

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

**Washington, D.C. 20202-5335**



## **APPLICATION FOR GRANTS UNDER THE**

**STATEWIDE LONGITUDINAL DATA SYSTEMS**

**CFDA # 84.372A**

**PR/Award # R372A070013**

**Grants.gov Tracking#: GRANT00233466**

Closing Date: MAR 15, 2007

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**Application for Federal Assistance SF-424**

Version 02

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

* 3. Date Received: 03/15/2007	4. Applicant Identifier: _____
-----------------------------------	-----------------------------------

5a. Federal Entity Identifier: _____	* 5b. Federal Award Identifier: _____
-----------------------------------------	------------------------------------------

**State Use Only:**

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

**8. APPLICANT INFORMATION:**

* a. Legal Name: Education, Indiana Department of	
* b. Employer/Taxpayer Identification Number (EIN/TIN): 35-6000158	* c. Organizational DUNS: 824799209

**d. Address:**

* Street1: Room 229 State House
Street2: _____
* City: Indianapolis
County: _____
* State: IN: Indiana
Province: _____
* Country: USA: UNITED STATES
* Zip / Postal Code: 46204

**e. Organizational Unit:**

Department Name: _____	Division Name: _____
---------------------------	-------------------------

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

Prefix: _____	* First Name: Anne
Middle Name: _____	
* Last Name: Brinson	
Suffix: _____	
Title: _____	
Organizational Affiliation: _____	
* Telephone Number: 317-232-0807	Fax Number: _____
* Email: abrinson@doe.state.in.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:**

84.372

CFDA Title:

Statewide Data Systems

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

ED-GRANTS-121806-001

\* Title:

Statewide Longitudinal Data Systems CFDA 84.372A

**13. Competition Identification Number:**

84-372A2007-1

Title:

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

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

P-20 Comprehensive Data System

Attach supporting documents as specified in agency instructions.

**Application for Federal Assistance SF-424**

Version 02

**16. Congressional Districts Of:**

\* a. Applicant

\* b. Program/Project

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

**17. Proposed Project:**

\* a. Start Date:

\* b. End Date:

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

* a. Federal	<input type="text" value="5,225,385.00"/>
* b. Applicant	<input type="text" value="(b)(4)"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text"/>

**\* 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:  \* First Name:

Middle Name:

\* Last Name:

Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

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

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Standard Form 424 (Revised 10/2005)  
Prescribed by OMB Circular A-102

**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.

## Attachments

AdditionalCongressionalDistricts

**File Name**

**Mime Type**

AdditionalProjectTitle

**File Name**

**Mime Type**



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

OMB Control Number: 1890-0004

Expiration Date: 06/30/2005

Name of Institution/Organization:  
 Education, Indiana Department of

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

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

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	\$ 312,000	\$ 312,000	\$ 170,000	\$ 0	\$ 0	\$ 794,000
2. Fringe Benefits	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
3. Travel	\$ 5,000	\$ 5,000	\$ 2,000	\$ 0	\$ 0	\$ 12,000
4. Equipment	\$ 44,385	\$ 25,000	\$ 0	\$ 0	\$ 0	\$ 69,385
5. Supplies	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
6. Contractual	\$ 1,331,250	\$ 1,828,125	\$ 815,625	\$ 0	\$ 0	\$ 3,975,000
7. Construction	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
8. Other	\$ 300,000	\$ 37,500	\$ 37,500	\$ 0	\$ 0	\$ 375,000
9. Total Direct Costs (lines 1-8)	\$ 1,992,635	\$ 2,207,625	\$ 1,025,125	\$ 0	\$ 0	\$ 5,225,385
10. Indirect Costs*	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
11. Training Stipends	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
12. Total Costs (lines 9-11)	\$ 1,992,635	\$ 2,207,625	\$ 1,025,125	\$ 0	\$ 0	\$ 5,225,385

**\*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: \_\_\_/\_\_\_/\_\_\_ To: \_\_\_/\_\_\_/\_\_\_ (mm/dd/yyyy)

Approving Federal agency:  ED  Other (please specify): \_\_\_\_\_

(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(e)(2)?



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

OMB Control Number: 1890-0004

Expiration Date: 06/30/2005

Name of Institution/Organization:  
 Education, Indiana Department of

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

**SECTION B - BUDGET SUMMARY**  
**NON-FEDERAL FUNDS**

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

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

OMB Approval No. 4040-0007  
Expiration Date 04/30/2008

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 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 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.

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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 subagreements.
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 (Clean Air) Implementation Plans under Section 176(c) of the Clean 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. §§1271 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 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 OFFICIAL Anne Brinson	* TITLE Associate Superintendent
* APPLICANT ORGANIZATION Education, Indiana Department of	* DATE SUBMITTED 03-15-2007

Standard Form 424B (Rev. 7-97) Back

# DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure.)

Approved by OMB

0348-0046

<p>1. * Type of Federal Action:</p> <p><input type="checkbox"/> a. contract</p> <p><input checked="" type="checkbox"/> b. grant</p> <p><input type="checkbox"/> c. cooperative agreement</p> <p><input type="checkbox"/> d. loan</p> <p><input type="checkbox"/> e. loan guarantee</p> <p><input type="checkbox"/> f. loan insurance</p>	<p>2. * Status of Federal Action:</p> <p><input type="checkbox"/> a. bid/offer/application</p> <p><input checked="" type="checkbox"/> b. initial award</p> <p><input type="checkbox"/> c. post-award</p>	<p>3. * Report Type:</p> <p><input checked="" type="checkbox"/> a. initial filing</p> <p><input type="checkbox"/> b. material change</p> <p>For Material Change Only:</p> <p>year                      quarter</p> <p>date of last report</p>
<p>4. Name and Address of Reporting Entity:</p> <p><input checked="" type="checkbox"/> Prime    <input type="checkbox"/> SubAwardee    Tier if known:</p> <p>* Name: Not Applicable</p> <p>* Address: Not Applicable</p> <p>Not Applicable</p> <p>Congressional District, if known:</p>		<p>5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:</p>
<p>6. * Federal Department/Agency:</p> <p>Not Applicable</p>	<p>7. * Federal Program Name/Description: Statewide Data Systems</p> <p>CFDA Number, if applicable: 84.372</p>	
<p>8. Federal Action Number, if known:</p>	<p>9. Award Amount, if known:</p>	
<p>10. a. Name and Address of Lobbying Registrant (if individual, complete name):</p> <p>* Name: Not Applicable</p> <p>Not Applicable</p> <p>* Address:</p>	<p>b. Individual Performing Services (including address if different from No. 10a):</p> <p>* Name: Not Applicable</p> <p>Not Applicable</p>	
<p>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 the 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.</p>		<p>* Signature: Anne Brinson</p> <p>* Name: Not Applicable</p> <p>Not Applicable</p> <p>Title:</p> <p>Telephone No.:</p> <p>Date: 03-15-2007</p>
<p>Federal Use Only:</p>		<p style="text-align: right;">Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)</p>



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

<b>* APPLICANT'S ORGANIZATION</b> Education, Indiana Department of	
<b>* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE</b> Prefix:        * First Name: Anne        Middle Name: * Last Name: Brinson        Suffix:        * Title: Associate Superintendent	
<b>* SIGNATURE: Anne Brinson</b>	<b>* DATE: 03/15/2007</b>

# SUPPLEMENTAL INFORMATION REQUIRED FOR DEPARTMENT OF EDUCATION GRANTS

## 1. Project Director

\* Name:

Anne

Brinson

\* Address:

Room 229 State House

Indianapolis

IN: Indiana

46204

USA: UNITED STATES

\* Phone Number:

317-232-0807

Fax Number:

Email:

## 2. Applicant Experience:

Yes  No  Not applicable to this program

## 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:**

FileName

MimeType

# **Project Narrative**

## **Abstract Narrative**

Attachment 1:

Title: Pages: Uploaded File: **7394-project\_abstract.pdf**

## **Project Abstract**

The Indiana Department of Education plans to use funds from the Statewide Longitudinal Data System Grant to build upon and integrate its current data collection system to create a comprehensive P-20 data system. This system will enable the Department, key education stakeholders and state agencies, and the public to access, query, analyze, and report on relevant and important educational information from early childhood through employment.

Envisioned is a comprehensive, longitudinal P-20 data system that will allow data integration at all levels and the ability for stakeholders to track and analyze student achievement and attainment from early childhood through higher education and beyond. This full-featured, state-of-the-art tool which will allow the use of data to evaluate programming, inform state policy, and affect student learning. Moreover, the integration of all Department data sources will improve the timeliness and accuracy of data submission through EDEN. Data will be fully protected to comply with legal confidentiality requirements.

Indiana already has unique student identifiers and collects most information required for EDEN/*EdFacts* at the student record level. In addition to using grant funds to enhance the state's current student level data collection system, we will use resources from this project to expand our system into a fully articulated tool. The expanded system will include unique teacher and school personnel identifiers, enabling education stakeholders to examine factors affecting student academic achievement, including teacher mobility, staff demographics, teacher preparation, teacher credentials, teachers working in and out of field, and teacher effectiveness. The system will also include enhanced reporting tools. Finally, the P-20 system will include institutional information such as facilities and financial information. Training and technical assistance on using the system will be provided for stakeholders to encourage widespread utilization of data.

Project efforts will be supported by multiple collaborations. Collaborators for this project will include multiple divisions at the Department, such as Educational Information Systems, the Division of Assessment, the Division of Educational Options, the Division of Exceptional Learners, and the Division of Compensatory Education (Title I), among others. Outside collaborators will include such key P-20 stakeholders as the Commission for Higher Education, the Indiana State Board of Education, the Indiana Office of Technology, and the Indiana Governor's Office.

# Project Narrative

## Project Narrative

Attachment 1:

Title: Pages: Uploaded File: **4988-Mandatory\_grant\_application.pdf**



State of Indiana

Department of Education

Project P-20 Longitudinal Data System

Statewide Longitudinal Data Systems Grant Application

CFDA Number: 84.372

March 14, 2007

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## **Project Abstract**

The Indiana Department of Education plans to use funds from the Statewide Longitudinal Data System Grant to build upon and integrate its current data collection system to create a comprehensive P-20 data system. This system will enable the Department, key education stakeholders and state agencies, and the public to access, query, analyze, and report on relevant and important educational information from early childhood through employment.

The vision is a comprehensive, longitudinal P-20 data system that will allow data integration at all levels and the ability for stakeholders to track and analyze student achievement and attainment from early childhood through higher education and beyond. This full-featured, state-of-the-art tool will allow the use of data to evaluate programming, inform state policy, and affect student learning. Moreover, the integration of all Department data sources will improve the timeliness and accuracy of data submission through EDEN. Data will be fully protected to comply with legal confidentiality requirements.

Indiana already has unique student identifiers and collects most information required for EDEN/*EdFacts* at the student record level. In addition to using grant funds to enhance the state's current student level data collection system, we will use resources from this project to expand our system into a fully articulated tool. The expanded system will include unique teacher and school personnel identifiers, enabling education stakeholders to examine factors affecting student academic achievement, including teacher mobility, staff demographics, teacher preparation, teacher credentials, teachers working in and out of field, and teacher effectiveness. The system will also include enhanced reporting tools. Finally, the P-20 system will include institutional information such as facilities and financial information. Training and technical assistance on using the system will be provided for stakeholders to encourage widespread utilization of data.

Project efforts will be supported by multiple collaborations. Collaborators for this project will include multiple divisions at the Department, such as Educational Information Systems, the Division of Assessment, the Division of Educational Options, the Division of Exceptional Learners, and the Division of Compensatory Education (Title I), among others. Outside collaborators will include such key P-20 stakeholders as the Commission for Higher Education, the Indiana State Board of Education, the Indiana Office of Technology, Family and Social Services, the Department of Health, and the Indiana Governor's Office.

## **Project Narrative**

### **I. *Need for the Project***

The Indiana Department of Education has several existing projects related to data collection. These projects include Student Test Number (STN, student level information), School Personnel Number (SPN, educator level information), CODA (Special Education legacy), ICAN/ISTAR (special education information systems and alternative assessment), and Fin-MARS (financial management and reporting). Goals of these data projects fit into the overall core elements for this longitudinal data systems grant, as existing project goals include bridging information from P-12 to higher education, including linking student, educator, and classroom information with financial data; timely and accurate federal data reporting; providing data on all ten essential elements consistent with the goals of the Federal Data Quality Campaign; and facilitating analysis and research.

Over the past year, we have made strides in implementing a data dictionary and data warehouse, as well as improving interoperability of data. We were awarded a \$79,000 grant from the NCES Special Task Order to help complete data dictionary efforts. We implemented our first data mart in November of 2006, which focused on special education related elements. In addition, we joined SIFA (Schools Interoperability Framework Association) to enhance data exchange between local education agencies and the IDOE.

As such, Indiana has implemented or is working to implement a number of the technical, governance, and policy requirements for this grant. However, more work is needed in the areas at which we have not reached 100% completion. As described in this grant application, we will use funds to continue progress in linking existing databases, building bridges between multiple levels of education, linking educator, financial, and building-level data to student achievement, and promoting and facilitating research and evaluation

### **Existing Framework and Projects**

The following table indicates Indiana's progress with an enterprise-wide data warehouse system:

<b>Grant Component</b>	<b>Completion in Indiana</b>	<b>Notes</b>
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Unique Student ID	100%	This grant will enable us to add unique ID's for educators and staff members, allowing linkages between educator level data and student achievement data.
Enterprise-Wide Data Architecture	25%	This grant will enable us to continue to collect the data necessary to formally link our information strategy with the Indiana Office of Technology on statewide architecture standards.
Security	50%	This grant will enable us to continue to move toward a comprehensive identity management solution.
Vertical Integration	25%	This grant will enable us to enact a data management model that comprehends the full lifecycle of data creation and use.
Data Warehouse	25%	This grant will enable us to build a system that will provide a historical view of data and real-time data management.
Support Research to Improve Achievement	25%	This grant will allow us to expand on our existing tools to create a single authoritative data source for researchers and self-service reporting tools.
Exchange Data	10%	This grant will enable us to establish an educational portal as part of the decision support architecture that will serve as the platform for both the collection of LEA and SEA data and the dissemination of processed information from the State's educational data warehouse.
Provide Reports	50%	This grant will enable us to improve our current system of ad hoc reporting.
Sustainability	25%	This grant will enable us to identify and formalize a sustainability model.
Support Access and Protect Privacy	50%	This grant will enable us to further enhance security by pursuing enterprise wide identity management.
Evaluation Criteria	50%	In order to evaluate the project, IDOE will reserve a percentage of administrative funds to contract with an independent evaluator.

### **Existing Data Projects**

As noted above, one of the project goals for this grant includes better linkages of existing databases at the IDOE to facilitate research and evaluation that informs state and local policies, practices, and instructions. In addition, work will be done to link data at multiple education levels, including elementary, secondary, and post-secondary. Specific steps for database integration and data linkages are provided in Section II. The following section gives a brief synthesis of existing data systems and databases, followed by limitations of the current systems and the need for data integration.

## **ASAP**

The Indiana Department of Education's ASAP (Accountability System for Academic Progress) Website is an interactive tool that assists parents, schools, and communities in making informed decisions concerning student achievement and school performance. ASAP can be found at the following URL: <http://www.doe.state.in.us/asap/welcome.html>. The site merges state and NCLB requirements, academic standards, instructional resources and a wide range of demographic and assessment data into an interface that is easy to use and completely accessible to the public. Users can disaggregate the information, graphically display the results and compare schools based on multiple data points. Indiana's accountability system has attracted national attention because of its rigorous standards, comprehensive assessments and focus on continuous improvement.

## **Student Test Number (STN)**

The individual student record system is identified by Student Test Number (STN). This application is a secondary data repository of information extracted by school corporations from their student information systems (SIS). The application is developed in an ASP.Net framework with data stored in an Oracle 9i database. Data collected using the STN system includes, among other things, information on graduation and attainment; free and reduced lunch status; state standardized assessment results; attendance; membership; suspension and expulsion; homelessness; eligibility for and participation in Title I, alternative education, and language minority programming; and special education information. The STN data collection system has already been valuable in conducting federally mandated evaluations for the Supplemental Educational Services (SES), as well as research on charter school mobility and special education student assessment results and attainment. Moreover, the STN system was a vital component in the state's implementation of its graduation cohort rate calculation, a more accurate method of calculating graduation rates based on cohort membership. Further connections with the school personnel number (described below) and other databases will allow for better linkages between building- and educator-level data and student-level data.

The STN Application Center is the automated reporting site for all reports collected through STN. The Application Center also provides a calendar of collection schedules and a description of data layouts for all reports (<http://www.doe.state.in.us/str/welcome.html>). The Application Center is a secure site that requires a username and password for log in. Indiana also

has an STN advisory council that consists of field personnel in various roles at the local level. Before changes are made to STN data reporting, they are consulted. In addition, their views are solicited related to current data reporting requirements and changes are made as feasible and suggested.

### **School Personnel Number**

In November 2006, IDOE launched a project “SPN” or School Personnel Number. The major objectives of this project are:

- The inclusion of a common, unique, and consistent identifier for teachers, teacher preparation programs, and schools so that all the different data can be linked together;
- The inclusion of a common, unique, and consistent identifier for all other school personnel; and
- Data that is cleaned and validated on a regular basis.

The teacher data will be used for “highly qualified” teacher designations, Equal Employment Opportunity (EEO) reporting, and responses to legislative requests as well as data reported to the National Center of Education Statistics (NCES) and the National Education Association (NEA). Additionally this will position us to link students, teachers and financial information.

### **Computerized Data Project (CODA)**

The Computerized Data Project (CODA) was established to assist the State in planning, developing, and implementing data collection and reporting activities required for the functioning of the Division of Exceptional Learners.

### **ISTAR**

The alternate assessment for the state of Indiana is the Indiana Standards Tool for Alternate Reporting (ISTAR). ISTAR was designed in the broader context of instructional accountability, connecting standards-based classroom assessments to appropriate prescriptive instruction. Assessment elements have been drawn from the indicators provided within the Indiana academic standards. Continuums of these elements were organized and extended to include functional achievement indicators. The resulting master map of student progress includes measures in the domains of mathematics, English/language arts, and functional achievement. ISTAR can be found at the following URL: [www.istar.doe.state.in.us](http://www.istar.doe.state.in.us).

## **ICAN**

The Individualized Classroom Accountability Network (ICAN) is an integrated system of supplemental teacher management tools which serves as the foundational technology for ISTAR. School districts can choose to utilize features such as lesson plans, curriculum alignment maps, grade books, report cards, and IEP case conference tools. Related instructional and assessment designs can be shared, modified, and submitted to electronic libraries. Any assessments made during the course of instruction are available for review at the time of annual alternate assessment reporting. Both ISTAR and ICAN are integrated with the STN system, ensuring consistency of data. ICAN can be downloaded from [www.ICAN.doe.state.in.us](http://www.ICAN.doe.state.in.us).

## **FinMARS**

The new FinMARS system, which is currently under development, will include the following capabilities:

- providing for the use of generally accepted accounting principles based on the system of accounting used by school corporations and schools on June 30, 2006, and a unified income and expense statement and balance sheet;
- providing school corporations and schools the ability to track expenditures individually and according to the expenditure category under IC 21-10-3-4, the program under which the expense was incurred, and the school building where the expense was incurred;
- providing real time or other timely access to expenditures, and across functions, schools, and school corporations;
- enabling periodic and annual analysis and reporting to the leadership of a school, the superintendent and governing body of a school corporation, the general public, the department, the state board, the governor, and the general assembly.

In summary, as a result of these projects, we have multiple databases housing data that is collected each year. However, we struggle with making the most out of the data that we already have. Databases are siloed, and previous use of multiple data collection systems and multiple data houses has created problems with data integration, year to year analysis, and data reporting. Though there is much that Indiana has been able to accomplish with limited resources, this grant will enable the state to take important steps to perfect its data collection and create a state-of-the-art, interactive, full-service data warehouse.

## **Limitations of the Current Data System and Project Need**

Currently, Indiana has a need for an integrated, state-of-the-art longitudinal data system that is greater than ever before. The existence of disparate and siloed data systems, as described below, has created a disjointed and confusing network of information that does not lend itself well to data analysis and research. In addition, new policy and school-based initiatives have arisen that have created a great need for a data system that allows for longitudinal evaluation and linkages between policies, building-level data, educator-level data, financial data, and student-level data.

In the fall of 2006, the Indiana Department of Education rolled out an agencywide strategic plan. The plan was developed in conjunction with various Indiana education associations, including the State Teachers Association, the School Boards Association, the Association of School Superintendents, and the Association of School Principals. In addition, entities such as the Commission for Higher Education, the Indiana State Senate, the Indiana House of Representatives, the Indiana State Board of Education, and the Indiana Governor's office participated in interviews contributing to the strategic plan.

One of the five strategic goals adopted within the plan is that the Department will have information and technology systems and services to support its strategic plan, Mission, and Vision. Thus, all stakeholders who contributed to the plan recognized the importance of an appropriate, robust, valid, reliable, and user-friendly technology system to achieve the overall Mission and Vision of the Indiana Department of Education. Objectives listed in the strategic plan closely align with objectives and needs for this grant project. Indiana's need for a well-developed longitudinal data system was recognized by a broad range of key education stakeholders across the state, as is especially evident in the plan's objectives of consolidating internal and external DOE information and technology systems and increasing the use of information and technology systems and services to support schools.

Indiana's project need is further articulated by the recent Data Quality Campaign, managed by the National Center for Educational Accountability. Indiana currently has four of the ten essential elements for a longitudinal data system fully in place. The state has developed a unique student identifier, student-level enrollment, demographic and program participation information, and student-level graduation and dropout data. In addition, the state has developed the capacity to match individual students' test records from year to year to measure academic

growth. Though the state does maintain information on untested students, it does not have a system for collecting explanations for why students were not tested. The state also does not have a system for student-level course completion information, student-level college readiness test scores, and the ability to match records between the P-12 and higher education system. Finally, the state has not fully developed its teacher identifier to allow for the matching of teachers to students.

In recognition of the need for these components, Indiana has undertaken a number of projects to get these components in place. We are engaged in activities to implement the remaining data elements that are not currently in place. However, in order to complete the projects necessary to fully implement these data elements, we will require resources from this grant. To illustrate, resources provided through this grant will allow the state to expedite the execution of its (SPN), including full implementation to track courses taken in pre-service teacher education programs and make connections with current courses taught. In addition, full implementation of the SPN will allow connections between teacher- and student-level data. Indiana is one of three states that do e-transcripts. Indiana is currently working on implementing plans to enhance the e-transcripts by collecting course completion data at the student level. Grant resources will allow the state to expand its current data collections to include student-level course completion data, as well as student-level AP, SAT, and ACT results. Grant resources will also be used to build bridges between P-12 and higher education systems and to increase quality control of data submitted, including enhanced cross-validation, increased data editing, and better training and technical assistance at the SEA and LEA levels.

Although Indiana has much work to do, over the past few years, the IDOE has developed data systems that house a wide variety of information. Previous efforts have allowed us to create a unique student identifier that has provided us with several years of longitudinal student-level test score data, in addition to attendance, graduation, suspension/expulsion, enrollment, mobility, and recently, special education and alternative education information. Because we have already created the basic foundation for a comprehensive data system, we are now able to expand on what we know and identify the tools needed for a more dynamic, robust, and accurate data collection system. While we find ourselves “data rich”, we have underdeveloped tools for analyzing, querying, and modeling the data, as well as tying data to the teacher in the classroom. Moreover, databases are not well connected and user-friendly, and our system as it is currently

does not allow us to examine relationships between teacher-level inputs (e.g., pre-service preparation, certification, years of experience, demographics, etc.), financial data (as housed in the FinMARS data system), building-level data (as housed in FinMARS and ASAP), and student-level outputs (e.g., assessment results, attendance, educational attainment, etc.). This grant will enable the Indiana Department of Education to expand upon the work it has completed through its existing data collection system but better bridge gaps and integrate its variety of databases.

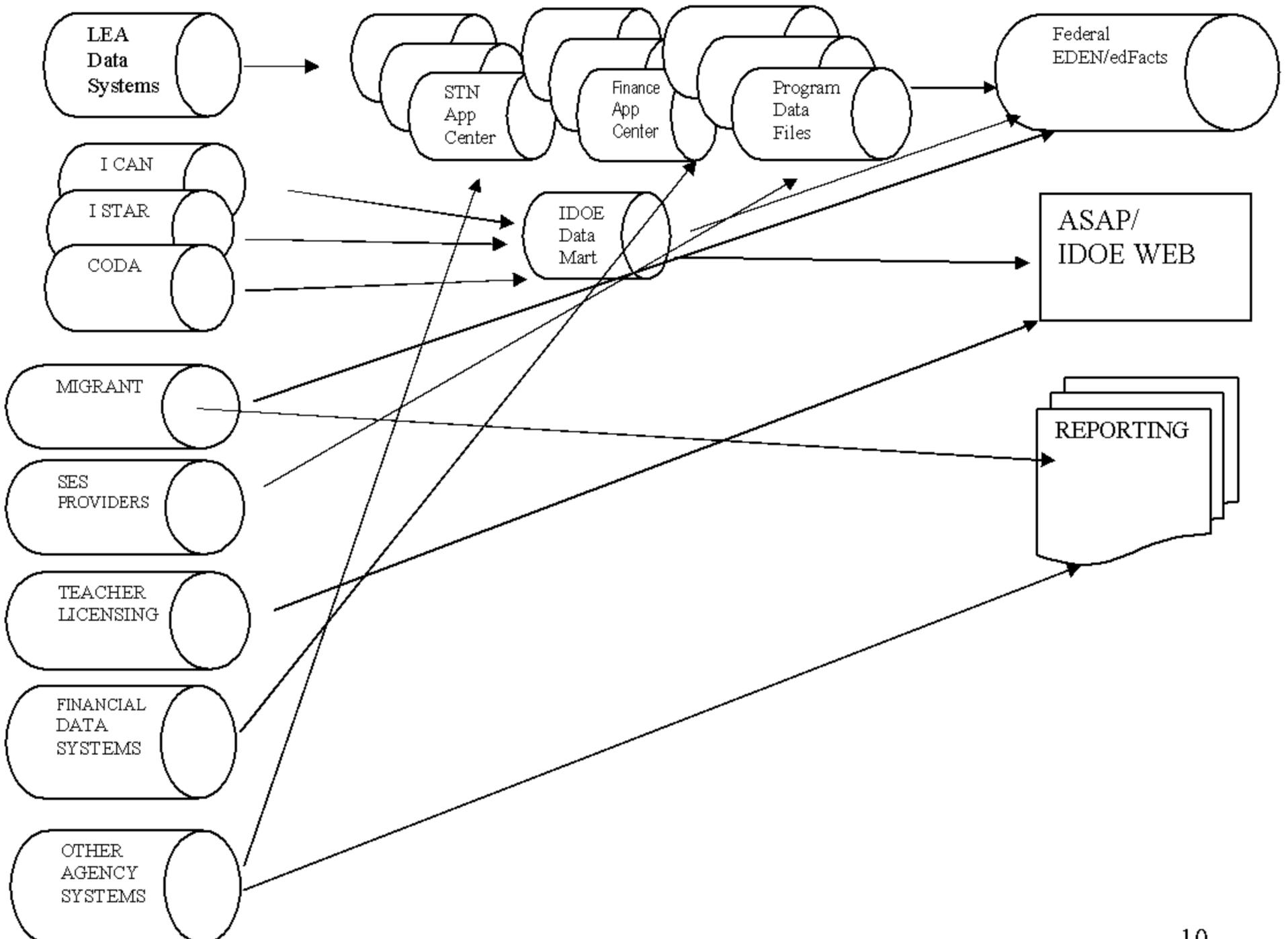
Figure 1, below, provides a visual representation of Indiana’s current data systems. Though a number of data systems exist, they are not well-connected. Figure 2 provides a visual of the ways in which Indiana proposes to integrate intra-DOE data systems, as well as integrate with other state agencies.

**Figure 1**

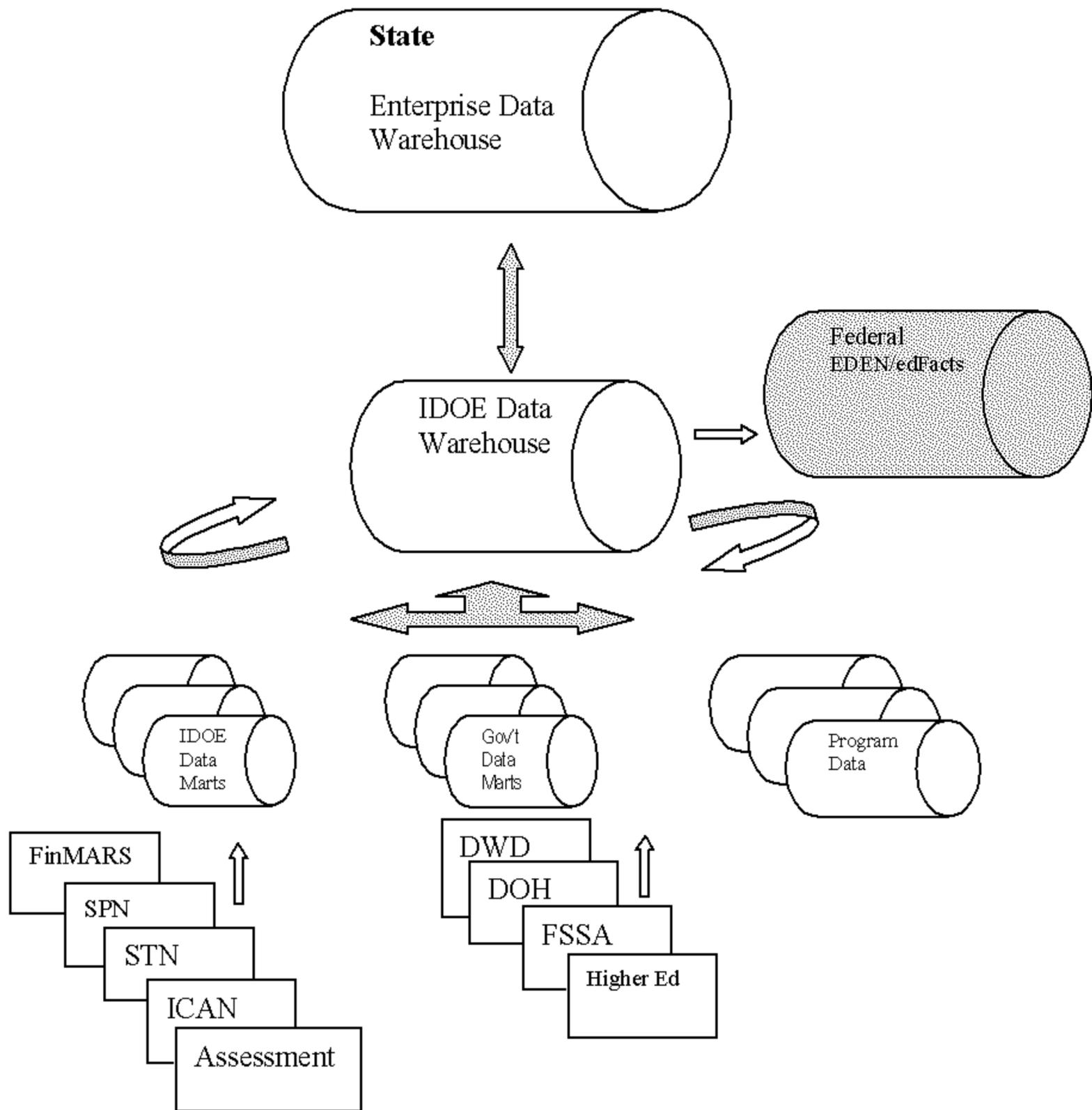
**INPUTS**

**APPLICATION PROCESSES**

**OUTPUTS**



**Figure 2: Proposed State Data Integration Model**



**Policy, Research, and Evaluation Needs**

In addition to the need for data integration, a number of new initiatives and policy mandates have occurred at the federal, state, and local levels. These include the rigorous Core 40 diploma instituted as part of Indiana’s P-16 plan, Supplemental Educational Services (SES) required through No Child Left Behind, full-day kindergarten programs, and high school redesign efforts. Moreover, Indiana recently began using the graduation cohort rate, which given

state officials, policymakers, school districts and the public a “truer” picture of the dropout crisis. As a result, stakeholders are working toward developing appropriate interventions to increase school completion. As such, Indiana needs robust, high quality, accessible data to allow for research and evaluation of these and other programs.

A fully integrated data system that bridges early education and secondary and post-secondary education would allow for a wide variety of longitudinal analyses and may facilitate policy planning and policy evaluation. To illustrate, a data system that bridges secondary and post-secondary education would allow for an examination of the results of obtaining a Core 40 diploma on college success and attainment. An analysis of this nature would inform school districts, policymakers, parents, and the community of the specific and demonstrated importance of gaining a Core 40 diploma. A well-connected data system may also allow for cross-sectional comparisons and longitudinal analyses of various high school redesign efforts, such as comparing the benefits of the new tech high school model with the small schools model. In addition, a robust data system will allow for better and more comprehensive and longitudinal evaluation of Indiana’s newly implemented full-day kindergarten programs, thus informing policymakers and the public if they are getting the desired “bang for their bucks”. Finally, connection of databases across multiple levels of education would allow Indiana to evaluate the overall and longitudinal effectiveness of its P-16 plan initiatives.

Resources from this grant will allow the IDOE to address its need for data integration, cross-sectional and longitudinal data analysis and research, and enhanced confidentiality that will go hand-in-hand with improved user-friendliness of data systems. Funding from this grant will facilitate and support the IDOE’s efforts to integrate data across the Department and at all educational levels (as opposed to working from multiple but disconnected databases), link educator, building-level, and financial data to student-level data, facilitate data analysis and rigorous research, and ensure timely and accurate data submission.

Specific steps that will be undertaken to link data systems at multiple levels, provide for in-depth reporting and analysis, and facilitate accurate and on-time reporting of federal data are listed below. By linking systems across multiple levels of education, Indiana will be able to use data to identify gaps in school readiness and transitions, as well as identify key components necessary for transitions from secondary to postsecondary education. To illustrate, a linked and searchable data system would allow a university to easily analyze the courses taken by its most

successful students at the elementary, middle, and high school levels. Linked data systems will support school districts in early identification and interventions for students who may have fallen off the path to school completion

Of course, security and confidentiality are key components of a strong longitudinal data system. As such, the IDOE will work to maintain and protect individual confidentiality while creating a state-of-the-art system that is available and user-friendly for IDOE employees, school systems, and the community. Funding from this grant will allow the IDOE to create an identity management solution that includes two-factor authentication and role-based access. One-factor authentication systems are vulnerable to attacks. Research has shown that deploying a two-factor authentication system that requires an individual to present both something you have and something you know is a cost-effective method to the trustworthiness of the system.

The IDOE recognizes that merely having a secure longitudinal data system and collecting data will not necessarily lead to better P-20 linkages, research and analysis, and timely data reporting. Thus, this grant application also discusses ways in which collaboration and partnerships will be strengthened and enhanced across the IDOE, as well as among other state agencies, to encourage better use of available data to inform policy and practice.

In addition to creating data linkages and enhancing security, through this grant initiative the IDOE will work to provide support, management and guidance for improving the accuracy and actual use of data both inside and outside of the Department. In 2006, data stewards were appointed in every division across the Department. The data stewards are responsible for verifying the accuracy of data submitted, and also for identifying research and analysis that would be useful for that division and could be conducted using data collected. Data stewards are also responsible for participating in technical assistance workshops to be trained on the new data system and how to use data for analysis and research. They will then be responsible for training staff accordingly. As described in the Project Personnel section of this grant, data stewards will play an important role in reducing data redundancy and increasing data accuracy across the Department. In addition, they will be important in suggesting and supporting research and data analysis initiatives at the SEA level.

Outside of the IDOE, Indiana also needs to ensure that its stakeholders are well-informed about these data and ways in which they may be accessed in order to ensure that they are utilized to their maximum capacities. Thus, as the system is created and implemented, the IDOE will

conduct a series of professional development workshops for IDOE employees to familiarize them with the data system and to provide suggestions for ways in which data could be utilized. In addition, the IDOE will conduct regional professional development workshops for school districts to do the same. Accountability indices will be simplified for reporting to the public, and a Frequently Asked Questions (FAQ) document will be created and distributed to the community. Finally, the IDOE will hold workshops for Indiana's universities (in partnership with the Commission for Higher Education) to inform university personnel and university researchers about the system's capabilities for research and data analysis.

## *II. Project Design*

### **Synopsis of Core Elements**

The State of Indiana has adopted three core elements for the design, development, and implementation of a statewide longitudinal data system to efficiently and accurately manage, analyze, disaggregate, and apply individual student data, consistent with the Elementary and Secondary Education Act of 1965 (as reauthorized by the No Child Left Behind Act of 2001). The following includes the core elements and the activities that are subcomponents of the core elements. Appendix B discusses in detail how each core element and activity will address the map of core elements for establishing a statewide longitudinal data system, in addition to ways in which the state currently addresses core elements in the map (where applicable).

**Core Element 1:** Support a comprehensive, statewide P-20 system that links and integrates data at all levels, including pre-K, K-16, and potentially the workforce, and allows for links between educator, financial, and building-level data to student-level achievement and course completion data. This Core Element and relevant activities address Technical Requirements II, V, VI and governance and policy requirements I.

Funding from this grant will allow Indiana to add additional personnel and resources to further support Indiana's current efforts to build bridges between existing data projects and systems. In addition, grant funds will increase Indiana's capacity to exchange student data across educational institutions (in conformance with FERPA, described in Core Element 2). Better bridges between data systems will also allow the SEA, local districts, and researchers to link student data with educational inputs, such as staff development, teacher demographics, and financial information and will promote longitudinal data analysis. Finally, funding will expedite

work that has already been done to fully implement the School Personnel Number (SPN), described in Section I. Activities to accomplish Core Element 1 are listed below.

**Activity 1:** Reduce data redundancy and increase intra-agency data integration through better coordination of IDOE divisions by utilizing data stewards (described in Section I) and moving toward one data collection point for the entire IDOE.

**Activity 2:** Develop mechanisms for linking current IDOE data projects and databases with one another in a comprehensive data warehouse by working with the External Development team to be determined through an RFP (see Section III, Project Personnel).

**Activity 3:** Strengthen and enhance data-related collaborations and promote systems linkages with various state agencies, such as Department of Workforce Development, Commission for Higher Education, Family and Social Services Administration, and Department of Health.

**Activity 4:** Continue development and begin implementation of the School Personnel Number (SPN), including data collection and reporting of information to tie teacher data to student achievement at all levels of education.

**Core Element 2:** Provide leadership for and facilitate analysis and rigorous research by increasing stakeholder know-how, data integrity, and data accessibility for research-ready queries, while at the same time ensuring confidentiality in accordance with FERPA. This Core Element and related activities address technical requirement III, VII, and VIII and governance and policy requirement III.

Funding from this grant will allow Indiana to strengthen existing intra-Department data systems. In addition, resources provided by this grant will allow Indiana to put into place systems for ensuring and strengthening confidentiality precautions. Finally, grant resources will allow Indiana to provide leadership and technical assistance to promote appropriate use of the data system for research and data analysis. Activities to accomplish Core Element 2 are listed below.

**Activity 1:** Create an identity management solution that includes two-factor authentication to strengthen existing data systems to protect individual confidentiality (including ensuring that student and staff privacy is protected and that individually

identifiable information about students, their achievements, and their families remains confidential in accordance with FERPA.

**Activity 2:** Increase data integrity and accuracy through advanced data editing and increased cross-validation of data. Implement a data sign-off system in which ensures the business owner and data person(s) in the LEA have validated and verified information prior to final submission. The IDOE content owner (data steward) cross-validates and verifies data before it is centrally submitted.

**Activity 3:** Implement flexible, end-user reporting tool (such as Cognos, to be determined with the external development team described in Section III) to allow for self-service reporting and promote stakeholder-initiated research and data analysis.

**Activity 4:** Provide training, technical assistance, and workshops for IDOE employees and school districts regarding how to use the data system to inform policy and practice at the state and local level.

**Activity 5:** Collaborate with postsecondary institutions and the Commission for Higher Education to provide training for researchers on the longitudinal data system and identify needed areas of research, as well as disseminate research studies and data analyses conducted.

**Activity 6:** Collaborate with various IDOE divisions and other state agencies to create and provide online “how to” tutorials for the public related to use and utility of the data system.

**Core Element 3:** Ensure timely and accurate submission of required information to federal government, state government, and other entities to meet reporting requirements. This Core Element and related activities addresses technical requirements II and IV (submission of all *EdFacts* data groups) and governance and policy requirement IV.

Timely and accurate submission of federal data allows for programmatic and policy evaluation at the state and national level, thus making it very important. This grant would allow Indiana to add resources to better ensure data quality and interoperability, as well as timely submission of data.

**Activity 1:** Ensure interoperability of statewide data according to Schools Interoperability Framework (SIF) standards. We are currently piloting SIF with a local

school district, Brownsburg Community Schools (a full, district-wide SIF district). Resources provided by this grant will allow us to broaden SIF implementation at the pilot site and ultimately to other districts, thus increasing data interoperability.

**Activity 2:** Provide ongoing and sustained technical assistance and work with data stewards to ensure timely data submission, including data submission through EDEN/Ed*Facts* for data groups that we have been unable to submit because the data were in off-line systems or not collected. Resources from this grant will in part be focused toward integrating and merging off-line data collections and enhancing elements not currently collected but required.

**Activity 3:** Move all data submissions from local school districts to XML (require XML data submission). While we currently support XML and Comma Delimited, few districts choose XML. Resources from this grant will support technical assistance activities to train districts on switching to XML for data reporting. In addition, we will work collaboratively with the schools' information system vendors on reporting to move them to XML standards.

## **Evaluation**

In addition to activities described in the Core Elements (above), Indiana will reserve 15% of its administrative funds for rigorous formative and summative evaluation of grant project activities (addressing governance and policy requirement V). Indiana will prepare an RFP to contract with an independent evaluator to evaluate project implementation and discuss and renegotiate project activities as necessary. The evaluator will collect information from key stakeholders to determine if the system, as it is being developed, meets research and data needs at multiple levels. With the evaluator, Indiana will set performance targets for each phase of implementation. Throughout the formative phases of the project, the IDOE will work with the evaluator to ensure that project tasks are being implemented with fidelity and are achieving the desired purpose. Evaluation will also include end-of-year reports and a final project report to help the IDOE analyze strides it has made in accomplishing Core Elements of the project, facilitating data analysis and research, and improving education and educational transitions at the district, building, and classroom level. The IDOE expects that a number of universities statewide will apply to be the independent evaluator.

### **Synopsis of Main Tasks in Project Design**

To achieve the three Core Elements of its project, Indiana will use grant resources to undertake four main tasks:

- In cooperation with the Indiana Office of Technology and other state agencies, build a data warehouse that integrates all existing databases and data projects across the Department of Education (including financial data (FinMARS), teacher/staff information (School Personnel Number), student level and assessment data (Student Test Number, ISTAR, ICAN), and building level data (ASAP, CODA, & FinMARS)).
- Develop a self-service reporting tool that facilitates research, analysis, and reporting.
- Implement a robust identity management solution to allow for role-based, secure access to data at all levels.
- Enhance data collaborations with other school districts and other state agencies to expand current data collections, build data bridges, provide training and technical assistance to support research and analysis, promote adoption of policies and procedures around appropriate uses of data, and disseminate results of research and analysis.
- Reduce data redundancy and data quality through training and technical assistance and cross-collection validation at the state and local levels.

### ***III. Project Personnel***

The overall implementation and success of the project will be overseen by a Project Oversight Committee (POC). The POC will consist of the Project Sponsor, various executive-level Department of Education personnel and executives from other state agencies (membership for the POC is described in the Project Management Plan, Section IV). Both Project Directors will report to the POC on a regular (at least quarterly) basis.

In addition to the project personnel listed below, collaborations between the IDOE and other state agencies will play an important role in the implementation of this project, especially collaborations with the Indiana Office of Technology and the Commission for Higher Education (see Appendix D for letters of support). Moreover, existing relationships with organizations such as The James Group ([www.jamesgrp.com](http://www.jamesgrp.com)) and Crowe-Chizek ([www.crowechizek.com](http://www.crowechizek.com)) will support implementation activities. The IDOE expects organizations like The James Group, Crowe-Chizek, and others to apply for Indiana's Request for Proposal. Please note that these

two firms are listed merely as examples, and that their listing in this grant application does not denote approval or selection. The IDOE is committed to following all procurement and RFP rules as set out by the Indiana Department of Administration’s Procurement Division.

**Table 1: Project Personnel.**

<b>State Department of Education Project Personnel</b>		
<b>Role</b>	<b>Responsibility</b>	<b>Assigned Person</b>
Project Sponsor	Has ultimate authority over and is responsible for the overall project, its scope & deliverables. Serves as the State representative on project governance board as described in the collaboration sections of this proposal.	Anne Brinson, Associate Superintendent of Technology (bio is provided in Appendix C).
Project Director: Technical	Leads, provides oversight for, and monitors the day-to-day implementation of the technical aspects of the project (e.g., data warehouse implementation, coding, testing, etc.); ensures (with support of Business & Research Project Director) data steward familiarity with data collection & data systems, as well as technical delivery.	Jeremy Chenevert (bio is provided in Appendix C).
Project Director: Business and Research	Leads, provides oversight for, and monitors implementation of workshops and technical assistance related to data analysis, research, and dissemination for state and local entities; ensures (with the support of the Technical Project Director) deliverables related to stakeholder familiarity and use of data systems are completed; leads, facilitates, and supports research and data analysis.	Molly Chamberlin (resume is provided in Appendix C)
Project Manager	Manages day-to-day operations of contractor	To Be Hired

	resources in keeping with the project plan and budget, and in keeping with the project's commitments. Maintains issue lists and change orders, ensures product and service delivery, and manages quality control.	
DOE Division Sponsors / Data Stewards	Report to Technical Project Director. Identify business rules for each division; work with Business & Research & Technical Directors to reduce data redundancy; ensure accuracy of data submitted; with support of Business & Research Project Director, train staff on usage of data systems, data analysis, and research.	Data stewards have been identified for every division.
Technical Personnel (Systems developers, testers, programmers, Web designers, database administrators, and directory services personnel)	Responsible for ground-level implementation of technical deliverables, such as software testing, coding, Web design, etc.	Four staff will be dedicated to this project: Nick Buchanan, Angela Chaffee, Lisa Preston, and Gary Grist (bios are in Appendix C). The RFP will also identify supporting technical resources for activities such as coding, database creation, and data migration.

### **Subject Matter Experts**

In addition to the project implementers described above, we will have an advocate or resource identified from each division as Subject Matter Experts (SME's) for the project. SMEs from the Divisions that play the most important roles in data collection and reporting (and have the largest need for data analysis and research) have already been identified. Because it will be especially important to have strong linkages with the IDOE's Division of Assessment, Ms.

Michele Walker, Director of that Division, will act as a SME to share assessment information. Dr. Robert Marra, Director of the Division of Exceptional Learners (DEL, housing Gifted & Talented and Special Education) will act as SME for that Division. DEL collects a wide variety of data that is housed in disparate sources; therefore, that division has a great need to integrate data systems to improve data analysis and reporting capabilities. In addition, due to the large variety of data collection and reporting needs for Language Minority programs, Ms. Lauren Harvey, Assistant Director of the Division of Language Minority and Migrant Programs will also act as an SME. Ms. Jamie Miller, Associate Director of the Division of Title I will act as an SME to ensure that Title I reporting is accurately completed and that Title I data collection efforts mesh with data collection for other divisions, thus increasing data accuracy and reducing data redundancy. Finally, Ms. Laura Phillips, Assistant Director of the Division of School Finance, who assisted in the creation of FinMARS, will act as the fiscal SME to ensure appropriate integration of the FinMARS database. This integration will better allow for linkages between fiscal and student-level data. Other SMEs will be identified as the project is implemented. Resumes or bios from selected SMEs are provided in Appendix C.

### **External Development Team**

Upon receipt of this grant award we will work with the Indiana Department of Administration Procurement Division to release a Request for Proposals (RFP) to outsource the development and implementation of a data warehouse system. The Procurement Division is responsible for setting policy and procedure for purchasing within the State. We will only be looking at vendors that are CMM (capability maturity model) level three or higher.

We intend to utilize two types of contractors:

**Product specific contractors** – These persons will be brought in to build the warehouse because they know the product. They can either help or actually install the product, and they can tune the product. They will customize the product, if it is necessary. The product-specific consultants may either be in the employ of the tool vendor or may be independent. An example of their services would be installing and using a tool to extract, transform and load data from the source files to the data warehouse. In this activity they may be generating the code on their own or working with IDOE staff.

**General data warehouse consultants** – These consultants may have a specific niche such as data modeling, performance, data mining, tool selection, requirements gathering or project planning. They will typically be involved for a shorter period of time than the product-specific consultant/contractor. They have two roles that are equally important. The first is working with IDOE staff to complete a task such as selecting a query tool or developing a project plan. The second is the knowledge transfer to IDOE staff so they can perform the activity the next time on their own. The Technical Project Director, with the support of the Project Sponsor, will be responsible for keeping the contractors and consultants focused on their stated objectives.

#### *IV. Support Resources*

There are IDOE resources available to support the work of this grant including facilities, equipment and existing staff.

#### **Facilities, Equipment and Staff**

Currently there is adequate space and technology infrastructure to support an additional team to focus on the data warehouse project specifically. There is sufficient file server capacity and printing resources to service an additional team. Phones and laptop computers would be required for any additional full time non contract staff that would be assigned to this project. We have a full-time, dedicated infrastructure support team currently supporting 29 Windows servers, 22 Linux servers, 320 desktop users, and associated backup and storage systems.

In-kind support in the form of salaries and time commitments will be dedicated by the Indiana Department of Education. In-kind support in terms of salaries equals approximately (b)(4) for years one, two, and three, representing time commitments from the Technical and Business & Research Project Directors, Project Sponsor, Data Stewards, SMEs, and IDOE Technical Personnel. The IDOE will hire a Project Manager and two programmers with federal grant funds; however, in order to ensure the sustainability of the project, the PM and programmers will be hired on full-time by IDOE, with costs supported by other funds) once the grant has expired.

#### **Maintenance/Upkeep**

As noted, the Indiana Department of Education has several existing projects related to data collection as outlined in Section I. These projects include ASAP, STN/SPN, CODA, ICAN,

ISTAR, and FinMARS. Our commitment to these projects will continue as we integrate them into the larger scope of this grant. In addition, IDOE is committed to ensuring that future work not addressed through existing projects or this grant, but needed to implement a fully functional statewide longitudinal system, will be supported and carried out.

Servers and license agreements originally obtained through federal funds will be rolled into other funding sources so that they can be maintained after the grant period has finished.

### **Additional Agency Support**

As demonstrated in Appendix D, the IDOE has gleaned support from a number of outside agencies. These agencies, including the Indiana Office of Technology, the Commission for Higher Education, and the Indiana Governor's office, will offer guidance and support and will serve on the Project Oversight Committee (described in detail in Section V).

### ***V. Management Plan and Timeline***

Indiana DOE will achieve the objectives of the proposed project on time and within budget by utilizing a detailed project and management plan. The project and management plan will include clearly defined responsibilities, timelines and milestones for accomplishing project tasks. Please refer to Appendix A for a timeline and detailed project and management plan, including timelines and responsible parties. Though the IDOE recognizes that several components of the project plan may need to be altered once the external development team and external evaluators are named, the general framework and timelines of the plan will remain as provided in Appendix A. The external evaluator and external development teams will be required to identify project managers. The external project managers will report to IDOE project directors, who in turn will be accountable for the progress of this project and ensuring that it is completed on time, within scope and within budget. The project sponsor and POC will oversee the overall implementation of the project and provide ultimate approval for budget changes and substantial changes to the project plan.

The Indiana DOE will ensure statewide collaboration, ensure feedback and continuous improvement in the quality and operation of the data warehouse, and ensure that districts and/or schools participate in the project. The governance structure for Indiana's project plan will

include representatives of key State and local stakeholders and will provide avenues for continuous feedback in compliance with governance and policy requirements I and II.

### **1. Statewide and Intra-Department Collaboration**

A Project Oversight Committee will be formed to oversee the general implementation of the project. The POC will be chaired by Anne Brinson, Associate Superintendent and Project Sponsor. The POC will also consist of executive-level staff at the IDOE. These participants will represent the State Superintendent's office, state board of education, assessment, special populations (such as Title I, adult education, and alternative education), accreditation, licensure and professional development, special education, fiscal, legal, and communications. Additional executive-level senior staff from other state agencies will also be represented on the POC, including representatives from the Indiana Governor's Office, the Indiana Department of Technology, the Commission for Higher Education, Family and Social Services Administration, and the Department of Health.

Though the Project Directors will be responsible for providing day-to-day oversight for the project, the Committee will provide overall governance of the project to ensure the proper alignment among participating entities, external vendors and the overall project management apparatus. This Committee will review progress, approve budget changes, measure performance, and address any issues stemming from operational development and deployment. The IDOE Project Sponsor will chair these meetings. After project launch the Committee will meet bi-monthly or quarterly to review progress. The Project Directors will be required to report at least quarterly to the POC on implementation progress. Project Directors will meet with the Project Sponsor for progress updates at least monthly.

### **2. Feedback and Continuous Improvement**

The best way to provide continuous feedback is through the sharing of all project outcomes, working documents, findings, and best practices with all stakeholders and the provision of open, threaded and moderated discussions and surveys to catalyze the exchange of ideas. IDOE will create a Web-based forum for the public, including parents, students, teachers, schools, and the business community, to be informed of the project's progress and provide feedback. In addition, IDOE will sponsor open working sessions at key points during the course of this project to ensure face-to-face exchanges on all substantive issues impacting project

outcomes. Moreover, formative evaluation activities conducted by the external evaluator will inform project implementation. Progress reports generated by the evaluator will be shared with the POC and other external stakeholders, as will year-end reports and the overall final report. The IDOE will work with the independent evaluator to create a Balanced Scorecard-type of evaluation instrument to document progress. Other representatives will be identified as needed including students, parents, teachers, schools, the business community, and the public. We would also welcome participation at the federal government level.

### **3. Local Education Agency (District-Level) Participation**

LEA representatives will participate in all levels of governance. The SEA will continue to rely on its STN Advisory Council (described in Section I) but will expand LEA participation beyond the Council. LEA representatives will provide the project with a number of different informational items that will form the basis upon which the warehouse will be constructed. LEAs will provide input regarding the data they have available and the reporting that they would like to see come from the data warehouse. They will have the ability to define what information should be contained within each report that is specific to the LEA functionality.

These planned collaborations will support the project and enable individuals and organizations to use the resulting longitudinal data and analyses for research, decision-making, and ultimately improvement of student achievement. On a state level, output will lead to a fuller understanding of the state's student academic achievement and the success rates of its educational programs, thus informing state policy decisions. On a local level, school corporations will be able to access data to review and revise local policy, implement best practices, and examine individual and collective student academic progress. Moreover, parents will have increased access to information regarding school performance and their child's progress. In addition, this grant will allow us to have a single authoritative source for researchers that has the capacity to support studies on student academic growth and other factors associated with improving student achievement and reducing achievement gaps. Through the data reporting system developed with this grant, data redundancy and inaccuracy will be virtually eliminated.

**APPENDIX A: TIMELINE AND DETAILED PROJECT/MANAGEMENT PLAN**

<b>CORE ELEMENT 1: Support a comprehensive, statewide P-20 system that links and integrates data at all levels.</b>			
Activity 1.1: Reduce data redundancy and increase intra-agency data integration through better coordination of IDOE divisions by utilizing data stewards and moving toward one data collection point for the entire IDOE.	Assign data stewards task of inventorying all de-centralized data collections	December 2007	Technical project director, data stewards
	Create inventory of required data elements, source, timing, etc.	January 2008	Technical project director, data stewards
	Map those elements to current centralized data collections	February 2008	Technical project director, data stewards
	Adjust centralized collection requirements and schedules accordingly	March 2008 and ongoing	Technical project director, data stewards
Activity 1.2: Develop mechanisms for linking current IDOE data projects and databases with one another in a comprehensive data warehouse by working with the External Development team to be determined through an RFP.	Host pre-RFP session per Indiana law	November 2008	Legal and project staff
	Release RFP	January 2009	POC, project staff, IDOA
	Evaluate RFP & select vendor	April 2009	POC, project staff
	Formulate milestones, assign resources, and begin implementation tasks	May-June 2008	POC, project staff, vendor (external development team)
	Install software, create test and development environments	June-July 2008	External development team, project manager, IDOE tech support staff
		July 2008-June 2009	External development team, project manager, IDOE tech support staff
	Continue development		
	Begin conference room pilots	July 2009	POC, project staff, external development team
	Run conference room pilots	July 2009-Jan. 2010	Project staff, external development team
	Begin user acceptance testing	Jan. 2010	SMEs, POC, data stewards
	Continue acceptance testing	Jan.-May 2010	SMEs, data stewards
	Begin go live preparation	May 2010	POC, core project staff, data stewards
	Go live	July 2010	Full team
Ongoing fixes, modifications, enhancements	Ongoing for balance of grant period	External development team, IDOE tech support staff, technical project director & manager	
Activity 1.3: Strengthen and enhance data-related collaborations and promote systems linkages with various state agencies.	Create POC (project oversight committee)	November 2007	IDOE project staff, IDOE executive-level staff, other agencies (IOT, CHE, etc.)
	Schedule POC meetings	December 2007	POC
	Expand data stewards to include other state agencies who are participating on POC	January-April 2008	Project staff, POC
Activity 1.4: Continue development and begin implementation of the School Personnel Number (SPN), including data collection and reporting of information to tie teacher data to student achievement at all levels of education.	Define requirements for SPN	June 2007	IDOE SPN team
	Pre-RFP meeting for design and development	June 2007	IDOE SPN team
	Release RFP	August 2007	IDOE SPN team
	Evaluate responses & select vendor	October 2007	IDOE SPN team
	Using a standard systems development lifecycle approach, full implementation will occur by:	September 2008	Vendor, IDOE SPN team, project staff

<b>CORE ELEMENT TWO: Provide leadership and facilitate analysis and rigorous research by increasing stakeholder know-how, data integrity, and data accessibility for research-ready queries, while at the same time ensuring confidentiality in accordance with FERPA.</b>			
Activity 2.1: Create an identity management solution that includes two-factor authentication to strengthen existing data systems to protect individual confidentiality.	Research two-factor authentication options	Nov-Dec. 2007	Technical project director, security consultant (the Sterling Group), project manager
	Based on research, make determination whether to RFP or procure product on our own	Dec. 2007	POC, technical project director, security consultant (the Sterling Group), project manager
	Select product and install it	Jan-Nov 2008	Security consultant, IDOE technical staff,
Activity 2.2: Increase data integrity and accuracy through advanced data editing and increased cross-validation of data.	Create roll-out strategy internally & to the field	Dec. 2008	Security consultant, IDOE technical staff,
	Enhance data editing with each data collection	Ongoing	IDOE in-house development staff, data reporting manager
Activity 2.3: Implement flexible, end-user reporting tool (such as Cognos, to be determined with the external development team described in Section III) to allow for self-service reporting and promote stakeholder-initiated research and data analysis.	Technical assistance training for data stewards	August 2007	IDOE EIS staff
	See timeline for RFP for external development team (RFP will include software selection)	See Activity 1.2	See Activity 1.2
	Create roll-out strategy	June 2009	Project staff, vendor, IDOE communications office
	Modify ASAP system	Oct. 2010	EIS, vendor
	Train end users on using reporting tools	Jul-Sept. 2010	Vendor
Activity 2.4: Provide training, technical assistance, and workshops for IDOE employees and school districts regarding how to use the data system to inform policy and practice at the state and local level.	Create documentation and user guides	Sept. 2010	Project staff, data stewards, SMEs
	Create and roll out communication plan for external users	Nov. 2010	IDOE communications office, project staff, POC
	Technical assistance training for IDOE data stewards	August-Sept. 2007 and ongoing	Project staff, EIS staff
	Technical assistance training for other agency data stewards	May 2008 and ongoing	Project staff, EIS staff
Activity 2.5: Collaborate with postsecondary institutions and the Commission for Higher Education to provide training for researchers on the longitudinal data system and identify needed areas of research, as well as disseminate research studies and data analyses conducted.	Technical assistance training for school districts	Oct. 2008 and ongoing	Project staff, EIS staff
	Create communications plan for state legislators and policymakers	Jan. 2010 and ongoing	IDOE communications staff, project staff, EIS staff
	Begin meetings with CHE to create training roll out plan	Jan. 2009	Project staff, IDOE communications office
	Discussions with state universities to determine research needs	Mar-Oct 2009	Project staff, IDOE communications office
Activity 2.7: Collaborate with	Begin training/technical assistance meetings	Jan. 2010 and ongoing	Project staff, CHE, IDOE communications office
	Create and roll out dissemination plan for the public	Nov. 2010	IDOE communications office, project staff, POC
	Develop tutorials	Sept.-Oct.	Project staff, data stewards, EIS

various IDOE divisions and other state agencies to create and provide online “how to” tutorials for the public related to use and utility of the data system.		2010	staff
	Install tutorials on Moodle server	Jan. 2011	EIS staff
	Post links to tutorials on Website	Jan. 2001	EIS Webmasters
<b>CORE ELEMENT THREE: Ensure timely and accurate submission of required information to federal government, state government, and other entities to meet reporting requirements.</b>			
Activity 3.1: Ensure interoperability of statewide data according to Schools Interoperability Framework (SIF) standards.	Complete Brownsburg Com. Schools pilot (SIF)	July 2007	Brownsburg, EIS staff
	Evaluate pilot results	Aug. 2007	EIS staff
	Begin using SIF framework for information exchange with Brownsburg	Aug. 2007	Brownsburg, EIS staff
	Publish results to all LEAs and define go-forward strategies for SIF for student information exchange	Feb. 2008	EIS staff, IDOE communications office
Activity 3.2: Provide ongoing and sustained technical assistance and work with data stewards to ensure timely data submission, including data submission through EDEN/EdFacts for data groups that we have been unable to submit because the data were in off-line systems or not collected.	Implement monthly data steward meetings	April 2007 and ongoing	EIS staff, project staff, data stewards
	Quarterly reviews of EDEN submission plan	June 2007	EIS staff, project staff, data stewards
	Other tasks related to data integrity and data integration as described in activities 1.1, 1.2 and 2.2	See 1.1, 1.2, and 2.2	See 1.1, 1.2, and 2.2
	See activities related to technical assistance meetings and trainings in 1.3, 2.2, and 2.4	See 1.3, 2.2, and 2.4	See 1.3, 2.2, and 2.4
Activity 3.3: Move all data submissions from local school districts to XML (require XML data submission). While we currently support XML and Comma Delimited, few districts choose XML. Resources from this grant will support technical assistance activities to train districts on switching to XML for data reporting. In addition, we will work collaboratively with the schools’ information system vendors on reporting to move them to XML standards.	Survey all LEAs to determine XML capabilities	December 2007	EIS staff
	Work with vendors as necessary on canned extracts for XML	March 2008	EIS staff, project staff, STN advisory council
	Review results with STN advisory council	April 2008	EIS staff, project staff, STN advisory council
	Determine date that we will be XML only	April 2008	EIS staff, project staff, STN advisory council
	Create and roll out communications plan regarding XML only data submissions	June 2008	IDOE communications staff, EIS staff, project staff
	Provide technical assistance meetings related to XML	July-Dec. 2008	EIS staff, project staff
	Convert all SEA EDEN data submissions to XML	Dec. 2007 and ongoing	EIS staff

<b>EVALUATION PLAN</b>			
<b>ACTIVITY</b>	<b>BENCHMARK</b>	<b>DUE DATE</b>	<b>RESPONSIBLE PARTY</b>
	Create request for proposal	November 2007	IDOE project staff
	Conduct Request for Proposal Process	Nov. - Jan. '08	Project staff, Indiana Department of Administration
	Select independent evaluator	Feb. '08	IDOE project staff
<b>Evaluation Year One</b>	Meet with i.e. to revise logic model, goals, activities and develop performance indicators	Feb. 2008	Evaluator, project staff
	Discuss instrumentation development with evaluator	Feb. 2008	Evaluator, project staff
	Receive & review first quarterly report	April 2008	POC, project staff
	Meet with i.e. to discuss progress	May 2008	Project staff, Evaluator
	Receive & review second quarterly report	July 2008	POC, project staff
	Receive & review third quarterly report	Oct. 2008	POC, project staff
	Meet with i.e. to discuss progress	Nov 2008	Evaluator, project staff
	Receive & review final Year One report	December 2008	Evaluator, project staff, POC
<b>STATUS REPORT</b>	Report out to NCES February meeting on progress toward meeting objectives and performance indicators	Jan-Feb. 2009	Evaluator, project staff, POC
<b>Evaluation Year Two</b>	Meet with i.e. to revise activities as necessary	Jan. 2009	Evaluator, project staff
	Receive & review first quarterly report	April 2009	Project staff, POC
	Meet with i.e. to discuss progress	May 2009	Project staff, Evaluator
	Receive & review second quarterly report	July 2009	POC, project staff
	Receive & review third quarterly report	October 2009	POC, project staff
	Meet with i.e. to discuss progress	Nov. 2009	Project staff, Evaluator
	Receive & review final Year Two report	December 2009	Evaluator, project staff, POC
<b>STATUS REPORT</b>	Report out to NCES February meeting on progress toward meeting objectives and performance indicators	Jan-Feb. 2010	Evaluator, project staff, POC
<b>Evaluation Year Three</b>	Meet with i.e. to revise activities as necessary	Jan. 2010	Evaluator, project staff
	Receive & review first quarterly report	April 2010	Project staff, POC
	Meet with i.e. to discuss progress	May 2010	Project staff, Evaluator
	Receive & review second quarterly report	July 2010	POC, project staff
	Receive & review third quarterly report	October 2010	POC, project staff
	Meet with i.e. to discuss progress	Nov. 2010	Project staff, Evaluator
	Receive & review FINAL REPORT	December 2010	Evaluator, project staff, POC
<b>FINAL ASSESSMENT</b>	Report out to NCES February meeting on final report and meeting performance indicators and objectives.	Jan-Feb. 2011	Evaluator, project staff, POC

**APPENDIX B: MAP OF CORE ELEMENTS FOR ESTABLISHING A LONGITUDINAL DATA SYSTEM (ways in which Indiana addresses these currently or plans to address them)**

<p>1. Analysis of the business needs (multiple reporting and decision support needs) of key stakeholders, including the State, districts, school boards, schools, teachers, parents, students, the public, and other constituents</p>	<p>All work that has been done to this point (including existing databases and reporting systems) has used consistent methodology according to the Systems Development Life Cycle (SDLC). Prior to implementation, feasibility studies and needs analyses are conducted (in following the SDLC). All development is done using the same technical framework</p>
<p>2. Cataloging current and planned local data collection methods and data structures.</p>	<p>This is all accomplished currently through the STN Website (<a href="http://www.doe.state.in.us/stn/welcome.html">http://www.doe.state.in.us/stn/welcome.html</a>). All data collections are catalogued at this site; data reporting layouts and calendars are also provided.</p>
<p>3. Designing statewide longitudinal data systems architecture:</p> <ul style="list-style-type: none"> <li>a. Including in data model the business needs of key stakeholders, who participate as data providers and users, and whose needs should determine the data types and times to be maintained in the system, years of data maintained, and data quality achieved (all of which define the breadth and depth of subsequent possible analyses).</li> <li>b. Developing effective data quality assurance system, that contains: <ul style="list-style-type: none"> <li>i. Data dictionary, with well-defined content and common definitions for data elements, to assure the same definitions, codes, and periodicity across all schools in the State at data entry points</li> <li>ii. Business rules for data format, acceptable values, missing data options, and logical comparisons to prior data</li> <li>iii. Automated data edit processes to verify data quality and to ensure that rules are met before allowing data into the State’s data system</li> <li>iv. Systems and procedures to assure correct utilization of data by the users and providers</li> </ul> </li> <li>c. Developing an effective, statewide data model that defines and describes the logical and physical relationships between data items and systems, and system structure that allows efficient data maintenance and retrieval (containing relevant and linked current and historical data)</li> <li>d. Assuring secure access to data and formal reports to protect the confidentiality of individuals, in compliance with FERPA and statistical reliability of results</li> </ul>	<p>In developing its variety of existing databases, stakeholder input was solicited at all levels, including school, district, and agency levels. The IDOE maintains constant collaboration with school districts and other state agencies to determine what additional data need to be collected. In addition, this grant application and the state’s strategic plan were developed with the input of a number of stakeholders.</p> <p>We received a \$79,000 grant from the NCES Special Task Order to help complete data dictionary efforts. The data dictionary to be completed will include common definitions for data elements. Each data collection currently in use has business rules described on the STN Website. As data collections are modified or enhanced, we do more cross-validation of business rules. Automated data edit processes and systems and procedures to assure correct utilization are contained in data layouts provided on the STN Website. These are published in advance of report release on the STN Website; our goal is to provide 9 months notice of any changes or new reports.</p> <p>Through this grant, we are working toward enhancing data maintenance and retrieval. Currently, we assure secure access through a user-name and password sign in system. With this grant, we are moving toward a comprehensive identity management system, including looking at issuing security certificates to LEAS to lock down which devices can submit data.</p> <p>We are working toward creating a data reporting tool that would allow for self-service usage and would facilitate data analysis and research. While we currently have many standard reports, these need to be enhanced and made more flexible (funds from this grant will be used to do so).</p> <p>Our state’s data systems are in continuous improvement mode. Through the use of the STN advisory council, we solicit constant feedback to revise and enhance current data collection systems.</p>

<ul style="list-style-type: none"> <li>e. Structured to enable efficient data extraction for time-based analyses</li> <li>f. Allowing modifications and enhancements to the system's data and architecture, including system expansion over time.</li> </ul>	
<p>4. Creating, assigning, and tracking a unique, permanent student identifier assigned at state level</p> <ul style="list-style-type: none"> <li>a. Allowing the matching of individual student records across databases and years for every student enrolled in preK-12 state education system (using an automatic system creation of IDs or an individual creation through direct online interaction with ID system)</li> <li>b. Allowing for program evaluation (including potential capacity to track students past the 12<sup>th</sup> grade)</li> <li>c. Allowing for student record transfers among States when students move across state borders (requiring inter-state agreements and compliant with FERPA regulations)</li> </ul>	<p>As noted in the application, the state has already created a unique, permanent student identifier (STN) that is assigned at the state level. The STN currently allows for the matching of student records across years and across databases. Using resources provided through this grant, the state will bridge gaps between P-12 education and post-secondary education to allow for program evaluation and tracking of student progress beyond 12<sup>th</sup> grade. While the state has not yet implemented processes for student record transfers across states, it will address this component once it has fully implemented and integrated its longitudinal data system. We do ensure that systems implemented (including the STN system) are flexible enough to allow for transfers across states. We will adhere to any future guidelines adopted by the federal government regarding student number schemes for cross-state transfer.</p>
<p>5. Planning and implementing data collection</p> <ul style="list-style-type: none"> <li>a. From districts and/or schools so that the SEA can incorporate data in the system for all students, classrooms, and schools under the SEA's jurisdiction, including: <ul style="list-style-type: none"> <li>i. Development of collaboration among all parties within the SEA and between the SEA and school districts in data collection, reporting, and dissemination</li> <li>ii. Provisions for the needs of districts that have limited ability to participate in technology systems.</li> </ul> </li> <li>b. Conducting cost/benefit and sustainability analyses of dynamic vs. static data extraction systems (data entered directly by school personnel into the statewide system, with instantaneous error feedback vs. data files imported from the districts on a periodic basis)</li> <li>c. Shortening reporting time and increasing the accuracy of student assessment data (e.g. through technology-based assessments)</li> </ul>	<p>The IDOE is currently piloting SIF with the Brownsburg Community Schools district and plans to use grant resources to expand implementation. In addition, with resources provided through the grant the SEA will increase training opportunities for local districts and IDOE employees to increase collaboration. Moreover, the STN advisory council (made up of local representatives) provides guidance and feedback related to data collection and reporting. The IDOE currently provides data training throughout the summer and various regional meetings related to data collection and reporting.</p> <p>The IDOE strives to maintain data accuracy; in 2006, data stewards were appointed for every division to verify accuracy of data submissions and train staff on collecting and utilizing data. With the support of resources from this grant, the IDOE will further enhance data accuracy through the implementation of a data sign-off system which ensures the business owner and data person in the LEA have validated and verified information prior to submission. The IDOE data steward will cross-validate and verify data before it is centrally submitted. Additionally, the IDOE maintains a commitment to providing training and technical assistance to IDOE personnel to reduce data redundancy. Finally, the IDOE currently gives return errors on file submission; for example, if an LEA reports attendance on a student that they never reported through enrollment, they will receive a file return error.</p> <p>In order to recognize technological limitations that certain districts may have, we have made accommodations to the STN reporting system and allow for manual input and file uploading (such as Excel files). The IDOE and the Indiana State Board of Education are</p>

	<p>working toward redesigning the state’s assessment system. An RFP is currently out for state assessment redesign, including moving toward fall diagnostic and spring value added testing, as well as computerized assessment for faster return of results. In addition, the IDOE is currently in the process of implementing end-of-course assessments for its Core 40 high school curriculum that are computer-based for quick results.</p>
<p>6. Implementing statewide longitudinal data system (warehouse)</p> <ul style="list-style-type: none"> <li>a. Development of the system according to the designed architecture</li> <li>b. Testing of the system</li> <li>c. Going live</li> </ul>	<p>The IDOE is in the process of implementing projects to address the ten essential elements identified through the Data Quality Campaign for longitudinal data systems (see Section I). Funds from this grant will be used to expedite project implementation and the development of a longitudinal data system; including testing and going live (see detailed management plan and timeline, Appendix A).</p>
<p>7. Designing, using, and maintaining business intelligence tools (analytical &amp; reporting)</p> <ul style="list-style-type: none"> <li>a. Streamlining reporting capabilities to local, state, and federal agencies, using pre-defined, automated reports (including for EDEN, NCLB, NCES, and the public)</li> <li>b. Supporting: <ul style="list-style-type: none"> <li>i. Multiple reporting and analyses needs of different stakeholders</li> <li>ii. High-level longitudinal analyses, required for data-driven decision-making by policymakers, educators, and members of the public</li> </ul> </li> <li>c. Providing timely, accurate, and user-friendly dissemination of the needed data, reports, and analyses results to: <ul style="list-style-type: none"> <li>i. Parents/guardians and students</li> <li>ii. Teachers</li> <li>iii. Schools</li> <li>iv. District administrators</li> <li>v. State officials and administrators</li> <li>vi. Universities/colleges and the business community</li> <li>vii. The public</li> </ul> </li> <li>d. Engaging in longitudinal education research to inform policy and decision-making</li> <li>e. Leading the State, districts, and teachers in the development and use of innovative analytical tools and reports to inform policy and decision-making.</li> </ul>	<p>Though we do have some data reporting and business intelligence tools in pockets across the IDOE, they are not integrated, nor do we have a robust system. As identified in this grant application, we will use grant funds to address these needs (see Section II).</p>
<p>8. Establishing logistical capacity to create and maintain a statewide longitudinal data system</p> <ul style="list-style-type: none"> <li>a. Developing efficient administrative processes, infrastructure components, and policy commitments for effectively implementing the maintenance of the statewide longitudinal data system, regarding: <ul style="list-style-type: none"> <li>i. Assuring continued data collection and quality</li> <li>ii. Assuring continued dissemination of data and analyses results</li> <li>iii. Assuring data security and confidentiality, including addressing potential concerns of stakeholders about student privacy in automated systems</li> <li>iv. Assuring continued funding</li> </ul> </li> </ul>	<p>We are committed to providing resources necessary to ensure the sustainability of this project and to establish logistical capacity. We are partnering with the Indiana Office of Technology for resources such as hardware, software, and personnel, as well as support resources. We will retain resources originally purchased with federal funds, such as the project manager, programmers, and software licenses (they will be rolled into state budgeting). The POC will act as the policy advisory committee and will provide oversight and guidance for the governance of the project, and feedback and continuous improvement will be provided by the external evaluator hired for this project. In addition, we</p>

<ul style="list-style-type: none"> <li>v. Assuring continued adequate human resources</li> <li>vi. Assuring continued enabling legislation</li> <li>vii. Assuring the continued adequacy of hardware, software, and networking capabilities</li> <li>b. Assuring sustainability and effectiveness of the system by: <ul style="list-style-type: none"> <li>i. Assuring administrative buy-in</li> <li>ii. Assuring qualified staff, training, technical, and other resources dedicated to the State’s administrative technology over the long term to ensure the systems’ continued effectiveness (including the commitment and ability of staff to implement, use, and continually develop the data system)</li> <li>iii. Developing a strong plan for the SEA and other stakeholders to continually evaluate and improve the effectiveness of the data system and of associated processes, both in their reporting and decision-support functions, and to periodically assess the degree to which they meet agency and other stakeholders’ needs</li> <li>c. Involving and supporting stakeholders by establishing and/or facilitating the existence of: <ul style="list-style-type: none"> <li>i. A policy advisory committee that includes representatives from each key stakeholder group</li> <li>ii. A data provider/collection group</li> <li>iii. A data user group</li> <li>iv. An internal agency coordination group to oversee data collection, management, and dissemination</li> </ul> </li> <li>d. Planning and funding initial and ongoing, efficient and effective training of key state and local data collectors and users, according to their functional needs, on: <ul style="list-style-type: none"> <li>i. Data Entry, Cleaning, and Transfer</li> <li>ii. Data Extraction</li> <li>iii. Unique Student ID System</li> <li>iv. Business Intelligence Tools and use of data for decision-making</li> </ul> </li> </ul> </li> </ul>	<p>have already established a system for obtaining feedback at the local level (through the STN advisory council and various other collaborations). Through this grant, we will establish a forum for reviewing project progress and obtaining feedback from the public, including local implementers. We currently provide training and technical assistance to school districts on a less formal schedule; through this grant, we will formalize training and technical assistance, as well as creating several communications plans for local stakeholders, the public, and policymakers.</p>
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## **Appendix C: Resumes and bios of key personnel**

### **Anne Brinson, Associate Superintendent of Technology for the Indiana Department of Education.**

Anne is responsible for federal & state data collection and reporting systems, information technology systems and processes for the Department. She has over 20 years experience in the private sector holding a variety of senior positions in operations, customer service and information services and technology. In addition to managing large budgets and regional based operations and personnel, she has extensive experience with process engineering and cradle to grave enterprise system implementation. Her most recent enterprise wide system implementation was for a Fortune 1000 company with operations world wide, implementing the Oracle e-Business suite of products which included CRM and ERP.

### **Michele Walker, Director of School Assessment for the Indiana Department of Education.**

Ms. Walker joined our staff in July of 2006. Prior to that time, she spent 23 years in the field of education. Most recently, Ms. Walker served in the Curriculum, Instruction, and Assessment Department for the Metropolitan School District of Wayne Township in Indianapolis. Her responsibilities in this district of 14,000 students included the coordination of numerous assessments.

Ms. Walker's expertise in the areas of language arts, mathematics, and assessment make her a value-added member of the Indiana Department of Education staff. Ms. Walker is a certified *Data-Driven Decision Making* trainer through Dr. Douglas Reeves' Center for Performance Assessment, and she has worked with principals, teachers, and parents to analyze and interpret assessment data. Ms. Walker has provided professional development in many aspects of assessment, including student achievement, accountability, data warehousing, and the use of assessment results to improve instruction. In addition, Ms. Walker serves as a resource for teachers and schools in creating performance assessments, criterion-referenced assessments, and benchmark assessments.

An experienced grant writer and administrator, Ms. Walker is a doctoral candidate in the Executive Educational Leadership Program at Indiana University in Bloomington.

# MARY A. (MOLLY) CHAMBERLIN

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*Current Address*

(b)(6)

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## ***Objective***

To apply my critical thinking and leadership skills and diverse experience to a position that offers ample challenges and opportunities for academic and professional growth.

## ***Education***

PhD, Educational Psychology, expected May 2008  
M.S., Educational Psychology, received December 2004  
Indiana University, Bloomington, IN  
B.A., Liberal Arts, *Magna Cum Laude*, received May 1997  
Middlebury College, Middlebury, VT

## ***Work Experience***

Director, Division of Educational Options  
Indiana Department of Education, Indianapolis, IN      March 2004 to present

- Oversee four program areas, including Supplemental Educational Services, Charter Schools, Alternative Education, and McKinney-Vento
- Make, analyze, and interpret policy for all program areas and special projects, as requested by the Superintendent of Public Instruction
- Conduct data analysis and disseminate research related to school dropout and dropout prevention
- Conduct data analysis and disseminate research related to effectiveness of alternative and charter schools
- Lead evaluations of Supplemental Educational Services providers, including data compilation, analysis, and reporting
- Provide technical assistance to schools and districts in compliance and implementation of best and research-based practices

Legislative Associate and Policy Analyst  
Indiana Department of Education, Indianapolis, IN      January 2004 to March 2004

- Conducted and disseminated research on K-12 policy issues
- Provided policy analysis for existing and new legislation

Research Associate  
Indiana Education Policy Center, Bloomington, IN      January 2003 to January 2004

- Conducted and disseminated research on K-12 policy issues
- Compiled policy briefs for publication
- Co-created and assisted in conduction of first ever Public Opinion Survey of Education in Indiana

ESL Instructor, Accounting Associate  
Berlitz Language Center, Indianapolis, IN      September 2000 to December 2002

- Taught ESL courses to students of various ages and nationalities
- Assisted in training new and current instructors in teaching methods
- Evaluated existing programming and assisted in creation of new programming
- Handled all invoicing and account auditing for the Language Center

Life and Annuities Specialist  
Bisys Insurance Services, Inc., Indianapolis, IN      January 2000 to October 2000

- Provided quotes and product knowledge to life insurance and annuity agents

Trainer/ESL Instructor  
Nova Intercultural Institute, Tokyo, Japan      September 1997 to December 2000

- Managed schools of over 20 people
- Formatted and implemented new teaching and training programs for schools throughout the Tokyo area
- Evaluated effectiveness of teachers and conducted training accordingly
- Taught ESL courses to Japanese students of various ages and language abilities

### *Presentations, Research, and Publications*

Plucker, J. & Chamberlin, M. (in press). Overview of P-16 systems in the United States.  
Chamberlin, M. (2007). *School-level predictors of graduation cohort rates*. Research study conducted for and presented to the Indiana Department of Education (unpublished).  
Chamberlin, M. & Young, R. (2006). *Teaching along the blended learning continuum*. Paper presented at August 2006 Annual Conference on Distance Teaching and Learning, Madison, WI.  
Plucker, J.; Chamberlin, M.; Zapf, J. & Simmons, A. (2004). *2003 public opinion survey on education in Indiana*. Published by the Center for Evaluation and Education Policy, January 2004.  
Eckes, S. & Chamberlin, M. (2003). Title IX and women's athletic opportunities in Indiana colleges and universities. *Education Policy Briefs, 1(6)*, Winter 2003.  
Estell, D. & Chamberlin, M. (2003). Bullying in schools: What is it and what can be done about it? *Education Policy Briefs, 1(5)*, Winter 2003.  
Chamberlin, M.; Plucker, J. & Kearns, A. (2003). Highly qualified teachers in Indiana. *Education Policy Briefs, 1(4)*, Winter 2003.  
Plucker, J.; Jones, M. & Chamberlin, M. (2003). ISTEPing in the right direction? An analysis of fall vs. spring testing. *Education Policy Briefs, 1(3)*, Winter 2003.  
Chamberlin, M. & Plucker, J. (2003). The four-day school week. *Education Policy Briefs, 1(2)*, Winter 2003.

### *Honors and Relevant Skills*

Berlitz Teacher of the Year, Akron District, 2001  
Member, National Slavic Honor Society  
Proficient in German and Russian; beginner's knowledge of Japanese  
Proficient in SPSS, Excel, Word, WordPerfect,

**Jeremy Chenevert***Development/Project Manager*

Jeremy graduated from the College of Santa Fe in 2002 with a BS in Computer Science. He has worked in both the private and public sectors and has been involved in projects of all sizes. Jeremy has worked extensively with Oracle 9i and 10G and has participated in the implementation of several Oracle databases and an Oracle data warehouse. Jeremy has experience working in all level of the software development life cycle. His main focuses are currently on managing the development team and continually improving the quality and timeliness of deliverables.

**Nick Buchanan***Senior Developer/Oracle DBA*

Nick graduated from Purdue in 2003 with a BS degree in Computer Engineering. Nick has worked on several complex projects since working for the Indiana Department of Education. Nick's primary job responsibilities currently include Oracle database administration and application development. Nick is an expert in relational database design and object oriented programming. Nick has in depth knowledge of Oracle from both a development and administration perspective. Nick is currently focused on Oracle Administration I & II training.

**Angela Chaffee***Application Developer*

Angela graduated from Indiana University Kelly School of Business with a BS degree in Computer Information Systems. Angela has been developing dynamic data intensive database supported intranet, internet and extranet websites for over 7 years. Angela has extensive experience utilizing a multitude of database systems such as Microsoft SQL Server, Oracle, MySQL, Sybase, and Microsoft Access. Her most recent applications have been developed utilizing Oracle, ASP.NET 2.0 and AJAX. Angela has had a wide variety of employment opportunities that have afforded her the experience of working with vastly different project sizes.

**Lisa A. Preston***LAN Specialist /Database Administrator*

Lisa has 15+ years of experience with the IDOE in a variety of technical positions. She is skilled in the installation, configuration and administration of Linux (RedHat and Suse) and Microsoft Windows (Server 2003, 2000 and XP). Last year Lisa was promoted to Oracle DBA/Systems Support Specialist. She is providing administration and support for Oracle 9i and 10g environments and SQL Server 2000. In addition to her DBA role, Lisa provides the administration of more than a dozen Linux Servers, EMC SAN environment, Active Directory and Exchange and back up systems.

**Gary Grist***Network Administrator*

Gary brings over 25 years of experience in information systems development and network support. While managing the network for the Indiana Department of Education, he maintains the network, systems and is obtaining his certification in data security. In addition to managing the infrastructure team he maintains the Pix Firewall, 3060 VPN concentrator, Sonicwall SSL device, Verisign, IDS, Radius and Tacacs plus authentication servers, Bluecoat proxy server and SPAM software. Gary holds certifications as a CCNA (Cisco Certified Network Associate) and CCAI (Cisco Certified Academy Instructor).

**Dr. Robert A. Marra**

(b)(6)

**Education**

- 2006 Ball State University, Muncie, Indiana, Ed.D., Education
- 1983 Indiana University, Bloomington, Indiana, M.S., Education
- 1979 Buffalo State University, Buffalo, New York, B.S., Education

**Employment**

- Feb. 2001 to date **Associate Superintendent**, Indiana Department of Education
- 1995 to 2001 **Director**, Indiana Department of Education, Division of Special Education
- 1987 to 1995 **Assistant Director**, Indiana Department of Education, Division of Special Education
- 1984 to 1986 **State Consultant**, Indiana Department of Education, Division of Special Education, Programs for the Emotionally Handicapped/Area Coordinator
- 1979 to 1984 **Special Education Teacher/Consultant**, Madison Area Educational Special Services Unit

**Initiatives**

**Comprehensive System for Personnel Development (CSPD)**

- Development of Video Training Series
- Development of Interactive Laser and CD ROM Training Modules Satellite Broadcasts

**Indiana Educational Resource Center and Large Print Production Facility**

- Established a budget with which Braille textbooks could be purchased
- Cooperative venture for Braille production with the Indiana School for the Blind

**Statewide Initiative for Wrap Around Services for Students with Disabilities**

- Provided for over 200 students to be brought back to Indiana for residential services
- Provides funding to assist over 500 students to be served at the LEA level

**Alternative Teacher Training Program in Emotional Handicaps at Ball State University**

**Statewide Initiative for the Provision of Assistive Technology to Indiana Schools (PATINS)**

- Established 5 Regional sites which serve the 65 special education planning districts
- Provides for on going training of assistive technology assessment teams throughout the State

**Appointments**

Executive Secretary for Indiana State Advisory Council on the Education of Children with Disabilities  
Appointed by US DOE Secretary Riley as a member of the Federal Interagency Coordinating Council for Children with Disabilities  
Appointed by Governor O'Bannon and Superintendent Reed to the Indiana Education Roundtable  
Appointed by Governor O'Bannon to the Council on State Operated Care Facilities  
Member of Adaptive Physical Education, Adaptive Technology and Comprehensive System of Personnel Development committees of the National Association of State Directors of Special Education

**APPENDIX D: LETTERS OF SUPPORT**

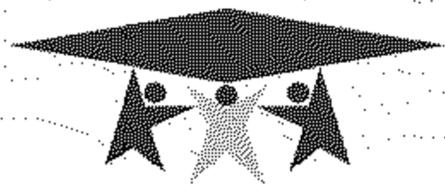
**INDIANA STATE SUPERINTENDENT OF PUBLIC INSTRUCTION**

**INDIANA STATE BOARD OF EDUCATION**

**INDIANA GOVERNOR'S OFFICE**

**COMMISSION FOR HIGHER EDUCATION**

**INDIANA OFFICE OF TECHNOLOGY**



# Indiana Department of Education

SUPPORTING STUDENT SUCCESS

March 14, 2007

To Whom It May Concern:

In 2001, the Indiana Department of Education established a unique K-12 student identifier and has been developing related data analysis tools to guide state policy and inform classroom instruction since that time. As we now find ourselves data rich with student information, the time has come to build on this foundation.

Our vision is a comprehensive, longitudinal PK-20 data system that provides seamless data integration at all levels, allowing stakeholders to track and to analyze student progress from early childhood into the workforce. This information will be crucial to guiding our state and local efforts to ensure students successfully navigate key transitions between early childhood and K-12 education, high school to higher education/training, and postsecondary experiences into the workforce.

We have brought together an impressive number of collaborators to assist in this effort, including the Indiana Commission for Higher Education, the Indiana Department of Workforce Development and the Indiana Office of Technology. By linking the data systems of these engaged partners, Indiana will be better positioned to identify strengths and weaknesses in our education system and to gauge our effectiveness in addressing such challenges as improving high school graduation rates, stemming our state's "brain drain" of college graduates and spurring economic development.

The support of the U.S. Department of Education will prove essential in our ability to realize this vision. Thank you in advance for your thoughtful consideration of our proposal.

Sincerely,

A handwritten signature in black ink that reads "Dr. Suellen Reed". The signature is written in a cursive, flowing style.

Dr. Suellen Reed  
Superintendent of Public Instruction



INDIANA COMMISSION  
for  
HIGHER EDUCATION

March 13, 2007

Dr. Suellen K. Reed  
Superintendent of Public Instruction  
Indiana Department of Education  
Room 229, State House  
Indianapolis, Indiana 46204-2798

RE: Comprehensive PK-20 Data System

Dear Dr. Reed:

It is with great pleasure that I write to you in support of your request to the U.S. Department of Education for resources to help implement a Comprehensive PK-20 Data System. This effort is fully consistent with commitments made by our state's leadership, and reinforces current activities – especially those involving our two agencies – aimed at aligning state data systems.

The Department of Education and the Commission for Higher Education have enjoyed a long history of collaboration in critical areas, most importantly, of course, in staffing and supporting the work of Indiana's Education Roundtable. In this regard, it is notable that *Indiana's P-16 Plan for Improving Student Achievement*, which the Roundtable approved in October 2003, specifically cites the need to "link and report data electronically across P-16 systems" in order to realize the necessary improvements to student achievement. Collaboration between our agencies, and Indiana's commitment to a PK-20 data system, are also reflected in Indiana's participation in the American Diploma Project and our active support for the Data Quality Campaign.

The Indiana e-Transcript Initiative is a specific example of how our agencies have collaborated in concrete ways to lay the foundation for a seamless PK-20 data system. By moving to standardize data elements included on high school transcripts, developing technologies to electronically transmit transcripts to colleges, and providing the capability for colleges to import transcript information as data directly into the college student information systems, we are taking an important step toward this goal.

Securing support from the U.S. Department of Education on a Comprehensive PK-20 Data System will enable our agencies to collaborate even further in building a better educational future for our citizens and their children.

Sincerely,

Stanley G. Jones  
Commissioner



STATE OF INDIANA  
OFFICE OF THE GOVERNOR  
State House, Second Floor  
Indianapolis, Indiana 46204

Mitchell E. Daniels, Jr.  
Governor

March 13, 2007

Dr. Suellen Reed, Superintendent of Public Instruction  
Indiana Department of Education  
State House, Room 229  
Indianapolis, IN 46204

Dear Dr. Reed:

Hoosier leaders need appropriate and accessible data to make informed policy and decisions. The P-20 data system proposed by the Department of Education will be a key component in the *Information for Indiana* project, a project led by the Governor's office. The proposed data system will help us, as a state, improve Indiana's ability to collect, integrate, and disseminate data of importance for both public and private sector decision makers.

I support the Indiana Department of Education's application for funds to create a longitudinal data system.

Sincerely,

A handwritten signature in black ink, appearing to read "Neil Pickett".

Neil Pickett  
Senior Policy Director



# STATE OF INDIANA

## OFFICE OF TECHNOLOGY

Gerry Weaver  
Chief Information Officer

Mitchell E. Daniels Jr., Governor

Indiana Government Center North  
100 N. Senate Ave., Room N551  
Indianapolis, IN 46204  
(317) 232 - 3171

February 19, 2007

Institute of Education Sciences  
National Center for Educational Statistics  
Statewide Longitudinal Data Systems Grant Program

To Whom It May Concern:

The Indiana Office of Technology (IOT) is in full support of the Indiana Department of Education's (IDOE) application for the Statewide Longitudinal Data Systems Grant. IDOE's effort to build a comprehensive data system PK-20 is an integral component of our Information Indiana initiative that will enhance appropriate data-sharing between state government agencies.

The IOT has partnered with the IDOE to seek funding sources for data warehousing and business intelligence. Our participation will ensure collaboration among various agencies to enhance information availability to Family and Social Services, the Department of Health, the Department of Workforce Development and others while protecting the privacy of students in accordance with FERPA and HIPPA regulations.

The IDOE has developed a comprehensive student data collection system over the past several years and is well-positioned to build on this foundation by adding educator/staff-level data and connecting that information to financial data. Several projects have been initiated in this regard, but their implementation will be difficult without dedicated funding.

The IDOE has the capability to accomplish the goals outlined in the application and will have the full support of the IOT to meet deadlines and objectives.

Sincerely,

A handwritten signature in cursive script, appearing to read "Gerry Weaver".

Gerry Weaver, CIO  
State of Indiana, Office of Information Technology



# Indiana State Board of Education

Room 229, State House • Indianapolis, Indiana 46204-2798  
317/232-6622

March 13, 2007

The Indiana State Board of Education is dedicated to using data as a key instrument in improving student achievement in the classrooms throughout Indiana. We are excited to support the enclosed grant for a Statewide Longitudinal Data System Grant.

The comprehensive PK-20 data system that will be developed will provide key education stakeholders, at all levels of the education process, the information needed to make informed policy decisions. The data will be used to measure the effectiveness of current curricular and policy aims while tracking student success throughout their educational experience.

The Department of Education has brought together an impressive number of collaborators to make this data system successful. In working with the Commission for Higher Education, the Department of Workforce Development, the Indiana Office of Technology, and others we will for the first time be able to track Indiana students throughout their post-secondary experiences and into the workforce. The Department of Education has in place a comprehensive student based data collection system. Enhancing this system by linking our students and teachers along with financial data will provide us new data to gauge policy effectiveness on our students' success and their preparation for higher education and the workforce.

The development and integration of a PK-20 data system is of highest priority to the Indiana State Board of Education and we appreciate your consideration of this application. We look forward to working with you to accomplishing this important project.

Sincerely,

The Members of the Indiana State Board of Education

Dr. Suellen Reed, Chair  
Daniel J. Elsener  
Todd Huston

Jo Blacketer  
Stephen Gabet  
Michael Pettibone

Jim Edwards  
Dr. Gwendolyn Griffith-Adell  
David Shane

Edward Eiler  
Vicki Snyder

# Project Narrative

## Other Narrative

### Attachment 1:

Title: Pages: Uploaded File: **8769-Mandatory\_federal\_budget.pdf**

Indiana Department of Education 3-14-07

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Total (f)
1. Personnel	\$312,000	\$312,000	\$170,000	\$794,000
2. Fringe Benefits				\$0
3. Travel	\$5,000	\$5,000	\$2,000	\$12,000
4. Equipment	\$44,385	\$25,000	\$0	\$69,385
5. Supplies				\$0
6. Contractual	\$1,331,250	\$1,828,125	\$815,625	\$3,975,000
7. Construction				\$0
8. Other	\$300,000	\$37,500	\$37,500	\$375,000
9. Total Direct Costs (lines 1-8)	\$1,992,635	\$2,207,625	\$1,025,125	\$5,225,385
10. Indirect Costs*	n/a	n/a	n/a	\$0
11. Training Stipends				\$0
12. Total Costs (lines 9-11)	\$1,992,635	\$2,207,625	\$1,025,125	\$5,225,385
<b>This budget is an estimate based on lifecycle design for data warehouse systems.</b>				
<b>This is subject to change based on the results of the RFP process.</b>				



Equipment	Cost	Quantity	Total	Year
Dell Notebook Laptop	2744	5	\$12,385	year 1
DellTM Server (dual proc)	10,000	1	\$10,000	year 1
DellTM Server (dual proc)	10,000	1	\$10,000	year 2
EMC SAN	22,000	11 300 gb	\$22,000	year 1
VM Ware	15000	Enterprise	\$15,000	year 2
			<b>\$69,385</b>	
<b>This budget is an estimate based on lifecycle design for data warehouse systems.</b>				
<b>This is subject to change based on the results of the RFP process.</b>				

# Budget Narrative

## Budget Narrative

Attachment 1:

Title: Pages: Uploaded File: **7587-Mandatory\_budget\_justification.pdf**

## **Budget Justification (Federal Funds)**

This proposal includes five types of expenditures – (1) those for State-specific personnel services, (2) travel, (3) equipment, (4) contract based personnel services, and (5) other.

### **1) State Specific Personnel**

- a. \$312,000 year 1, \$312,000 year 2, \$170,000 year 3.
- b. This line item includes a Project Manager at a salary of \$70,000 and three programmers at \$50,000 each for the first two years and a project manager along with two programmers for the third year that will be hired as DOE employees.

### **2) Travel**

- a. \$5,000 year 1, \$5,000 year 2, \$2,000 year 3.
- b. Miscellaneous travel expenses for state specific personnel.

### **3) Equipment**

- a. Dell Notebook Laptop – 5 @ \$2,744 = \$13,720 in year 1.
- b. Dell™ Server – 2 @ \$8,500 = \$8,500 year one and \$8,500 year two.
- c. 11 – 300gb disks in a raid configuration = \$20,990
- c. Does not include equipment for contractors. That is included as part of the RFP for contracted services.

### **4) Contract Based Personnel Services**

- a. Refer to spreadsheet. It includes the time commitments and brief descriptions of the responsibilities of key personnel.
- b. All costs are based on 50 weeks at 37.5 hours per week (1,875 total per year). The attached spreadsheet includes the expected rate of compensation and other related costs.
- c. Other – Includes software costs for reporting, data warehousing, etc. \$300,000 in year 1 and \$75,000 in maintenance and support for years 2 and 3.

## **Budget Justification (State In-Kind Funds)**

### **1) State Specific Personnel**

- a. (b)(4)
- b. This is existing staff from DOE that will be assigned to this project and represent in-kind match.

ed524 federal summary

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Total (f)
1. Personnel	\$312,000	\$312,000	\$170,000	\$794,000
2. Fringe Benefits				\$0
3. Travel	\$5,000	\$5,000	\$2,000	\$12,000
4. Equipment	\$44,385	\$25,000	\$0	\$69,385
5. Supplies				\$0
6. Contractual	\$1,331,250	\$1,828,125	\$815,625	\$3,975,000
7. Construction				\$0
8. Other	\$300,000	\$37,500	\$37,500	\$375,000
9. Total Direct Costs (lines 1-8)	\$1,992,635	\$2,207,625	\$1,025,125	\$5,225,385
10. Indirect Costs*	n/a	n/a	n/a	\$0
11. Training Stipends				\$0
12. Total Costs (lines 9-11)	\$1,992,635	\$2,207,625	\$1,025,125	\$5,225,385
<b>This budget is an estimate based on lifecycle design for data warehouse systems.</b>				
<b>This is subject to change based on the results of the RFP process.</b>				



equipment

Equipment	Cost	Quantity	Total	Year
Dell Notebook Laptop	2744	5	\$12,385	year 1
DellTM Server (dual proc)	10,000	1	\$10,000	year 1
DellTM Server (dual proc)	10,000	1	\$10,000	year 2
EMC SAN	22,000	11 300 gb	\$22,000	year 1
VM Ware	15000	Enterprise	\$15,000	year 2
			<b>\$69,385</b>	
<b>This budget is an estimate based on lifecycle design for data warehouse systems.</b>				
<b>This is subject to change based on the results of the RFP process.</b>				