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Executive Summary

HEADING: United Way of Lane County

OVERVIEW: United Way of Lane County (UWLC), sole intermediary of the Early Learning Social Innovation Fund (Early Learning SIF), is an existing grantmaking institution that makes grants to nonprofit organizations as a core function of its mission. UWLC currently raises and distributes approximately \$2.5 million (M) per year to over 50 local nonprofit organizations and invests an additional \$1M in early learning programs and systems coordination.

The proposed UWLC Early Learning SIF will be a GEOGRAPHICALLY-BASED SIF focused on YOUTH DEVELOPMENT throughout Lane County, Oregon. The ultimate goal of the Early Learning SIF is to increase the number of children who enter kindergarten with the early literacy and social and self-regulation skills necessary for success in school and beyond. We will do this through broadly implementing the innovative, evidence-based Kids In Transition to School (KITS) Program to improve the school readiness of young children (Strategy B as described in the SIF NOFA).

OSLC Developments, Inc. (ODI), implementers of the KITS Program, will play a key role in the Early Learning SIF by training sub-recipients in program implementation, monitoring implementation fidelity, and consulting with UWLC on program evaluation.

United Way of Lane County is requesting \$1M per year for 5 years, for a total of \$5M in federal funding between 8/15/2015 and 8/14/2020. UWLC will secure a one-to-one cash match of \$1M for year one, including commitments/cash on hand from the following sources:

\$300,000 -- Kindergarten Partnership and Innovation funds allocated from the Oregon Early Learning Division, housed within the Oregon Department of Education

\$50,000 -- Great Start funds allocated from the Oregon Early Learning Division, housed within the Oregon Department of Education

\$100,000 -- Early Learning Hub Coordination Contract funds from the Oregon Early Learning Division, housed within the Oregon Department of Education

\$50,000 -- United Way's Live United Fund

PROJECT SUMMARY: The Early Learning SIF is designed to address Lane County's low scores on

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the Oregon Kindergarten Assessment in the areas of early literacy and social and self-regulation skills. The Early Learning SIF follows UWLC's theory of change of identifying, piloting and scaling evidence-based programs to solve critical local issues and builds on over 5 years of work to scale the KITS Program. The KITS Program is a 16-week, evidence-based intervention for children and their parents developed by Oregon Social Learning Center (OSLC), designed to improve the early literacy and social and self-regulation skills of children entering kindergarten. The program has demonstrated efficacy in several randomized controlled trials with different populations.

The Early Learning SIF anticipates awarding four to six sub-awards in amounts ranging from \$100,000 to \$300,000 through an open, competitive process, for a total of \$1.325M awarded, with 80% of awarded federal funds included. UWLC will develop a sub-recipient selection process designed to identify high-performing organizations with the ability to meet Early Learning SIF requirements, implement the KITS Program with fidelity, and effectively participate in evaluation activities.

Tools available to selected organizations/programs through the Early Learning SIF include: (1) subgrants; (2) training and technical assistance in program implementation from KITS Program developers; (3) evaluation technical assistance and support; (4) data collection and analysis technical assistance and support; (5) general technical assistance where needed; and (6) fundraising support to secure required matching funds. Readiness for growth within a sub-recipient organization will be demonstrated by the sub-recipient's mastery of the KITS Program and readiness to expand the program to greater numbers of children and families.

UWLC has served Lane County for over half a century and has a successful track record spanning over two decades of identifying, piloting and scaling innovative solutions to address early childhood development in our community, with a focus on impact and outcomes-based contracting. The Early Learning SIF will also be supported by ODI to ensure successful scaling of the program with fidelity, thus increasing the probability of achieving impact.

Program Design

I. RATIONALE AND APPROACH

OVERALL APPROACH AND GOALS. The proposed United Way of Lane County (UWLC) Early Learning Social Innovation Fund (Early Learning SIF) will be a geographically-based SIF focused on youth development throughout Lane County, Oregon. The ultimate goal of the Early Learning SIF is

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to increase the number of children who enter kindergarten with the early literacy and social and self-regulation skills necessary for success in school and beyond. We will do this by broadly implementing the innovative, evidence-based Kids In Transition to School (KITS) Program to improve the school readiness of young children (Strategy B as described in the SIF NOFA).

Since 2010, UWLC has partnered with Oregon Social Learning Center (OSLC), OSLC Developments Inc. (ODI; a nonprofit research institute dedicated to applying evidence-based programs to strengthen children and families in the community), and local school districts to establish a strong evidence base for the short and longer-term impacts of the KITS Program. This evidence base includes three randomized efficacy trials, two completed and one underway, focused on three different groups of children, those in foster care, those with developmental delays and behavior problems, and those from low-income neighborhoods. However, even when programs have a strong evidence base, the lag period between establishing this evidence base and widespread use in the community can be up to 17 years (Green, 2008). For the reasons outlined below, Lane County cannot afford to wait 17 years in order to improve the school readiness skills and kindergarten adjustment of our young children. With a record of strong partnerships between UWLC, the developers of the KITS Program at ODI, and our local school districts and community agencies, our community is poised to scale the program across Lane County's urban and rural regions in the near future. This will rapidly accelerate the timeline for even wider spread adoption of this program and further strengthen the program's evidence base.

RATIONALE. In 2011, Oregon adopted an ambitious 40-40-20 goal: by 2025, 40% of Oregonians will earn a bachelor's degree or higher, 40% will earn an associate degree or post-secondary credential, and 20% will earn a high school diploma or equivalent. To achieve this goal we must dramatically transform the way our education system works.

Historically, Oregon has spent almost \$400M each biennium on services for children ages zero through five years and their families. Although these funds go to support programs and services that do good work, they have traditionally worked in isolation from one another and from state services, creating a disjointed approach to the early care and education of our children. Hence, it is neither integrated, cost-effective, nor accountable for results.

As a result, a significant number of Oregon's children enter kindergarten without the early literacy,

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early math, and social/emotional behavioral skills necessary for academic success. Consider the results of Oregon's first year of statewide Kindergarten Assessment, administered to all incoming kindergarteners in the fall of 2013:

EARLY LITERACY: 33% of entering kindergarteners could name five or fewer letters and 14% could not name a single letter. Additionally, 37% of the state's entering kindergarteners could not identify a single letter sound.

EARLY MATH: 53% of entering kindergartners answered at least half the questions correctly. However, only 43% of African American and Native American students, and 38% of Hispanic students answered at least half of the questions correctly.

APPROACHES TO LEARNING: Based on teacher observation, approximately 25% of entering kindergartners did not regularly demonstrate skills such as completing tasks or following directions. Research indicates that a child's ability to self-regulate is predictive of future reading and math achievement.

These numbers demonstrate that Oregon's longstanding, disjointed approach to early learning and care has not yielded the results necessary to prepare children for school. In response, for the past 4 years, Oregon's Governor, Legislature, the statewide Early Learning Council, and communities across the state have engaged in a significant reform effort to build a more coordinated system that will help Oregon's children achieve higher levels of readiness for school. Together, these state agencies have put in place the policy direction and performance expectations for a group of outcome-focused, regionalized, cross-sector, community-led consortiums for organizing early learning, now known as Early Learning Hubs.

Lane County, Oregon is home to one of the first Early Learning Hubs in the state, the Lane Early Learning Alliance (hub). UWLC was unanimously selected to be the lead support organization of the hub by other community agencies based on its long history of convening partners to identify and address child development and early education issues. Lane County, one of thirty-six counties in Oregon, is an urban/rural county of 4,553 square miles that spans from the Pacific coast to the Cascades (Lane County, Oregon, 2013). Although 90% percent of Lane County is forestland, it is

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Oregon's fourth most populous county with an estimated population of 353,382 residents (U.S. Census Bureau, 2010). The cities of Eugene and Springfield comprise the third largest metropolitan area in the state. Although approximately 60% of the population resides in the Eugene/Springfield metro area, about 40% lives in rural and outlying areas of the county. Thus, Lane County presents a unique opportunity to develop programs that are effective for not only urban, but also rural populations. There are sixteen school districts in Lane County, one Education Service District, and two public institutions of higher education.

Despite ranking 14th in the state, Lane County's per capita income of \$24,224 is lower than both state and national averages (U.S. Department of Commerce, 2011). In 2011, 21.4% of Lane County residents lived below the poverty level, which is higher than both the state and national averages of 17.5% and 15.9%, respectively (U.S. Department of Commerce, 2011). According to the 2012 UWLC Community Indicators Report, the median family income in Lane County continues to lag behind the Oregon Self-Sufficiency Standard for 2011, making it difficult to meet long-term financial stability needs. In 2011, the median annual household income was \$40,584, nearly \$3,000 short of the 2011 Standard of \$43,190 for a family of four with two children. Only 30% of Lane County residents have a Bachelor's degree or higher. For the remaining 70%, median wages tend to be less than \$30,000. In the 2013-2014 academic year, 54.6% of all students in Lane County were eligible for Free or Reduced Lunch (FRL). (Families receive free lunches if their income is within 130% of the poverty line and reduced price lunches if within 185%.)

These economic and social challenges both contribute to and exacerbate local and statewide chronic educational challenges. Oregon had the 46th worst graduation rate out of 47 states in 2012 and the local high school graduation rate is just 69.4% (National Center for Education Statistics, 2015; Oregon Department of Education, 2013; Stetser & Stillwell, 2014). Lane County's drop-out rates are inextricably linked to early learning skills. Decades of research have shown that whether children enter school with the skills necessary to learn to read fluently by third grade, to get along with their peers and adults, and to regulate both their behaviors and their emotional responses have far-reaching effects on high-school graduation as well as later educational attainment (Fothergill et al., 2008; Shochet, Dadds, Ham, & Montague, 2006; Wiesner & Windle, 2004).

The first year of Lane County Kindergarten Assessment results indicate that students across Lane

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County are in need of improvement in early literacy skills, early math skills, and approaches to learning in order to improve their likelihood of success throughout the school years. There are also disparities between groups of students. On the letter naming assessment, the average score of the total population of students in Lane County was 19.4 (on a scale of 0-100), as compared to students who identify as Hispanic (12.6), American Indian/Alaska Native American (12.2), or economically disadvantaged (15.8). The average statewide score was 18.5. In letter sound recognition, the average score of all kindergarteners in Lane County was 7.0 (on a scale of 0-100), compared to students who identify as African American (4.4), Hispanic (3.6), American Indian/Alaska Native American (3.6), or economically disadvantaged (5.0). The average statewide score was 6.7. These disparities are compounded for children in rural communities.

Given the data listed above and using the extensive asset mapping we have performed across the county, it is clear that although we do have programs doing good work in our community, critical early learning programs and interventions are not reaching all at-risk children and families. Additionally, many of the programs currently being used are not evidence based. Further, they are often localized to only one or two districts or several schools within a district. Thus, even evidence-based programs cannot currently achieve outcomes at scale as demonstrated by the disappointing local results of the Kindergarten Assessment.

One local program has steadily gained recognition locally and around the state as one of the most promising community-based solutions for addressing kindergarten readiness: the Kids In Transition to School (KITS) Program. Described in detail below, this program has been shown to be effective for improving the school readiness skills of children who have experienced a range of risk factors. Since 2010, United Way of Lane County has been working with ODI to strengthen the KITS evidence base and expand the program. The partnership has succeeded in growing the program from four schools in two districts to 11 schools in five districts. However, this represents just one-third of the county's total districts and one fifth of the total elementary schools. The KITS Program is widely considered an innovative, effective solution for ensuring that children are prepared for school. School administrators, teachers, family resource centers, and parents alike have all expressed an urgency regarding the scaling of the KITS Program to provide access to more children and families in our community. Colleagues in Oregon and around the nation are monitoring progress with keen interest. We wholeheartedly believe that the SIF is an unprecedented opportunity to leverage federal, state, and

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local funds to continue the work that UWLC has done in partnership with the KITS Program and ODI over the past 5 years to grow the impact of this community-based solution. In the near term, we can improve the lives of thousands of children and families in low-income communities throughout Lane County. Important to the goals of the SIF in increasing the impact of promising programs, the lessons learned in bringing the program to scale in a county in which we have both urban and rural and remote areas will subsequently serve as excellent tools to further scale the program across multiple types of communities in Oregon and the United States.

RECEIPT OF OTHER FEDERAL FUNDS. As a hub, UWLC is the recipient of federal funds, both directly and indirectly, including Race to the Top Early Learning Challenge (CFDA# 84.412) and Title IV-B2 Family Support (CFDA# 93.556) funds that are included in Early Learning Alliance funding streams, as well as two AmeriCorps VISTA positions through Oregon Campus Compact and United Way Worldwide. UWLC is also the recipient of a successful Retired and Senior Volunteer (RSVP; CFDA# 94.002) grant from the Corporation for National and Community Service (CNCS). At least a portion of each of these funding streams supports UWLC's efforts to improve educational outcomes; however, these projects are distinct from and not duplicative of the Early Learning SIF. For example, Title IV-B2 Family Support funds support a network of nine school-based family resource centers across Lane County and the AmeriCorps VISTA positions support after school programs and volunteer-supported summer reading activities in local parks.

STRATEGY AND THEORY OF CHANGE (TOC). The Early Learning SIF will follow the TOC developed first for UWLC strategic investments and now followed by the Lane Early Learning Alliance. The first phase of the TOC--IDENTIFYING PROGRAMS FOR SCALE-UP-- includes finding promising programs for scale up, piloting these programs to grow their evidence bases and demonstrate feasibility, measuring preliminary outcomes using standardized measures, and establishing a moderate to strong evidence base. The second phase of the TOC --SCALE-UP OF EVIDENCE-BASED PROGRAMS-- includes: identifying sub-recipients, providing the sub-recipients with the abilities to implement the program, evaluating the impact and implementation outcomes for the program, and promoting sustainability of programs for sub-recipients. Finally, the end outputs of the TOC are that the evidence-based program is brought to scale in Lane County, sub-recipients are able to conduct the selected program with fidelity, the selected program shows positive impacts on participants and in organizations in which it is implemented, and the program is sustained.

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As is stated above, we have identified a need for children in Lane County to be better prepared for kindergarten and to enter school with the early literacy, numeracy, and, social and self-regulation skills necessary for school success. In addressing this need, we have followed a TOC in which we first locate promising programs with evidence of effectiveness for dissemination into the community and then help community agencies to seed and scale those programs. Many community-based agencies, including schools and school districts, are committed to utilizing evidence-based programs to address critical issues such as school readiness. However, there are a number of barriers that may prevent them from doing so. First, these agencies may not know how to locate and identify evidence-based programs. Second, they may not be able to conduct the pilot-testing that will enable them to determine if the programs are feasible for their agencies (such as whether targeted clients will attend activities). Third, they may not know how to evaluate the impact of these programs. UWLC strives to help agencies overcome these barriers in their funding strategies for community agencies through the TOC activities described above.

First, UWLC conducts the background work necessary to identify programs and bring these to the attention of relevant community agencies. This is the strategy that UWLC followed in its identification of the KITS Program as a practice for piloting in local school districts. In 2010, UWLC was entering a new and exciting cycle of funding strategic, outcomes-based investments in education. UWLC was looking for programs with preliminary to moderate evidence that could be used to promote kindergarten readiness and better school adjustment later in children as well as involve parents in school. It was also important that program outcomes could be measured and reported using standardized measures. The KITS Program was ideal for this purpose. An innovative, evidence-based solution to ensure children enter school ready to learn and parents are ready to be involved, the KITS Program was developed and tested at OSLC and ODI, local non-profit research institutes. The program is designed to provide a boost to children's literacy, numeracy, self-regulation, and social skills in the summer before kindergarten entry and during the first 2 months of school. There are two primary components to the program:

A 24-session SCHOOL READINESS GROUP curriculum for children featuring concentrations on: early literacy skills (e.g., letter names and sounds, concepts about print); numeracy (e.g., counting, number recognition); self-regulation (e.g., teacher preferred skills such as sitting still and raising

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hands); and, social skills (e.g., cooperation, sharing, recognizing others' emotions). The school readiness groups are structured like a kindergarten class. Children attend two sessions a week for 8 weeks before the start of kindergarten and one session per week for 8 weeks after school starts. Three teachers (one lead and two assistants) work with 20-25 children.

A 12-session WORKSHOP FOR PARENTS focusing on such topics as: ways to increase early literacy skills at home; preparing children for the transition to school by establishing routines; how to initiate home-school communication and school involvement; and, how to encourage children's positive behaviors at home and school. Parents attend groups weekly in the summer and every other week in the fall. One parent group facilitator teaches the groups which are attended by 20-50 parents (1-2 parents per child).

The KITS Program features a number of layers of organization in addition to the curricula. For example, teachers in the KITS school readiness groups are trained in evidence-based instructional and behavior management techniques. They are prepared to help the children learn new skills in small steps (i.e., scaffolding) and to reinforce children's appropriate behaviors and discourage inappropriate behaviors. Good classroom behavior management and instruction give the children the best chance to succeed at learning the many new skills featured in the lessons. Because there are three teachers per group of 20 children, they have opportunities to work individually with children. The parent group facilitators are similarly trained in behavior management so that they can teach the parents these techniques.

One of the most important features of the KITS Program is the team approach to the delivery of the program. A KITS TEAM consists of a lead school readiness group teacher, two assistant teachers, a parent group facilitator, and a KITS Program supervisor. The program supervisor oversees both the school readiness and parent groups and provides feedback to the team on whether they are delivering the program with high implementation fidelity. The KITS team meets once a week to discuss families, including any issues that have arisen with children or parents (e.g., a child having particular difficulty with social skills) and how to tailor the curriculum, teaching, and behavior management techniques for individual children. Other KITS Program staff may include a translator to offer simultaneous translation to non-English speakers during the parent groups. (This approach has been tested in several pilot and clinical trials and parents report that they prefer to remain together in one group and

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share thoughts and ideas in spite of differences in language rather than being separated into groups by language.)

Two randomized efficacy trials have been conducted on the intervention. One trial focused on the effects of the intervention on 192 children in foster care (the KITS Foster Care Study). The other focused on the effects of the intervention on 209 children who received early childhood special education/early intervention services who also had behavior and/or social problems that might interfere with the transition to school (the KITS Developmental Disabilities Study). Currently another randomized efficacy trial is underway (2012-2016) on the effects of the KITS Program on approximately 250 children in low-income neighborhoods (the KITS in the Promise Neighborhoods Study).

These studies show the KITS Program has significant effects on children's skills. In particular, KITS was associated with: gains on early literacy (including letter naming abilities, letter-sound recognition, and understanding of conventions of print) during the summer; gains on self-regulation skills (including controlling their behaviors and emotions) during the summer before kindergarten (Pears et al., 2013), and better self-regulation during the kindergarten year (Pears, Kim, Healey, Yoerger, & Fisher, 2015); less oppositional and aggressive behavior in the classroom in the spring of kindergarten as rated by teachers (Pears, Kim, & Fisher, 2012); and decreases in ineffective parenting across the summer which led to more parental involvement in school during the kindergarten year (Pears et al., 2015).

Consistent with our TOC model, once we had identified the KITS Program as having the potential to have positive regional impacts, UWLC entered a partnership with ODI and two local school districts to offer KITS to families in two low-income neighborhoods in Lane County (called the Promise Neighborhoods although not funded through the federal program). These neighborhoods are some of the most disadvantaged in the county in terms of income, education, and crime. This allowed us to show feasibility of the program. With Dr. Katherine Pears, a senior scientist at ODI and director of the KITS Program, a small randomized pilot study was conducted on both feasibility and outcomes. Recruitment strategies were used that promoted greater attendance of families at kindergarten registration activities as well as demonstrated that families would be interested in a summer learning program (Pears et al., 2014). Additionally, attendance was shown to be equivalent to or better than

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similar summer learning programs for both children and their parents (Pears et al., 2014). Also consistent with our TOC, the KITS Program provided evaluations of the progress of both children and parents using standardized measures. This evaluation demonstrated further evidence of the program's positive effects on children's early literacy, and social and self-regulation skills. For example, in the group of children receiving the KITS Program there was a 28% drop in the number children at risk for reading failure as measured by phonological awareness and a 40% drop in the number of children at risk for difficulties with concepts about print. Additionally, children showed decreases in aggressive responses to peers. Ninety-five percent of parents in the KITS Program felt that the program had improved their abilities to prepare their children for school and 85% felt that the program had improved how they read to their children. Further, 95% of parents said that the program had improved their abilities to increase their child's positive behaviors.

Since starting in the two pilot neighborhoods in 2010, the program has grown to serve children entering 11 schools in five of the 16 school districts in Lane County. To date, the KITS Program has worked with dual language learners and their parents as well as families from a range of ethnic and socioeconomic backgrounds. KITS has been held out as an exemplary example of collaboration. It has been recognized as a promising program by the Confederation of Oregon School Administrators and by the Center on the Developing Child at Harvard University.

We are ready to continue the next steps of our TOC model with the KITS Program using the proposed Early Learning SIF. Because the KITS Program has demonstrated efficacy in several randomized controlled trials with different populations of children as described above, it fits the criteria for strong evidence. The feasibility of the program is clear both in terms of being able to recruit and engage families and also in terms of schools being able to provide the facilities and transportation resources to support the program. Additionally, the program has a clear training and technical assistance plan that involves KITS Program staff providing a week-long training in how to implement the curriculum, behavior management, and instructional techniques to KITS teams-in-training. These teams then receive ongoing support and technical assistance from KITS coaches during the first time that the trainees conduct the program in their own agency or school. Each KITS team-in-training is assigned a coach who watches videos of all KITS groups and gives feedback on how well the team is conducting the program in the way that it was designed to be used (i.e., implementation fidelity) using a standardized measure that has been tested in past research. During weekly meetings, the KITS coach

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gives support, constructive criticism, and instruction around specific issues that the teams are encountering. Coaches also provide technical assistance on all of the aspects of program implementation which include recruitment and engagement of families and management of logistics such as transportation. As the teams gain proficiency, the coaches help the teams to train others and will eventually provide certification to train and conduct the program to the teams.

There is a built-in, standardized evaluation component to the KITS Program. All KITS trainees receive training in collecting pre- and post-intervention data from both the children and the parents using standardized measures. Given the strong past evidence of the positive effects of the KITS Program and their well-developed training, technical assistance models, and evaluation components, we strongly believe that the KITS Program is an excellent candidate for and a strong fit with the next part of our TOC: helping community organizations to scale up evidence-based programs.

The Early Learning SIF will allow us to identify sub-recipients who are ready to implement the KITS Program. We expect that these will primarily include school districts and educational service districts but might also include community providers of early learning experiences such as Head Start. Because it is a summer program, KITS is ideally suited to be compatible with Head Start and other early childhood education and intervention programs that follow an academic calendar and close for the summer. Following our model of providing agencies with the resources to seed a program, we will use the Early Learning SIF to help sub-recipients fund training and technical assistance in the KITS Program from the program developers at ODI and to help sub-recipients hire KITS team(s) of staff to learn and administer the program. We will also provide assistance in evaluating the outcomes of the program in all sub-recipient agencies, including both the impacts on children, families, and schools as well as the fidelity with which agencies implement the program. Finally, we will work with sub-recipients to support the sustainability of the program. One crucial way in which we will do this is by ensuring that by the end of the proposed funding period each sub-recipient has developed a certified trainer who can help to train subsequent generations of KITS teams for the agency. This will allow agencies to sustain the program over time without having to re-enter the training process with ODI. Additionally, we will work with the sub-recipient agencies to develop a long-term plan for funding the program. This will be facilitated by the necessity of the sub-recipients finding a match for their SIF funding. Because of the state of Oregon's strong commitment to improving school readiness and school outcomes, this is also a particularly important time for working with the state to secure

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funding.

Following this model, we expect to achieve the following OUTCOMES with our SIF-funded agencies. First, we will help to bring the KITS Program to scale in Lane County. At the moment, as is noted above, the KITS Program is serving 11 schools in five districts. As it is currently being implemented, ODI handles staffing, training, oversight, and logistics for all of the programs. By training staff within the sub-recipient agencies, we could bring the program to approximately 52 schools in 16 districts, potentially increasing the number of families served from hundreds to thousands. Second, we will ensure that the sub-recipients are able to implement the KITS Program with fidelity to the original program. Even an evidence-based program might not produce the same positive results that it showed in testing, if it is not administered in the same manner once it is out in the community. By allowing our sub-recipients to fund training and technical assistance from KITS Program staff at ODI, we will give them the best opportunity of delivering a successful program to children and families. Our third proposed outcome is that the KITS Program will show a positive impact on the children and families who participate in the program in terms of positive growth in skills from the beginning to the end of the program. Further, we expect that overall Kindergarten Assessment scores for schools participating in the KITS Program will improve. Finally, we expect that the KITS Program will be sustained in the sub-recipient agencies. Through working with the sub-recipients and the KITS Program to have a certified trainer in each agency, this will allow the sub-recipients to be able to continue to train new staff in the program year after year. Additionally, by going through the process of locating matching funds, the sub-recipients will be able to solidify plans to fund the program after the Early Learning SIF has concluded. Because the agencies will have certified trainers and will not have to invest in training, they will have lower costs over time.

We believe, and prior research confirms, that by increasing the school readiness skills of children in Lane County by scaling up the KITS Program, we will be able to work towards the long-term goals of our model of change: that children in Lane County will show positive adjustment in school, meaning that they will have satisfactory academic achievement, show prosocial skills with their peers and teachers, and be able to successfully control their behavior and emotions to maximize their learning opportunities. We expect that this will lead to children being more likely to read fluently by third grade, a skill that has been shown to predict eventual high school graduation (Hernandez, 2012). Thus, finally, we hope to increase high school graduation rates. This will not be testable during the

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proposed funding period but it is a reasonable long-term expectation if we can increase school readiness in Oregon.

II. SUB-RECIPIENT SELECTION

SELECTION PROCESS, CRITERIA, AND TIMELINE. Within 6 months of the award, the Early Learning SIF will seek sub-recipients who are able to train to effectively implement the KITS Program. We will conduct a competitive RFP process designed to assess applicants' readiness and capacity to implement the expansion or scaling of KITS. Eligible organizations will include: (1) local school districts that are either currently implementing the KITS Program and are interested in scaling the program or are interested in beginning to implement the program; (2) Educational Service Districts (ESDs) that provide centralized support to rural and remote school districts. The ESDs may apply on behalf of a consortium of small school districts interested in scaling or beginning to implement the program; (3) nonprofit organizations or partnerships that serve low-income families with young children and, because the KITS Program is group-based, have 10 or more children who will enter kindergarten in the years for which they are applying for funding. Again, because of the group-based nature of the program, we will work with schools within districts. As KITS has been shown to be effective at promoting skills in high-risk children and families, we will prioritize schools with Title 1 status (i.e., poverty levels of 40% or higher). This will ensure that the highest need schools receive the program first. There are currently 44 schools in Lane County with Title 1 status that serve approximately 2200 incoming kindergarteners a year. The schools are located in 16 districts: three large school districts that serve the Eugene/Springfield metro area and 13 small rural and remote districts. As noted above, we anticipate that some of the smaller rural and remote school districts might form consortia to apply for the Early Learning SIF as a group.

We will conduct a competitive process to select sub-recipients on the following timeline, assuming an award date of July 15, 2015 and start date of August 15, 2015:

DEVELOPMENT OF THE RFP (AUGUST -- SEPTEMBER 2015): The RFP will outline the qualifications, requirements, and expectations of participation in the Early Learning SIF. Specifically, the RFP will provide information on the staffing, facilities, transportation, and evaluation requirements of the KITS Program as well as the plans for provision of training and technical assistance. Potential sub-recipients will be asked to provide information on their abilities to meet these

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requirements; how the KITS Program fits with their theories of school readiness preparation and any existing programs; their past experience implementing standardized, evidence-based programs; financial and management systems; financial position and fundraising capacity; abilities to participate in and eventually oversee and sustain evaluation of both impacts and implementation fidelity; commitment to use Early Learning SIF funds to expand the program; and ability to raise the required matching funds. They will also complete the KITS Readiness Checklist. This assessment has been developed based on the experiences of the KITS developers in implementing the program over a period of 10 years. It includes questions regarding school and district level administration buy-in for the program; whether the district has designated a program manager(s) for the program or has a plan in place to do so; whether the district has designated a point of contact for training, technical assistance, and other communications; and the extent to which the district can demonstrate provision of facilities and additional program support (classroom space, transportation, nutrition services, etc.).

DISTRIBUTION OF THE RFP AND TECHNICAL ASSISTANCE FOR APPLICANTS (AUGUST -- SEPTEMBER 2015): UWLC would distribute the RFP widely throughout Lane County. Because UWLC is the support organization for the regional early learning hub, the RFP will be received by nonprofit organizations serving preschool children, particularly low-income, high-risk families, all of the school districts, and the Lane County ESD (a primary partner in the hub). In order to ensure that all potential sub-recipients are well-informed about the KITS Program, we will conduct several technical assistance workshops in partnership with ODI to explain the program as well as to provide information about the requirements and expectations of the Early Learning SIF, including the requirements for evaluation. Applications will be due at the end of October.

REVIEW OF THE APPLICATIONS (NOVEMBER 2015): Before being reviewed by the Early Learning SIF Review Team, UWLC staff will review all applications to determine compliance with eligibility, deadlines, and completeness. Applications determined not to be compliant will not move forward to the team. The Review Team will be composed of Holly Mar-Conte, Director of Education at UWLC; Dr. Katherine Pears, Project Director for and co-developer of the KITS Program; and volunteer representatives from early learning service providers, K-12 education, the research community, and local businesses and foundations, based on their expertise in early learning, K-12 education, and community conditions. All volunteer reviewers will be screened for conflicts of interest. Applications will be scored and ranked on the basis of how well they address the factors listed in the

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RFP Development section above. Additionally, their potential to expand and grow the program will be rated based on their answers to the KITS Readiness Checklist.

SELECTION OF SUB-RECIPIENTS (DECEMBER 2015): Based on the rankings from the review team, the applications will be further reviewed for budget adequacy as well as the potential for expansion. UWLC staff members may work with the applicants to make adjustments as needed. Sub-recipients will be announced by mid- December 2015 and contracts will be finalized by the end of the month for start dates of January 2016.

The Early Learning SIF anticipates awarding four to six sub-awards in amounts ranging from \$100,000 to \$300,000, totaling \$1.325M, through an open, competitive process. Sub-awards will be awarded for 3 years. As sub-recipients complete the KITS training and certification process (thus requiring less funding), more sub-awards will be offered using the selection process described above. The Early Learning SIF will allocate grant awards so that larger sums are given to those sub-recipients with more capacity to support the growth and scale of KITS. The Early Learning SIF will do so by assessing prospective sub-recipients' institutional support for the program, ability to successfully implement the program (assessed through the KITS Readiness Checklist), the proposed number of children served, and the demonstrated ability to meet the non-federal cash match.

Upon completion of the RFP process, the Early Learning SIF will focus on supporting and monitoring sub-recipients to continuously improve effectiveness and evidence. Tools available to selected organizations/programs through the Early Learning SIF include: (1) subgrants of \$100,000--\$300,000 to expand or replicate the KITS Program; (2) training and technical assistance in program implementation; (3) evaluation technical assistance to increase the strength of evidence of program effectiveness; (4) data collection and analysis technical assistance and support; (5) general technical assistance (financial management, leadership development, strategic planning, communications, etc.) to sub-recipients where needed; and (6) fundraising support and assistance to secure required matching funds.

ABILITY TO IMPLEMENT SUB-RECIPIENT SELECTION PROCESS. For nearly 70 years, UWLC has raised and allocated funds to nonprofit community agencies. It is recognized as a leader in its ability to successfully select and award competitive grants to nonprofits using open, transparent,

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community-led processes that draw on local expertise. Currently, UWLC raises and distributes approximately \$2.5M per year to nonprofit community organizations, with an emphasis on those working to improve children's school readiness, family financial stability, and access to healthcare in Lane County. Our community-led investment process operates on a 3 year cycle. We solicit applications in a well-defined RFP process, recruiting representatives from multiple sectors of the community including early childhood care and education, K-12 and higher education, research, healthcare, social welfare, and business. All applicants are required to clearly outline the intended outcomes and theory of change of their programs. Additionally, they must have a plan for evaluation that will appropriately and rigorously measure their planned outcomes.

In 2008, UWLC was awarded a grant to coordinate all local parenting education opportunities in Lane County. This initiative is supported by the Oregon Parenting Education Collaborative (OPEC), a statewide consortium of Oregon's largest foundations -- the Oregon Community Foundation, Ford Family Foundation, and the Meyer Memorial Trust, with technical assistance from Oregon State University. As part of this, UWLC established a grant process to award parenting education funds to a variety of partners across Lane County. Selection criteria include the proposed use of evidence-based curricula, demonstrated community collaboration, number of projected families served in key target populations (rural and low-income communities) and ability to participate in training and evaluation activities. Partners with expertise in parenting education, early learning programs, and local service delivery systems participate in the grantee selection process. This process has now been replicated by other similar initiatives across the state. The success of this project has resulted in an extension from 3 years of funding to seven.

More recently, because of its successful track record of convening partners, identifying local critical social problems, and developing innovative solutions, UWLC was selected by community partners to serve as the Lane Early Learning Alliance's (hub) backbone support organization. Over \$1M in funding flows through the hub, with a majority granted out to nonprofit community organizations serving children and families, primarily through open, competitive processes. Again, these funding contracts are outcomes based and require regular reporting on progress using shared measurement tools. For example, the Lane Early Learning Alliance established a local SIF with undesignated hub funds. The hub developed an RFP process to identify promising local programs that serve underrepresented populations and need to grow their level of evidence. Five grantees were awarded

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funds from a pool of \$100,000. A team of local researchers developed program measures and staff provide technical assistance in assessment, data collection, reporting, and other areas.

III. EVALUATION

EVALUATION CAPACITY AND EXPERIENCE. UWLC and its partners have long recognized the value and importance of outcomes-based investments. Since 1998, investments in early learning have been focused on improving early childhood outcomes and required both regular reporting on progress and shared measures. For example, the Ages and Stages Questionnaire (ASQ), a developmental screening tool, has been a requirement of UWLC funding for nearly two decades. In 2010, UWLC adopted more rigorous outcomes reporting across the organization for each of its three focus areas in education, financial stability, and access to healthcare. In the early learning investments specifically, outcomes are reported using consistent tools across programs -- the DIBELS or EasyCBM are accepted early literacy measures, the Child Behavior Rating Scale measures social and self-regulation outcomes, and the Parenting Skills Ladders is used to assess changes in parenting attitudes and skills. We were assisted in the process of selecting these outcome measures by Dr. Pears and other local researchers. We have also worked with our funded programs to both influence them to use the selected measures and to provide training and technical assistance in using those measures. For example, we recently worked with Dr. Pears' staff to provide a workshop on measures of self-regulation for our funded programs. Working with Dr. Pears to implement the KITS Program in the Promise Neighborhoods of Lane County (project described above), we have been able to build our own knowledge base of standardized assessments of early childhood development and school readiness. Dr. Pears and Dr. Hyoun Kim, an ODI research scientist and expert methodologist, will both be consulting on evaluation of the sub-recipients' KITS Program implementations as described below. Dr. Pears served as the director of a data collection core for a multi-site, nationally-based study during which she taught others to conduct evaluations using coding of behaviors. She has also had extensive experience in training students and other community members to collect evaluation data through coding behavior. Dr. Kim has directed the data management for a large national, multi-site study. She has had wide experience in teaching data analysis and other evaluation techniques to a range of people, including students and community members. Most importantly, she has designed evaluation technical assistance workshops for a number of large research programs.

EVALUATION PLAN. As is noted above, two randomized efficacy trials have been conducted on the

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KITS Program, and a third is currently underway. One completed trial focused on the effects of the intervention on children in foster care (the KITS Foster Care Study). The other focused on the effects of the intervention on children who received early childhood special education/early intervention services who also had behavior and/or social problems that might interfere with the transition to school (the KITS Developmental Disabilities Study). As is noted, with positive results across multiple populations, the KITS Program has a moderate to strong evidence base. KITS is associated with gains on early literacy (including letter naming abilities, letter-sound recognition, and understanding of conventions of print) during the summer; gains on self-regulation skills (including controlling behaviors and emotions) during the summer before kindergarten (Pears et al., 2013), and better self-regulation to the end of the kindergarten year (Pears et al., 2015); less oppositional and aggressive behavior in the classroom in the spring of kindergarten as rated by teachers (Pears et al., 2012); and decreases in ineffective parenting across the summer which led to more parental involvement in school during the kindergarten year (Pears et al., 2015).

As the program has a history of having been evaluated in research studies, the KITS Program includes built-in evaluation components that provide information about both impact and implementation. IMPACT EVALUATIONS include standardized pre-intervention and post-intervention assessments that are conducted with both parents and children during the first and last meetings of the KITS school readiness and parent groups. The standardized measures that have been used to measure impacts in the efficacy trials include:

Dynamic Indicators of Early Literacy-Letter Naming and Initial Sound Fluency (DIBELS; Good & Kaminski, 2002). Each measure has been designed to be very short and may be used repeatedly to monitor the development of pre-reading and early reading skills. Letter naming fluency assesses how many letters a child can recognize in 1 min. Initial sound fluency measures whether a child can isolate and repeat the beginning sounds of words.

Concepts about Print Test (Clay, 2005). This measures children's understanding of concepts about printed language (e.g., understanding that the print in a book tells the story, knowing which way print is read on the page, being able to indicate the front and back of a book).

Intention Attribution Task (Dodge, Pettit, Bates, & Valente, 1995). This task is designed to assess

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children's prosocial and hostile responses to peers.

Head Shoulders Knees and Toes Task (HTKS; Ponitz et al., 2008). This measures several self-regulation skills in children.

Parenting Scale (Arnold, O'Leary, Wolff, & Acker, 1993). The Parenting Scale is a 30-item self-report of parenting and discipline strategies.

Post-Intervention Ratings of Change (OSLC). This parent-report measure is designed to assess the extent to which parents perceive change in their child's and their own behavior after the intervention.

IMPLEMENTATION EVALUATIONS include the coding of school readiness and parent groups using checklists that have been employed in all of the KITS efficacy studies. The checklists include information on whether the teachers and parent group facilitators covered the major points of the curriculum for that session. Additionally, the checklists are used to determine if the group teachers and leaders used the behavioral management, instructional, and group process strategies correctly.

As part of the training to deliver the KITS Program, sub-recipients will receive training in how to use these evaluation tools. They will also be encouraged to utilize existing evaluation measures such as the statewide Kindergarten Assessment as well as other data that they commonly collect each school year, such as office discipline referrals received by children.

When they submit an application for the Early Learning SIF, potential sub-recipients will be asked to indicate their willingness to complete evaluations of their KITS Program implementations. They will also be required to explain how they currently evaluate any programs that they are using, their capacity to provide staff to evaluate the KITS implementation, and preliminary plans to conduct the evaluations as well as their plans to sustain evaluations over time. Plans will be rated by the Early Learning SIF Review Team as described above.

SUB-RECIPIENT EVALUATION, TECHNICAL ASSISTANCE, AND SUPPORT. There will be two stages to technical assistance in evaluation. In the EVALUATION TRAINING STAGE, sub-recipients will receive training and technical assistance in data collection from the KITS Program trainers and coaches in consultation with Drs. Pears and Kim. We are contracting with the KITS Program to

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provide both UWLC and the sub-recipients with consultation, training, and technical assistance on evaluation because they have been very involved in program evaluation through three efficacy trials of the KITS Program and their high-quality research has been peer-reviewed and recognized internationally. Additionally, they have built evaluation into their programs. In order to prevent potential conflicts of interest posed by the developers and trainers aiding in the evaluation, data used for evaluation during this stage will come directly to UWLC from sub-recipients to be analyzed. Dr. Kim, who is not a KITS developer and has no financial interests in the program, will consult on data analysis. With Dr. Kim's guidance during technical assistance workshops in evaluation design and data analysis, the sub-recipients will create plans for sustainable and ongoing evaluation. KITS trainers and coaches will code implementation fidelity for all sub-recipients as part of training and coaching.

In the SUPPORTED EVALUATION STAGE, sub-recipients will become solely responsible for data collection, analysis, and reporting. Again, ODI scientists will serve as consultants to both the recipients and UWLC. Workshops on data collection and analysis will be held for all sub-recipients. This will serve not only to aid in their ongoing evaluations of the KITS Program implementations but also may boost evaluation of any other programs that sub-recipients utilize. In addition to sub-recipients coding their own programs for implementation fidelity, KITS trainers and coaches will continue to code implementation fidelity as part of certification activities. This will have the added advantage of allowing sub-recipients to check their coding against those of experts.

Throughout both of the stages described above, UWLC will convene a Technical Assistance and Oversight Committee including: UWLC staff affiliated with the Early Learning SIF, ODI scientists and KITS trainers, evaluation staff at UWLC, and others. This group will meet monthly to discuss the progress of sub-recipients, including data collection and analysis efforts, program implementation, and successes and challenges. This will be an opportunity to identify further needs and opportunities for technical assistance. In addition to the Technical Assistance and Oversight Committee, UWLC will also convene a quarterly meeting that will include sub-recipient administrators, program managers, and other site staff to discuss individual site progress, lessons learned, and challenges encountered.

BUDGET SUPPORT FOR EVALUATION. Budgeted support for evaluation includes data management and analysis as well as data collection and technical assistance staff based at UWLC.

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ODI will provide technical assistance and support as described above. Additionally, all sub-recipients will be required to budget the costs of staff to collect evaluation data as well as staff who will be trained and assisted in analyzing and utilizing that data by UWLC and ODI staff. The two stage approach outlined above is designed to provide maximum support to sub-recipients in training staff to evaluate the impacts and implementation of their individual KITS Programs as well as to help them design and support their own sustainable evaluation programs. With training and technical assistance in implementing the KITS Program as well as evaluation consultation and training, the sub-recipients will receive the assistance that they need to ensure that they can demonstrate moderate to strong evidence for both the impacts and the implementation fidelity of the KITS Program.

As is noted above, the KITS Program has been shown to have positive effects (Pears et al., 2013; Pears et al., 2014; Pears et al., 2012; Pears et al., 2015). Two randomized trials have been completed and one is underway. Because we know from past research that the KITS Program has strong evidence, we are confident that the sub-recipients will be able to add to this knowledge base and show moderate to strong evidence for program impacts. This proposed project focuses very heavily on scale up and implementation fidelity is extremely important when examining how well a program moves to scale. We have thus carefully budgeted time for implementation fidelity data to be collected both by KITS trainers and coaches and by the sub-recipients. In prior KITS research, high implementation fidelity has been achieved across multiple populations of children (Pears et al., 2013; Pears et al., 2014; Pears et al., 2012; Pears et al., 2015). Thus, we predict that the sub-recipients will be able to achieve moderate to strong levels of evidence for implementation fidelity.

IV. SUB-RECIPIENT GROWTH AND SUSTAINABILITY

PAST EXPERIENCES SUPPORTING GRANTEE GROWTH. As noted throughout, the identification, support, and scaling of evidence-based programs to improve educational outcomes in Lane County is in direct alignment with our overall TOC. UWLC has a long history of promoting grantee growth. Through UWLC's Community Investment process and strategic investments in early learning, we supported the piloting and early growth of the KITS Program as described above, as well as a number of other programs including parenting classes for families with children aged 0--3 years, and classes for children of parents with developmental delays. For example, through the OPEC funded parenting education hub, UWLC has supported the expansion of evidence-based parenting education curricula and series across Lane County for 5 years, with a focus on rural and outlying communities that

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previously did not have access to such opportunities. This support includes financial investments, technical assistance, and training for non-profit agencies, school districts, and other partner organizations.

Through these initiatives we have also supported the piloting and subsequent expansion of childcare improvement networks throughout Lane County. Childcare improvement networks are a research-based approach to improving home and center-based childcare by providing participating child care providers with training, technical assistance, and incentives for environmental and programmatic improvements. This is particularly important in rural and remote communities in which early childhood providers may be relatively isolated and resources for training scarce. UWLC began by funding one network in a low-income community in 2010. Childcare providers had a very positive response to that network and it quickly grew. Based on the success of that network, the program was able to expand and UWLC currently supports three robust networks serving nearly the entire county, with an emphasis on low-income and rural areas.

Aside from financial resources, central to UWLC's ability to support grantees to grow programs is the depth and breadth of community partnerships and relationships. Because UWLC has such strong partnerships with local, state, and national leaders in program delivery, research, policy and advocacy, philanthropy and other arenas, we are able to identify opportunities to leverage programs, partnerships, and resources to address existing and emergent community needs. Low-turnover of staff in key leadership positions ensures continuity in our relationships with partners. Crucially, UWLC is able to convene representatives from broad sectors of the community, bringing them together to discuss needs and gaps and how these might be addressed. Thus, we launched our first pilot study of the KITS Program because we were able to convene meetings between the developers of the KITS Program at ODI and staff from local school districts. This began an ongoing conversation that has allowed consumers of the program to provide feedback to the developers in order to better tailor the program to the needs of children and families and to make the program more portable.

APPROACH TO GROWING EFFECTIVE PROGRAMS. In all of our efforts to support grantee growth, we have followed our TOC as outlined above, moving from identifying programs for potential scale-up to scale-up efforts. Our approach to growing effective sub-recipient models involves a number of steps including piloting the program and collecting outcomes of preliminary to moderate

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evidence. As is detailed above, one of UWLC's strongest examples of supporting grantee growth has been our experience working with the KITS Program over the last several years. Following the TOC, UWLC and partners have had success expanding the KITS program from four schools in two districts to 11 schools in five districts. Additionally, along with the program developers, we have helped to collect evidence of the success of the program in the form of measured outcomes for children and families as well as evidence of feasibility and high implementation fidelity. The success of these past efforts shows that we are ready for further expansion in an intentional, comprehensive manner that will also allow us to further evaluate the impact of the program at scale.

ASSESSING CAPACITY FOR AND READINESS FOR GROWTH. In the proposed project, readiness for growth within a sub-recipient organization will be demonstrated by the sub-recipient's mastery of the KITS Program and readiness to expand the program to greater numbers of children and families. In the case of a district, this will mean increasing the number of groups at a school or introducing the program into greater numbers of schools. In nonprofit organizations, this may mean increasing the number of groups offered at a particular site or increasing sites. The KITS training and implementation model is well-suited to help us judge when sub-recipients will be ready to add more groups or KITS Teams. In providing the KITS Teams within sub-recipient organizations with ongoing technical assistance and feedback, KITS coaches will continuously rate implementation fidelity. Additionally, working with UWLC and ODI, the sub-recipients will collect data on the impact of the program on children and families within the organizations. Teams that have demonstrated high implementation fidelity and significant changes in child and parental skills over the course of the program will be considered to be well-positioned for further growth.

SUPPORTS FOR SUB-RECIPIENT GROWTH. To ensure the success of sub-recipient ability to implement and scale the program, UWLC will have several tools in place. In addition to sub-grants of \$100,000-\$300,000, through our partnership with ODI we will ensure that all sub-recipients receive strong, developer-led standardized training and technical assistance in program implementation. The structured nature of the technical assistance in which each sub-recipient KITS Team will have a KITS coach who follows them through their first implementation of the program and regularly gives feedback on performance and implementation fidelity provides sub-recipients with the best opportunity to grow the program as the teams-in-training become certified and can train others. As each sub-recipient gains their own certified trainers, agencies will be able to sustain the program over

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time without having to re-enter the training process with the developers. UWLC will also provide the sub-recipients with the same opportunities to network and collaborate that we have provided all of other partners during our past successes in program growth. We will convene meetings of representatives from sub-recipient organizations who are implementing the program in order to create a network of KITS Program providers across the region through which KITS team members can share their experiences with each other and the program developers. In this way, we can ensure continuous improvement of both the program and individual implementations of the program.

The built-in training in evaluation in the KITS Program as well as technical assistance that will be offered by UWLC and ODI will further support growth as sub-recipients will be able to provide evidence of the success of their KITS implementations. Additionally, UWLC will provide sub-recipients with general technical assistance (financial management, leadership development, strategic planning, communications, etc.) as needed. Finally, UWLC will share its deep knowledge of fund-raising through technical assistance in securing matching funds as well as funding to continue the programs and grow them further after the grant period has ended.

Organizational Capability

I. ORGANIZATIONAL BACKGROUND AND STAFF CAPACITY

UWLC has served Lane County for over half a century and in the last decade has become the county's most trusted, neutral convener, with its unique ability to bring diverse partners together to work towards the common goal of improving human wellbeing. In 2008, in an effort to increase the effectiveness of UWLC's financial, volunteer, and staff resource allocation and to increase measurable community gains on key human service issues, UWLC convened a task force of community leaders charged with guiding the realignment of the organization. Our goal was to capitalize on our unique assets which included our position of community trust, skill at building successful collaborations, and knowledge of local human service-delivery systems. Based on UWLC's expertise, community needs and community feedback, the task force recommended a strategic focus on three areas: education, specifically improving school readiness; income, specifically increasing family financial stability; and health, specifically improving healthcare access. This led to the restructuring of our governance, management, staffing, and committee structure, as well as the community partnerships, funding allocations, volunteer recruitment, marketing and communications, and strategic goals to align with community priorities.

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The model for the organization's broader transformation came from UWLC's long-term success in the focus area of early childhood. From 1998 to 2014, UWLC convened the Success By 6® (SB6) initiative in response to several high-profile, tragic cases of child abuse and one of the worst child abuse rankings in the state. The mission of SB6 was to ensure that all children in Lane County are safe, healthy, and cherished, and enter school ready to learn. The broad coalition of partners on the SB6 Leadership Team included social service providers, child development experts, child care organizations, school administrators, business leaders, researchers, elected officials, representatives from other early childhood coalitions, faith community leaders, and health providers. The first 10 years of the initiative were primarily focused on child abuse reduction. Key accomplishments included:

The development of the Parent HelpLine, a single point of telephone access for parents, caregivers, and professionals to receive immediate support and access to information and referrals regarding parenting, child development, and related issues.

The development and implementation of Cherish Every Child, a print, radio, and television campaign to change community norms around parenting and parenting education. Approximately \$450,000 in funding from foundations supported the development of the campaign and local media donated a 3:1 match worth \$1.8M.

Development of the Early Childhood Brain Development Speakers Bureau that made presentations to service clubs, professional organizations, and others about the importance of supporting child development.

Systematized developmental screenings at well-child checks with local pediatricians to detect developmental delays or disabilities.

At a time when child abuse rates were rising in Oregon, Lane County experienced a steady decline. The child abuse rate dropped from 14.5 victims per 1,000 in 1999 to 11.2 in 2007 (Child Welfare Databook, 1999 and 2007). Committed to continuing child abuse prevention and reduction activities, but sensing a need to address its full mission, SB6 shifted its focus to school readiness at its tenth anniversary in 2008. After a review of literature and best practices regarding school readiness, the

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group established three primary outcomes:

- 1) Children enter school with age-appropriate literacy skills.
- 2) Children enter school with age-appropriate social emotional development.
- 3) Parents are equipped to support their child(ren)'s development and education.

In 2010, as previously mentioned, UWLC redeveloped its Community Investment process to make strategic investments intended to impact the goals listed above and identified specific outcome measures intended for evaluation, compliance, and continuous improvement. We collect EasyCBM/DIBELS, the Child Behavior Rating Scale, the Parenting Skills Ladder, and the ASQ from all funded agencies and programs in twice yearly reports. We have used the data to determine which programs to grow and make deeper investments in. Additionally, we have relied on the data to help us to suggest changes and improvements to some sub-grantees.

These efforts positioned UWLC to be the unanimous choice to lead our community's efforts to establish an Early Learning Hub in 2013 and the official launch of the Lane Early Learning Alliance in May 2014. Success By 6® merged into the Lane Early Learning Alliance, which facilitated the convergence of several local initiatives into one cohesive effort.

As the backbone support organization for two thriving hubs: the state-funded early learning hub and the privately-funded parenting education hub, we rigorously collect evaluation data from all funded programs and projects. As an early learning hub, we are accountable for three overarching goals: that children enter school ready to learn, that families are stable and attached, and that services are coordinated and aligned into an effective system for children and families. Each outcome has several corresponding accountability metrics, such as the percentage increases in quality early learning settings, developmental screening and linkage to services, and Kindergarten Assessment scores. We also collect data for all Lane Early Learning Alliance investments through various funding streams. For instance, we collect pre- and post-data for all early literacy-related projects and activities; the tools we use are a compilation of evaluation tools from the evidence-based programs we fund (e.g., Raising A Reader and Every Child Ready to Read). We also work with research partners at Portland State University to collect and report evaluation data on kindergarten transition activities that the Early Learning Alliance supports. We use a consistent demographic form across all funded programs and

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projects. Further, we are also interested in and experienced with collecting qualitative data. We just concluded a series of nine Kindergarten Transition Focus Groups across the county to better understand parents' perceptions about the transition to kindergarten, what resources were helpful when their children transitioned, and what would have been helpful in retrospect. The report from these focus groups is an underpinning to next steps in our work with school districts to align early learning and early elementary programs and a launching point for additional family engagement efforts. For our parenting education investments, we collect data from the Parenting Skills Ladder, as well as workshop and facilitator evaluations. This data is stored in a statewide database managed by Oregon State University and staff receive quarterly and annual reports.

United Way of Lane County raises approximately \$3.5M per year through its workplace campaign fundraising activities. Of this, about \$2.5M is distributed to local nonprofit agencies working to address needs in the areas of early learning, family financial stability, access to healthcare, and basic needs supports. UWLC budgets just over \$1M annually for program and supporting services, including: personnel, administrative, fundraising expenses, and United Way of America dues. An additional \$1M in foundation and state grants and contracts is allocated to early learning programs and local service coordination. If awarded, the grant will represent approximately 18% of the total organizational budget.

STAFF QUALIFICATIONS. Holly Mar-Conte, Director of Education, has been with UWLC for 8 years and overseen investments in KITS expansion from the pilots to the subsequent scale to additional elementary schools and districts. This partnership also includes working closely with ODI, local school districts, and other partners to help ensure the success of the expansion. In addition to investment in the KITS Program, Ms. Mar-Conte also manages a portfolio of over \$1M in other investments in early learning, including parenting education collaboratives and series, child care improvement networks, early literacy efforts, school-based family resource centers, and other community-based early childhood education programs. Oversight of and partnership with these programs includes regular monitoring, data collection and support, technical assistance, and coordination of and connection to opportunities for partnership, leveraged resources, and additional funding. Ms. Mar-Conte works closely with the Early Learning Alliance Governance Consortium, comprised of executive directors, CEOs, and superintendents from the early learning, K-12, healthcare, human service and business sectors, and the Early Learning Stakeholders Alliance, which

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includes representation from local early learning providers, libraries, K-12 schools, and other partners. In her tenure at UWLC, Ms. Mar-Conte and her team have more than tripled the resources allocated to early learning in Lane County and established the Lane Early Learning Alliance as one of the first in the state. Ms. Mar-Conte will oversee the Early Learning SIF's overall project direction, staff supervision, compliance, and reporting.

Lindsey Hayward, MBA is the Director of Alignment for UWLC's education and health related efforts. Ms. Hayward recently transitioned to this position from our Associate Director of Education, where she coordinated UWLC's local Social Innovation Project, including the competitive grant process, grantee support, and evaluation efforts. She is also actively involved in UWLC's Community Investment process and came to UWLC with a background in grantmaking at the largest community foundations in Colorado and Oregon. Ms. Hayward will lend her expertise to the Early Learning SIF sub-recipient selection process.

Cathi McNutt, CPA, UWLC's Chief Financial Officer, joined UWLC in 2012 after a career as a Certified Public Accountant with a specialty in non-profit organizations. Upon joining UWLC, Ms. McNutt has built a strong set of internal systems and structures to ensure compliance with state and federal grant requirements. Ms. McNutt leads a team of volunteer professionals who serve as UWLC's Internal Operations Committee, providing operating and budgetary oversight and guidance. She also oversees compliance with UWLC's existing federal funding, including Race to the Top Early Learning Challenge (CFDA# 84.412) and Title IV-B2 Family Support (CFDA# 93.556) funds that are included in Early Learning Hub funding streams, three AmeriCorps VISTA positions through Oregon Campus Compact and United Way Worldwide, and a RSVP grant from CNCS (CFDA# 94.002).

Brandy Rodtsbrooks, Marketing Director, will provide guidance to the Early Learning SIF on marketing and communications related to the project. Frank Wilson, IT and Facilities Manager, will provide support as needed to the Early Learning SIF staff and project (e.g., ensuring technology systems are in place, assisting with the development of data collection/management systems, etc.).

To best support the Early Learning SIF, UWLC will also hire a full-time Early Learning SIF Coordinator, full-time Financial Administrator, part-time Data Manager and an Administrative Specialist.

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As is noted above, we will be working closely with several staff at ODI both to help coordinate the KITS Program training and technical assistance and to provide consultation on program evaluation. Dr. Katherine Pears is a senior scientist at ODI. She is also a senior scientist at OSLC where she helped to develop and test the KITS Program. She has an established track record of developing interventions to help high-risk children and families to have positive social and academic outcomes. Dr. Pears has received funding from both the U.S. Department of Education and National Institutes of Health to study the development of school readiness and school adjustment in children from high-risk backgrounds, including children in foster care and children with developmental disabilities. She has also been involved with work at UWLC since 2009. She co-chaired the Success By 6® Leadership Team. Additionally, she has consulted on the development of a set of standard outcome measures for use on projects funded through the strategic investment process.

Dr. Hyoun Kim is a research scientist at both ODI and OSLC. She has expertise in evaluation and data analysis as shown in her numerous peer-reviewed publications. Dr. Kim has led data management for a national multi-site project funded by the National Institutes of Health. As part of that project, she coordinated and delivered workshops on data analysis. She also currently works on a multi-project grant in which she is one of the lead scientists advising and providing technical assistance on evaluation. Dr. Kim also consults with a number of federally funded projects on evaluation and data analysis.

Deena Scheidt is the operations manager for the KITS Program. She has over 16 years of experience working on federally funded projects at ODI and OSLC. She manages budgets and compliance issues for projects. Ms. Scheidt is also skilled in data collection and management. She will oversee all of the operations for training the sub-recipients in the KITS Program implementation. Additionally, she will consult on evaluation activities as well as provide broad oversight for training in evaluation and collection of the implementation fidelity data for the KITS implementations.

CRIMINAL HISTORY CHECK COMPLIANCE. We will ensure compliance with CNCS National Service Criminal History Check requirements by ensuring all Early Learning SIF employees and contractors receive the appropriate criminal history check. We have included funds in our budget to cover the cost for employees and contractors. We will require sub-recipients to account for this in their

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application materials and budget. Regular monitoring of the sub-recipients will include ensuring that this requirement has been met.

COMMITMENT TO LONG-TERM RELATIONSHIPS WITH SUB-RECIPIENTS. In the nearly two decades that UWLC has pursued outcomes related to early learning and early childhood development, we have learned the great significance of relationships in supporting and maintaining community efforts to improve the lives of children and families. Through such relationships, supported by clear expectations and communications, we have been able to locate community-based programs and practices that have at least preliminary evidence and work with the programs to evaluate their impacts. It was such relationships that allowed us to see the opportunity to pair the KITS Program with neighborhoods and school districts who were most in need of such a program for the pilot testing. In fact, it is the strong relationships and trust that UWLC has developed and maintained with partners over time that led to its selection as the backbone for the Early Learning Alliance and its subsequent success since coming to contract. Thus, UWLC will be committed to long-term relationships with all of our sub-recipients.

UWLC also is committed to the success of the sub-recipients and scaling of KITS. Upon announcement of sub-recipient awards, UWLC will host a gathering of sub-recipients to begin discussing details such as program plans, training schedules, evaluation and reporting, technical assistance, short- and long-term goals, and contractual obligations. Further goal setting will include individual discussions with sub-recipients about short-term goals regarding program implementation, such as the number of staff recruited and trained, number of KITS sites and number of children/families served, and program logistics (bussing transportation, nutrition services, facilities, etc.). Long-term goal setting will focus on plans for program expansion and forecasted impact on school readiness.

SUB-RECIPIENT SUPPORT, MONITORING, AND OVERSIGHT. As noted above, UWLC has a proven track record of setting and implementing goals with recipients, evaluating the performance of outcome-focused initiatives, and providing technical assistance to grantees to support their success in achieving outcomes. For this project, specifically, UWLC and partners have a robust plan for the provision of technical assistance, training, and ongoing support to not only ensure that sub-recipients can successfully achieve our proposed outcomes with the KITS Program, but also to build sub-

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recipients' capacities to grow and sustain the program over time.

UWLC uses a robust performance measurement system for grantees that includes: clearly defined program goals, objectives and activities; consistent, research-based measurement tools; regular performance assessment utilizing the established measurement tools; and use of this data to guide decision-making and technical assistance opportunities. The Early Learning SIF will follow this model using measures established for the KITS Program, regular reporting of programmatic data, and analysis of reports. The Technical Assistance and Oversight Committee will review reports and develop plans for tailored support to sub-recipients.

As with other UWLC grantees, we will ensure compliance with close monitoring and regular reporting, including: an initial site visit of each program site; monthly meetings of the Technical Assistance and Oversight Committee; quarterly convenings of sub-recipients; and regular progress reporting. Information captured during sub-recipient meetings will be compiled and distributed to each site for further distribution at their site. We will also require quarterly reporting to monitor progress on goals and the impacts of the program at each site.

We anticipate that several sub-recipients will be school districts and already have established systems for federal grants management compliance. UWLC currently receives federal funds through the Early Learning Hub and has worked with sub-grantees to ensure compliance through our contracting process, which included an audit of grantee financial systems and explicit protocols for invoicing and reimbursement. For sub-recipients who do not have these systems in place, we will perform these audits as part of our contracting process.

STRATEGY FOR SUSTAINABILITY. As previously mentioned, there is strong state and local commitment to improving educational outcomes for young children. UWLC has been committed to improving early childhood outcomes since 1998. The work has evolved and gained momentum over the last decade, culminating in the establishment of the Hub. The UWLC Board of Directors and partners consider early learning to be the foundation of UWLC's broader work to improve community outcomes. Thus, this work will continue beyond the life of the Early Learning SIF grant.

To further support long-term sustainability of the KITS Program by sub-recipients, the expansion of

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KITS is timed to coincide with Oregon's statewide implementation of full-day kindergarten. Some school districts in Lane County are already exploring how KITS might fit into plans and budgets for full-day kindergarten. Further, there is current legislation in Oregon for an Age 3 to Grade 3 Literacy Initiative that includes a significant amount of funding for community-based, evidence-based summer learning opportunities to enhance and improve children's school readiness and early literacy. State leaders are interested in the KITS Program as an example of the type of programs that might be supported by this initiative. Thus, it is highly likely that by Year Four of this project, all school districts will be in a position to incorporate the continuation of KITS into their budgets, particularly since the cost of training, evaluation, and support will be covered through the initial years of the Early Learning SIF. Perhaps the most important way in which we will ensure sub-recipients' ability to continue evaluation and sustain program growth beyond the lifecycle of the grant is by ensuring that each agency has a certified trainer who can help to train subsequent cohorts of staff members in the KITS Program. This will allow agencies to sustain the program over time without having to re-enter the training process with the developers.

Budget/Cost Effectiveness

I. BUDGET JUSTIFICATION.

PROJECT EXPENSES.

PROJECT PERSONNEL. UWLC's existing Project Director will provide overall project direction, staff supervision, and federal reporting processes. UWLC's existing Director of Alignment will provide oversight of and guidance to the sub-recipient selection process, including the design of the Request for Proposals (RFP), distribution methods of the RFP, technical assistance to applicants, and implementation of the selection process. UWLC will hire an Early Learning SIF Coordinator to handle all logistics related to the implementation of the sub-recipient selection process listed above, communication with applicants and sub-recipients, coordination of the contracting process, management of sub-recipient reporting, and ongoing support and assistance to sub-recipients. UWLC will hire a Finance Administrator to manage Early Learning SIF finances, including invoicing, sub-recipient allocations, sub-recipient monitoring of fiscal health, and federal compliance and reporting. UWLC's existing Chief Financial Officer will oversee federal compliance, contracting processes, and provide supervision to the Finance Administrator. UWLC will hire an Early Learning SIF Data Manager to oversee project and sub-recipient data collection and management, analysis and reporting, and data collection/reporting technical assistance to sub-recipients. UWLC's existing Marketing Director will provide guidance on Early Learning SIF marketing and communications.

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UWLC's existing IT/Facilities Manager will provide IT support and facilities management to the Early Learning SIF. UWLC will hire an Early Learning SIF Administrative Support to manage all project-related administrative support, including: scheduling, meeting logistics, correspondence, and travel assistance.

FRINGE. Fringe benefits for Early Learning SIF staff are charged at the currently approved and anticipated rates.

STAFF TRAVEL. Early Learning SIF travel expenses include: funds for the UWLC CEO, project, evaluation, and finance leads to attend the annual SIF Recipient Convening (airfare, ground transportation, lodging, and per diem); mileage for Early Learning SIF staff for local travel to meetings, sub-recipient site visits, training and support activities, and other project-related events.

EQUIPMENT. No project costs.

SUPPLIES. Supply costs for the Early Learning SIF includes general office supplies, printed materials/postage, and computers, desks, and office equipment for three staff to be hired.

CONTRACTUAL AND CONSULTANT SERVICES. Performance Evaluation (135,000). Impact Evaluation (200,000). Payment to developers for measures (5,000). Auditors (14,579). Contractors will be secured in adherence to UWLC, state, and federal procurement policies.

TRAINING. Training costs are included in contractual and consultant services.

EVALUATION. Evaluation costs are included in contractual and consultant services above.

OTHER COSTS. UWLC will provide a 1:1 cash match (1,000,000). Subrecipients will provide a 1:1 cash match of award amount (800,000).

SUBAWARDS. 80% of the federal award will be allocated to sub-recipients.

CRIMINAL HISTORY CHECKS. Funds are included for all Early Learning SIF staff and contractors.

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FACILITIES. Prorated office space, utilities, and telephone costs are included.

INDIRECT. UWLC does not have a federally approved indirect cost. Indirect costs are entered as direct expenses.

II. CAPACITY TO RAISE MATCH.

United Way of Lane County's nearly 70 years of fundraising experience combined with strong partnerships and relationships with local corporations, businesses, and philanthropists have enabled the organization to thrive by achieving significant non-federal fundraising goals. As mentioned, our local United Way campaign raises approximately \$2.5M per year. Outside of the workplace campaign, which typically draws donors who contribute smaller but more frequent gifts through their paychecks, UWLC also has a robust network of leadership donors who provide annual donations of \$1,000 or more and corporate partners who contribute annually. In 2014, UWLC established an endowment for early learning with a \$500,000 gift from a private donor and anticipates continuing to add to this investment. Earnings from this endowment will contribute to our match in future years. Further, as the backbone support organization for the Early Learning Hub, UWLC has grown local investment of state funds in early learning by over \$1M in the last year.

Additionally, UWLC is committing \$500,000 in non-federal matching funds:

\$300,000 -- Kindergarten Partnership and Innovation funds allocated from the Oregon Early Learning Division, housed within the Oregon Department of Education

\$50,000 -- Great Start funds allocated from the Oregon Early Learning Division, housed within the Oregon Department of Education

\$100,000 -- Early Learning Hub Coordination Contract funds from the Oregon Early Learning Division, housed within the Oregon Department of Education

\$50,000 -- United Way's Live United Fund

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United Way of Lane County is also currently securing the remaining one-to-one cash match requirement. Staff at UWLC have developed and are implementing a robust Early Learning SIF resource development plan that outlines each contribution level, prospects, activities, and timelines and is accompanied by giving-related Early Learning SIF materials. This plan will continue to be executed over the next 6 months and includes hiring an Early Learning SIF resource development staff position (outside of the Early Learning SIF budget). We are also working with local foundations to secure additional 3-year investments. We are also in conversation with PeaceHealth Oregon West Network, our largest local medical provider, to determine if joining us in the Early Learning SIF may be a fit with their community benefit program. Now that the majority of Lane County residents have health insurance and are in much less need of free medical care, the medical provider is seeking alternative ways to invest their significant community benefit funds in the community. UWLC development staff members have also identified private donors at various giving capacity levels who will be invited to participate in the Early Learning SIF.

We also have the capacity and a plan for assisting sub-recipients with their required match. Throughout the last several years, we have built relationships with many national level foundations through our participation in the Grade Level Reading Campaign, Help Me Grow, and Frontiers of Innovation at Harvard's Center on the Developing Child. Several large foundations have expressed interest in the KITS Program specifically and our intention is to leverage these opportunities to assist sub-recipients with their match. As previously noted, we are also closely monitoring legislation in Oregon that would fund community-based, evidence-based summer learning opportunities as part of broader efforts to improve school readiness and early literacy. Should this legislation pass, it will mean additional resources for local school districts to implement programs like KITS. And, as noted above, the Early Learning SIF resource development position paid for through existing UWLC funds will also provide assistance to subrecipients in securing their matches.

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Clarification Summary

PROGRAMMATIC

1. Confirmation of fund usage

United Way of Lane County (UWLC) confirms that no funds received from CNCS will be paid, by or on behalf of the applicant, to any person or agent acting for the applicant, related to activity designed to influence the enactment of legislation, appropriations, administrative action, proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body.

2. Landscape of current efforts to improve kindergarten readiness in OR

In 2011, the Oregon Legislature approved the "40-40-20" educational goals for the state: by 2025, 40% of adult Oregonians will earn a bachelor's degree or higher; 40% will earn an associate degree or post-secondary credential, and 20% will earn a high school diploma or equivalent. Early childhood experiences are the foundation upon which the "40-40-20" goals will or will not be achieved. Recognizing this, Oregon established the Early Learning Division within the Department of Education and a policy-making and advisory Early Learning Council of early childhood leaders from across the state.

In 2013, the Oregon Legislature passed House Bill 2013. This authorizes the Early Learning Council to create sixteen regional and community-based Early Learning Hubs (hubs) in order to make supports more available, more accessible, and more effective for children and families, particularly those who are historically overrepresented in the opportunity gap and underrepresented in services. The Early

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Learning Hubs are directed to accomplish three specific goals: (1) create an early childhood system that is aligned, coordinated, and family-centered; (2) ensure that children arrive at school ready to succeed; and (3) ensure that Oregon's young children live in families that are healthy, stable, and attached. Over the last year, fourteen Early Learning Hubs have formed across the state. The Lane Early Learning Alliance (ELA) was selected as one of the first and UWLC serves as its backbone support organization. In this current session, the Legislature passed Senate Bill 213, changing the status of hubs from a statewide demonstration project to permanent.

The Early Learning Division administers contracts and grants to regional Hubs to advance their efforts to improve school readiness, currently including: coordination funds to support the administration of hubs; early literacy funds to support best practices in literacy improvement; Great Start funds to support kindergarten readiness activities; and Kindergarten Readiness Partnership and Innovation funds to support promising models for early learning/K-12 education across the state, and promote community and school partnerships that result in measurable increases in children's readiness for kindergarten. Additionally, this grant program is helping to build a body of evidence that Oregon can use to create replicable models for improving alignment between its early learning and K-12 education systems.

The ELA governance consortium directed \$210,500 of its \$290,000 Kindergarten Readiness Partnership and Innovation grant to the expansion of the KITS program to three additional school districts. The ELA is also allocating state funds to support school-based family resource centers, early literacy programming, parenting education, childcare improvement, and increased universal developmental screening.

3. Race to the Top and other federal funds

Oregon's Race to the Top (RTT) Early Learning Challenge Grant is not a single activity; it is the vehicle for accomplishing our state's mission to support Oregon children and families. The four year, \$20 million federal grant recognizes Oregon's early learning work, and strengthens a statewide early care and education system to ensure Oregon children enter school ready to learn and succeed. The Early Learning Council prioritized the following activities through determining the greatest impact on young children and fit with grant scope and requirements: Quality Rating Improvement System

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(QRIS) to engage providers with more training, mentorship, and professional development; Early Childhood Workforce to provide professional development for early childhood educators to develop expertise in quality early learning and best practices; Family and Community Access to provide dedicated outreach to build an informed, engaged public around quality early learning environments; Enhance the QRIS Data System and connect data systems to deliver service providers, policy makers, and funders information needed to ensure better outcomes for children; Kindergarten Assessment to allow Oregon to align statewide early learning with K-12 Common Core standards, launch the statewide rollout of the assessment, and gauge where children are at when they enter school.

A small portion of these funds are allocated to each regional hub to administer local Focused Childcare Networks, designed to provide technical assistance and support to a group of up to 15 childcare providers with the goal of improving quality of care and assisting providers in developing their QRIS portfolio and obtaining their QRIS rating. Childcare networks are a research based strategy that helps stabilize the supply of childcare providers and improve the quality of the care. The ELA's RTT-funded childcare network is the third we have established in Lane County. It serves rural and remote Western Lane County. The first two networks are located in high-poverty urban areas of Lane County and are funded through UWLC community investments. This experience has allowed the ELA to develop relationships with providers in these communities and to successfully begin to expand a pilot program seeded with UWLC funding which is consistent with our Theory of Change model presented in the proposal.

The ELA also receives Title IV-B2 Family Support (CFDA# 93.556), which are allocated through the hub to a network of nine school-based family resource centers across Lane County. These funds have given us the opportunity to develop strong relationships with not just family resource center staff, but also school district administrative, business and accounting offices. Beyond the work that has been accomplished through the FRCs to support families with school aged children and younger, UWLC has also developed strong policies and protocols with each district regarding fund reimbursement, invoicing, and reporting.

Finally, the ELA and UWLC are home to three AmeriCorps VISTA positions through Oregon Campus Compact and United Way Worldwide. The positions focus on supporting community-based early literacy efforts, summer reading programs, and after-school enrichment programs in locally identified

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Promise Neighborhood schools. VISTA member service has provided added capacity to engage community volunteers and build sustainable initiatives to reach shared goals. UWLC is also the recipient of a successful Retired and Senior Volunteer (RSVP; CFDA# 94.002) grant from the CNCS. In the most recent RSVP re-application process, UWLC worked to align RSVP goals with ELA goals and strategies.

4. Students served via the KITS Program

Each KITS group typically serves 20-25 children and their caregivers. Multiple caregivers may attend the parent workshops, including grandparents, aunts and uncles and anyone else caring for the child. Prior to 2010, all implementations of the KITS Program were funded solely with federal grant money. In two randomized clinical trials of the program, 102 children in foster care and 107 children with developmental disabilities and behavior problems and their caregivers were served. Over the past five years, UWLC and OSLC Developments, Inc (ODI) have focused on seeding the KITS program in the community by conducting the program in local schools. The number of children and parents participating in the program has steadily increased. In 2010, a pilot year for the program in two schools, we served 26 children and their caregivers. In 2011, as word-of-mouth about the program spread, we served 43 children and their caregivers. In 2012 we added a school in a rural district and served 52 children and caregivers. In 2013, we added another school and served 61 children and their caregivers. In the past year, 2014 -- early 2015, we have served 136 children and their caregivers by adding three schools, two in rural districts, and increasing the number of groups at some schools. In Summer 2015 -- Spring 2016, we are projected to serve 180 children and their caregivers in Lane County with funding that has already been secured. Thus, by the end of this year, approximately 700 children and their families will have been served by the program since its inception.

Thus, the KITS Program has steadily grown in Lane County. However, the growth has been limited because it has been reliant on the capacity of ODI to hire, train and supervise staff members across the county, purchase all the supplies for and prepare materials for every group. With the proposed SIF funding, it will be possible for agencies to hire and supervise their own personnel who will be trained by and receive technical assistance from the KITS Program developers at ODI. Locating KITS staff within agencies makes it possible to train larger numbers of providers across the county and increases the likelihood that agencies can sustain their own KITS programs. It also will vastly accelerate the

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rate of growth for the KITS Program across the county, allowing us to increase the number of students served by tenfold or more.

5. Employment of KITS Teams

In the SIF project proposed here, KITS teams will be employed by schools within a school district. To date KITS has been administered solely by ODI staff. Further scaling and future sustainability of the program is reliant on training and monitoring school or district staff to implement the program with fidelity. The SIF is an opportunity to expand the program by training school district and other agency staff to implement KITS and measure both the fidelity of implementation and the outcomes for children and families.

6. Timing of subrecipient RFPS and awards

Our proposed model includes conducting a Request for Proposal (RFP) process in Years 1 and 2 to identify two cohorts of subrecipients to receive training and technical assistance to implement KITS. In most situations, the first year of subrecipient awards will primarily focus on training, the second will focus less on training and more on technical assistance (but may feature more training if the agency is adding teams and sites), and the third will primarily focus on technical assistance and certifying trainers within agencies, allowing for two three-year cohorts of subrecipients. Both cohorts will be included in all evaluation activities.

7. The Lane Early Learning Alliance local SIF project

The Lane ELA local SIF project was modeled after the CNCS SIF and designed to identify promising practices and assist agencies in growing the evidence-base for innovative programs designed to reach underserved populations. In 2014, the ELA governance consortium allocated \$100,000 to fund five small-scale pilots. The ELA partnered with local researchers from the University of Oregon, Oregon Social Learning Center, and Oregon Research Institute to identify appropriate measures and train agencies in data collection. Approximately 500 children are currently being served through these pilot projects. We learned that managing a portfolio of diverse projects in this model is difficult. The limited financial resources and UWLC staffing capacity allocated to this project, coupled with the varied

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requirements of each program in terms of data collection and analysis, progress monitoring, and other technical assistance needs have been significant barriers to strengthening the level of evidence for these programs.

Therefore, we believe that identifying and scaling/strengthening a program with a pre-existing level of evidence is a more effective strategy. Further, having consistent target populations, data collection methods, technical assistance, and progress monitoring across subrecipients is more efficient and will yield more fruitful results.

8. Assessing capacity for growth and subrecipient goals

At the beginning of a subrecipient's award period, they will meet with UWLC and KITS trainers to discuss their capacity to support the KITS Program and to determine how many teams will be trained in the first year of the award. The initial number of teams to be trained will depend on the assessment of the number of sites possible within a sub-recipient agency, number of potential KITS staff available, how many groups of KITS children and parents each team is able to teach, and how many families will be recruited. Additionally, the likelihood that team members will return each year will be considered. If staff members are not expected to be stable across time, it will be harder for sites to grow because they will have to re-train staff each year. Agencies with larger numbers of available, stable staff who are willing to teach multiple groups are likely to have the most capacity for growth. After capacity has been assessed, goals will be set with the sub-recipient in terms of how many KITS teams will be trained in the first year, expectations for KITS mastery, plans about which team members will become KITS certified trainers, and how new teams will be added. All of these factors will be important in determining the timeline for growth. As is stated in the original proposal, at the end of every session of KITS groups, there will be an assessment of each team's mastery which may affect progress towards original goals and may increase or decrease assessments of capacity for growth.

9. Long-term relationships with subrecipients

United Way is committed to developing long-term relationships with all of our funded agencies, which includes the provision of technical assistance and support, professional development opportunities, and

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inclusion in our governance and decision-making structures. The Early Learning SIF represents a unique opportunity to leverage UWLC's existing efforts to improve school readiness and build capacity to successfully scale effective programs. This model is different from UWLC's current structure in that we are proposing to support subrecipients in successfully scaling a specific program that we selected, rather than supporting programs they developed or selected. Further, these efforts would not be possible at the proposed scale without the addition of the SIF funding. As described below, the SIF differs from the current UWLC structure in the level of support provided to secure subrecipient matching funds. Given the nature of the SIF and the opportunities presented, we have a heightened commitment to subrecipient success and a sense of accountability for that success. In fact, subrecipient agreements will include mechanisms to hold parties accountable to shared goals and commitments. Additionally, the SIF allows UWLC to build its internal capacity to provide this level of support to subrecipients. Finally, by providing multiple sites with training in a specific program, we will help to build a community of agencies that will be able to look to one another for support in the long-term. In order to actively foster this sense of community during the SIF grant period, we will provide many opportunities for our subrecipients to meet and exchange information and ideas about their KITS implementation experiences. Additionally, UWLC will continue to foster this community in the long-term through further opportunities to connect in person or via the web.

10. Setting subrecipient goals

The subrecipient RFP and selection process is designed to determine subrecipient capacity and goals specific to participating in the implementation of KITS. As noted above in question 8, UWLC and KITS trainers will work with subrecipients to set goals related to program growth. UWLC will work with individual subrecipients upon grant award to further clarify goals related to the number of school KITS teams trained, the number of schools served, the number of children and parents served, and overall impact of implementation. They will also agree on the collection of performance evaluation data. This data will be collected to monitor subrecipients and identify those in need of additional technical assistance or support, forecast any necessary adjustments to plans or goals, determine areas where professional development for all subrecipients may be useful, and ensure overall progress and award compliance.

11. Current monitoring of the KITS Program

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Currently, UWLC and the ELA are funding ODI to implement KITS in six school districts through UWLC's community investment cycle and through state Kindergarten Readiness Partnership and Innovation Funds. We require quarterly progress reports from ODI that include: (1) school districts and schools served; (2) number of sessions held; (3) number of children served; (4) number of parents/caregivers served; (5) primary languages represented; (6) racial/ethnic background of children served; (7) qualitative information about successes and challenges. On an annual basis, ODI reports on measures of early literacy skills, social/emotional development, and parenting skills. Additionally, the Program Director of KITS meets regularly with the UWLC Director of Education to discuss progress towards goals. UWLC and the ELA also collect quarterly and annual budget reports from ODI.

12. New positions

UWLC will hire a full-time SIF coordinator, full-time finance administrator, part-time data manager, and part-time administrative specialist. Specific duties for each are listed in the budget narrative. As detailed in Question 15, UWLC will also hire a new position focused primarily on resource development for the SIF position. This position will be hired using existing UWLC funds outside of the SIF budget and match. This team will build UWLC's capacity to pursue the Theory of Change outlined in the application through supporting and learning about the scale up of a program. Thus, this team (and UWLC) will be able to work in the future towards repeating the process that they have used with the KITS Program from small scale piloting through scale-up and impact evaluation. The new team will be further supported by the existing staff's participation in and connections to statewide efforts such as the Early Learning Hubs and Parenting Education Hubs, as well as national initiatives such as Help Me Grow, Frontiers of Innovation, Grade Level Reading Campaign and the broader United Way Worldwide network. These connections will provide a valuable platform for sharing the knowledge gained from SIF and further scaling of KITS, both as pertains to the KITS Program itself and to future efforts to grow and scale programs.

13. Funds from the Department of Education

Funds cited in this proposal from the Department of Education are state general funds and not federal

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funds.

14. Raising an additional \$1 million from state funds

There is currently strong support for Oregon's early learning system at the legislative level. The 2015-17 Governor's Requested Budget includes \$32.4M for the state's 16 early learning hubs, including \$24M in new resources. Current projections have hub funding between \$13.8M and \$23.8M -- which include between \$5.4M and \$15.4M in new revenue. These funds are allocated to hubs specifically for coordination/administration, school readiness programming, and family stability programming. In addition to these funds, Oregon's Kindergarten Readiness Partnership and Innovation Fund, a separate funding source, is projected at \$9M. Preliminary projection for the Lane ELA share of these funds is approximately \$1M. This does not include other grants or contracts that may come through the Early Learning Division to the hub/UWLC.

These funds are specifically allocated to hubs and are not in competition with other education funds, including those to support Oregon's implementation of full-day kindergarten this fall. In fact, the ELA and school districts came together before the legislative session and developed shared messaging and agreed not to compete for resources, but to work together to ensure that all education - from early childhood through higher education - is fully supported. There are also opportunities to leverage the implementation of full-day kindergarten and related resources to incorporate the expansion of KITS.

UWLC is also working with local foundations, businesses and major donors to secure the remainder of our match. To date, UWLC/ELA staff have met with the Ford Family Foundation, Umpqua Bank Charitable Foundation, PeaceHealth, and several local philanthropists to discuss the SIF opportunity and share our Early Learning SIF case for giving and related materials. We are also working to grow our Early Learning Endowment, established this year with a \$500,000 private donation, a further source for the match.

15. Supporting subrecipients in meeting their match requirements

UWLC is poised to hire a new position focused primarily on resource development for the SIF -- including raising funds for UWLC's remaining match, providing technical assistance to subrecipients

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regarding raising their matches, and growing UWLC's recently established Early Learning Endowment. This position will be funded outside of the SIF budget and match and is slated to begin in July/August 2015.

BUDGET

1. Contractual services

There are currently no contractors identified in the budget and UWLC will follow all federal procurement requirements in securing contractual services.

2. Deleting the name of the contractor (OSLC) and United Way dues

These items have been removed from the budget and budget narrative.

3. Adding in sub grantee match

Matches have been added to the budget narrative.

EVALUATION

1. Partner selection and roles

As part of the training and technical assistance provided to the subrecipients, Drs. Pears and Kim will help UWLC to manage what we will call, for greater clarity, the PERFORMANCE EVALUATION of the subrecipients and their programs. This performance evaluation includes ongoing monitoring of implementation fidelity, recruitment, and attendance of program participants to ensure that the program is implemented in an effective manner to the largest possible number of participants. Drs. Pears and Kim will oversee ODI staff to collect the fidelity of implementation data and will aid in its analysis. Additionally, as is noted in the original proposal, there are built-in performance evaluation components, including child and parent assessments, for the KITS Program on which the KITS trainees and agencies will receive instruction and assistance. Thus, UWLC can collect standard performance measures across all of the agencies to aid in determining progress towards subrecipient goals. Importantly, this component also allows subrecipients to establish ongoing data systems that

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will allow them to monitor the program progress after the training and technical assistance period has ended. This is likely to increase sustainability. Further, because common metrics are used across all of the implementations, subrecipients will have a common "language" of evaluation. This will help to maintain the long-term community that UWLC will work to create as outlined in question #9 above, increasing sustainability. Drs. Pears and Kim will consult with UWLC and the agencies on training in collection and analysis of this data. However, the end goal is to allow the subrecipients themselves to learn the data collection and analysis processes.

As detailed below, the PERFORMANCE EVALUATION does not substitute for an IMPACT EVALUATION conducted by an independent third party evaluator. As we discuss below, we will release an RFP for a third party evaluator to examine the impacts of the program on children and families.

2. Using an independent, third party evaluator

We will identify a third party independent evaluator to conduct a rigorous evaluation of the impacts of the program on the children and parents who are served. We will use an RFP process to solicit applications from independent evaluators. The evaluation is expected to begin in July 2016, as the first newly trained KITS teams implement the program.

From November-mid-December 2015, UWLC SIF staff will develop an RFP for an independent third party evaluator. Requirements for the evaluator will include that the applicant have past experience in evaluation of large scale trials of programs. Since the evaluator will be working with multiple subrecipients and will need to ensure consistency in assessment, another requirement of the RFP will be that the applicant shows a rigorous training plan for assessment staff. Applicants will be asked to outline the proposed study and the measures as well as a timeline for data collection activities. Information about the principal investigator and the research team as well any consultants or collaborators on the project will also be required. Finally, they will be asked for a detailed budget and budget justification. Applications would be due at the end of January 2016 and review of the applications will occur through February 2016. The Review Team will be composed of Holly Mar-Conte, Director of Education at UWLC; the SIF coordinator who will be hired upon receipt of an award (described above); at least one member of the UWLC research and evaluation subcommittee

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which includes researchers and analysts from across the county; and volunteer representatives from early learning service providers, K-12 education, the research community, and local businesses and foundations, based on their expertise. They will score and rank applications based on their responsiveness to the RFP. An evaluator will be selected by mid-March 2016. UWLC SIF staff will then work with the evaluator to formalize the evaluation goals, plans, and measures. A contract for the evaluation would be signed by May 2016. The impact evaluation would continue until the end of the proposed grant period.

Both Drs. Pears and Kim will be available to provide input to the third party independent evaluator. This is a great asset to the project as both have been involved in several randomized controlled efficacy trials of KITS and can provide information about the study design and measures used. However, we would like to stress that they will NOT serve in decision-making roles in either the selection of the evaluator or the independent evaluation of impacts.

3. Implementation and impact outcomes

In terms of PERFORMANCE EVALUATION (described above), this will be ongoing while the subrecipients are in the training and technical assistance phase. The goals for performance include stipulations that the subrecipients recruit enough children and families to be able to fill to capacity the KITS groups that they are implementing, that the majority of children and families show at least 75% attendance or higher, and that teams reach high levels of implementation fidelity (scoring in the 90-100% range 90% of the time). Additionally, children are expected to show gains in their early literacy, social and self-regulation skills from the beginning of the program to the end. Parents should express high satisfaction with the program; at least 75% should note positive change in their children and their own parenting skills.

In terms of the IMPACT EVALUATION (described above), measurement outcomes will be determined by the independent third party evaluator. However, UWLC will ask that the third party evaluator examine gains made by children and families enrolled in the KITS programs as compared to children in comparable agencies who do not receive the program. These could be (but are not limited to) agencies in Lane County that do not apply for the SIF or agencies in other neighboring counties. Children who receive the KITS Program would be expected to make greater gains on early literacy,

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social and self-regulation skills over the course of the intervention than do children not receiving the intervention. Further, parents would be expected to make greater gains in such domains as knowledge of skills needed for school readiness, intentions to be involved in their children's schooling, and parenting skills than parents who had not received the program. Overall, schools in which the KITS Program is implemented with a majority of their incoming kindergarteners would be expected to show higher scores on the Kindergarten Assessment than children in schools that did not implement the program. A third party evaluator would also be expected to compare child and family outcomes across agencies that implemented the KITS Program and examine other factors (e.g., agency size, socioeconomic status of clients, experience level of staff) that might account for any variations in outcomes. As noted above, the impact evaluation is expected to begin in January 2017, after the first cohort of subrecipients have been through the training process, and continue through the end of the proposed grant period. Results are expected to be presented in the final year of the grant period.

4. Details on the allocated \$354,579 for contractual and consultant services

Of the allocated \$354,579 for contractual and consultant services, \$135,000 is designated for the Performance Evaluation described above; \$200,000 is allocated for the Impact Evaluation described above; \$5,000 is reserved for any fees required by the developers of proposed measures listed in the application; \$14,579 is allocated to the single audit that UWLC will be required to conduct.

Continuation Changes

N/A