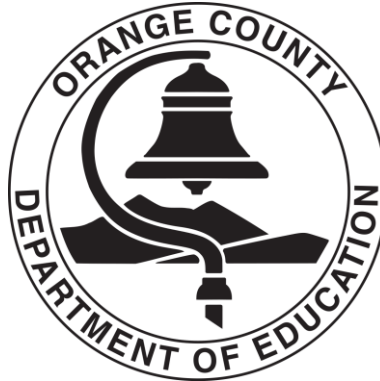


ORANGE COUNTY DEPARTMENT OF EDUCATION



California Scale-Up MTSS Statewide (SUMS) Initiative

REQUEST FOR APPLICATIONS Cohort 3 of 3

Funded by Assembly Bill 104, Education Omnibus Trailer Bill (2015-2016), Section 57

Application Due Date:

Friday, March 30, 2018 (5:00 p.m. PST)

Administered by
Instructional Services Division
Orange County Department of Education
200 Kalmus Drive
Costa Mesa, CA 92626
Main Phone: (714) 966-4000
FAX: (714) 662-3570

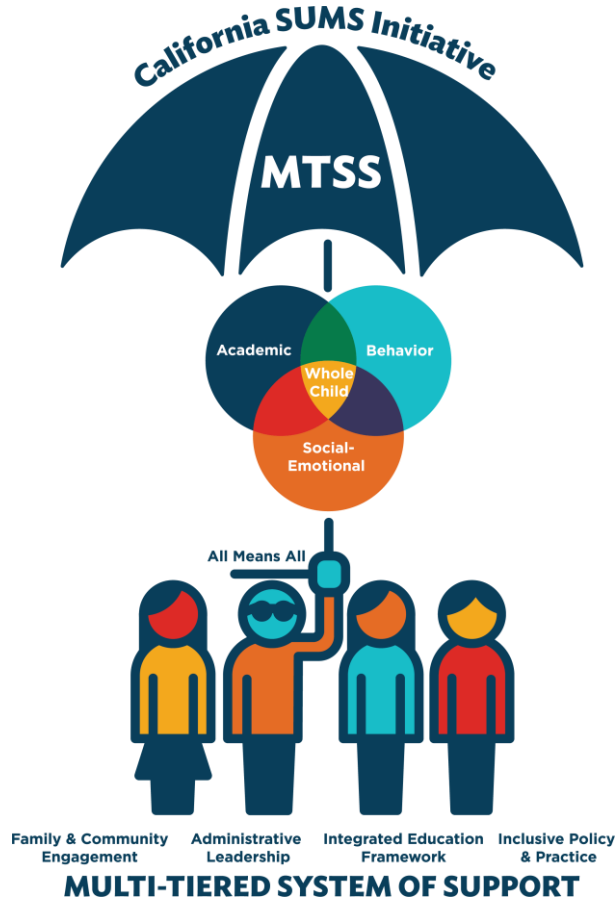
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DEVELOPING, ALIGNING, AND IMPROVING SYSTEMS OF ACADEMIC AND BEHAVIORAL SUPPORTS:

California Scale-Up MTSS Statewide (SUMS) Initiative



I. INTRODUCTION

A. Purpose

The Orange County Department of Education (OCDE) is accepting applications from Local Education Agencies (LEA) for the California Scale-Up MTSS Statewide (SUMS) Initiative Technical Assistance (TA) training grants. Funds in the amount of \$10 million have been awarded as part of Assembly Bill 104, Chapter 13, Statutes of 2015, for scaling up of the utilization of Multi-Tiered System of Support (MTSS). An additional \$20 million, appropriated by Senate Bill 828, Chapter 29, Statutes 2016, augments the original grant award of \$10 million. A combined total of \$18 million from the award and its augmentation will be awarded to LEAs in sub-agreements to assist in scaling up MTSS. The term LEA refers to public school districts, public charter schools, and County Offices of Education (COEs) for the purposes of this Request for Applications (RFA). The grant funding will be distributed into three separate cohorts with up to \$6 million being awarded in each round of applications.

Applicants may apply for one-time funding as a single LEA for **up to \$25,000** or as a consortium--two or more LEAs applying jointly (one application) but one LEA must act as the lead for **up to \$50,000**.

The funds for this initiative must be encumbered (budgeted and planned for expending) by June 30, 2018, but may be expended through June 30, 2020. Awardees in Cohort 2 agree to provide outcome data through June 30, 2020, even if funds are expended prior to that date. Cohort 3 will be required to provide outcome data for three years.

The 2015-16 Budget Act appropriation for the work of this application is a response to recommendations from the March 2015 California Statewide Special Education Task Force Report, *One System Reforming Education to Serve All Students* (<http://www.smcoe.org/about-smcoe/statewide-special-education-task-force/>). The report cited a critical need for one coherent system of education delivered through an MTSS framework in order to align the many educational systems and services in California that remain uncoordinated, contributing in particular to a special education system that is isolated.

Statewide MTSS allows a clear framework for the creation and alignment of a coherent system of education at the state level, designed to benefit all students by serving as a mechanism for aligning and integrating key state and local initiatives such as the Local Control Funding Formula (LCFF), implementation of the California State Standards, Results-Driven Accountability (RDA), and the work of the California Collaborative for Educational Excellence (CCEE).

The primary goal of this initiative is to implement and scale new and existing MTSS practices using an evidence-based continuous improvement process. Awardees will work to develop, align, and improve academic, behavioral, and social-emotional resources, programs, supports, and services utilizing a coherent MTSS framework that engages all systems leading to improved student outcomes.

To accomplish the overarching goal of supporting and scaling up MTSS in California, successful applicants will develop, improve upon, and expand LEA resources for integrating, aligning, and improving LEA and school-wide, data-driven systems of academic, social-emotional, and behavioral supports. These improved systems will help to inform instructional decision making regarding strategies, supports, and services necessary for all students to succeed and also include meaningful and authentic family and community engagement.

B. Assumptions

California's MTSS as an integrated, comprehensive framework aligns academic, behavioral, and social-emotional learning in one coherent system of support. MTSS offers the potential to create needed systematic change through intentional design and

redesign of services and supports to quickly identify and match to the needs of all students.

A well-designed MTSS framework creates the overarching structure at all levels of the organization for delivering the most effective, proactive system of instruction. This system will address the diverse academic and behavioral needs of all students so they can succeed, not only in school, but also reach their college, career, and civic life goals.

California's vast and complex PreK-12 educational system requires a multi-faceted approach that is scalable and sustainable. The California Department of Education's (CDE) vision of "one coherent system of education" offers an opportunity to build the foundation for long-term educational excellence. Through the use of Implementation Science (IS), Universal Design for Learning (UDL), and the Whole Child approach, among other evidence-based interventions, MTSS allows for the integration of all such efforts into one system to the benefit of all students.

Awardees will use evidence-based technical assistance (TA) practices to improve student outcomes (all students, all subgroups). With the district (LEA) as the point of intervention, school-wide transformation and improved student outcomes become sustainable after incremental Technical Assistance resources are gone. District leadership, through this MTSS effort, understands that transformation is not an event, but a process that occurs over time in stages that may overlap and be revisited as circumstances change. See Figure 2.

The district works with schools to develop and articulate both a vision and set of practices that set the course of implementation. Districts work in concert with families and the community at large to achieve and sustain their vision.

Awardees will work in partnership with the Orange County Department of Education (OCDE). Technical Assistance (TA) provided through OCDE in partnership with the CDE, the Butte County Office of Education (Butte COE), the Schoolwide Integrated Framework for Transformation (SWIFT) Education Center, and statewide COEs will be the source of technical support for districts to install, implement, and sustain the MTSS framework as well as to scale up evidenced-based practices within their schools. Transformed educational systems emerge from the work of the people who are most knowledgeable about the students and local culture and values – that is, the educators already in the system, and the families and others who live in the community.

Funds are for technical assistance to: (1) start from a place of knowledge; (2) capitalize upon strengths possessed; and (3) bolster/augment MTSS efforts in place.

Figures 1 and 2 indicate the domains and features supporting statewide MTSS and the whole system engagement utilized to realize MTSS implementation with fidelity.

Figure 1: SWIFT Domains & Features

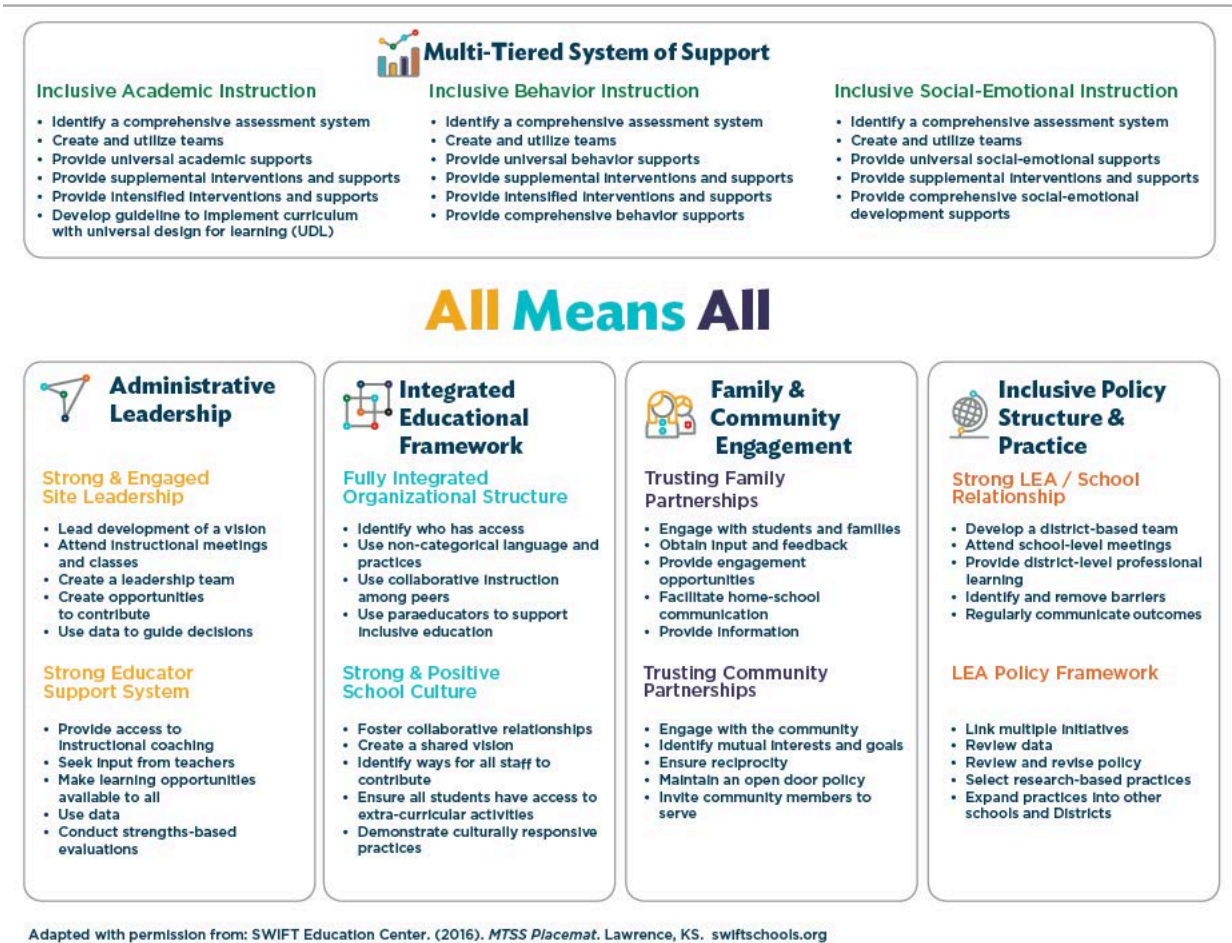
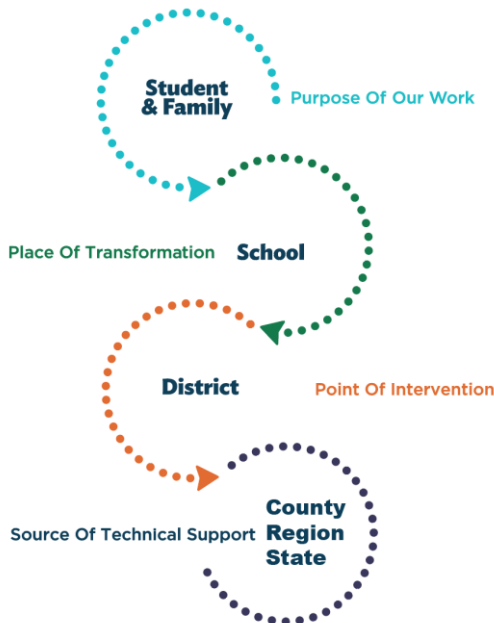


Figure 2:
System of Engagement



II. PROGRAM DESCRIPTION

A. Grant Information

The successful applicant must encumber the funds by June 30, 2018 and expend the funds by June 30, 2020.

B. Eligibility Requirements

Eligible applicants include:

1. One single LEA - Public school districts and public independent charter schools (**up to \$25,000 one-time funding**)
2. Two or more LEAs applying jointly (one application) but one LEA must act as the lead (**up to \$50,000 one-time funding**)

Examples of a Consortium Application:

- COE & COE Operated Schools
- COE & District(s)
- District & Dependent Charter School(s)
- Two or more Independent Charter Schools [If Independent Charter Schools are part of the same Charter Management Organization (CMO), the CMO should be the lead on the application].*

* Charter Management Organizations (CMO) that support schools across more than one California County Superintendents Educational Services Association (CCSESA) Region can apply for more than one Consortium Application but no more than two (2) Consortium Applications per Region.

Note: A public school district may apply as both a single LEA and as a Consortium with all of their Dependent Charter Schools (if applicable). A COE may apply as a Consortium on behalf of its County Operated Schools and a Consortium Lead on behalf of multiple LEAs applying. A COE may only include its County Operated Schools in one Consortium grant application.

3. LEA applicants must submit a completed application that is **received by** OCDE, Instructional Services Division **by 5:00 p.m. on March 30, 2018.**

C. Objectives and Outcomes (Performance Criteria)

Successful applicants agree to participate in Technical Assistance (TA) provided through OCDE in partnership with the CDE, the Butte COE, the SWIFT Education Center, and statewide COEs. Applicant teams will be required to participate in five professional learning days and three on-site MTSS teamwork days designed to scale up MTSS efforts in districts. Training 1 will consist of two facilitated trainings days and

Trainings 2-4 will consist of one facilitated day and one working day (which may take place at the training site or at the LEA site). While there is no charge for the training, the district may incur costs for travel related to attending the training. Districts may use grant funds for travel and costs incurred to participate in trainings.

Successful applicants shall describe how they will accomplish the expenditure of grant funds through the following:

1. Install, implement, and/or sustain an integrated multi-tiered system of standards-based instruction, interventions, academic, behavioral, and social-emotional supports aligned with accessible instruction and curriculum using the principles of UDL, established in the state curriculum frameworks and Local Control and Accountability Plans (LCAPs), which are required to demonstrate how the services provided for low income pupils, foster youth, and English learners are increased or improved for these pupils (5 CCR 15496).
2. Provide strategies that support the success of all students in the most inclusive learning environments to foster greater inclusion.
3. Leverage and coordinate multiple school and community resources.
4. Implement multi-tiered, evidence-based, data-driven district-wide and school-wide systems of academic and behavioral support.
5. Incorporate the types of practices, services, and efforts listed in numbers 1-4 above into LEAs' LCAPs.



COHORT 3 Scope and Sequence

SUMS MTSS Training Calendar				
	Training 1 (2 Consecutive Facilitated Days)	Training 2 (1 Facilitated Day/ 1 Working Day)	Training 3 (1 Facilitated Day/ 1 Working Day)	Training 4 (1 Facilitated Day/ 1 Working Day)
	Foundations of MTSS	Structuring Your MTSS	Engineering Your MTSS	Advancing Your MTSS
Cohort 1	Aug.-Sept. 2017	Oct.-Nov. 2017	Dec.-Jan. 2018	Jan.-Feb. 2018
Cohort 2	Jan.-Feb. 2018	Mar.-Apr. 2018	May-Jun. 2018	Jul.-Aug. 2018
Cohort 3	Aug.-Sept. 2018	Oct.-Nov. 2018	Dec.-Jan. 2019	Jan.-Feb. 2019

Training 1 2 Consecutive Facilitated Days	Training 2 1 Facilitated Day/1 Working Day	Training 3 1 Facilitated Day/1 Working Day	Training 4 1 Facilitated Day/1 Working Day
Foundations of MTSS	Structuring Your MTSS	Engineering Your MTSS	Advancing Your MTSS
<p><i>Foundations of MTSS</i> is about understanding why and how MTSS is to be implemented and sustained throughout the State, Region, County, District and School.</p> <p>Transformation in Action (TiA) Practices: Design Transformation Teaming</p>	<p><i>Structuring Your MTSS</i> is about data-based conversations to identify priorities and steps needed to achieve sustainable transformation.</p> <p>Transformation in Action (TiA) Practices: Data Snapshot Transformation Teaming Priority Practice Planning Resource Mapping</p>	<p><i>Engineering Your MTSS</i> is a review of tools to help schools and districts identify available resources, set clear rules for when to provide additional support, and deliver equitable resources and support when needed.</p> <p>Transformation in Action (TiA) Practices: Transformation Teaming</p>	<p><i>Advancing Your MTSS</i> is about ensuring attention to the coaching and facilitation that will continue to advance efforts and formatively assess progress to inform next steps.</p> <p>Transformation in Action (TiA) Practices: Coaching and Facilitation</p>

Training 1 (2 Consecutive Facilitated Days) Foundations of MTSS	Training 2 (1 Facilitated Day/ 1 Working Day) Structuring Your MTSS	Training 3 (1 Facilitated Day/ 1 Working Day) Engineering Your MTSS	Training 4 (1 Facilitated Day/ 1 Working Day) Advancing Your MTSS
<ul style="list-style-type: none"> • SUMS Overview and Expected Outcomes • MTSS & Supporting Domains • LCAP/MTSS Crosswalk • What is Your “Why”? • Fidelity Integrity Assessment (FIA) Overview - <i>(Where we want our schools to be)</i> • 6 Technical Assistance Practices <i>(How we will help our schools to transform)</i> • LEA Self-Assessment & MTSS Readiness Survey <i>(What we need to help our schools transform)</i> • Design the Future • Theory of Action for Transformation • Initiative Inventory • Transformation Teaming--Aligning Your Teams • Preview Training 2 	<ul style="list-style-type: none"> • Data Snapshots <i>(LCAP, LEA Self-Assessment CA Data Dashboard, Other Local Assessments--Dibels results, benchmark assessments, etc.)</i> • Transformation Teaming--Communication Plan and Roles and Responsibilities • Priority Practice • Resource Mapping and Matching • Fidelity Integrity Assessment (FIA)-(How to facilitate) • Preview Training 3 	<ul style="list-style-type: none"> • Transformation Teaming: Communication Plan-facilitators & barriers • Resource Inventory • Tiered Intervention Matrix/FIA results connection • Master Scheduling • Preview Training 4 	<ul style="list-style-type: none"> • Review 6 TA Practices <i>How, when, and why might you use specific practices and tools?</i> • Coaching and Facilitation • Coaching Service Delivery Plan • Transformation Teaming • Teaming Functions
<p style="text-align: center;">Training 1 Foundations of MTSS</p> <p><u>What to bring to Training 1</u></p> <ul style="list-style-type: none"> • LCAP • MTSS Readiness Survey Results 	<p style="text-align: center;">Training 2 Structuring Your MTSS</p> <p><u>What to bring to Training 2</u></p> <ul style="list-style-type: none"> • LCAP • LEA Self-Assessment results • Other local data indicators 	<p style="text-align: center;">Training 3 Engineering Your MTSS</p> <p><u>What to bring to Training 3</u></p> <ul style="list-style-type: none"> • FIA results • Communication Plan • Staff Roster and/or District Org Chart • Bring a sample master schedule 	<p style="text-align: center;">Training 4 Advancing Your MTSS</p> <p><u>What to bring to Training 3</u></p> <ul style="list-style-type: none"> • Communication Plan • Tiered Intervention Matrix pieces that currently exist • Current Master • Scheduling processes

Training 1 Foundations of MTSS	Training 2 Structuring Your MTSS	Training 3 Engineering Your MTSS	Training 4 Advancing Your MTSS
<p><u>Walk Away Action Steps</u></p> <ul style="list-style-type: none"> • 6 Technical Assistance Practices--<i>Watch the SWIFT in 60 videos</i> • Theory of Action for Transformation--complete Initiative Inventory • LEA Self-Assessment--complete • Teaming--Aligning Your Teams--<i>follow up as needed</i> 	<p><u>Walk Away Action Steps</u></p> <ul style="list-style-type: none"> • Data Practice--<i>narrow data sources to use data practice at school site</i> • Transformation Teaming /Communication Plan/ Roles and Responsibilities--complete communication plans and determine team roles and responsibilities • Priority Practice--<i>narrow priorities</i> • Fidelity Integrity Assessment (FIA)--complete with selected schools 	<p><u>Walk Away Action Steps</u></p> <ul style="list-style-type: none"> • Transformation Teaming: Communication Plan-facilitators & barriers <ul style="list-style-type: none"> ○ <i>Rural lens- communication with family / community as well as COEs</i> • Resource Inventory--Be intentional about how resources are utilized to meet student needs • Tiered Intervention Matrix--Determine what currently exists • Scheduling--Determine what processes exist at the school and district level 	<p><u>Walk Away Action Steps</u></p> <ul style="list-style-type: none"> • Based on LEA needs

D. Allowable Activities and Costs

Budgets for the use of grant funds will be reviewed and scored as part of the application process. Generally, all expenditures must contribute to help develop and scale up LEA utilization of MTSS. Grants to local educational agencies shall be for the purpose of directly funding services or practices aligned to support the SUMS project. Allowable expenditures may include:

- Costs to support the travel and participation of the successful applicant and educators in design, development, and implementation meetings and trainings to facilitate the work of the initiative.
- After attending the first four trainings and analysis of next steps, funds may be used for service agreements between the successful applicant and external service providers such as curriculum specialists, professional learning providers, technical experts, and community organizations with expertise in areas identified by the district (e.g. Restorative Justice training, PBIS training, UDL training, etc.).
- Limited purchases of technology hardware and software as needed, and instructional materials to scale MTSS efforts.

E. Non-allowable Activities and Costs

Funds provided under this grant may not be used to:

- Supplant existing funding or efforts, including costs otherwise necessary to operate a school or program without this grant
- Construct buildings
- Make land improvements
- Purchase or remodel facilities
- Acquire equipment for administrative or personal use
- Purchase furniture (e.g. bookcases, chairs, desks, file cabinets, tables) unless it is to provide reasonable accommodations to students with disabilities
- Purchase promotional favors, such as bumper stickers, pencils, pens, or T-shirts
- Purchase subscriptions to journals or magazines
- Travel outside of the United States
- Provide activities or services not directly related to the purpose of this grant program

Items deemed non-allowable, excessive, or inappropriate will be eliminated and the budget adjusted accordingly. These applications will receive a lower score.

F. Ownership of Material and Intellectual Property Rights

Items produced under the terms of this grant will be the property of the California Department of Education (CDE) and ownership of any copyrights, patents, or other

proprietary interests that may result from grant activities shall be governed by applicable state regulations.

If at any time during or after the grant period, the successful applicant and/or any LEAs that received funds no longer wish to house and maintain the data, resources, and materials produced with these funds, all data, resources, and materials will be returned to the Instructional Services Division, at OCDE.

G. Administrative Indirect Cost Rate

An LEA must limit administrative indirect costs to the rate approved by the CDE for the applicable fiscal year in which the funds are expended. Indirect costs must be calculated and expended according to policies and procedures as set forth in the California School Accounting Manual (CSAM).

(<http://www.cde.ca.gov/fg/ac/sa/documents/csam2016complete.pdf>)

III. ACCOUNTABILITY

A. Fiscal Agent

The successful applicant shall identify a fiscal agent. In the case where the successful applicant is one LEA, then that LEA will be considered the fiscal agent. In the case where the successful applicant is two or more LEAs, these LEAs shall determine and report which one will act as the fiscal agent. The fiscal agent shall be reported in the Cover Sheet, Form A.

The fiscal agent will:

- Receive and administer the grant funds according to the initiative plan.
- Be responsible for the performance of any services provided through funds awarded under this grant.
- Complete all reports as specified in Part E of this section.

Failure to submit required reports in Part E of this section or failure to submit evidence that deliverables have been met could result in the loss and/or remittance of all awarded funds.

B. Financial Records

The LEA(s) receiving funds through this grant will use fiscal control and fund accounting procedures that will ensure proper disbursement of state funds paid to that agency. The recipient(s) of funds shall also maintain financial records, and any other records that will facilitate an effective audit, for three years after the completion of the activities for which the funds are used. (See CSAM at:

<http://www.cde.ca.gov/fg/ac/sa/documents/csam2016complete.pdf>)

C. SUMS Leadership Staff

All applicants must include at least two COE/district/charter school leadership members who have related knowledge, skills, and experience commensurate with leading systems transformation. Applicants that are applying as a consortium may have a team comprised of leaders from each LEA that have demonstrated a commitment to systems transformation. A one-page resume is required for all leadership staff identified. Recommended team size per application is between 5 to 10 members.

Suggested team member composition may include:

Single LEA

- District LEA Team (Single LEA Application)
 - Superintendent/Associate Superintendent
 - District Student Services
 - District Curriculum and Instruction
 - District Special Education
 - Site Principal(s)
 - Teacher Leader
 - Pupil Services (School Counselors, School Psychologists)
- Independent Charter School
 - Executive Director/Site Leader
 - Assistant Principal/Dean of Students/Dean of Instruction
 - Director of Special Education or Student Support

Consortium

- District LEA Team (Consortium Application with one or more dependent charter schools)
 - Superintendent/Associate Superintendent
 - Director/Coordinator of Charter School Support
 - Site Principal(s)/Leader(s)
- Independent Charter Schools (Part of a Charter Management Organization)
 - President/CEO/Vice President
 - Chief Academic Officer
 - Director
 - Area Coordinator
 - Site Leaders/Principal/Assistant Principal/Dean of Students
 - Director/Coordinator of Special Education or Student Support

D. Program Outcome Measures, Data Reporting, and Performance Period

Successful Applicant Reporting Requirements:

An LEA receiving funds for this initiative shall, as a condition of receipt of funds, provide data required by OCDE. By January 31 and July 31 of FY 2018-2019 and FY 2019-2020, the successful applicant shall submit reports to OCDE including:

- a. Progress towards meeting Performance Criteria as described in Section II, Program Description Part C.
- b. Additional outcome data. Such LEA reported data may include but is not limited to:
 - Technical Assistance (TA) feedback
 - SWIFT-Fidelity Integrity Assessment (FIA) results
 - SWIFT-Fidelity Implementation Tool (FIT) results
 - LEA Self-Assessment
 - District Local Control and Accountability Plan (LCAP)
 - Numbers of discipline referrals (not resulting in suspension or expulsion) for fighting or aggression, theft, cheating, disruption or defiance, and all other categories
 - The number of students referred to Special Education
 - The number of students who qualified for Special Education after referral and assessment

Additional outcome measures (not reported by the LEA):

- Changes in rates of suspension and expulsion
- Pupil attendance and chronic absentee reduction
- Graduation rates
- Dropout rates
- Measures of pupil academic achievement
- Average instructional minutes
- SUMS Training Attendance
- Enrollment Data
- Measures of student academic achievement
- School Climate
- Risk/Protective Factors
- Students' social and emotional competence
- Numbers of incidents of bullying and harassment (not resulting in suspension or expulsion)

CA SUMS Program Outcome Measures & Data Collection Revised - February 2018

*Required by CDE	LEA provides:	Source(s) other than LEA
1. Qualitative information regarding LEAs' MTSS implementation policies and processes*	see RFA, Section II-Program Description, Part C-Outcomes 1-5	N/A
2. Number of educators and pupils served by the activities and resources*	N/A	SUMS Training Attendance & DataQuest/CDE
3. Suspension rate*	N/A	DataQuest/CDE
4. Expulsion rate*	N/A	DataQuest/CDE
5. Discipline referrals (not resulting in suspension or expulsion)*	For each participating school: <ul style="list-style-type: none"> • # referrals for FIGHTING or AGGRESSION • # referrals for THEFT • # referrals for CHEATING • # referrals for DISRUPTION or DEFIANCE • # referrals for ALL OTHER CATEGORIES 	N/A
6. Incidents of bullying or harassment (not resulting in suspension or expulsion)*	N/A	DataQuest/CDE
7. Pupil attendance*	N/A	DataQuest/CDE (ADA)
8. Chronic absenteeism*	N/A	DataQuest/CDE
9. Graduation rate*	N/A	DataQuest/CDE
10. Dropout rate*	N/A	DataQuest/CDE
11. Referrals to special education (SPED)*	For each participating school: <ul style="list-style-type: none"> • # students referred to SPED • # students qualified for SPED 	N/A
12. Measures of student academic achievement*	N/A	DataQuest/CDE
13. School climate	N/A	California Healthy Kids Survey LEA reports
14. Risk Factors/Protective Factors	N/A	California Healthy Kids Survey LEA reports
15. Students' social-emotional competence	N/A	California Healthy Kids Survey LEA reports

E. Reporting Requirements

Activity	Action Date
Grant award notification signed	April 2018
Year: 2018–19 <ul style="list-style-type: none"> • Mid-Year Outcome Report • Year-End Outcome Report • Expenditure Report 	Q1 - Q2 by January 31, 2019 Q1 - Q4 by July 31, 2019
Year: 2019–20 <ul style="list-style-type: none"> • Mid-Year Outcome Report • Year-End Outcome Report • Expenditure Report 	Q1 - Q2 by January 31, 2020 Q1 - Q4 by July 31, 2020

IV. APPLICATION PROCEDURES AND PROCESSES

A. Program Timeline

Activity	Action Date
RFA released	February 2, 2018
Applications due (received at OCDE)	March 30, 2018 (5:00 p.m. PST)
Review of the applications (Concept Paper)	April 2018
Notifications sent to those moving onto Part II	Mid-April 2018
Final scores released to applicants	April 2018
Appeals due	Ten calendar days after final scores are released to applicants
Posting of Intent to Award	April 2018
Grant Award Notification signed by grantee	April 2018
Initiative term begins	May 1, 2018
Disbursement of funds	Contingent on signed MOU
Outcome reports due to OCDE	January 31, 2019 July 31, 2019 January 31, 2020 July 31, 2020

Expenditure reports due to OCDE	July 31, 2019 July 31, 2020
---------------------------------	--------------------------------

B. Submission of Application

- [Click here](https://tinyurl.com/SUMScohort3) to apply [<https://tinyurl.com/SUMScohort3>]
- OCDE Instructional Services Division must receive the complete application, including all required components, **by 5:00 p.m. PST on March 30, 2018**. See Section V, Part C for a list of required application documents.
- Incomplete or late applications will not be evaluated or considered for funding.

OCDE may reject an application that does not respond to all areas, does not meet the technical standards, or adhere to the requirements as specified in this RFA. OCDE shall reject an application that is not submitted by an eligible applicant.

C. Application Review and Award Process

Selection of the final grantee will follow the process below:

- Each application will be read and evaluated by a minimum of two reviewers.
- OCDE will carefully screen all applications received by the due date for compliance with all requirements stated in this RFA. Applications not found to be fully compliant with all submission requirements may be rejected as non-responsive.
- Panels will be convened to review initial applications that will consist of staff from OCDE and Butte COE. Any organization that will directly benefit or be involved in the initiative will not be considered as a member of the review panel. Each eligible application will be read, reviewed, and evaluated using the SUMS Application Evaluation Rubric (See Appendix B).
- Applicants with the majority of the application marked in the advanced category on the rubric may be considered for moving to the next stage of the process.
- Upon completion of the SUMS grant review process and consideration of any appeal, OCDE will post a notification of Intent to Award on the California Scale-Up MTSS Statewide (SUMS) Initiative web page: <http://ocde.us/SUMS>.
- Final notice of the successful applicant award will be posted to the OCDE SUMS webpage: <http://ocde.us/SUMS>.

D. Evaluation Criteria

- Each application will be evaluated using the SUMS Evaluation Rubric (see Appendix B).
- Each applicant will be evaluated in the following areas:
 Section 1: Need
 Section 2: Objectives and Planned Approach
 Section 3: Budget Summary and Budget Narrative (Forms D and E)
 Section 4: Initiative Team

E. Incomplete and Late Applications

Incomplete or late applications will not be considered or evaluated.

F. Appeals Process

Applicants who wish to appeal their score must submit a letter of appeal to:

Instructional Services
 Request for Applications – California SUMS Initiative
 Orange County Department of Education
 200 Kalmus Drive
 Costa Mesa, CA 92626
 Attention: Edgar Montes

OCDE must **receive** the letter of appeal, with an original signature from the applicant’s County Superintendent(s) or designee no later than 5:00 p.m. ten (10) calendar days after scores are emailed to applicants. Fax or letters submitted via e-mail will not be accepted.

Appeals must be based solely on the grounds that OCDE failed to correctly apply the evaluation rubric in its review of an application as specified in this RFA. The appellant must file a full and complete written appeal, including the issue(s) in dispute, the legal authority or other basis for the appeal position, and the remedy sought. OCDE will not consider incomplete or late appeals. The appellant may not supply any new information that was not contained in the original application.

Upon receipt of the appeal, OCDE staff or designees will conduct a review of the documents submitted. The Associate Superintendent of Instructional Services Division will provide the final decision in writing within three (3) weeks from the date that appeals are due to OCDE. That decision shall be the final administrative action afforded the appeal.

V. GRANT AWARDS

A. Grant Award Notification

Once the appeals process is complete, the LEA(s) selected for funding will receive a Grant Award Notification, the official OCDE document that awards funds to local initiatives. The grantee must sign and return the notification along with a signed budget to OCDE before initiative work may begin and disbursement of funds can be made.

B. Assurances, Certifications, Terms, and Conditions

Assurances, certifications, terms, and conditions are requirements of applicants and grantees, as a condition of receiving funds. The signed grant application submitted to OCDE is a commitment to comply with the assurances, certifications, terms, and conditions associated with the grant.

Assurances and Certifications

Applicants are not required to return the General Assurances and Certifications with the application. Instead, applicants must download, sign, and keep these documents on file and available for compliance reviews, complaint investigations, or audits. General Assurances and Certifications are available on the CDE Funding Forms Web page at: <http://www.cde.ca.gov/fg/fo/fm/ff.asp>.

Applicants **must sign and return** the Statement of Assurances, Form F.

Terms and Conditions

The grant award will be processed upon receipt of the signed Grant Award Notification. The Grant Award Notification must be signed by the authorized agent and returned to OCDE within 10 working days.

All funds must be expended within the dates designated and for not more than the maximum amount indicated on the Grant Award Notification. Encumbrances may be made at any time after the beginning date of the grant stated on the Grant Award Notification. All funds must be encumbered (budgeted and planned for expending), or legally obligated, by June 30, 2018. All funds must be expended by June 30, 2020. No extensions of this grant will be allowed.

The budgets may display up to three years of implementation showing how the grant will be used to support the district in scaling up MTSS. Proposed expenditures must demonstrate appropriate use of state funds as described in this RFA and the California School Accounting Manual (CSAM).

C. Application Instructions

A complete application consists of the following components:

1. Application Cover Sheet, Form A
2. Memorandum of Understanding Between Two or More LEAs Applying Jointly (required if applying jointly), Form B
3. Application Narrative, Form C
4. Proposed Initiative Budget Summary, Form D
5. Proposed Budget Narrative, Form E
6. Statements of Assurances, Form F

VI. FORMS

Form A: Application Cover Sheet

California Scale-Up MTSS Statewide (SUMS) Initiative

Initiative Title (optional): _____

Initiative Director/Title:	
Local Education Agency (LEA):	
Address (including city, state and zip code):	
Telephone/Extension:	
Email and Fax:	
County District School (CDS) Code:	
Lead LEA Superintendent or designee/Title:	
Address (including city, state and zip code):	
Telephone/Extension:	
Email:	
LEA Fiscal Agent/Title:	
Address (including city, state and zip code):	
Telephone/Extension:	
Email and Fax:	
Evaluator/Report Writer/Title:	
Address (including city, state and zip code):	
Telephone/Extension:	
Email and Fax:	
LEA (2) Superintendent or designee/Title: (If applicable)	

LEA (2) Name:	
Address (including city, state and zip code):	
Telephone/Extension:	
Email:	
LEA (3) Superintendent or designee/Title: (if applicable)	
LEA (3) Name:	
Address (including city, state and zip code):	
Telephone/Extension:	
Email:	

Signatures by Authorizing Agents: By signing this document, I certify that my organization will participate in the initiative and related follow-up activities. In addition, I confirm that resources developed as specified in the attached budget will become property of this initiative.

_____	_____
Lead LEA Superintendent or designee (printed name)	Date
_____	_____
Lead LEA Superintendent or designee (signature)	Date
_____	_____
LEA (2) Superintendent or designee (printed name) (if applicable)	Date
_____	_____
LEA (2) Superintendent or designee (signature) (if applicable)	Date
_____	_____
LEA (3) Superintendent or designee (printed name) (if applicable)	Date
_____	_____
LEA (3) Superintendent or designee (signature) (if applicable)	Date

**Form B: Memorandum of Understanding Between Two or More
Local Education Agencies Applying Jointly**

Lead LEA Name: _____
CDS Code: _____

California Scale-Up MTSS Statewide (SUMS) Initiative

This Memorandum of Understanding (MOU) template provides the terms and concepts that Local Education Agency(s) should discuss so they can increase understanding of their individual organizations and articulate how they will work together on the California Scale-Up MTSS Statewide (SUMS) Initiative grant. The resulting MOU must cover the following information:

Background:

In order for the California Scale-Up MTSS Statewide (SUMS) Initiative grant to be disbursed with efficiency and effectiveness, attention must be paid to the LEA partnership governance and fiscal organization and structures.

Purpose:

This MOU will stipulate to the terms of LEAs' partnership, including both fiscal and governance relationships.

Contents:

- Governance: This MOU will specify the norms and organizational structures for leadership, communications, and responsibilities, and also specify how leaders will be held accountable.
- Fiscal: One fiscal agent will represent all LEAs, to be mutually chosen.

Annual report, qualitative report, and expenditure report due to OCDE	<ul style="list-style-type: none">• July 31, 2019• July 31, 2020
---	---

Funding:

This MOU does not require a commitment of funds from any LEA.

Duration:

This MOU shall become effective upon signature by the authorized agents from the LEA(s) and will remain in effect until the end of the grant.

Contact Information:

This MOU must include the following information:

Lead LEA Name:	
Telephone:	
Fax:	
E-mail:	
Initiative Director/s:	
Superintendent:	
Fiscal Agent:	
Evaluator:	
LEA (2) Name:	
Telephone:	
Fax:	
E-mail:	
Initiative Co-Director/s:	
Superintendent:	
Fiscal Agent:	
Evaluator:	
LEA (3) Name:	
Telephone:	
Fax:	
E-mail:	
Initiative Co-Director/s:	
Superintendent:	
Fiscal Agent:	
Evaluator:	

Signatures:

The MOU must include dated signatures from authorizing agents, specifically, the LEA Initiative Co-directors, the LEA superintendents or designees, and the LEA fiscal agent. Signatures will be included on Form A.

Form C: Application Narrative

California Scale-Up MTSS Statewide (SUMS) Initiative

Section 1: Need (250 words max)

1.1 Describe the LEA's need to participate in Technical Assistance (TA) that will develop, align, and improve: standards-based, universally designed instruction; and academic, behavioral, and social-emotional* interventions using an MTSS Framework.

Section 2: Objectives and Planned Approach (3000 words max)

2.1 Describe all of the applicant's existing resources, programs, initiatives, partnerships, and areas of specialty and how they will be used and/or leveraged to scale up MTSS using evidence-based academic, behavioral, and social-emotional* programs, practices, and interventions. *(450 words max)*

2.2 Describe in detail how participating in Technical Assistance (TA) will support the LEA in developing, aligning, and improving standards-based, universally designed instruction (i.e. UDL) and academic, behavioral, and social-emotional* interventions. Describe how participation in TA will assist the district in scaling up the use of MTSS. Specifically, describe how the district will:

- a. Demonstrate how the use of MTSS might assist the LEA in the development and improvement of their LCAP. *(300 words max)*
- b. Identify, select, improve and tailor existing evidence-based resources and professional learning activities. *(300 words max)*
- c. Determine which types of evidence-based practices, resources and programs will receive greater focus and attention. *(300 words max)*
- d. Develop plans, processes, and strategies for identifying and making necessary infrastructure adjustments to support a continuous improvement cycle and local sustainability. *(300 words max)*
- e. Apply/incorporate the principles of Implementation Science (See Appendix A: Description of Terms for Implementation Science). *(300 words max)*
- f. Assist in supporting all students with the most inclusive learning environments. *(300 words max)*
- g. Incorporate training and support in the principles of UDL as foundational to Tier 1 level instruction in MTSS. *(300 words max)*

2.3 Describe how the LEA district team will be the point of intervention to (a) develop an infrastructure for ongoing support for school-wide transformation; (b) establish a community of practice or Professional Learning Community (PLC) protocols that will support the LEA in meeting the objectives of this initiative; (c) function as the support agent for this community of practice or PLC, which will serve as a critical feedback loop to inform, support, and enhance the use of MTSS and evidence-based programs and

practices. Describe any previous successes or challenges with developing/supporting a community of practice(s) or Professional Learning Communities. (450 words max)

Section 3: Budget Summary and Budget Narrative (Forms D and E)

3.1 Complete the following forms:

- Form D, Proposed Initiative Budget Summary
- Form E, Proposed Budget Narrative

Section 4: Initiative Team (200 words max)

4.1 Describe the governance or management structure of the initiative. Describe initiative leadership and their assigned roles as well as other initiative staff roles. Describe how these roles will serve to accomplish the tasks described in this Request for Application (RFA). Include resumes for all initiative leaders. (For joint applicants, include how LEAs will prevent duplication of effort by detailing both inter-COE and intra-COE governance relationships. If applicable, describe any previous joint county office collaborations.)

All applicants must include at least two district leadership members who have related knowledge, skills, and experience commensurate with leading systems transformation. Applicants that are applying as a consortium may have a team comprised of leaders from each LEA that have demonstrated a commitment to systems transformation. A one-page resume is required for all leadership staff identified.

Suggested team composition may include:

Single LEA

- District LEA Team (Single LEA Application)
 - Superintendent/Associate Superintendent
 - District Student Services
 - District Curriculum and Instruction
 - District Special Education
 - Site Principal(s)
 - Teacher Leader
 - Pupil Services (School Counselors, School Psychologists)
- Independent Charter School
 - Executive Director/Site Leader
 - Assistant Principal/Dean of Students/Dean of Instruction
 - Director of Special Education or Student Support

Consortium

- District LEA Team (Consortium Application with one or more dependent charter schools)
 - Superintendent/Associate Superintendent

- Director/Coordinator of Charter School Support
- Site Principal(s)/Leader(s)

- Independent Charter Schools (Part of a Charter Management Organization)

- President/CEO/Vice President
- Chief Academic Officer
- Director
- Area Coordinator
- Site Leaders/Principal/Assistant Principal/Dean of Students
- Director/Coordinator of Special Education or Student Support

*As specified in AB 104, Chapter 13, Statutes of 2015: (b) (1): behavioral, and social emotional programs include but are not limited to: Response to Instruction and Intervention (RTI²), positive behavior interventions and support (PBIS), restorative justice, bullying prevention, social-emotional learning, trauma-informed practice, and cultural competency. (b) (3): includes collaborations with local mental health agencies, to provide school-based mental health services.

Form D: Proposed Initiative Budget Summary

California Scale-Up MTSS Statewide (SUMS) Initiative

Instructions for Completing Budget Summary

The applicant must submit both a Budget Summary (Form D) and a Budget Narrative (Form E). The forms may not be modified or broken down further than the object codes provided (e.g., 1000, 2000, 3000, etc.). The budget summary should reflect all initiative expenditures for grant funds for the proposed initiative for each year of the initiative. “In-kind” funding, or funding from other sources, is optional.

Form D: Proposed Initiative Budget Summary

California Scale-Up MTSS Statewide (SUMS) Initiative

Lead LEA Name: _____
Fiscal Agent Contact Name: _____
CDS Code: _____

This budget should list all initiative expenditures for grant funds for the proposed initiative’s three years. Add additional rows as needed.

Object Code	Object of Expenditure	Proposed Expenditures			Total Proposed Expenditures	Amount from Other Source(s) (In-Kind)
		FY 2017-18	FY 2018-19	FY 2019-20		
1000-1999	Certificated Salaries					
2000-2999	Classified Salaries					
3000-3999	Employee Benefits					
4000-4999	Books and Supplies					
5000-5999	Services and Other Operating Expenditures					
	SUBTOTAL					
	Indirect Costs (___%) Cannot exceed current CA state limit					
	TOTAL					

Form D: Proposed Initiative Budget Summary (Cont.)

OCDE use only. Reviewed and Approved by:

OCDE Fiscal Analyst:	Title:	Date:
OCDE Program Monitor:		
OCDE Administrator:		

Form E: Proposed Budget Narrative

California Scale-Up MTSS Statewide (SUMS) Initiative

Please explain with sufficient detail what led to the calculations to justify the budget figures in the Proposed Initiative Budget Summary, Form D. Include how the funds link to your Application Narrative responses to Objectives and Outcomes (Section II, C). Use additional pages of this form as necessary. Note: Applicants can opt to use Form E for each initiative year separately.

Object Code	Detailed Explanation of Expenditure	SUMS Initiative	Amount from Other Source(s) (In-Kind)
Certificated Salaries 1000s	Year 1: Year 2: Year 3:	Year 1: Year 2: Year 3:	Year 1: Year 2: Year 3:
Classified Salaries 2000s	Year 1: Year 2: Year 3:	Year 1: Year 2: Year 3:	Year 1: Year 2: Year 3:
Benefits 3000s	Year 1: Year 2: Year 3:	Year 1: Year 2: Year 3:	Year 1: Year 2: Year 3:
Books and Supplies 4000s	Year 1: Year 2: Year 3:	Year 1: Year 2: Year 3:	Year 1: Year 2: Year 3:
Services and Other Operating Expenditures 5000s	Year 1: Year 2: Year 3:	Year 1: Year 2: Year 3:	Year 1: Year 2: Year 3:

Object Code	Detailed Explanation of Expenditure	SUMS Initiative	Amount from Other Source(s) (In-Kind)
SUBTOTAL	Year 1: Year 2: Year 3:	Year 1: Year 2: Year 3:	Year 1: Year 2: Year 3:
Indirect Costs	Year 1: Year 2: Year 3:	Year 1: Year 2: Year 3:	Year 1: Year 2: Year 3:
TOTAL	Year 1: Year 2: Year 3:	Year 1: Year 2: Year 3:	Year 1: Year 2: Year 3:

Form F: Statement of Assurances

California Scale-Up MTSS Statewide (SUMS) Initiative

I support the proposed initiative and commit my organization to completing all of the tasks and activities that were described in the application. I also certify that each of the following requirements of the California Scale-Up MTSS Statewide (SUMS) Initiative grant application has been met:

1. All of the parties entering into this grant agree to be subject to the examination and audit of the State Auditor for a period of three years after final payment under the grant. Grantee agrees to obtain a timely audit where required in accordance with applicable audit guidelines.
2. Items produced under the terms of this contract will be the property of the California Department of Education (CDE) and ownership of any copyrights, patents, or other proprietary interests that may result from grant activities shall be governed by applicable state regulations.
3. Grantees commit to reviewing the Family Educational Rights and Privacy Act (FERPA) in relation to the proposed initiative. Information on FERPA is available at the U.S. Department of Education FERPA Web page at <http://www.ed.gov/policy/gen/guid/fpco/ferpa/index.html>.
4. The LEA commits to gathering teacher and student release forms for videos, interviews (which may include focus groups), and observations, if applicable.
5. Timely Reporting: The grantees commit to providing all reports according to the pre-determined reporting schedule.
6. Grantees and Local Education Agencies (LEAs) with sub-agreements shall comply with the General Assurances.
7. Grantees will ensure that SUMS initiative funds are used to supplement and not to supplant funding that would otherwise be used to support proposed activities.

Lead LEA Name: _____

LEA (2) Name: _____

LEA (3) Name: _____

Signature by Authorizing Agents: By signing this document, I certify that my organization meets the requirements of the California Scale-Up MTSS Statewide (SUMS) Initiative grant application.

_____ Lead LEA Initiative Director (print)	_____ Date
_____ Lead LEA Initiative Director (signature)	_____ Date
_____ Lead LEA Superintendent or designee (print)	_____ Date
_____ Lead LEA Superintendent or designee (signature)	_____ Date
_____ Lead LEA Fiscal Agent (print)	_____ Date
_____ Lead LEA Fiscal Agent (signature)	_____ Date
_____ LEA (2) Initiative Director (print) (optional)	_____ Date
_____ LEA (2) Initiative Director (signature) (optional)	_____ Date
_____ LEA (2) Superintendent or designee (print) (optional)	_____ Date
_____ LEA (2) Superintendent or designee (signature) (optional)	_____ Date
_____ LEA (3) Initiative Director (print) (optional)	_____ Date
_____ LEA (3) Initiative Director (signature) (optional)	_____ Date
_____ LEA (3) Superintendent or designee (print) (optional)	_____ Date
_____ LEA (3) Superintendent or designee (signature) (optional)	_____ Date

VII. APPENDIX

California Scale-Up MTSS Statewide (SUMS) Initiative

Appendix A: Description of Terms

Authorizing Agents: A LEA Superintendent or designee who has the authority to commit the LEA to the work outlined in submitted documents.

Community of Practice: Groups of educators who have a desire to interact regularly to share a concern or a passion about an educational practice, strategy, or program. Through collective problem solving and knowledge sharing, they can refine and improve such things as their understandings of the way in which students learn and pedagogical techniques that best help students learn.

Dissemination: Purposeful distribution of information widely or to a specific audience.

Evaluator/Report Writer: Member of the LEA(s) leadership team who is responsible for the annual reports, data collection, data analysis and report writing. This person has expertise in process analysis, such as Implementation Science, qualitative analysis, and report writing. Evidence of such abilities is provided on his/her resume. The position may be filled by a team member who has another duty on the team.

Evidence: Research findings derived from the systematic collection of data through observation and experiment and the formulation of questions and testing of hypotheses.

Evidence-based practices: An instructional strategy, intervention, or teaching program that has resulted in consistent positive results when experimentally tested.

Evidence-based programs: Programs that have been experimentally tested and have results which indicate the program produces the expected positive results; the results can be attributed to the program itself, rather than to other extraneous factors or events; the evaluation is peer-reviewed by experts in the field.

Fidelity Integrity Assessment (FIA): A self-assessment used by School Leadership Teams to examine the current status of school-wide practices that have been demonstrated through research to provide a basis for successfully including all students who live in the school community.

Implementation: The realization of an application, or execution of a plan, idea, model, design, specification, standard, or policy.

Implementation processes qualitative data tool: A tool designed to capture useful, ongoing information regarding a local educational agency's Multi-Tiered System of Support (MTSS) implementation policies and processes, including surveys, feedback loops, and other process-oriented points of data collection. Applicants need to thoughtfully plan out when and how they will use integrated points of data collection to

develop a coherent tool for collecting qualitative outcome data to be analyzed for the qualitative annual reports.

Implementation Science (IS): The science related to developing, identifying, and implementing evidence-based programs and practices for children and families. More information about IS can be found at the National Implementation Research Network's Implementation Hub Web site at <http://implementation.fpg.unc.edu/>.

Implementation Science Frameworks: Frameworks that help define *what* needs to be done (useable interventions); *how* to establish what needs to be done in practice (implementation drivers); *who* will do the work (implementation teams) to accomplish positive outcomes in typical human service settings (implementation stages); *where* effective interventions and effective implementation will thrive (enabling contexts); and *how to scale up* effective practices (improvement cycles). More information about active implementation frameworks can be found at: <http://implementation.fpg.unc.edu/sites/implementation.fpg.unc.edu/files/AIHub-Handout1-ActiveImplementationFrameworks1.pdf>.

Local Education Agencies (LEAs): A term referring to school districts, charter schools, and other COEs.

Local Control Funding Formula (LCFF): California Legislature's 2013–14 budget package that replaced the previous kindergarten through grade twelve (K–12) finance system. For school districts and charter schools, the LCFF creates base, supplemental, and concentration grants in place of most previously existing K–12 funding streams, including revenue limits and most state categorical programs. For more information on the LCFF, visit the California Department of Education (CDE) Web page at <http://www.cde.ca.gov/fq/aa/lc/lcffoverview.asp>.

Multi-Tiered System of Support (MTSS): In California, MTSS is an integrated, comprehensive framework that focuses on Common Core State Standards (CCSS), core instruction, differentiated learning, student-centered learning, individualized student needs, and the alignment of systems necessary for all students' academic, behavioral, and social success. For more information on MTSS, visit the CDE Web page at <http://www.cde.ca.gov/ci/cr/ri/>.

Initiative: A term referring to the work of this Request for Application (RFA) awarded to and performed by the successful applicant, which will be the work of one LEA or a consortium of LEA's applying jointly.

Results-Driven Accountability (RDA): The U.S. Department of Education Office of Special Education Programs (OSEP) for Performance Indicator 17 defines RDA as a system that:

- Is developed in partnership with stakeholders
- Is transparent and understandable
- Drives improved outcomes
- Ensures protection of individual rights
- Provides differentiated incentives, supports, and interventions
- Encourages states to direct their resources to where they can have the greatest positive impact

Successful Applicant: Qualifying LEA or two or more LEAs applying jointly, whose application scores the highest number of points in the RFA scoring process and is awarded the grant. If it becomes necessary to interview applicants, the scores of the interview as well as the scores of the written application will determine the final award.

Summary of Qualitative Outcome Data: An annual report required each funding year and two years beyond the funding period based on data generated by the implementation processes qualitative data tool. This report provides the successful applicant with the opportunity to document the progress made and barriers encountered with process-based activities such as creating demonstration LEAs for testing the feasibility of effective programs, and providing strategies that support student success in the least restrictive environments.

Summary of Additional Outcome Data: An annual report required each funding year and two years beyond the funding period based on data generated from activities conducted or new practices implemented. This report provides the successful applicant with the opportunity to document progress made with activities such as increasing educator access to resources and developing online professional learning activities. Student and school level data may be included.

SWIFT: Schoolwide Integrated Framework for Transformation developed by the University of Kansas

SWIFT Education Center: Provides technical assistance (TA) to interested education entities through a contractual agreement using a framework for inclusive schoolwide transformation. The framework consists of five domains, each with two features. Multi-Tiered System of Support (MTSS) is the mechanism used for improving student outcomes. Research supports the use of four additional domains and features as essential components for successfully installing and sustaining MTSS. The domains are Administrative Leadership, Integrated Educational Framework, Family and Community Engagement, and Inclusive Policy Structure and Practice.

Tier 1 Universal Support for All Students: Within a MTSS, Tier 1 refers to the differentiated core instruction delivered to all students that has a high likelihood of bringing the majority of students to acceptable levels of proficiency.

Universal Design for Learning (UDL): A planning framework for accessibility at all levels of instruction, including Tier 1 universal support for all students, which is foundational to the implementation of a quality, coherent MTSS. UDL provides a blueprint for creating instructional goals, methods, materials, and assessments that work for everyone - not a single, one-size-fits-all solution but rather flexible approaches that can be customized and adjusted for individual needs. For more information, see the Center for Applied Special Technology Web site at <http://www.cast.org/about#.WYoiPhqQLt4>

Variances in Student Populations: Population variance include:

- LEA size: large/urban, medium, and small. Includes charter schools.
- Grade-levels: Preschool through high school, including students with disabilities ages 18–22.
- Geographical locations of California: Northern, Southern, Sierra, Central Valley, Coastal, Desert.
- Student populations: based on socioeconomic disadvantage, race, ethnicity, and disability. Student populations also include foster youth and English Learners.

Various Stages of MTSS Implementation: The six stages of MTSS implementation include:

1. Pre-Exploration: Initial learning about MTSS.
 - Laying the Foundation: Learn Options
2. Exploration/Adoption: Engage in work to make a commitment to adopt MTSS.
 - Laying the Foundation: Choose Practice
3. Installation: Set up infrastructure to support MTSS implementation.
 - Installing: Preparing People & Systems; Train
4. Initial Implementation: Try out practices and work out details.
 - Implementing: Try Out the Practice; Reflect and
 - Recommend Improvements in Practice & System
5. Elaboration: Expand the program/practices to other locations, individual, and times.
6. Continuous Improvement: Make it easier to implement and more efficient.
 - Sustaining Implementation: Student Outcomes show the practice works; Competent, Organized, Well Led System of Practice (with continuous improvement cycle)

Initiative ID: _____ Scorer Initials: _____ Total Score: _____

Appendix B: Evaluation Rubric

Section 1: Need

1.1 Describe the LEA’s need to participate in Technical Assistance (TA) that will develop, align, and improve standards-based, universally designed instruction and academic and behavioral* interventions using an MTSS Framework.

ADVANCED	ADEQUATE	LIMITED	INADEQUATE
Completely and clearly describes the LEA’s need to participate in Technical Assistance that will develop, align, and improve standards-based, universally designed instruction and academic and behavioral* interventions using an MTSS Framework.	Satisfactorily and sufficiently describes the LEA’s need to participate in Technical Assistance that will develop, align, and improve standards-based, universally designed instruction and academic and behavioral* interventions using an MTSS Framework.	Minimally describes the LEA’s need to participate in Technical Assistance that will develop, align, and improve standards-based, universally designed instruction and academic and behavioral* interventions using an MTSS Framework.	Incompletely and/or unclearly describes the LEA’s need to participate in Technical Assistance that will develop, align, and improve standards-based, universally designed instruction and academic and behavioral* interventions using an MTSS Framework.

*As specified in AB 104, Chapter 13, Statutes of 2015: (b) (1): behavioral, and social emotional programs include but are not limited to: Response to Instruction and Intervention (RTI2), positive behavior interventions and support (PBIS), restorative justice, bullying prevention, social-emotional learning, trauma-informed practice, and cultural competency. (b) (3): includes collaborations with local mental health agencies, to provide school-based mental health services.

SUBRATING SECTION 1: 1.1 ____

Section 2: Objectives and Planned Approach

2.1 Describe all of the applicant’s existing resources, programs, initiatives, partnerships, and areas of specialty and how they will be used/leveraged to scale up MTSS and the use of evidence-based academic and behavioral* programs, practices, and interventions.

ADVANCED	ADEQUATE	LIMITED	INADEQUATE
Completely and clearly describes all of the applicant’s existing resources, programs, initiatives, partnerships, and areas of specialty and how they will be used/leveraged to scale up MTSS and the use of evidence-based academic and behavioral* programs, practices, and interventions.	Satisfactorily and sufficiently describes all of the applicant’s existing resources, programs, initiatives, partnerships, and areas of specialty and how they will be used/leveraged to scale up MTSS and the use of evidence-based academic and behavioral* programs, practices, and interventions.	Minimally describes all of the applicant’s existing resources, programs, initiatives, partnerships, and areas of specialty and how they will be used/leveraged to scale up MTSS and the use of evidence-based academic and behavioral* programs, practices, and interventions.	Incompletely and/or unclearly describes all of the applicant’s existing resources, programs, initiatives, partnerships, and areas of specialty and how they will be used/leveraged to scale up MTSS and the use of evidence-based academic and behavioral* programs, practices, and interventions.

2.2 Describe in detail how participating in Technical Assistance (TA) will support the LEA in developing, aligning, and improving standards-based, universally designed instruction (i.e. UDL) and academic and behavioral* interventions. Describe how the initiative will assist in scaling up the use of MTSS. Specifically, describe how you envision the initiative will:

- Identify, select, and tailor existing evidence-based resources and professional learning activities
- Determine which types of evidence-based practices, resources and programs will receive greater focus and attention
- Develop plans, processes, and strategies for identifying and making necessary infrastructure adjustments to support a continuous improvement cycle and local sustainability
- Apply/incorporate the principles of Implementation Science (See Appendix A: Description of Terms for Implementation Science)
- Assist in supporting inclusive practices that support the success of all students in the most inclusive learning environments to foster greater inclusion.
- Demonstrate how the use of MTSS might assist LEAs in the development and improvement of their LCAPs
- Incorporate training and support in the principles UDL as foundational to Tier 1 level instruction in MTSS.

ADVANCED	ADEQUATE	LIMITED	INADEQUATE
<p>Completely and clearly describes how the applicant's initiative will support LEAs with developing, aligning, and improving standards-based, universally designed instruction (i.e. UDL) and academic and behavioral* interventions.</p>	<p>Satisfactorily and sufficiently describes how the applicant's initiative will support LEAs with developing, aligning, and improving standards-based, universally designed instruction (i.e. UDL) and academic and behavioral* interventions.</p>	<p>Minimally describes how the initiative will support LEAs with developing, aligning, and improving standards-based, universally designed instruction (i.e. UDL) and academic and behavioral* interventions.</p>	<p>Incompletely and/or unclearly describes how the initiative will support LEAs with developing, aligning, and improving standards-based, universally designed instruction (i.e. UDL) and academic and behavioral* interventions.</p>
<p>Completely and clearly describes how the initiative will assist in scaling up the use of MTSS.</p>	<p>Satisfactorily and sufficiently describes how the initiative will assist in scaling up the use of MTSS.</p>	<p>Minimally describes how the initiative will assist in scaling up the use of MTSS.</p>	<p>Incompletely and/or unclearly describes how the initiative will assist in scaling up the use of MTSS.</p>
<p>Includes all of the listed actions in 2.2 with specific details to illustrate the proposed support.</p>	<p>Includes all of the listed actions in 2.2 with sufficient detail.</p>	<p>Does not include all the listed actions in 2.2.</p>	<p>Does not include most of the listed actions in 2.2.</p>

*As specified in AB 104, Chapter 13, Statutes of 2015: (b) (1): behavioral, and social emotional programs include but are not limited to: Response to Instruction and Intervention (RTI2), positive behavior interventions and support (PBIS), restorative justice, bullying prevention, social-emotional learning, trauma-informed practice, and cultural competency. (b) (3): includes collaborations with local mental health agencies, to provide school-based mental health services.

2.3 Describe how the LEA district team will be the point of intervention to (a) develop and infrastructure for ongoing support for school-wide transformation; (b) establish a community of practice or Professional Learning Community (PLC) protocols that will support the LEA in meeting the objectives of this initiative; (c) function as the support agent for this community of practice or PLC, which will serve as a critical feedback loop to inform, support, and enhance the use of MTSS and evidence-based programs and practices. Describe any previous successes or challenges with developing/supporting a community of practice(s) or Professional Learning Community.

ADVANCED	ADEQUATE	LIMITED	INADEQUATE
<p>The narrative provides a complete and clear description/depiction of how:</p> <ul style="list-style-type: none"> The LEA district team will be the point of intervention for school-wide transformation and improved student outcomes to become sustainable after TA resources are gone. The district will assist schools in scaling up the use of evidence-based academic and behavioral* programs and practices through the use of communities of practice or PLC's and how it will support the schools 	<p>The narrative provides a satisfactory description/depiction of how:</p> <ul style="list-style-type: none"> The LEA district team will be the point of intervention for school-wide transformation and improved student outcomes to become sustainable after TA resources are gone. The district will assist schools in scaling up the use of evidence-based academic and behavioral* programs and practices through the use of communities of practice or PLC's and how it will support the schools 	<p>The narrative provides limited description/ depiction of how:</p> <ul style="list-style-type: none"> The LEA district team will be the point of intervention for school-wide transformation and improved student outcomes to become sustainable after TA resources are gone. The district will assist schools in scaling up the use of evidence-based academic and behavioral* programs and practices through the use of communities of practice or PLC's and how it will support the schools 	<p>The narrative incompletely and/or unclearly describes/depicts how the applicant envisions how</p> <ul style="list-style-type: none"> The LEA district team will be the point of intervention for school-wide transformation and improved student outcomes to become sustainable after TA resources are gone. The district will assist schools in scaling up the use of evidence-based academic and behavioral* programs and practices through the use of communities of practice or PLC's and how it will support the schools

*As specified in AB 104, Chapter 13, Statutes of 2015: (b) (1): behavioral, and social emotional programs include but are not limited to: Response to Instruction and Intervention (RTI2), positive behavior interventions and support (PBIS), restorative justice, bullying prevention, social-emotional learning, trauma-informed practice, and cultural competency. (b) (3): includes collaborations with local mental health agencies, to provide school-based mental health services.

SUBRATING SECTION 2: 2.1 ___ 2.2 ___ 2.3 ___

Section 3: Budget Summary and Budget Narrative (Forms D and E)

3.1 Complete the following forms:

- Form D, Proposed Initiative Budget Summary
- Form E, Proposed Budget Narrative

ADVANCED	ADEQUATE	LIMITED	INADEQUATE
<p>Convincingly and clearly identifies the allowable and appropriate expenses to support the activities of the initiative.</p> <p>Budget narratives and summary thoroughly explain funding for each line item for each budget year.</p> <p>Budget allocations consistently and logically align with all strategies and approaches described in Section 2.</p>	<p>Satisfactorily identifies the allowable and appropriate expenses to support the activities of the initiative.</p> <p>Budget narratives and summary sufficiently explain most of the funding for line items for each budget year.</p> <p>Budget allocations align with most strategies and approaches described in Section 2.</p>	<p>Minimally identifies the allowable and appropriate initiative expenses.</p> <p>Budget narrative includes unallowable or excessive expenses.</p> <p>Budget narratives and/or summary are incomplete.</p> <p>Budget allocations weakly align with strategies and approaches described in Section 2.</p>	<p>Incompletely and/or unclearly identifies allowable expenses.</p> <p>Budget includes unallowable, and/or excessive initiative expenses.</p> <p>Budget narratives and summary are incomplete.</p> <p>Budget allocations lack alignment with the strategies and approaches described in Section 2.</p>

SUBRATING SECTION 3: 3.1 _____

Section 4: Initiative Team

4.1 Describe the governance or management structure to support this initiative. Describe leadership and their assigned roles as well as other staff roles. Describe how these roles will serve to accomplish the tasks described in this Request for Application (RFA). Include resumes for all leaders. (For joint applicants, include how LEAs will prevent duplication of efforts.)

ADVANCED	ADEQUATE	LIMITED	INADEQUATE
Thoroughly describes the governance or management structure of the initiative.	Satisfactorily describes the governance or management structure.	Minimally describes the governance or management structure.	Incompletely and/or unclearly describes the governance or management structure.
Completely and clearly describes initiative leadership and their assigned roles as well as other initiative staff roles.	Satisfactorily describes initiative leadership and their assigned roles as well as other initiative staff roles.	Provides a limited description of initiative leadership and their assigned roles as well as other initiative staff roles.	Provides an unclear description of initiative leadership and their assigned roles as well as other initiative staff roles.
Thoroughly describes how these roles will serve to accomplish the tasks described in this RFA.	Satisfactorily describes how these roles will serve to accomplish the tasks described in this RFA.	Provides a limited description of how these roles will serve to accomplish the tasks described in this RFA.	Provides an inadequate description of how these roles will serve to accomplish the tasks described in this RFA.
Includes resumes for all initiative leaders.	Includes resumes for all initiative leaders.	Does not include resumes for all initiative leaders.	Does not include resumes for all initiative leaders.
Convincingly describes the collaborative process to be followed (applies to LEAs applying jointly).	Satisfactorily describes the collaborative process to be followed (applies to LEAs applying jointly).	Minimally describes the collaborative process to be followed (applies to LEAs applying jointly).	Does not describe the collaborative process to be followed (applies to LEAs applying jointly).

SUBRATING SECTION 4: 4.1 _____

Final Rating: Section 1 _____ **2** _____ **3** _____ **4** _____ **Overall Rating:** _____