

**California Department of Education**

# Scaling Up Multi-tiered System of Support Statewide: Partner Entity

**REQUEST FOR APPLICATIONS**

**Application Due Date:**

**December 17, 2021,**

**by 4:00 p.m.**

Administered by the

Educator Excellence and Equity Division

California Department of Education

1430 N Street, Suite 4309

Sacramento, CA 95814-5901

Phone: 916-323-6269

## Table of Contents

[1. Overview 1](#_Toc86997785)

[A. Introduction 3](#_Toc86997786)

[B. Background 4](#_Toc86997787)

[C. State Statute and Authority 7](#_Toc86997788)

[2. Program Description 8](#_Toc86997789)

[A. Grant Information 8](#_Toc86997790)

[B. Eligibility Requirements 8](#_Toc86997791)

[C. Goals 8](#_Toc86997792)

[D. Responsibilities of Grantees 14](#_Toc86997794)

[E. Allowable Activities and Costs 14](#_Toc86997795)

[F. Non-Allowable Activities and Costs 15](#_Toc86997796)

[G. Administrative Indirect Cost Rate 15](#_Toc86997797)

[3. Accountability 16](#_Toc86997798)

[A. Reporting Requirements 16](#_Toc86997799)

[B. Program Deliverables 17](#_Toc86997800)

[4. Application Procedures and Processes 17](#_Toc86997801)

[A. Application Timeline 17](#_Toc86997802)

[B. Application Process 18](#_Toc86997803)

[C. Application Review 19](#_Toc86997804)

[D. Technical Assistance 19](#_Toc86997805)

[E. Appeals Process 19](#_Toc86997806)

[F. Grant Award Notification 20](#_Toc86997807)

[G. Assurances, Certifications, Terms, and Conditions 20](#_Toc86997808)

[5. Program Application 21](#_Toc86997809)

[A. Application Narrative 21](#_Toc86997810)

[Part 1—Goals and Activities 21](#_Toc86997811)

[Part 2—Proposed Metrics 24](#_Toc86997812)

[B. Application Budget 24](#_Toc86997813)

[Evaluation Rubric 26](#_Toc86997814)

[Part 1— Scaling Up Multi-tiered System of Support Statewide: Partner Entity Goals and Activities 26](#_Toc86997815)

[Theory of Action 26](#_Toc86997816)

[Proposed Activities 27](#_Toc86997817)

[Project Participants 31](#_Toc86997818)

[Alignment 33](#_Toc86997819)

[Expanding Capacity 34](#_Toc86997820)

[Part 2—Proposed Metrics 35](#_Toc86997821)

[Part 3—Budget and Cost Effectiveness 36](#_Toc86997822)

[Appendices 37](#_Toc86997823)

[Appendix A: Online Application Instructions 38](#_Toc86997824)

[Appendix B: Budget Categories 44](#_Toc86997825)

[Appendix C: Education Omnibus Trailer Bill (Assembly Bill 130) 46](#_Toc86997826)

[Form A: Scaling Up Multi-tiered System of Support Statewide: Partner Entity 50](#_Toc86997827)

## Overview

The California Department of Education (CDE) invites local educational agencies (LEAs), an LEA in partnership with an institution of higher education (IHE) or nonprofit educational service provider, or a consortia, to apply for a grant to partner with the Orange County Department of Education (OCDE) and the Butte County Office of Education (BCOE) to expand the state’s capacity to support LEAs’ implementation of social and emotional learning (SEL); trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices. The partner entity shall support the OCDE and the BCOE in offering high quality professional learning to educators and school leaders by performing all of the following functions:

* Creating, collecting, and curating resources for educators on SEL, trauma screening, trauma-informed practices, and culturally relevant, affirming, and sustaining practices.
* Providing ongoing training and support in the use of trauma screening tools and mental health service referrals, school climate surveys, and the use of tool and survey data.
* Providing grants to LEAs to support both of the following:
  + Convening professional learning communities of educators and school leaders.
  + Providing ongoing training and coaching to educators and school leaders.

For the purposes of this grant, the CDE has borrowed the following definitions of “SEL,” “trauma-informed practices,” and “culturally relevant, affirming, and sustaining practices” to support applicants in completing this application:

* **Social-Emotional Learning**

*SEL is* *an integral part of education and human development. SEL is the process through which all young people and adults acquire and apply the knowledge, skills, and attitudes to develop healthy identities, manage emotions and achieve personal and collective goals, feel and show empathy for others, establish and maintain supportive relationships, and make responsible and caring decisions.*

*SEL advances educational equity and excellence through authentic school-family-community partnerships to establish learning environments and experiences that feature trusting and collaborative relationships, rigorous and meaningful curriculum and instruction, and ongoing evaluation. SEL can help address various forms of inequity and empower young people and adults to co-create thriving schools and contribute to safe, healthy, and just communities.[[1]](#footnote-1)*

* **Trauma-Informed Practices**

*A program, organization, or system that is trauma-informed realizes the widespread impact of trauma and understands potential paths for recovery; recognizes the signs and symptoms of trauma in clients, families, staff, and others involved with the system; and responds by fully integrating knowledge about trauma into policies, procedures, and practices, and seeks to actively resist re-traumatization.[[2]](#footnote-2)*

* **Culturally Relevant, Affirming, and Sustaining Practice**

*Culturally Sustaining Pedagogy builds on decades of asset-based pedagogical research including Culturally Relevant Pedagogy (Ladson-Billings) and Culturally Responsive (Gay and Hammond) and Linguistic (Hollie) Pedagogy.*

*Culturally Sustaining Pedagogy affirms and respects the key components of the Asset-Based Pedagogies that preceded it, but also takes them to the next level. Instead of just accepting or affirming the backgrounds of students of color as seen in Culturally Relevant Pedagogy; or connecting to students’ cultural knowledge, prior experiences, and frames of reference as we see in Culturally Responsive Pedagogy; Culturally Sustaining Pedagogy views schools as places where the cultural ways of being in communities of color are sustained, rather than eradicated.*

*Culturally Sustaining Pedagogy promotes equality across racial and ethnic communities and seeks to ensure access and opportunity. Culturally Sustaining Pedagogy also supports students to critique and question dominant power structures in societies.[[3]](#footnote-3)*

### Introduction

Previous State Funding **for the Scaling Up Multi-tiered System of Support Statewide Grant Program**

In 2015, Assembly Bill 104, Chapter 13, Statutes of 2015, appropriated $10 million for Developing, Aligning, and Improving Systems of Academic and Behavioral Supports (ISABS). The CDE conducted a competitive grant process and awarded the funds to the OCDE for their Scaling Up Multi-tiered System of Support (MTSS) Statewide (SUMS) proposal. In 2016, an additional $20 million, appropriated by Senate Bill 828, Chapter 29, Statutes 2016, augmented the original grant award. The Budget Act of 2018 authorized an additional $15 million, appropriated by AB 1808, Chapter 32, Statues of 2018 and SB 840, Chapter 29, Statutes of 2018. This phase of the grant focused on improving school climate statewide. The purpose of the full $45 million was to encourage LEAs to establish and align schoolwide, data-driven systems of academic and behavioral supports to more effectively meet the needs of California’s diverse learners in the most inclusive environment. The SUMS initiative enables the OCDE to develop and disseminate statewide resources and technical assistance for this purpose.

For the first two funding phases of the SUMS grant, the OCDE subcontracted with the Schoolwide Integrated Framework for Transformation (SWIFT) Technical Assistance Center at the University of Kansas and the BCOE to partner with the SUMS effort. The BCOE shares SUMS professional learning resources through My Digital Chalkboard, and engages rural areas of the state to support their unique needs. SWIFT is a technical assistance center that builds school capacity to support all students both academically and behaviorally. The SWIFT staff supports the SUMS grant by providing technical assistance and professional learning opportunities to participating LEAs.

Beginning with the initial grant awards, the OCDE and partners developed the California MTSS Framework and provided subgrants to LEAs to engage them in a process to assess their strengths, coordinate supports to their Local Control and Accountability Plans and align their MTSS efforts with the eight state priorities. To date, the OCDE has distributed the grant funding into three separate cohorts with up to $6 million awarded in each round of applications.

The $15 million appropriated in the Budget Act of 2018 initiated a partnership between the OCDE, the BCOE, and the University of California, Los Angeles, Center for the Transformation of Schools to expand the state's MTSS framework. Through this collaborative effort, they developed evidence-based tools and training for educators and school systems. This work expands restorative justice, bullying prevention, and positive behavioral interventions to minimize the use of emergency interventions. Their joint efforts also established a pilot program to help LEAs to promote positive school climates by improving student-teacher relationships, increasing student engagement, and promoting alternative discipline practices.

Current State Funding **for the Scaling Up Multi-tiered System of Support Statewide**

In an effort to expand the state’s capacity to support LEAs’ implementation of SEL; trauma-informed practices; and culturally relevant, affirming, and sustaining practices, as part of an MTSS, the CDE seeks a SUMS Partner Entity that will support the OCDE and the BCOE to ensure systems alignment to work previously accomplished through the SUMS initiative and directly impact classroom instruction/practitioner through high quality professional learning. Up to $12.5 million will be appropriated for this purpose.

### Background

In the last decade, educators in California have shifted their focus from one primarily on “academics only” to a whole child approach.[[4]](#footnote-4) A growing body of research shows that school climate strongly influences students' motivation to learn and a positive school climate can improve academic achievement. When school members feel safe, valued, cared for, respected, and engaged, learning increases. Schools that provide students with support to meet these basic needs allow them to grow socially and emotionally and avoid problems ranging from emotional distress to drug use to violence—in addition to helping them achieve academically. [[5]](#footnote-5)

As part of that shift, the CDE has provided resources to support the field with implementing a whole child approach through SEL; trauma-informed practices; and culturally relevant, affirming, and sustaining practices; with a focus on equity.

In 2017, the CDE facilitated the California SEL State Team (a work group of practitioners, scholars, and leaders from across the state) and developed the *California SEL Guiding Principles*, which affirmed SEL as “an essential part of a well-rounded, quality education in all youth-serving settings.” In addition to creating the Guiding Principles, the SEL State Team generated a suite of recommendations that called for the development of voluntary practice guidelines that spoke explicitly to California’s diverse regional, cultural, racial, linguistic, and socioeconomic contexts.

In early 2020, State Superintendent of Public Instruction (SSPI) Tony Thurmond, First Partner Jennifer Siebel Newsom, and State Board of Education (SBE) President Linda Darling-Hammond launched the Advance SEL in California Campaign. The initiative engaged diverse California education stakeholders to gather perspectives on SEL practices, needs, and goals. The project culminated with a report (informed by the participation of nearly 2,000 educators, students, parents, and community members) on the status of SEL in California, with recommendations for how teachers, school leaders, and families across the state can address the social and emotional needs of students. The report is available on Education First’s website at <https://education-first.com/library/publication/advance-sel-in-california-final-report-and-recommendations/>.

To implement the recommendations made by the first California SEL State Team and those contained in the Advance SEL report, the CDE convened a new SEL work group in 2020. Over the course of more than a year, the 2020 CDE SEL Work Group developed three core products (available on the CDE Transformative SEL Competencies and Conditions for Thriving web page at <https://www.cde.ca.gov/ci/se/tsel.asp>):

* Kindergarten–Adult Transformative SEL Competencies
* Transformative SEL Conditions for Thriving
* Collections of resources to support implementation

These guidance tools, developed for voluntary use, aim to build on and respond to the call from California’s diverse interested parties to embed equity-focused Transformative Social and Emotional Learning (T-SEL) in every learning and teaching context across the education system.

In addition to the focused work on initiatives affecting school climate referenced above, the CDE has worked to embed practices that align SEL competencies into the standards and frameworks across content areas. For example, the California Mathematics Standards recognize the importance of a student’s ability to “make sense of problems and persevere in solving them” and “construct viable arguments and critique the reasoning of others.”[[6]](#footnote-6) Another example of how the CDE threads students’ SEL throughout subject areas can be seen in the *Standards for Career Ready Practice*, which serve as an accompaniment to the California Career Technical Education Model Curriculum standards. This document emphasizes the importance of communication skills and perseverance to prepare students for transition to postsecondary education, career training, or the workforce. This is indicative of the belief that supporting students’ social and emotional development is the responsibility of all educators in our school systems. To examine an overview of how SEL is threaded into the California standards and frameworks, see the document entitled *Social and Emotional Learning Embedded in Core Education Documents*, on the OCDE SEL web page at <https://ocde.us/EducationalServices/SLACI/SEL/Pages/default.aspx>.

With so many initiatives to support whole child development, the CDE recognizes the need to have systems in place that align these efforts and support implementation of these strategies. Too often, fragmented solutions are implemented, are marginalized in the school, and improvements are short-lived. Trauma-informed practices and SEL, for example, are often thought of as two separate initiatives. However, trauma-informed practices and SEL strengthen each other, as trauma-informed practices help children feel safe and supported to be able to receive SEL skill development, and SEL addresses social and emotional competencies that promote skill development and regulation that helps all children.[[7]](#footnote-7) The goal should be to integrate and implement them together and as part of a MTSS. Furthermore, SEL is most likely to be successful when priorities are aligned.[[8]](#footnote-8)

*Both SEL and MTSS elevate individualized support while also fostering broader conditions for teaching and learning, emphasize building the capacity of the adults who support students, prioritize supportive (not punitive) approaches to improving student behavior, and require coordination and collaboration with families and communities. Together, when they intentionally attend to cultural competence and youth and family empowerment, SEL and MTSS help to promote the schoolwide conditions, individual competencies, and equitable learning environments that help students be successful.[[9]](#footnote-9)*

In order to achieve meaningful and sustainable improvements, schools must have a clear sense of their vision and goals. Schools need to understand and address the barriers to learning that their students experience beyond the school so students can achieve and thrive.

### State Statute and Authority

Chapter 44, Statutes of 2021, Education Omnibus Trailer Bill (AB 130) appropriated $50 million from the General Fund to the Superintendent to apportion to the OCDE to award no less than $30 million as grants to LEAs for the purpose of funding schoolwide and districtwide implementation of services or practices aligned to the MTSS framework. The OCDE may expend up to $1 million of the amount appropriated pursuant to subdivision (a) to support the administration of grants and provide support to the grantees. The Superintendent is required to establish a process, in consultation with and subject to the approval of the executive director of the SBE, to select a LEA, a LEA in partnership with an IHE or nonprofit educational service provider, or a consortia, to partner with the OCDE and the BCOE to expand the state’s capacity to support LEAs’ implementation of SEL, trauma-informed practices, and culturally relevant, affirming, and sustaining practices, and requires no more than $20 million of the $50 million appropriation to be available for these purposes.

The partner entity shall have demonstrated expertise in developing and delivering high quality professional learning to educators in SEL, trauma-informed practices, and culturally relevant, affirming, and sustaining practices in a manner that aligns with local MTSS. The partner entity shall support the OCDE and the BCOE in offering high quality professional learning to educators and school leaders by performing all of the following functions:

* Creating, collecting, and curating resources for educators on SEL, trauma screening, trauma-informed practices, and culturally relevant, affirming, and sustaining practices.
* Providing ongoing training and support in the use of trauma screening tools and mental health service referrals, school climate surveys, and the use of tool and survey data.
* Providing grants to LEAs to support both of the following:
  + Convening professional learning communities of educators and school leaders.
  + Providing ongoing training and coaching to educators and school leaders.

The CDE and SBE shall select the partner entity on or before February 15, 2022, and funds must be encumbered or expended on or before February 15, 2026. The partner entity may apply for up to $12.5 million for the purposes outlined in this SUMS: Partner Entity RFA.

## Program Description

### Grant Information

This application covers the grant period beginning February 15, 2022, and ending February 15, 2026. Funds are available based on the application and proposed budget. The total grant budget for this RFA is up to $12.5 million.

The selected applicant must ensure alignment, communication, and collaboration with LEAs and the OCDE and BCOE, and ensure that the development and delivery of professional learning opportunities are aligned with:

1. Current research on SEL, trauma screening, trauma-informed practices, and culturally relevant, affirming, and sustaining practices;
2. CDE’s T-SEL Competencies and Conditions;
3. The SUMs initiative; and
4. The Quality Professional Learning Standards (QPLS) (see Section 2.C for more information).

### Eligibility Requirements

Lead applicants must be an LEA, an LEA in partnership with an IHE or nonprofit educational service provider, or a consortia, with demonstrated expertise in developing and delivering high quality professional learning to educators in SEL; trauma-informed practices; and culturally relevant, affirming, and sustaining practices in a manner that aligns with local MTSS. Applicants must be able to demonstrate knowledge of and capacity to implement practices that support implementation in a manner that aligns with the work referenced in Section 2.A of this RFA. If multiple LEAs apply as a consortia, a lead applicant must be identified.

### Goals

The grantees will collaboratively work with the OCDE and BCOE to build the capacity of LEAs across the state through professional learning opportunities focused on SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices for educators and school leaders, the content for which the LEA provides training must be aligned to local MTSS and be aligned to the QPLS. The intent of the funding is to ensure that SEL integration is both proximal and distal. In other words, professional learning should support alignment to systems, such as MTSS and other relevant whole child work, but also ensure change in classroom practice. The successful SUMS Partner Entity will:

* Structure collective learning around an evidence-based cycle of continuous learning and improvement, maintaining a consistent focus on shared goals, for the purpose of implementation of strategies in the classroom and schoolwide;
* Create, collect, and curate resources for educators and school leaders on SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices, that are responsive to student diversity, encourage student-directed learning, are evidence-based, and promote collaboration among staff, students and community;
* Provide ongoing training and support in the use of trauma screening tools and mental health service referrals, school climate surveys, and the use of tool and survey data; and
* Provide ongoing training and coaching to educators and school leaders which facilitates cycles of feedback and reflection that are spaced over time through opportunities for educators to solicit and receive feedback and input to change instructional practice.

The professional learning opportunities may include, but are not limited to:

* Convening communities of practice, where groups of educators and school leaders come together to fulfill both individual and group goals related to SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices;
* Providing coaching and coaching support focused on educator and school leader needs;
* Identifying and sharing models of effective practice to provide exemplars of how to integrate SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices, into classroom and school culture and practices;
* Creating professional learning materials to inform educators and school leaders in practices to implement SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices.

Professional learning resulting from this funding should be aligned to the QPLS. The QPLS serve as a foundation for the content, processes, and conditions essential to all educator professional learning over time, which leads to improved educator knowledge, skills, and dispositions. Seven interdependent standards support professional learning that is rooted in student and educator needs demonstrated through data; focused on content and pedagogy; designed to ensure equitable outcomes; designed and structured to be ongoing, intensive, and embedded in practice; collaborative with an emphasis on shared accountability; supported by adequate resources; and coherent and aligned with other standards, policies, and programs. More information about the QPLS is available at <https://www.cde.ca.gov/ci/pl/qpls.asp>.

Professional learning opportunities must conform to the best evidence regarding effective learning for educators. This includes, but is not limited to, the QPLS and sample indicators described in Table 1.

### Table 1. Quality Professional Learning Standards and Sample Indicators

| Standard | Sample Indicators |
| --- | --- |
| **Data:** Uses varied sources and kinds of information to guide priorities, design, and assessment | * Uses formative and summative student achievement data, disaggregated by race, gender, English language learner status, special needs, foster youth, and/or socio-economic status, to identify critical student needs that require improved instruction, support, and leadership * Develops educators’ ability to meet students’ academic, cultural, social, physical, and emotional needs * Collects and reviews evidence of changes and/or improvements in collective practice |
| **Content and Pedagogy:** Enhances educators’ expertise to increase students’ capacity to learn and thrive | * Focuses on specific teaching strategies associated with discipline-specific curriculum content that supports teacher learning within the teachers’ classroom contexts * Deepens and extends subject-matter knowledge within educators’ own discipline and across other disciplines * Increases educators’ use of linguistically and culturally responsive materials * Creates multiple opportunities, in different settings, including built-in time for educators to practice, to receive feedback, and to revise their practice by the facilitation of reflection and solicitation of feedback * Uses instructional techniques and strategies, such as using authentic artifacts and interactive activities, that educators then use with students * Develops knowledge of, and skills for, how to address students’ academic, cultural, social, physical, and emotional well-being |
| **Equity:** Focuses on equitable access, opportunities, and outcomes for all students, with an emphasis on addressing achievement and opportunity disparities between student groups | * Helps educators develop and understand that building on students’ abilities, perspectives, and potential contributes to increased student learning * Ensures that all educators have equitable access to effective professional learning and support * Supports educators to build trusting relationships with students, their families, communities, and one another; provide messages of high expectations; and create opportunities for meaningful participation |
| **Design and Structure:** Reflects evidence-based approaches, recognizing that focused, sustained learning enables educators to acquire, implement, and assess improved practices | * Provides educators with dedicated time within the school schedule and leverages extended-time opportunities to learn, practice, implement, assess, and reflect upon new strategies that facilitate changes in their practice * Uses curriculum models, such as lesson plans; unit plans; sample student work; observations of peer teachers; and video or written cases of teaching, that provides teachers with a clear vision of effective practices * Actively engages educators in inquiry centered on authentic problems and instructional practices designed to be job-embedded and situated in as realistic as possible work setting of the learner so that theoretical learning and its practical applications are directly linked |
| **Collaboration and Shared Accountability:** Facilitates the development of a shared purpose for student learning and collective responsibility for achieving it | * Ensures that educators interact with content and are provided space to share ideas and collaborate in the learning, often job-embedded contexts, to create communities that positively change the culture and instruction of their entire grade level, department, school, and/or district * Sets clear purposes, goals, and working agreements that support the sharing of practices and results within a safe and supportive environment * Structures collective learning around an evidence-based cycle of continuous learning and improvement, maintaining a consistent focus on shared goals * Capitalizes on relationships with networks that have specialized expertise or resources, in order to extend educators’ access to resources not available locally * Uses technology to support cross-community communication and extend educators’ access to learning and resources |
| **Resources:** Dedicates resources that are adequate, accessible, and allocated appropriately toward established priorities and outcomes | * Recognizes the leadership capacity of internal staff to present, facilitate, or coach targeted professional learning * Capitalizes on flexible staffing arrangements that allow for peer-to-peer learning * Requires time for collaboration and learning is made available in an ongoing and systematic way * Develops a cycle of activities, including theory, demonstration, practice, feedback, reflection, and coaching, that are spaced over time * Uses time within the school day for practice-embedded learning, but also provides release time when needed * Provides technology (hardware, software, and web-based) to enable educator learning, practice, and use of equipment and materials |
| **Alignment and Coherence:** Contributes to a coherent system of educator learning and support that connects district and school priorities and needs with state and federal requirements and resources | * Offers learning and practice activities that are directed toward meeting educators’ professional and performance standards * Reflects classroom, school, and district goals for students and educator growth, to which policies, structures, and practices are aligned * Supports novice educators’ induction and their ability to apply theoretical learning to real-world assignments and reflect upon results and next steps * Continuously extends experienced educators’ capacity to meet professional expectations and to meet the needs of all students through a coordinated system * Enables skilled veteran educators to assist novice educators and peers and to lead schoolwide and districtwide initiatives |

**Source:** California Department of Education. 2015. Adapted from the *Quality Professional Learning Standards.*

### Responsibilities of Grantees

The SUMS Partner Entity will focus directly on building capacity to support LEAs with professional learning opportunities for educators and school leaders designed to provide high quality instruction and learning experiences that support SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices, and are conducted in a manner that aligns with the work referenced in Section 2.A of this RFA. The selected grantee must be able to support the OCDE and the BCOE in offering high quality professional learning to educators and school leaders by completing the following:

* Create, collect, and/or curate resources for educators on SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices, and make them available to the public;
* Provide ongoing training and support in the use of trauma screening tools and mental health service referrals, school climate surveys, and the use of tool and survey data.
* Provide grants to LEAs to support both of the following:
  + Convening professional learning communities of educators and school leaders, and
  + Providing ongoing training and coaching to educators and school leaders;
* Be adaptive, responsive, and work with the OCDE and the BCOE to ensure coherence with existing systems of support and professional learning within the state, which may include attendance at regularly scheduled meetings, and allow for OCDE and BCOE representation at professional learning events hosted by the SUMS Partner Entity, etc.; and
* Provide written reports to the OCDE and the CDE, as requested but at least annually, summarizing the challenges, activities accomplished, and the impact of these activities, including the number of students, disaggregated by student groups; and the number educators, LEAs, and counties impacted by these activities, and any other data requested by the OCDE.

### Allowable Activities and Costs

Applicant budgets for the use of grant funds will be reviewed and any items in the budget that are deemed non-allowable, excessive, or inappropriate will be eliminated. Generally, all expenditures must contribute to the goals and objectives outlined in Section 1.

The partner entity may enter into subcontracts with one or more LEAs, IHE, or nonprofit educational service provider to assist in fulfilling the responsibilities outlined in Section 1.

Funds may not be used for rental of a venue to provide professional learning unless the expense is determined by the CDE to be a necessary and reasonable expense.

### Non-Allowable Activities and Costs

Funds provided under this grant may not be used for the following purposes:

* Supplanting of existing funding and efforts;
* Acquisition of equipment for administrative or personal use;
* Acquisition of furniture (e.g., bookcases, chairs, desks, file cabinets, tables), unless an integral part of an equipment workstation or to provide reasonable accommodations to students with disabilities;
* Food services, refreshments, banquets, and meals;
* Purchase of space;
* Payment for memberships in professional organizations;
* Purchase of promotional favors, such as bumper stickers, pencils, pens, or T- shirts;
* Subscriptions to journals or magazines;
* Travel outside the United States, or
* Travel to states included in Assembly Bill 1887’s travel prohibition list found at <https://oag.ca.gov/ab1887>.

### Administrative Indirect Cost Rate

Indirect costs are agency-wide, general management costs (i.e., activities for the direction and control of the agency as a whole). General management costs consist of administrative activities necessary for the general operation of the agency, such as accounting, budgeting, payroll preparation, personnel services, purchasing, and centralized data processing. The grantees must limit administrative indirect costs to CDE’s approved indirect cost rates, which may be found on the CDE’s Indirect Costs web page at <https://www.cde.ca.gov/fg/ac/ic/index.asp>.

Certain types of costs (activities) require relatively minimal administrative support compared to the amount of dollars spent. These costs would distort the indirect cost process and are excluded from the calculation of the indirect cost rate. Following are the most common costs excluded from the calculation:

* Subagreements for Services (Object Code 5100), which include expenditures for subagreements and subawards pursuant to certain contracts, subcontracts, and subgrants.

Unlike other costs in Object Codes 5000–5999, Object Code 5100 costs are excluded from the calculation of the indirect cost rate and from eligible program expenditures on which indirect costs are charged (see Procedure 915). However, in recognition that some general administration is necessary to process a subagreement, indirect cost guidelines allow that up to $25,000 of each individual subagreement may be coded to Object Code 5800, Professional/Consulting Services and Operating Expenditures, with the remainder charged to Object Code 5100. The amount charged to Object Code 5800 is included in the calculation of the indirect cost rate and in eligible program expenditures on which indirect costs are charged. The $25,000 limit per subagreement applies each year throughout the duration of the subagreement.

## Accountability

### Reporting Requirements

An integral part of the reporting requirements is ongoing communication with the OCDE, BCOE, and the CDE. The partner entity will participate regularly in meetings to be convened by the OCDE, BCOE, and/or the CDE as requested. Additionally, the following regular reporting will be completed and submitted by the grantees:

* A fiscal activity report submitted at least annually, but at a maximum of quarterly (to be determined by the OCDE, BCOE, and CDE after the SUMS Partner Entity is selected);
* A narrative report of identified resources, activities, and effective practices developed by the SUMS Partner Entity submitted at least annually, but at a maximum of quarterly (to be determined by the OCDE, BCOE, and CDE after the SUMS Partner Entity is selected); and
* A program report identifying the number of schools and educators served and any changes to external measures, such as suspension rate, etc., submitted at least annually, but at a maximum of quarterly (to be determined by the OCDE, BCOE, and CDE after the SUMS Partner Entity is selected).

If the OCDE and/or the CDE does not receive the required reports, program activities are not completed, there is a lack of participation in meetings, or there is a negative trend in the dissemination of professional learning, funding may be halted.

### Program Deliverables

The grantees must provide a summary of activities in the report identifying both individual and collective contributions including, but not limited to:

* Proposed multiple measures to evaluate progress towards the program goals that evaluate the increased capacity of the grantees and partner(s) to provide quality assistance and expertise to LEAs;
* Resources (including training materials, videos, briefs, etc.) to support educators to implement SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices;
* Technical assistance and professional learning opportunities provided to educators and school leaders related to SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices;
* Evidence of coordination and collaboration with other agencies, including but not limited to LEAs, OCDE, BCOE, CDE, and any applicable IHEs, and/or nonprofit educational service providers; and
* Number of participating educators, disaggregated by role, classrooms, schools, LEAs, and counties served (and any other data requested by the OCDE).

## Application Procedures and Processes

### Application Timeline

| **Activity** | **Date** |
| --- | --- |
| RFA Release | Week of November 1, 2021 |
| Application Workshop Webinar | November 15, 2021 |
| Application due to the CDE | December 17, 2021, by 4 p.m. |
| Intent to Award posted | January 14, 2022 |
| Last day for Appeals to be received by the CDE | January 21, 2022, by 4 p.m. |
| Final Awards posted | January 31, 2022 |
| Program Start Date | February 15, 2022 |

### Application Process

1. In completing the application narrative, applicants should address the prompts in each section of the narrative description and refer to the evaluation rubric in Appendix A.
2. Each applicant will receive a single score. Reading members will be instructed to take a holistic approach in the application review process to rank and evaluate the application. The readers will make every effort to allow any part of the narrative to satisfy the evaluation points in the rubric.
3. The application will consist of four general types of information:   
   (1) Applicant Information, (2) Applicant Narrative, (3) Budget Information, and (4) Letters of Commitment. To prepare the application, follow the guidance provided in Section 5.
4. **Applicants must submit the application by 4 p.m. on December 17, 2021, through the online application system.** **Note:**

* The applicant will receive email confirmation of the information submitted. If changes need to be made, resubmit the entire application prior to the submission deadline.
* The last submitted application will be the one considered for review.
* The CDE is not able to modify application information after it is submitted.
* Incomplete or late applications will not be considered.

### Application Review

Complete applications will be reviewed and scored by the reading panel and evaluated using the Evaluation Rubric (Appendix A). Reviewers will certify that they have no conflicts of interest with the applicants.

Although scores from the review of the applications are important, they are not the sole determiners for funding. The selected applicant is subject to approval by the executive director of the SBE. The CDE may reject an application that is not responsive, does not meet the technical standards, or is not from a designated applicant, or may choose to reject all applications.

### Technical Assistance

In order to impact students in a variety of learning contexts throughout California, the CDE will attempt to fund a SUMS: Partner Entity applicant that partners with multiple entities and has demonstrated expertise in developing and delivering high quality professional learning to educators in SEL, trauma-informed practices, and culturally relevant, affirming, and sustaining practices in a manner that aligns with local MTSS.

CDE staff will conduct one application information session to provide an overview of the RFA and offer potential applicants an opportunity to ask clarifying questions. The date and time of the SUMS: Partner Entity Application information session is listed below:

* Application Webinar, November 15, 2021, 9:30–11:00 a.m. via ~~https://us02web.zoom.us/webinar/register/WN\_ogQWLs6gRQuWA1iO-qPNqw~~ [link no longer available].

### Appeals Process

The CDE must receive the request for appeal, no later than **4 p.m. on**

**January 21, 2022.** Only the project director may electronically submit an appeal via the link on the SUMS: Partner Entity RFA web page. Appeals submitted via means other than the electronic link will **not** be accepted.

Appeals shall be limited to the grounds that the CDE failed to **correctly apply the standards for reviewing the application** as specified in this RFA. The appellant must file a full and complete written appeal, include the issue(s) in dispute, the legal authority or other basis for the appeal position, and the remedy sought. The CDE will not consider incomplete or late appeals. The appellant may not supply any new information that was not contained in the original application. A final decision will be provided in writing within 10 business days from the date that appeals are due to the CDE for this specific RFA.

### Grant Award Notification

Following final program and budget negotiations, the CDE will release the funds to the OCDE and the OCDE will provide the funds to the SUMS Partner Entity. The grantees must sign and return any required documentation requested by the OCDE before project work may begin and disbursement of funds can be made.

### Assurances, Certifications, Terms, and Conditions

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

#### Assurances and Certifications

The Superintendent of the LEA, acting as the fiscal agent, must agree to Form A, Project Statement of Assurances.

Applicants do not need to sign and return the general assurances and certifications with the application. Instead, applicants must download assurances and certifications and keep them on file and available for compliance reviews, complaint investigations, or audits. The general assurances and certifications are available on the CDE Funding Forms web page at <https://www.cde.ca.gov/fg/fo/fm/ff.asp>.

#### Terms and Conditions

The grant award will be processed by the OCDE. Acceptance of these funds must be approved by the authorized agent and returned to the OCDE by the specified number of days (to be determined by the OCDE). All funds must be expended or legally obligated by the end of each fiscal year, beginning with the 2021–22 fiscal year, and for not more than the maximum amount indicated.

Encumbrances may be made at any time after the beginning date of the grant stated on the OCDE agreement. No extensions of this grant will be allowed. The Partner Entity must work with the OCDE to determine whether a budget revision is required if expenditures exceed the total in the approved budget. The budgets should display annual implementation showing how the grant will be used to provide professional learning opportunities to educators and school leaders in public schools in a manner that aligns with the SUMS initiative. Proposed expenditures must demonstrate appropriate use of state funds.

## Program Application

A complete application is submitted electronically through the SUMS: Partner Entity Application, a link to which will be available on the RFA web page at <https://www.cde.ca.gov/ci/cr/ri/sumspartner.asp>, shortly after the RFA is released. See Appendix B for instructions. Through the online application, applicants must attach supporting evidence, including the proposed budget and letters of commitment.

### Application Narrative

The applicant should provide details about how it has demonstrated expertise in developing and delivering high quality professional learning to educators and school leaders in SEL; trauma-informed practices; and culturally relevant, affirming, and sustaining practices, in a manner that aligns with local MTSS.

To complete the narrative:

* Address the prompts for the sections below;
* Refer to the scoring rubric in Appendix A to understand how responses will be evaluated by the reading panel; and
* Follow all application directions in Section 4.B.

### Part 1—Goals and Activities

Applicants must demonstrate current subject matter expertise and qualifications to provide professional learning opportunities to educators and school leaders in public schools in a manner that aligns with the work referenced in Section 2.A of this RFA.

**Theory of Action**

Articulate a theory of action which will lead to the improvement of classroom and school climate. The U.S. Department of Education defines a theory of action as “a well-specified conceptual framework that identifies key components of the proposed process, product, strategy, or practice (i.e., the active “ingredients” that are hypothesized to be critical to achieving the relevant outcomes) and describes the relationships among the key components and outcomes, theoretically and operationally.”[[10]](#footnote-10)

**Proposed Activities**

* Describe the applicant’s previous experience and/or expertise in developing and delivering high quality professional learning to educators in SEL; trauma-informed practices; and culturally relevant, affirming, and sustaining practices in a manner that aligns with local MTSS.
* Describe how the applicant will create, collect, and/or curate resources for educators on SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices. Describe how the applicant will ensure resources are differentiated based on the communities in which the educators serve.
* Describe how the applicant will provide ongoing training and support in the use of trauma screening tools and mental health service referrals, school climate surveys, and the use of tool and survey data.
* Describe how the applicant will provide grants to LEAs to support the convening of professional learning communities of educators and school leaders. (Selection and recruitment will be covered in the following section.)
* Describe how the applicant will provide ongoing training and coaching to educators and school leaders.
* Describe how the proposed professional learning will support implementation of SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices in both distal and proximal settings.
* Describe how the applicant will leverage current research and work related to how educators and school leaders can best address the social-emotional needs of pupils, and consult with experts in the field on matters related to trauma screening and trauma-informed practices.
* Provide a timeline for implementation of proposed activities.

**Project Participants**

* Describe target participants, including the type and number of educators and school leaders who will be served and their locations. Describe how the proposed activities will ensure the professional learning to urban, suburban, and rural settings throughout the state and differentiated to meet the unique local needs.
* Describe how the applicant will recruit, select, engage, retain, and replace, if necessary, project participants in multi-year professional learning opportunities.
* Describe how the applicant will collaborate with and support the OCDE and BCOE on relevant work and work being conducted in tandem with the implementation of the SUMS initiative. And if applicable, describe how the applicant will work together to implement proposed activities with its consortia of LEAs, IHE, and/or nonprofit educational service provider.
* Provide Letters of Commitment addressed to the lead applicant and signed by the LEA superintendent in each participating LEA, the dean of the specific department within an IHE, and/or the chief executive officer of the nonprofit educational service provider, as applicable.

**Alignment**

* Describe how the proposed activities utilize current research on SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices;
* Describe how the proposed activities will align to the CDE’s T-SEL Competencies and Conditions.
* Describe how the proposed activities will align to the MTSS framework developed under the “SUMS” project.
* Describe how the proposed activities will align to the QPLS: data, content and pedagogy, equity, design and structure, collaboration and shared accountability, resources, and alignment and coherence.

**Expanding Capacity**

* Describe how the proposed activities will build the capacity, readiness, and strategies of educators and school leaders to address the goals of the grant. Describe the iterative process(es) and measures that will be used to determine increased capacity.

### Part 2—Proposed Metrics

On or before September 30 of each fiscal year the OCDE is required to submit an annual report to the Superintendent summarizing how it used the funds in the prior fiscal year. Any LEA that receives high quality professional learning as part of this grant, shall, as a condition of receiving high quality professional learning, provide to the OCDE, the BCOE, and the CDE any available outcome data, resulting from the practices implemented, and participate in overall program evaluation. The SUMS Partner Entity will be required to support this data collection as needed by the OCDE. The SUMS Partner Entity will be meet with the OCDE after being selected to determine the data the SUMS Partner Entity will provide to the OCDE. It is, therefore, critical that the SUMS Partner Entity provide timely reporting to the OCDE, the BCOE, and the CDE. The Partner Entity must agree to the timeline requested by the OCDE and agree to be adaptive, be responsive, and work with the various agencies to ensure coherence with existing reporting systems.

Additionally, the SUMS Partner Entity shall collect, analyze, reflect upon, and report various sources of data for evidence of changes and/or improvements in collective practice to anchor decisions about planning, implementing, or assessing quality professional learning.

### Application Budget

The applicant must provide a thorough and detailed justification for each identified cost associated with implementing the proposed goals and activities, including why the costs are reasonable and necessary to support the proposal’s goals and activities. A projected budget for the entire grant period (February 15, 2022–February 15, 2026) is required for the application. The budget will be reviewed and scored. Provide expenditure amounts for the following areas:

* Internal staff compensation;
* Compensation for educators’ or substitute costs associated with participation at professional learning events;
* Supplies required to support LEAs and grant participants;
* Services provided by the applicant and external entities;
* Any travel and/or communication expenses; and
* Indirect charges.

Applicants must use the Partner Entity Proposed Budget Template available on the RFA web page at <https://www.cde.ca.gov/ci/cr/ri/sumspartner.asp>. The Proposed Budget Detail must include a detailed budget narrative (description) for each line-item included in the grant period. The narrative should include how the proposed costs are necessary and reasonable in terms of grant activities, benefits to participants, and grant outcomes. Provide sufficient detail and a breakdown/calculation that justifies each line item. Group line items by the Object Code series and provide lines for Object Code totals. The Proposed Budget Summary should provide totals for each Object Code and should align with the Proposed Budget Detail.

The SUMS: Partner Entity Proposed Budget must be submitted as an Excel file through the online application. Please see the attachment instructions in Appendix A: Online Application Instructions.

## Evaluation Rubric

## Part 1— Scaling Up Multi-tiered System of Support Statewide: Partner Entity Goals and Activities

### Theory of Action

| Outstanding (12–10 points) | Strong (9–7 points) | Adequate (6–4 points) | Minimal (3–0 points) |
| --- | --- | --- | --- |
| Thoroughly and convincingly articulates a theory of action that identifies key components of the proposed process, product, strategy, or practice; and describes the relationships among the key components and outcomes, theoretically and operationally for implementation. | Clearly articulates a theory of action that identifies key components of the proposed process, product, strategy, or practice; and describes the relationships among the key components and outcomes, theoretically and operationally for implementation. | Adequately articulates a theory of action that identifies key components of the proposed process, product, strategy, or practice; and describes the relationships among the key components and outcomes, theoretically and operationally for implementation. | Minimally articulates a theory of action that identifies key components of the proposed process, product, strategy, or practice; and describes the relationships among the key components and outcomes, theoretically and operationally for implementation. |

### Proposed Activities

| Outstanding (8–7 points) | Strong (6–5 points) | Adequate (4–3 points) | Minimal (2–0 points) |
| --- | --- | --- | --- |
| Thoroughly and convincingly describes the applicant’s previous experience and/or expertise in developing and delivering high quality professional learning to educators in SEL; trauma-informed practices; and culturally relevant, affirming, and sustaining practices in a manner that aligns with local MTSS. | Clearly describes the applicant’s previous experience and/or expertise in developing and delivering high quality professional learning to educators in SEL; trauma-informed practices; and culturally relevant, affirming, and sustaining practices in a manner that aligns with local MTSS. | Adequately describes the applicant’s previous experience and/or expertise in developing and delivering high quality professional learning to educators in SEL; trauma-informed practices; and culturally relevant, affirming, and sustaining practices in a manner that aligns with local MTSS. | Minimally describes the applicant’s previous experience and/or expertise in developing and delivering high quality professional learning to educators in SEL; trauma-informed practices; and culturally relevant, affirming, and sustaining practices in a manner that aligns with local MTSS. |
| Thoroughly and convincingly describes how the applicant will create, collect, and/or curate resources (and differentiate as needed) for educators on SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices. | Clearly describes how the applicant will create, collect, and/or curate resources (and differentiate as needed) for educators on SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices. | Adequately describes how the applicant will create, collect, and/or curate resources (and differentiate as needed) for educators on SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices. | Minimally describes how the applicant will create, collect, and/or curate resources (and differentiate as needed) for educators on SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices. |
| Thoroughly and convincingly describes how the applicant will provide ongoing training and support in the use of trauma screening tools and mental health service referrals, school climate surveys, and the use of tool and survey data. | Clearly describes how the applicant will provide ongoing training and support in the use of trauma screening tools and mental health service referrals, school climate surveys, and the use of tool and survey data. | Adequately describes how the applicant will provide ongoing training and support in the use of trauma screening tools and mental health service referrals, school climate surveys, and the use of tool and survey data. | Minimally describes how the applicant will provide ongoing training and support in the use of trauma screening tools and mental health service referrals, school climate surveys, and the use of tool and survey data. |
| Thoroughly and convincingly describes how the applicant will provide grants to LEAs to support the convening of professional learning communities of educators and school leaders. | Clearly describes how the applicant will provide grants to LEAs to support the convening of professional learning communities of educators and school leaders. | Adequately describes how the applicant will provide grants to LEAs to support the convening of professional learning communities of educators and school leaders. | Minimally describes how the applicant will provide grants to LEAs to support the convening of professional learning communities of educators and school leaders. |
| Thoroughly and convincingly describes how the applicant will provide ongoing training and coaching to educators and school leaders. | Clearly describes how the applicant will provide ongoing training and coaching to educators and school leaders. | Adequately describes how the applicant will provide ongoing training and coaching to educators and school leaders. | Minimally describes how the applicant will provide ongoing training and coaching to educators and school leaders. |
| Thoroughly and convincingly describes how the proposed professional learning will support implementation of SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices in both distal and proximal settings. | Clearly describes how the proposed professional learning will support implementation of SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices in both distal and proximal settings. | Adequately describes how the proposed professional learning will support implementation of SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices in both distal and proximal settings. | Minimally describes how the proposed professional learning will support implementation of SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices in both distal and proximal settings. |
| Thoroughly and convincingly describes how the applicant will leverage current research and work related to how educators and school leaders can best address the social-emotional needs of pupils, and consult with experts in the field on matters related to trauma screening and trauma-informed practices. | Clearly describes how the applicant will leverage current research and work related to how educators and school leaders can best address the social-emotional needs of pupils, and consult with experts in the field on matters related to trauma screening and trauma-informed practices. | Adequately describes how the applicant will leverage current research and work related to how educators and school leaders can best address the social-emotional needs of pupils, and consult with experts in the field on matters related to trauma screening and trauma-informed practices. | Minimally describes how the applicant will leverage current research and work related to how educators and school leaders can best address the social-emotional needs of pupils, and consult with experts in the field on matters related to trauma screening and trauma-informed practices. |
| Provides a timeline (as an attachment) that thoroughly and convincingly illustrates the sequence of events and activities of the project that includes the person or organization responsible for each activity, the expected goal of the activity, and how the effectiveness of the activity will be measured. | Provides a timeline (as an attachment) that provides a strong description of the sequence of events and activities of the project that includes the person or organization responsible for each activity, the expected goal of the activity, and how the effectiveness of the activity will be measured. | Provides a timeline (as an attachment) that adequately describes the sequence of events and activities of the project that includes the person or organization responsible for each activity, the expected goal of the activity, and how the effectiveness of the activity will be measured. | Provides a timeline (as an attachment) that minimally describes the sequence of events and activities of the project that includes the person or organization responsible for each activity, the expected goal of the activity, and how the effectiveness of the activity will be measured. |

### Project Participants

| Outstanding (4 points) | Strong (3 points) | Adequate (2 points) | Minimal (1–0 point) |
| --- | --- | --- | --- |
| Thoroughly and convincingly describes target participants, including the type and number of educators and school leaders who will be served and their locations and describes how the proposed activities will ensure the professional learning to urban, suburban, and rural settings throughout the state and differentiated to meet the unique local needs. | Clearly describes target participants, including the type and number of educators and school leaders who will be served and their locations and describes how the proposed activities will ensure the professional learning to urban, suburban, and rural settings throughout the state and differentiated to meet the unique local needs. | Adequately describes target participants, including the type and number of educators and school leaders who will be served and their locations and describes how the proposed activities will ensure the professional learning to urban, suburban, and rural settings throughout the state and differentiated to meet the unique local needs. | Minimally describes target participants, including the type and number of educators and school leaders who will be served and their locations and describes how the proposed activities will ensure the professional learning to urban, suburban, and rural settings throughout the state and differentiated to meet the unique local needs. |
| Thoroughly and convincingly describes how the applicant will recruit, select, engage, retain, and replace, if necessary, project participants in multi-year professional learning opportunities. | Clearly describes how the applicant will recruit, select, engage, retain, and replace, if necessary, project participants in multi-year professional learning opportunities. | Adequately describes how the applicant will recruit, select, engage, retain, and replace, if necessary, project participants in multi-year professional learning opportunities. | Minimally describes how the applicant will recruit, select, engage, retain, and replace, if necessary, project participants in multi-year professional learning opportunities. |
| Thoroughly and convincingly describes how the applicant will collaborate with and support the OCDE and BCOE on relevant work and work being conducted in tandem with the implementation of the SUMS initiative. And if applicable, describes how the applicant will work together to implement proposed activities with its consortia of LEAs, IHE, and/or nonprofit educational service provider. | Clearly describes how the applicant will collaborate with and support the OCDE and BCOE on relevant work and work being conducted in tandem with the implementation of the SUMS initiative. And if applicable, describes how the applicant will work together to implement proposed activities with its consortia of LEAs, IHE, and/or nonprofit educational service provider. | Adequately describes how the applicant will collaborate with and support the OCDE and BCOE on relevant work and work being conducted in tandem with the implementation of the SUMS initiative. And if applicable, describes how the applicant will work together to implement proposed activities with its consortia of LEAs, IHE, and/or nonprofit educational service provider. | Minimally describes how the applicant will collaborate with and support the OCDE and BCOE on relevant work and work being conducted in tandem with the implementation of the SUMS initiative. And if applicable, describes how the applicant will work together to implement proposed activities with its consortia of LEAs, IHE, and/or nonprofit educational service provider. |
| Provides Letters of Commitment addressed to the lead applicant and signed by the LEA superintendent in each participating LEA, the dean of the specific department within an IHE, and/or the chief executive officer of the nonprofit educational service provider, as applicable. | Not applicable | Not applicable | Does not provide Letters of Commitment addressed to the lead applicant and signed by the LEA superintendent in each participating LEA, the dean of the specific department within an IHE, and/or the chief executive officer of the nonprofit educational service provider, as applicable. |

### Alignment

| Outstanding (8–7 points) | Strong (6–5 points) | Adequate (4–3 points) | Minimal (2–0 points) |
| --- | --- | --- | --- |
| Thoroughly and convincingly describes how the proposed activities utilize current research on SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices. | Clearly describes how the proposed activities utilize current research on SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices. | Adequately describes how the proposed activities utilize current research on SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices. | Minimally describes how the proposed activities utilize current research on SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices. |
| Thoroughly and convincingly describes how the proposed activities will align to the CDE’s T-SEL Competencies and Conditions. | Clearly describes how the proposed activities will align to the CDE’s T-SEL Competencies and Conditions. | Adequately describes how the proposed activities will align to the CDE’s T-SEL Competencies and Conditions. | Minimally describes how the proposed activities will align to the CDE’s T-SEL Competencies and Conditions. |
| Thoroughly and convincingly describes how the proposed activities will align to the MTSS framework developed under the “SUMS” project. | Clearly describes how the proposed activities will align to the MTSS framework developed under the “SUMS” project. | Adequately describes how the proposed activities will align to the MTSS framework developed under the “SUMS” project. | Minimally describes how the proposed activities will align to the MTSS framework developed under the “SUMS” project. |
| Thoroughly and convincingly describes how the proposed activities will align to the QPLS: data, content and pedagogy, equity, design and structure, collaboration and shared accountability, resources, and alignment and coherence. | Clearly describes how the proposed activities will align to the QPLS: data, content and pedagogy, equity, design and structure, collaboration and shared accountability, resources, and alignment and coherence. | Adequately describes how the proposed activities will align to the QPLS: data, content and pedagogy, equity, design and structure, collaboration and shared accountability, resources, and alignment and coherence. | Minimally describes how the proposed activities will align to the QPLS: data, content and pedagogy, equity, design and structure, collaboration and shared accountability, resources, and alignment and coherence. |

### Expanding Capacity

| Outstanding (8–7 points) | Strong (6–5 points) | Adequate (4–3 points) | Minimal (2–0 points) |
| --- | --- | --- | --- |
| Thoroughly and convincingly describes how the proposed activities will build the capacity, readiness, and strategies of educators and school leaders to address the goals of the grant and describes the iterative process(es) and measures that will be used to determine increased capacity. | Clearly describes how the proposed activities will build the capacity, readiness, and strategies of educators and school leaders to address the goals of the grant and describes the iterative process(es) and measures that will be used to determine increased capacity. | Adequately describes how the proposed activities will build the capacity, readiness, and strategies of educators and school leaders to address the goals of the grant and describes the iterative process(es) and measures that will be used to determine increased capacity. | Minimally describes how the proposed activities will build the capacity, readiness, and strategies of educators and school leaders to address the goals of the grant and describes the iterative process(es) and measures that will be used to determine increased capacity. |

## Part 2—Proposed Metrics

| Outstanding (8–7 points) | Strong (6–5 points) | Adequate (4–3 points) | Minimal (2–0 points) |
| --- | --- | --- | --- |
| Thoroughly and convincingly describes which specific quantitative and qualitative metrics will be used to assess the impact of proposed grant activities in achieving the goals of the grant, and how that information will be used for continuous improvement throughout the life of the grant. | Clearly describes which specific quantitative and qualitative metrics will be used to assess the impact of proposed grant activities in achieving the goals of the grant, and how that information will be used for continuous improvement throughout the life of the grant. | Adequately describes which specific quantitative and qualitative metrics will be used to assess the impact of proposed grant activities in achieving the goals of the grant, and how that information will be used for continuous improvement throughout the life of the grant. | Minimally describes which specific quantitative and qualitative metrics will be used to assess the impact of proposed grant activities in achieving the goals of the grant, and how that information will be used for continuous improvement throughout the life of the grant. |

## Part 3—Budget and Cost Effectiveness

| **Outstanding (4 points)** | **Strong (3 points)** | **Adequate (2 points)** | **Minimal (1–0 point)** |
| --- | --- | --- | --- |
| Provides thorough and convincing identification of the allowable and appropriate project expenses to support the activities of the grant for the project’s performance period. The budget is not overly heavy in administrative costs and takes into consideration the costs of educators’ time to attend professional learning. | Clearly identifies the allowable and appropriate project expenses to support the activities of the grant for the project’s performance period. The budget is not overly heavy in administrative costs and takes into consideration the costs of educators’ time to attend professional learning. | Adequately identifies the allowable and appropriate project expenses to support the activities of the grant for the project’s performance period. The budget covers mostly administrative costs, with a small percentage going to ensure educators are able to attend. | Minimally identifies the allowable and appropriate project expenses to support the activities of the grant for the project’s performance period. The vast majority of the budget goes towards administrative costs. |
| Provides a thorough and clear budget narrative describing each line item and how each proposed cost is necessary and reasonable in terms of project activities, benefits to participants, and project outcomes. | Provides a clear budget narrative describing each line item and how each proposed cost is necessary and reasonable in terms of project activities, benefits to participants, and project outcomes. | Provides an adequate budget narrative describing each line item and how each proposed cost is necessary and reasonable in terms of project activities, benefits to participants, and project outcomes. | Provides a marginal budget narrative describing each line item and how each proposed cost is necessary and reasonable in terms of project activities, benefits to participants, and project outcomes. |

## Appendices

### Appendix A: Online Application Instructions

Applicants should use the instructions below for filling out the Scaling Up Multi-tiered System of Support (MTSS) Statewide (SUMS): Partner Entity online application, a link to which will be available on the Request for Applications (RFA) web page at <https://www.cde.ca.gov/ci/cr/ri/sumspartner.asp>. shortly after the RFA is released. Complete all required fields in the application, upload attachments, and provide the appropriate digital signature. The California Department of Education (CDE) must receive your online submission no later than 4 p.m. on December 17, 2021.

You must adhere to character limits for each of the fields. Responses that exceed the character limits will not be captured by the system and will not be reviewed.

#### Saving Responses

You must select the Save Responses button on the first page of the online application if you do not intend to complete the application in one session. Once you select the Save Responses button, a page will appear that asks for your email address. You will receive an email with a unique URL (web address) for entrance back in to the application. It is recommended that you copy the URL on the application page and save it in case you do not receive the confirmation email. This address will allow you to return to your application.

#### Applicant Information

| Application Field | Instructions |
| --- | --- |
| Project Director Information | Please list the name of the person who will serve as the Project Director of the grant. This person will be the main point of contact between the CDE and the grantee. |
| * First Name | Please provide the first name of the Project Director. |
| * Last Name | Please provide the last name of the Project Director |
| * Title | Please provide the title of the Project Director |
| * Office | Please provide the name of the Project Director’s office. |
| * Telephone | Please provide the Project Director’s telephone number. This number will be used to contact the Project Director, if needed. |
| * Telephone Extension | Please provide the Project Director’s telephone extension number, if necessary. |
| * Email Address | Please provide the Project Director’s email address. Most communication with the grantee will be through email, so please ensure the email address is correctly inputted. |
| Name of Entity Applying | Please provide the name of the local educational agency (LEA) applying for the grant. |
| Applicant Address | Type in the applicant address. |
| * Street Address (Ex: 1430 N Street) | Please provide the street address of the applying entity. |
| * City | Please provide the city where the applying entity is located. |
| * State (Ex: CA) | Please provide the state where the applying entity is located. |
| * Zip Code (5-digit: 00000) | Please provide the zip code where the applying entity is located. |
| Fiscal Agent Information (optional) | Please list the name of the person who will serve as the Fiscal Agent of the grant if this person is different from the Project Director. This person will be included on communications regarding budget and accounting for the grant. |
| * First Name | Please provide the first name of the Fiscal Agent. |
| * Last Name | Please provide the last name of the Fiscal Agent. |
| * Title | Please provide the title of the Fiscal Agent. |
| * Telephone Number | Please provide the Fiscal Agent’s telephone number. |
| * Telephone Extension | Please provide the Fiscal Agent’s telephone extension number, if needed. |
| * Email Address | Please provide the Fiscal Agent’s email address. |
| Institute of Higher Education (IHE) or Nonprofit Organization Partners | Please list any IHE or Nonprofit Organization partners for this grant. |
| Local Educational Agency Partners | Please list any LEA partners for this grant. |

#### Application Narrative

| Application Field | Instructions |
| --- | --- |
| **Theory of Action**  (5,000 character max) | Articulate a theory of action which will lead to the improvement of classroom and school climate. |
| **Proposed Activities**  (2,500 character max) | Describe the applicant’s previous experience and/or expertise in developing and delivering high quality professional learning to educators in social and emotional learning (SEL); trauma-informed practices; and culturally relevant, affirming, and sustaining practices in a manner that aligns with local MTSS. |
| **Proposed Activities**  (2,500 character max) | Describe how the applicant will create, collect, and/or curate resources for educators on SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices. Describe how the applicant will ensure resources are differentiated based on the communities in which the educators serve. |
| **Proposed Activities**  (2,500 character max) | Describe how the applicant will provide ongoing training and support in the use of trauma screening tools and mental health service referrals, school climate surveys, and the use of tool and survey data. |
| **Proposed Activities**  (2,500 character max) | Describe how the applicant will provide grants to LEAs to support the convening of professional learning communities of educators and school leaders. (Selection and recruitment will be covered in the following section.) |
| **Proposed Activities**  (2,500 character max) | Describe how the applicant will provide ongoing training and coaching to educators and school leaders. |
| **Proposed Activities**  (2,500 character max) | Describe how the proposed professional learning will support implementation of SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices in both distal and proximal settings. |
| Proposed Activities  (2,500 character max) | Describe how the applicant will leverage current research and work related to how educators and school leaders can best address the social-emotional needs of pupils, and consult with experts in the field on matters related to trauma screening and trauma-informed practices. |
| Project Participants  (2,500 character max) | Describe how the applicant will recruit, select, engage, retain, and replace, if necessary, project participants in multi-year professional learning opportunities. |
| Project Participants  (2,500 character max) | Describe how the applicant will collaborate with and support the Orange County Department of Education (OCDE) and Butte County Office of Education (BCOE) on relevant work and work being conducted in tandem with the implementation of the SUMS initiative. And if applicable, describe how the applicant will work together to implement proposed activities with its consortia of LEAs, IHE, and/or nonprofit educational service provider. |
| Project Participants  (2,500 character max) | Describe how the applicant will collaborate with and support the OCDE and BCOE on relevant work and work being conducted in tandem with the implementation of the SUMS initiative. And if applicable, describe how the applicant will work together to implement proposed activities with its consortia of LEAs, IHE, and/or nonprofit educational service provider. |
| Project Participants  (2,500 character max) | Describe how the applicant will recruit, select, engage, retain, and replace, if necessary, project participants in multi-year professional learning opportunities and to the extent possible, how the grantee will establish or utilize existing criteria to determine the readiness of professional learning recipients to incorporate new strategies into the school/classroom, as well as prioritize team participation in professional learning events. |
| Project Participants  (2,500 character max) | Describe how the applicant will ensure that quality professional learning is provided to urban, suburban, and rural settings throughout the state and differentiated to meet the unique local needs.  Provide Letters of Commitment addressed to the lead applicant and signed by the dean of the specific department within the IHE who will oversee the grant and/or the chief executive officer of the Nonprofit Organization, and the COE superintendent in each participating county office of education (COE) partner, if applicable. (Please see Attachment Instructions) |
| Project Participants  (2,500 character max) | Describe how the grantee will establish or utilize existing criteria to determine the readiness of professional learning recipients to incorporate new strategies into the school/classroom, as well as prioritize team participation in professional learning events. |
| Alignment  (2,500 character max) | Describe how the proposed activities utilize current research on SEL; trauma screening; trauma-informed practices; and culturally relevant, affirming, and sustaining practices. |
| Alignment  (2,500 character max) | Describe how the proposed activities will align to the CDE’s Transformative SEL Competencies and Conditions. |
| Alignment  (2,500 character max) | Describe how the proposed activities will align to the MTSS framework developed under the “SUMS” project. |
| Alignment  (2,500 character max) | Describe how the proposed activities will align to the Quality Professional Learning Standards (QPLS): data, content and pedagogy, equity, design and structure, collaboration and shared accountability, resources, and alignment and coherence. |
| Expanding Capacity  (2,500 character max) | Describe how the proposed activities will build the capacity, readiness, and strategies of educators and school leaders to address the goals of the grant.  Describe the iterative process(es) and measures that will be used to determine increased capacity. |
| Proposed Metrics  (2,500 character max) | Describe how the SUMS Partner Entity shall collect, analyze, reflect upon, and report various sources of data for evidence of changes and/or improvements in collective practice to anchor decisions about planning, implementing, or assessing quality professional learning. |

#### Electronic Signature

| Application Field | Instructions |
| --- | --- |
| **Project Statement of Assurances** | Please select the checkbox to declare:  I have reviewed the SUMS: Partner Entity Statement of Assurances and hereby certify that each of the requirements contained therein will be met. |
| **Signature by Authorizing Official** | The authorizing official should type their name in the field which will serve as a signature that certifies agreement with the statement below.  I hereby certify that, to the best of my knowledge, the information in this application is correct and complete. I support the proposed project and commit my organization to completing all of the tasks and activities that are described in the application. |

#### Attachment Instructions

Required attachments will be requested at the end of the online application. Applicants are required to upload the SUMS: Partner Entity Proposed Budget, Letters of Commitment, and project timeline into the online application system. These files should be saved into a single zip file for uploading into the system as only one file can be uploaded per applicant. No additional information included in the zip file will be reviewed. The zip file size limit is 20MB.

### Appendix B: Budget Categories

Each budget category is described below.

| Object Code | Description |
| --- | --- |
| **1000** | **Certificated Salaries**  Certificated salaries are salaries that require a credential or permit issued by the California Commission on Teacher Credentialing (CTC). List all certificated project employees, including percentage or fraction of full-time equivalent (FTE) and rate of pay per day, month, and/or annual salary.  **Note:** Funds in this category are not intended to supplant current fixed costs. |
| **2000** | **Classified Salaries**  Classified salaries are salaries for services that do not require a credential or permit issued by the CTC. List all classified project employees, including percentage of FTE, and rate of pay per day, month, and/or year.  **Note:** Funds in this category are not intended to supplant current fixed costs. |
| **3000** | **Employee Benefits**  Record employer’s contributions to retirement plans and health and welfare benefits. List and include the percentage and dollar amount for each employee benefit being claimed. |
| **4000** | **Books and Supplies**  Record expenditures for books, supplies, and other non-capitalized property/equipment (movable personal property of a relatively permanent nature that has an estimated useful life greater than one year and an acquisition cost less than the local educational agency (LEA) capitalization threshold but greater than the LEA’s inventory threshold). This category includes expenditures for books and supplies (e.g., textbooks, other books, instructional materials). This category also includes supplies used in support services and auxiliary programs, publications, and subscriptions necessary to operate a project office. A listing of all equipment, including the serial and model numbers, purchased with any portion of these grant funds, must be recorded and maintained in the file. |
| 5000 | **Services and Other Operating Expenditures**  Record expenditures for services, rentals, leases, maintenance contracts, dues, travel, insurance, utilities, legal, and other operating expenditures.  **Travel and Conference:** Include expenditures incurred by and/or for employees and other representatives of the LEA for travel and conferences, including lodging, mileage, parking, bridge tolls, shuttles, taxis, and conference registration expenses necessary to meet the objectives of the program. Receipts are required to be kept on file by your agency for audit purposes. Bus transportation for students should be listed here.  **Contracting Services:** Services provided to the school by outside contractors appear under this category. Identify what, when, and where the services(s) will be provided. Appropriate activities include conducting workshops, trainings, and technical assistance activities. |
| 6000 | **Capital Outlay**  Record expenditures for sites, buildings, and equipment, including leases with option to purchase that meet the LEA’s threshold for capitalization. (Equipment is movable personal property that has both an estimated useful life over one year and an acquisition cost that meets the LEA’s threshold for capitalization. Refer to the LEA’s threshold amount for capitalization, anything less than this amount should be posted in Object Code 4000). A listing of all equipment, including the serial and model numbers, purchased with any portion of these grant funds, must be recorded and maintained in the file. This category also covers sites, improvement of sites, buildings, and improvement of buildings. |
| 7000 | **Indirect** if applicable (not to exceed CDE-approved rate)  Indirect costs are not assessed on expenditures for capital outlay. For a listing of indirect cost rates visit the CDE Indirect Cost Rates web page at <https://www.cde.ca.gov/fg/ac/ic/>. |

### Appendix C: Education Omnibus Trailer Bill (Assembly Bill 130)

#### Summary

*(12) This bill would appropriate $50,000,000 from the General Fund to the Superintendent to apportion to the Orange County Department of Education to award no less than $30,000,000 as grants to local educational agencies for the purpose of funding schoolwide and districtwide implementation of services or practices aligned to the Multi-tiered Systems of Support framework. The bill would require the Superintendent to establish a process, in consultation with and subject to the approval of the executive director of the state board, to select a local educational agency, a local educational agency in partnership with an IHE or nonprofit educational service provider, or a consortia, to partner with the Orange County Department of Education and the Butte County Office of Education to expand the state’s capacity to support local educational agencies’ implementation of social-emotional learning, trauma-informed practices, and culturally relevant, affirming, and sustaining practices, and would require no more than $20,000,000 of the $50,000,000 appropriation to be available for these purposes. To the extent the bill would impose additional duties on certain county offices of education, the bill would impose a state-mandated local program.*

#### Detail

Article 2. 41490.

*(a) For the 2021–22 fiscal year, the sum of fifty million dollars ($50,000,000) is hereby appropriated from the General Fund to the Superintendent to apportion to the Orange County Department of Education in the manner, and for the purposes, set forth in this section. The Orange County Department of Education shall encumber or expend the funds apportioned pursuant to this subdivision on or before June 30, 2026.*

*(b) The Orange County Department of Education, in consultation with the Superintendent and the executive director of the state board, shall award no less than thirty million dollars ($30,000,000) of the amount appropriated in subdivision (a) as grants to local educational agencies for the purpose of funding schoolwide and districtwide implementation of services or practices aligned to the Multi-Tiered Systems of Support framework developed under the “Scale Up MTSS Statewide” (SUMS) project. The grants shall be awarded to local educational agencies on or before December 15, 2021.*

*(1) Grant funds awarded to local educational agencies shall be used to support the implementation of high quality integrated academic, behavioral, and social-emotional learning practices in an integrated multitiered system of support at the schoolwide level, including, but not limited to, all of the following:*

*(A) Educator and leader training on the foundations of the California Multi-Tiered System of Support framework and practices, as developed by the SUMS project.*

*(B) Ongoing training and coaching support to schoolsite educators and leaders in deepening the implementation of high leverage practices for*

*integrated academic, behavioral, and social-emotional learning across tiers throughout the school community.*

*(C) Ongoing training and support to school and local educational agency leaders in aligning practices, policies, and structures to create and sustain a schoolwide and agencywide integrated multitiered system of support.*

*(D) Establishing school- and local educational agency-level multitiered system of support teams to support implementation efforts.*

*(2) Grants shall be awarded with priority to local educational agencies serving a high number of unduplicated pupils, as defined in Section 42238.02, that have participated in local educational agency-level training to implement an integrated multitiered system of support.*

*(3) Local educational agencies receiving funds shall measure and report on implementation fidelity at least annually using the tools and resources developed by the SUMS project. Data shall be reported to the Orange County Department of Education in a form available to the public.*

*(4)*

*(A) On or before September 30 of each fiscal year until the Orange County Department of Education has fully expended the funds allocated pursuant to this subdivision, the Orange County Department of Education shall submit an annual report to the Superintendent summarizing how it used the funds in the prior fiscal year. The Superintendent shall provide copies of these reports to the appropriate fiscal and policy committees of the Legislature, the Department of Finance, the state board, and the Legislative Analyst’s Office.*

*(B) A report to be submitted pursuant to subparagraph (A) shall be submitted in compliance with Section 9795 of the Government Code.*

*(c)*

*(1) The Superintendent shall establish a process, in consultation with and subject to the approval of the executive director of the state board, to select a local educational agency, a local educational agency in partnership with an IHE or nonprofit educational service provider, or a consortia, to partner with the Orange County Department of Education and the Butte County Office of Education to expand the state’s capacity to support local educational agencies’ implementation of social-emotional learning, trauma screening, trauma-informed practices, and culturally relevant, affirming, and sustaining practices. The selected entity, known as a partner entity, shall be selected on or before February 15, 2022. No more than twenty million dollars ($20,000,000) of the amount appropriated in subdivision (a) is available for purposes of this subdivision.*

*(2) The partner entity shall have demonstrated expertise in developing and delivering high quality professional learning to educators in social-emotional learning, trauma-informed practices, and culturally relevant, affirming, and sustaining practices in a manner that aligns with local multitiered systems of support. The partner entity shall support the Orange County Department of Education and the Butte County Office of Education in offering high quality professional learning to educators and school leaders by performing all of the following functions:*

*(A) Creating, collecting, and curating resources for educators on social-emotional learning, trauma screening, trauma-informed practices, and culturally relevant, affirming, and sustaining practices.*

*(B) Providing ongoing training and support in the use of trauma screening tools and mental health service referrals, school climate surveys, and the use of tool and survey data.*

*(C) Providing grants to local educational agencies to support both of the following:*

*(i) Convening professional learning communities of educators and school leaders.*

*(ii) Providing ongoing training and coaching to educators and school leaders.*

*(3) In performing the work described in this subdivision, the partner entity, in partnership with the Orange County Department Education and the Butte County Office of Education, shall, to the extent practicable, leverage current research and work related to how educators and school leaders can best address the social-emotional needs of pupils, and consult with experts in the field on matters related to trauma screening and trauma-informed practices.*

*(4) For purposes of this subdivision, “high quality professional learning” shall include, but not be limited to, professional learning that is content-focused, incorporates active learning using adult learning theory, supports collaboration in job-embedded contexts, uses models and modeling of effective practices, provides coaching and expert support, and offers opportunities for feedback.*

*(d) A local educational agency that receives a grant pursuant to subdivision (b), or high quality professional learning pursuant to subdivision (c), shall, as a condition of receiving the grant or high quality professional learning, provide to the Orange County Department of Education, the Butte County Office of Education, and the department any available outcome data resulting from the practices implemented, and participate in overall program evaluation.*

*(e) The Orange County Department of Education may expend up to one million dollars ($1,000,000) of the amount appropriated pursuant to subdivision (a) to support the administration of grants and provide support to the grantees pursuant to Department of Finance approval of an expenditure plan. The Orange County Department of Education shall not expend moneys pursuant to this subdivision sooner than 30 days after the Department of Finance provides written notification of the approval of the expenditure plan to the Joint Legislative Budget Committee.*

*(f) For purposes of this section, “local educational agency” means a school district, county office of education, or charter school.*

*(g) For purposes of making the computations required by Section 8 of Article XVI of the California Constitution, the appropriation made by subdivision (a) shall be deemed to be “General Fund revenues appropriated for school districts,” as defined in subdivision (c) of Section 41202, for the 2020–21 fiscal year, and included within the “total allocations to school districts and community college districts from General Fund proceeds of taxes appropriated pursuant to Article XIIIB,” as defined in subdivision (e) of Section 41202, for the 2020–21 fiscal year.*

### Form A: Scaling Up Multi-tiered System of Support Statewide: Partner Entity

#### Project Statement of Assurances

I support the proposed project and commit my organization to completing all of the tasks and activities that are described in the application. I also certify that each of the following requirements of the Scaling Up Multi-tiered System of Support Statewide (SUMS): Partner Entity Application will be met:

* If the Grantees seek to make a significant change in the work plan and/or budget, a project amendment must be requested and approved by the Orange County Department of Education (OCDE) and the respective California Department of Education (CDE) Office prior to making any changes in the activities or expenditures of the project.
* 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 five years after final payment under the grant. Grantees agree to obtain a timely audit where required in accordance with applicable audit guidelines.
* All subcontracts or subgrants pursuant to this grant must be approved by the OCDE and the CDE prior to execution of the agreement and shall be subject to the examination and audit by the State Auditor for a period of five years after the final payment under the grant. Grantees must submit a formal request to the OCDE and the CDE Project Monitor for review.
* Grantees will be adaptive, be responsive, and work to ensure coherence with existing systems of support and professional learning within the state.
* Grantees will work collaboratively with the OCDE and the Butte County Office of Education (BCOE) to build the capacity of local educational agencies (LEAs) statewide through professional learning aligned to the Quality Professional Learning Standards.
* Grantees will provide information and all reports according to the predetermined reporting schedule. Reports shall include at a minimum, activities accomplished, the impact of these activities, and the number of educators and school leaders, LEAs, and counties impacted by these activities, and any other data requested by the OCDE.
* Ownership of any copyrights, patents, or other proprietary interests that may result from grant activities shall be governed by applicable state regulations.
* Grantees shall ensure that any new professional learning or course materials, including curriculum, developed as a result of this grant are available as open educational resources.
* Grantees commits to reviewing the Family Educational Rights and Privacy Act (FERPA) in relation to the proposed project. Information on FERPA is available on the U.S. Department of Education FERPA web page at <https://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html>.
* The Project Director will gather educator and student release forms for videos, interviews (which may include focus groups), and observations, if applicable. The Project Director must gather agendas and minutes for meetings of the partnership, professional learning activities, and follow-up professional learning.

1. Collaborative for Academic, Social, and Emotional Learning (CASEL). What is SEL? <https://casel.org/fundamentals-of-sel/> (accessed September 21, 2021). [↑](#footnote-ref-1)
2. Substance Abuse and Mental Health Services Administration. 2014. Concept of Trauma and Guidance for a Trauma-Informed Approach. <https://store.samhsa.gov/sites/default/files/d7/priv/sma14-4884.pdf> (accessed September 21, 2021). [↑](#footnote-ref-2)
3. California Department of Education. 2021. Culturally Sustaining Pedagogy. <https://www.cde.ca.gov/pd/ee/culturallysustainingped.asp> (accessed September 23, 2021). [↑](#footnote-ref-3)
4. Darling-Hammond, L., & Cook-Harvey, C. M. (2018). *Educating the whole child: Improving school climate to support student success*(research brief).Palo Alto, CA: Learning Policy Institute. [↑](#footnote-ref-4)
5. *From a Nation at Risk to a Nation at Hope.* Recommendations from the Aspen Institute National Commission on Social, Emotional, & Academic Development. 2019. [Link no longer available] [↑](#footnote-ref-5)
6. California Common Core State Standards: Mathematics. Page 6. Adopted by the California State Board of Education August 2010 and modified January 2013. Accessed on September 27, 2021. <https://www.cde.ca.gov/be/st/ss/documents/ccssmathstandardaug2013.pdf> [↑](#footnote-ref-6)
7. Manian, N. (2021). *Becoming Trauma Informed – Taking the First Step to Becoming a Trauma-Informed School.* Rockville, MD: National Comprehensive Center at Westat. [↑](#footnote-ref-7)
8. Joseph L. Mahoney, et. al. 2020. American Psychologist. *Systemic Social and Emotional Learning: Promoting Educational Success for All. Preschool to High School Students*. [↑](#footnote-ref-8)
9. Council of Chief State School Officers, the Collaborative for Academic, Social, and Emotional Learning, and the American Institutes for Research®. 2021. *Integrating Social and Emotional Learning Within a Multi-Tiered System of Supports to Advance Equity: SEL MTSS Toolkit for State and District Leaders*: 7. [↑](#footnote-ref-9)
10. *Non-regulatory Guidance: Using Evidence to Strengthen Education Investments.* U.S. Department of Education web document at <https://www2.ed.gov/policy/elsec/leg/essa/guidanceuseseinvestment.pdf> [↑](#footnote-ref-10)