA staff will work with the dedicated auditor on an as needed basis.

Element #10 - Student-level college readiness test scores

Although the USOE data warehouse contains student level readiness test scores, more scores, specifically SAT scores need to be added. In addition, such scores will be matched with postsecondary performance data and workforce data to make effective use of them to answer curriculum alignment and other transitional and retention questions.

Element #11 - 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

Most of these data (e.g. grades, scores, exit, transfer, dropout, completion) are included in the existing USOE and USHE datasets, but have not been integrated into one common data warehouse. Other data such as behavior indicators, and teacher information could also be added. Of

