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1. PROJECT NARRATIVE

Outcome 1.0: SchoolVIEW CAPTURE: Data Gathering and Collections

a. Major Accomplishments:

The vision for the implementation of associated CAPTURE strategic objective and associated outcomes has been established. The budget associated with the outcomes has been allocated across all of the projects including the Automated Data Exchange (ADE) replacement project. Although the procurement process took longer than expected, the due diligence that was applied has produced the results expected. The ADE replacement vendor has been named and the project work will start early in the second year of the grant.

The Technical Implementation Strategy project is nearing completion. The information gathered from the districts has been used in the development of ADE replacement RFP, but also to provide a roadmap for the overall CAPTURE Strategic Objective. This project has involved the district and CDE stakeholders from the beginning in order to ensure their views and feedback were incorporated early and often through the projects.

The Enterprise Data Management Strategy (EDMS) student demographic pilot project was completed over the period. The pilot produced invaluable feedback that will be used in the development and rollout of the ADE Replacement project. The pilot data was loaded into the Integrated Data Store (IDS) that will be used by all applications as a data staging area. The draft final report is currently being circulated through the CDE Information Management Systems (IMS) staff members. The extension of the pilot will be coordinated with the ADE Replacement project moving forward.

The good work started with the 2007 SLDS Grant with the EdFacts data submissions has continued with the 2009 SLDS Grant. The CDE completed the 2009/10 submission schedule over the period and have completed 13% of the current (2010/11) submission schedule. CDE continues to look for ways to improve the submission process. The ADE Replacement Project will have a significant impact to the submission process. Those changes will be made a seamlessly as possible in order to maintain the current submission schedule.

The initial set of Early Childhood use cases have been developed through the combined efforts of the Office of Information Technology (OIT) and the CDE. The use cases will be used to drive some of the initial work that is to be completed relating to the infrastructure to be put in place for the LINK Strategic Objective. Colorado State Agency data will be gathered from the Colorado Department of Human Services (CDHS), Colorado Department of Labor & Employment and the Colorado Department of Higher Education (CDHE) in support of these use cases.

The pilot for the Standard Course Code (SCC) project is targeted for a summer release. The project and associated software is being modeled after the Kansas implementation. The SSC project is being combined with the extension of the Educator ID project. The cross-over within the projects made a

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logical merger and is being managed under the larger scope of the Teacher to Student Data Link (TSDL) initiative. CDE established the business owner, Educator Effectiveness Unit, over the period, which has helped to better define the goals and deliverables for the project.

The Program Management structure was established for the project through the period. The structure includes the additional of two new resources, one contract and one State ARRA position. Since their arrival they have been developing the project and governance structure that will be required for the implementation and sustainability of the grant outcomes. The SLDS Program Charter has been published and the SLDS Executive Steering Committee established. The CDE intends to continue the use of these documents and committees even after the grant funding has been exhausted.

b. Issues and Plans for Tasks Still to be Accomplished:

As a result of the delays associated with the State's procurement processes, the CDE is not as far along with achieving the outcomes associated with the CAPTURE Strategic Objectives as expected. All of the initial nine (9) outcomes are in motion with significant progress being made as the first year came to a close. The CDE has every confidence that the outcomes can be accomplished in the remaining two years of the grant. CDE has been making plans around the shifting of dates, taking into account the sequencing and interrelationship of the projects that will be in motion for the balance of the grant.

The ADE Replacement project will be the largest foundation piece that has both horizontal and vertical stakeholder impacts. The selection of the chosen vendor was completed by a representation of system stakeholders that mirrored this diverse group. Stakeholder involvement will be emphasized through the entire implementation process. Once the contract is in place, the project work can begin in earnest. The foundational pieces provided by the Technical Implementation Strategy and the associated work will be used to sustain the momentum achieved at the end of the first year of the grant.

The Teacher Student Data Link (TSDL) effort will be another primary focus in the next year with the continuation and pilot of the Standard Course Code (SCC) project. The pilot will quickly evolve into a Statewide implementation effort once the results can be analyzed and improvements made to the system and associated processes. A plan for the statewide rollout will be developed and coordinated with the accelerated implementation of Educator ID. Extension of the ID process to include pre-school and other isolated groups will be the primary focus. Having a business owner, Educator Effectiveness Unit, will keep the projects moving through the next two years of the grant.

The State Equalization project (1.4 Integration of Financial) was initiated through the release of the Request for Proposal (RFP). The project will bring increased visibility to student, educator and school financial data that is not currently possible. That visibility will be provided through planned interfaces with the SchoolVIEW.org parent teacher portal. The project also will consolidate and replace some old technology that is currently being supported by the CDE, which will tighten up established standards and help the CDE sustain the application for the future.

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Work will continue in the areas of EdFacts file submission, statewide data standards and SLDS Grant Program structure. The momentum that was established in the first year of the grant will be accelerated due to the foundational pieces put in place over the course of the first year.

Outcome 2.0: SchoolVIEW LINK: Cross Agency Interoperability

a. Major Accomplishments:

The CDE and Office of Information Technology (OIT) worked together on the development and submission of the 2009 SLDS Grant application. That cooperation continued through the first year of the grant with the establishment of an Interagency Agreement (IA) for the execution of the OIT / LINK Strategic Objective. The IA has effectively governed the reporting expenditure of funds to this point in the grant. The OIT is in the second year of a consolidation effort where by the majority of the State Agency Information Technology Staffs and Infrastructure have been brought under their responsibility in an effort to reduce cost, increase efficiency and improve service levels.

The OIT as part of its oversight role for the State Information Technology projects has Enterprise Portfolio Project Management Office (EPPMO) that is responsible for providing project management best practices, standard status reporting, templates, tools, and training to state agencies. Through the EPPMO OIT hired a full time senior Project Manager (PM) and a part time (50%) Project Management Assistant (PMA) for the purposes of implementing the LINK Strategic Objective. Interviews for these positions included a representative from the CDE. Those resources came on board in December and have been engaged on the project ever since.

The OIT PM/PMA have been engaged for the past six months putting in place the required project management plans and infrastructure that will be necessary to complete the project. The documentation includes the creation of use cases that define the data that will be exchanged between the indentified agencies and the CDE. OIT has facilitated those meetings in an effort to document these use cases ahead of the planned Request for Proposal (RFP).

OIT secured the services of an Enterprise Architecture firm for the purpose of defining an architecture to implement the Colorado Unique Person Identifier (CUPID) and the infrastructure capable of exchanging data between the five (5) identified SLDS Grant agencies. The engagement produced three deliverables including a User Case inventory / template, Business Requirements and a High Level Enterprise Architecture. The information was used as input to the LINK Strategic Objective RFP.

The development of the LINK Strategic Objective RFP is nearly complete. The target release date is July 12, 2011. Final vetting with the OIT Executive team is the only task remaining at the time of this report. The development has been made possible through the combined efforts of stakeholders including CDE and State Agencies. Although the RFP is focused on the scope required for CDE to incorporate P-20 data into their SLDS and associated data warehouse, the infrastructure put in place will allow the State to use the technology in support of numerous other similar efforts associated with Health Information

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Technology and the Governor's Early Childhood Leadership Commission (ECLC). The RFP will include a system inventory system that will capture capability and data elements that will be used through the implementation of the scope associated with the LINK Strategic Objective.

b. Issues and Plans for Tasks Still to be Accomplished:

The OIT has gone through a series of organizational changes associated with the Agency Consolidation and the change in the Governor's office. Those efforts have resulted in a total of four (4) different Executive Sponsor's being responsible for the LINK Strategic Objective over the course of the first year. Those changes have been managed to a large extent, but have contributed to the delay in the publishing of the LINK Strategic Objective Request for Proposal (RFP). The RFP is nearly completed and is targeted for release on July 12, 2011.

The LINK Strategic Objective RFP will put in place an end to end solution that has been labeled Identity Management as a Service (IDaaS). The scope of the RFP includes the all of the components necessary to deliver the needed P-20 data from the identified agencies that will be incorporated into the current K-12 SLDS Data Warehouse. The "interfaces" have been prioritized with the Colorado Department of Human Services (CDHS) for Early Childhood information and the Colorado Department of High Education (CDHE) for higher education data rated the highest. Data from these two agencies would immediately extend the current SLDS to be P-20.

The remaining three interfaces to the Colorado Department of Labor & Employment (CDLE), Colorado Department of Corrections (CDOC) and the Colorado Department of Public Safety (CDPS) will be driven from the priority of the use cases being developed. The infrastructure and processes established through the implementation of the CDHE and CDHS will allow all subsequent interfaces to be completed more efficiently due to the preliminary steps (CUPID), discovery and lessons learned that can be applied.

The linking for educator characteristics, evaluation, preparation and development of individual student performance will be enhanced through the implementation of the LINK infrastructure. The data to be provided will logically extend the SLDS and allow the work started through the SchoolVIEW.org parent teacher portal to combine and leverage the P-20 data.

Sustainability is a key component of the LINK Strategic Objective RFP. To that end, vendors will be asked to help the State create a subscription model to sustain the LINK IDaaS indefinitely beyond the life of the grant. The model will include the use of the infrastructure by agencies outside of CDE and how the costs to the primary users will be reduced as new users are added.

Outcome 3.0: SchoolVIEW PROVIDE: Performance Platform

a. Major Accomplishments:

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The CDE continues to extend and enhance the SchoolVIEW.org Parent Teacher Portal with new functionality. The new functionality included the release of the SchoolVIEW Data Center. SchoolVIEW Data Center gives you information about Colorado's public education system at the state, district and school levels. It provides easy access to data on federal and state accountability results, academic performance, and student and school demographics. The Data Center is an example of the CDE listening to its customers and providing tools that fit the diverse needs of the stakeholders.

The CDE implemented the Unified Improvement Plans and the School / District Performance Framework reports during the past year. This technology replaced the School Accountability Reports that were only available via a printed report in the past. The changes in approach have allowed the CDE to do shift the overhead costs to produce the reports into technical resources that provide support for the SchoolVIEW.org site year round.

Funding from the 2009 SLDS Grant is allowing the CDE to continue the development of the Colorado Growth Model (CGM) functionality and to drive it toward national acceptance. There are a total of 18 States that are interested, are in the process of implementing or are implementing the CGM. The USDOE/NCES is sponsoring activities associated with the efforts to make it nationally accepted. The CGM was one of the first applications to be available from Public Domain Clearinghouse (PDC). Development of CGM 3.0 is centered around the national perspective with the implementation of a standard database design and customizable features. Colorado is beginning to reap some of the benefits from the other State projects in the form of enhancements that make sense for Colorado. The new version of the CGM is targeted for release in late November early December and will be based on the national release. In addition, Colorado will be implementing the "standalone" version of the CGM known to CDE as the Air application. This version will be used by the Colorado stakeholders who do not have consistent internet access.

b. Issues and Plans for Tasks Still to be Accomplished:

CDE lost the SchoolVIEW.org core sponsor, Associate Commission Rich Wenning at the end of the June. His vision on the direction for SchoolVIEW.org will be missed. The roadmap for the next two years has been established.

The CDE continues to be at the forefront of the development of the Colorado Growth Model (CGM), even with the national emphasis. That work will be used to create an application that will be more flexible for all States to implement. As a result Colorado is paying for development of some of the national changes that will benefit all states. CDE is tracking hours and deliverables closely in an effort to minimize scope in the project that does not directly relate to the Colorado outcomes.

CDE will continue the development of the SchoolVIEW.org parent teach portal for the balance of the grant. Additional features and data will be incorporated as the time and resources permit. The CDE will continue to drive the national model where ever possible.

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Outcome 4.0: Enterprise Data Management Strategy

a. Major Accomplishments:

The CDE through the Student Demographic Data project and the associated data governance activities was able to put in motion a significant portion of the work necessary to implement the Enterprise Data Management Strategy (EDMS) outcomes. This includes the definition of the Integrated Data Store (IDS) that will be used to stage data as it comes in from external sources including those associated with the CAPTURE and LINK infrastructures. The data governance pieces including the initial student demographic Data Stewards were established. Now that the SLDS Executive Steering Committee is in place, the CDE plans to utilize that body along with the additional governance tiers (Advisory Groups, Working Groups) to complete the assignment of Data Stewards.

The CDE conducted a proof of concept Master Data Management (MDM) project during the first year of the grant. The project helped the CDE staff come up to speed with MDM technology and provided a basis of knowledge that can be used for the implementation of the “golden record” associated with LINK Strategic Objective and the potential use for CAPTURE.

The continued rollout of the Oracle Identity Management remained a high priority through the year. This is a continuation of the work started in the 2007 SLDS Grant. The additional work will center around a federation model associated with a pilot targeted for this summer where access and data can be collected from the two largest Student Information Systems (SIS) (Georgia Bottom-up Model). A Request for Proposal (RFP) was developed, released, evaluated and awarded through the period that will provide Identity Management services associated with all the outcomes. The continuity between projects and vendors will be key, in order to continue the progress made to this point. The CDE continues to lead the State in this area. The infrastructure put in place to this point will be leveraged for the balance of the 2009 SLDS grant.

This outcome will be split out from the EDMS Foundational Element for the remaining grant period, as it is supporting all the other grant strategic objectives either directly or indirectly. The bulk of the funding for this outcome will come out of the CAPTURE Strategic Objective.

b. Issues and Plans for Tasks Still to be Accomplished:

The implementation of Data Governance associated with the EDMS is a dramatic cultural shift from the strategic direction that has been followed to this point. Although there has been governance groups established (Educational Data Access Committee (EDAC), Government Data Advisory Board (GDAB)), they have not drove the ownership of data and data requests down to the Data Stewards. The implementation of the EDMS seeks to make the necessary cultural changes required for a sustainable well beyond the 2009 SLDS grant period.

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The EDMS Foundational Element outcomes and associated deliverables are dependent and cross over with the outcomes associated with CAPTURE. That cross-over is being managed to assure all the associated outcomes are being achieved. The ADE Replacement project will be the first enterprise project to be implemented under the EDMS umbrella.

CDE will continue to implement the components and standards associated with Identity Management. The implementation has driven user administration down to the districts and to CDE units where it can be administered without a great deal of support from the CDE Information Management Systems (IMS) group. Again, this will be spit out into a separate outcome for the final two years of the grant.

Outcome 5.0: Facilitate leadership and Change Management

a. Major Accomplishments:

As part of the 2009 SLDS Grant Application process the CDE included the definition of outcomes associated with the implementation of an Organizational Change Management (OCM) resource. This effort will help assure that the voices of all the project stakeholders are considered as the technology is put in place to address the grant outcomes. The CDE was able to develop, post, and evaluate respondents to a Request for Proposal that was developed to address the OCM needs of the project. The award for this work is pending final State Procurement sign-off.

After feedback from the 2007 Annual Site Visit, the CDE felt strongly about improving the involvement and communication to the application stakeholders, making the Foundational Element OCM a priority. The OCM resource will be responsible for helping to assure that all of the 2009 Grant Outcomes considered the opinion of the stakeholders when and where ever possible.

b. Issues and Plans for Tasks Still to be Accomplished:

The lead time associated with the procurement has delayed establishment of an OCM vendor beyond the original target dates. Having an OCM vendor in place before any of the other work associated with other outcomes would have been preferred. The CDE has ensured the proper level of stakeholder involvement to this point through the use of established governance groups and or through the advice of the SLDS Program Management team that has experience and knowledge about the district stakeholders around the State.

The CDE will work with the OCM vendor once in place to establish a standard set of metrics that can be used to track and manage the grant outcomes and to assure the stakeholders are being adequately represented. The SLDS Program Management Team has a number of established metrics that can be used as a baseline and adapted as needed.

The OCM vendor will be required to report progress across all three Strategic Objectives (CAPTURE, LINK, PROVIDE) both horizontally and vertically through the grant stakeholders. The CDE sees and

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understands the value in this effort and will utilize the feedback to assure the successful implementation of all the grant outcomes.

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2. BUDGET NARRATIVE

A. EXPLANATION OF SLDS GRANT FUNDED SPENDING

1. Personnel: The CDE does not have any funding associated with this category

a. Expenditures: Personnel expenditures are associated with the resources assigned to the CDE in support of the CAPTURE and PROVIDE Strategic Objectives. The initial budget in the application did not contain a Personnel allocation as all the FTE's were to be funded through the Contractual allocation.

b. Explanation of Discrepancies between Year 1 Expenditures and Budget Amount: Only the amount expended in the first year was shifted in the budget. An estimate for the second and third years of the grant will be made in the first quarter of the second year.

c. Changes to Budget, if applicable: Changes to the budget will be applied in the first quarter of the second year of the grant.

2. Fringe Benefits: The CDE does not have any funding associated with this category

a. Expenditures: Fringe Benefits expenditures are associated with the resources assigned to the CDE in support of the CAPTURE and PROVIDE Strategic Objectives. The initial budget in the application did not contain a Fringe Benefits allocation as all the FTE's were to be funded through the Contractual allocation.

b. Explanation of Discrepancies between Year 1 Expenditures and Budget Amount: Only the amount expended in the first year was shifted in the budget. An estimate for the second and third years of the grant will be made in the first quarter of the second year.

c. Changes to Budget, if applicable: Changes to the budget will be applied in the first quarter of the second year of the grant.

3. Travel:

a. Expenditures: The Travel expenditures for the first year were all related to the activities, seminars and presentations associated with SLDS grant activities.

b. Explanation of Discrepancies between Year 1 Expenditures and Budget Amount: The Travel expenditures for the first year were less than expected due to the delay in procurement activity associated with all the Strategic Objectives.

c. Changes to Budget, if applicable: The unused funds from year 1 (\$6,024.65) will be transferred to year two in anticipation of all the procurements being in motion for year two and the expected travel will increase.

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4. Equipment:

a. Expenditures: The equipment expenditures in the first year are associated with both hardware and software purchases. The hardware purchased included servers to support the needed environments associated with the CAPTURE Strategic Objectives. The purchase of an Oracle Enterprise License to be used in support all the declared outcomes.

b. Explanation of Discrepancies between Year 1 Expenditures and Budget Amount: Timing associated with the invoicing of the second half of the Oracle Enterprise licenses account for the majority of the remaining funds. The payment should occur in the first thirty days of the second year of the grant.

c. Changes to Budget, if applicable: The unused funds from year 1 (\$1,403,830.92) will be transferred to year two in anticipation of the software expenditure.

5. Supplies:

a. Expenditures: This budget category was reserved for payments against the additional office space since it was established.

b. Explanation of Discrepancies between Year 1 Expenditures and Budget Amount: The office space for the CAPTURE and PROVIDE Strategic Objectives was not secured until January of this year. The cost for the remainder of the grant has been budgeted with additional space being anticipated for the LINK Strategic Objective.

c. Changes to Budget, if applicable: The unused funds from year 1 (\$354,340.00) will be transferred to year two as the need for additional office space is anticipated with the execution of the vendor contracts.

6. Contractual:

a. Expenditures: This is where the bulk of the original grant application funding was placed in anticipation of large vendor contracts. \$1.7 million of these funds were shifted to the equipment category for the purchase of Oracle Enterprise Site licenses. The remaining expenditures were associated with support contractors.

b. Explanation of Discrepancies between Year 1 Expenditures and Budget Amount: Delays in the procurement cycle are the primary cause for these funds being under spent in the first year of the grant. It is anticipated that the spending will increase dramatically for the next year as the CAPTURE ADE Replacement contract as well as the other larger procurements are nearing completion.

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c. Changes to Budget, if applicable: The unused funds from year 1 (\$3,500,280.83) will be transferred to year two in anticipation of increased spending associated with the large planned procurements in support of all the strategic objectives.

7. Construction: The CDE does not have any funding associated with this category

a. Expenditures: Not Applicable

b. Explanation of Discrepancies between Year 1 Expenditures and Budget Amount:

c. Changes to Budget, if applicable:

8. Other:

a. Expenditures: : This budget category was training costs for CDE staff members that will be supporting the technology put in place by the large vendor projects. The training is critical for sustainability of the system in the future. Several general classes were attended in the first year of the grant.

b. Explanation of Discrepancies between Year 1 Expenditures and Budget Amount: Until the actual technology has been established, the CDE staff cannot be trained. The award of the ADE Replacement and the other pending awards will allow the CDE to begin planning and attending classes as needed.

c. Changes to Budget, if applicable: The unused funds from year 1 (\$354,340.00) will be transferred to year two as the need for additional training is anticipated with the execution of the vendor contracts.

9. Total: Left blank per submittal directions

a. Expenditures: Not Applicable

b. Explanation of Discrepancies between Year 1 Expenditures and Budget Amount:

c. Changes to Budget, if applicable:

10. Indirect Costs:

a. Expenditures: The indirect costs were roughly a quarter of what they were anticipated to be based on the decreased spending and the Federal Algorithm's to calculate the amount.

b. Explanation of Discrepancies between Year 1 Expenditures and Budget Amount: The decreased spending levels due to procurement delays directly impacted this budget category.

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CDE expects increased spending for year two specifically with support contracts where the indirect spending charges apply.

c. Changes to Budget, if applicable: The unused funds from year 1 (\$43,584.84) will be transferred to year two in anticipation of increased spending in support contracts associated with the larger procurement.

11. Training Stipends: The CDE does not have any funding associated with this category

a. Expenditures: Not Applicable

b. Explanation of Discrepancies between Year 1 Expenditures and Budget Amount:

c. Changes to Budget, if applicable:

B. EXPLANATION OF NON-SLDS GRANT FUNDED SPENDING

The CDE has provided its best estimate on the amount of Non-SLDS Grant budget that is spent toward the support of the Statewide Longitudinal Data Systems (SLDS). The CDE IMS group has an annual budget of just over five (5) million dollars. Based on the review of the expenditures we believe the CDE spends nearly a third of that budget in direct support of the SLDS. This amount has varied from year to year but we believe it is a good estimate as defined by your request.