



Center of Excellence for Early Childhood Learning and Development

July 26, 2017

Dr. Nancy Dishner, President and CEO  
Niswonger Foundation  
16 Gilland Street  
P. O Box 5112  
Greeneville, TN 37743

Dear Dr. Dishner,

I am pleased to present the Northeast Tennessee Transforming Early Childhood Community Systems (NE TN TECCS) proposal for your review. Thank you for meeting with Lottie Ryans, David Wood, and myself several months ago to learn about this project and providing feedback and guidance in the development of this proposal. We look forward to partnering with the Niswonger Foundation on this innovative initiative to build regional capacity to improve the development and educational readiness of young children in northeast Tennessee. The NE TN TECCS initiative is a collaborative effort and will be led by East Tennessee State University (ETSU), Center of Excellence in Early Childhood Learning and Development and the Quillen College of Medicine Department of Pediatrics, and First Tennessee Development District (FTDD). The objectives of the initiative include the collection and analysis of data from a population surveillance tool and subsequently engaging with key regional and community stakeholders across eight counties (Carter, Greene, Hancock, Hawkins, Johnson, Sullivan, Unicoi, and Washington) to inform policies, resource allocation, and employ community level strategies to improve conditions for young children. This initiative aligns closely with the Niswonger Foundation's desire to support community growth and education in rural areas.

Since our last conversation, Lottie, David, and I have presented the NE TN TECCS initiative to multiple stakeholder groups in our region including the First Tennessee Development District executive committee (city and county mayors), school superintendents, United Way agencies, chamber and economic development leaders, and major foundations and key regional leaders. Through these presentations and feedback, it became clear that there is a need for a comprehensive and coordinated approach to improve the health and educational readiness of young children in our region. We have since spoken with representatives of several organizations regarding funding opportunities. The total budget for this two-year foundational project is \$733,753. We are respectfully requesting \$35,000 in funding from the Niswonger Foundation. Additionally, we have submitted proposals to the Eastman Foundation, BlueCross BlueShield of Tennessee Health Foundation, Mountain States Health Alliance, and Wellmont with hopes of obtaining full funding for the two-year project.

We appreciate the Niswonger Foundation taking an interest in helping the children, families, and communities in our region. Please call me at 423/439-7503 if you require further information or have questions concerning this proposal.

Sincerely,

Kimberly Hale, PHD

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# **Building Regional Capacity to Improve the Development and Educational Readiness of Children in Northeast Tennessee**

## **A Proposal**

**From the ETSU Center of Excellence in Early Childhood Learning and Development, ETSU Quillen College of Medicine Department of Pediatrics, and the First Tennessee Development District**

**Project Summary and Background:** We propose to conduct a two-year foundational project to form a Northeast Tennessee Transforming Early Childhood Community Systems (TECCS) Initiative, with the long-term goal of identifying needs of, and improving outcomes for, children in the eight counties of northeast Tennessee. The initial stage of the initiative will involve administering the Early Development Instrument (EDI) in approximately 325 kindergarten classrooms across 14 school districts to: 1) collect and analyze current data on child well-being, development, health, and school readiness, and 2) map the results to inform regional policies, resource allocation, and community level strategies to improve conditions for young children. Subsequently, stage two of the project will include forming a regional steering committee and local coalitions to use the EDI data to guide community stakeholders to achieve better and more equitable outcomes for children birth to 5 throughout NE Tennessee including higher rates of school readiness, improved child health and improved 3<sup>rd</sup> grade reading levels. The long-term goal is to raise the rates of kindergarten readiness and third grade reading proficiency across the region so that it compares to the highest performing regions of the country.

The TECCS Initiative will engage a comprehensive partnership of key stakeholders across NE Tennessee. East Tennessee State University (ETSU), Center of Excellence in Early Childhood Learning and Development, and the Quillen College of Medicine Department of Pediatrics, and First Tennessee Development District (FTDD) will provide the leadership for the initiative. The FTDD represents a cooperative approach for making governments and services within the region stronger and more efficient. FTDD leads initiatives that can have a collective impact to benefit the region as a whole. As competition for jobs and funding becomes more global, the elected officials in the region realize a regional approach is necessary to solve problems and create opportunities, such as the educational outcomes for the region.

Other key participants will include leaders and constituents of school districts, local governments, major health providers, public and private social service and educational organizations. Our vision to establish the Northeast Tennessee TECCS Initiative has been presented to these key stakeholder groups, including the FTDD executive committee (city and county mayors), school superintendents, United Way agencies, chamber and economic development leaders, and major foundations and key regional leaders. Through these presentations and feedback, it became clear that there is a need for a comprehensive and

coordinated approach to improve the health and educational readiness of young children in our region.

Although many important and vital services and programs are currently offered across our region, service delivery is fragmented, not to scale and too often involve eligibility requirements that continue to leave far too many children and families vulnerable and without services. The TECCS Initiative will provide regional population data and convene a regional and local steering committee to involve community leaders and stakeholders in education, medicine, public and allied health, and behavioral health, to systematically improve the quality early childhood health and educational supports in our region. The data and mapping delivered through the EDI process will provide data to coordinate existing services, guide placement for delivery of services to better serve children and families in their immediate communities, identify service needs and ultimately improved educational and health outcomes for young children. Following a Collective Impact model, the TECCS Initiative will engage in cross-sector coordination and collaboration to encourage large-scale social change among the vital services and programs available in our region. Improved outcomes in young children will have a long-term ripple effect and lead to improved later educational performance, improve post high school educational participation and employment, reduce adverse social behaviors such as drug use and reduce social costs due to welfare or incarceration. Intervening to optimize the growth and development and educational readiness of young children is the most cost-effective approach to enhancing the economic viability of our region and creating opportunities for sustained growth (Heckman, 1999).

**Introduction:** The first few years of a child's development matter for a lifetime because during this period, the brain grows rapidly and exhibits its greatest level of flexibility (Fox, Levitt, & Nelson, 2010). The science of early brain development has demonstrated that stimulating, loving and secure environments promote dramatically enhanced neurocognitive growth, leading to improved cognition and emotional and behavioral self-regulation, which builds the foundation for learning and social interaction essential for success in kindergarten and beyond (Center for the Developing Child, 2010). In contrast, environments characterized by toxic stress and unstable caretaker relationships and living arrangements undermine the growth of the developing brain and lead to delayed cognition, as well as insecure and unstable emotional and behavioral development. These types of environments undermine learning and lead to failure in school as early as kindergarten and have long-term negative impact on ultimate educational outcomes.

Although many children in our region have the positive experiences needed for a good start in life, many other children do not. Across the eight counties representing the First Tennessee Development District (*Hawkins, Hancock, Washington, Sullivan, Carter, Unicoi, Johnson, Greene*), an estimated 24 to 40 percent of children live in poverty (Kids Count, 2016). Studies have demonstrated that children raised in poor families with material and social stressors lag behind their non-poor peers in cognitive, social, and emotional development. The longer they

live in impoverished and stressful environments, the further behind they fall. As they fall behind and experience failure in school, the likelihood increases for them to drop out of high school or not pursue postsecondary education.

Over the past five years, Tennessee has received national attention because of its investment in post-high school community college (Drive for 55) to achieve 55% of Tennesseans with community college completion or more advanced degrees. However, in our region, children are failing to achieve at a level that will allow them to take advantage of this program. Currently, 54 to 75 percent of 3<sup>rd</sup> graders in northeast Tennessee fail to demonstrate a level of reading proficiency for their grade level. Educational achievement is important for quality adult outcomes. Individuals lacking basic academic proficiency meet with distinct disadvantages in society, including increased likelihood of chronic unemployment, decreased financial security, poorer health outcomes, and incarceration. Studies of early childhood investments have shown remarkable success and indicate that investment in early childhood health, social, and educational services results in a dramatic return on investment in improved outcomes for adults in the areas of educational achievement, employment and earnings, health status and healthy behaviors (less smoking, lower obesity rates, more exercise) (Heckman, 1999). In addition, adult outcomes and the quality of human capital have an economic impact. The annual average salary of students who graduated from Tennessee high schools in 2012 and did not enroll in a postsecondary institution was \$9,161 (Tennessee Department of Education, 2016). This salary is inadequate to support a family without heavy reliance on state and federal based aid programs. Thus, it is imperative that our communities do more to invest in and strengthen the foundation of education, health, and the quality of care for young children in order to insure that we will have an adequate workforce of creative and productive adults. If we do not invest in our young children and families, we will fall further and further behind economically and social costs in the criminal justice system and social programs will rise.

***Transforming Early Childhood Community Systems (TECCS) Initiative.*** There are proven methods to reverse this trend and invest in the lives of young children and families. Community leaders in a total of 57 US communities, such as Tulsa, OK, Pasadena, CA, Memphis, TN, and Durham, NC, are partnering with the UCLA Center for Healthier Children, Families and Communities to implement a national initiative: *Transforming Early Childhood Community Systems (TECCS)*. This program aims at promoting healthy, competent families and enhanced early child healthy development and school readiness for all children. This ambitious goal is achieved by engaging the community and improving the effectiveness and alignment of the different services and sectors that make up early childhood systems locally. The goal of the TECCS Initiative is to change the lives of young children by strengthening the early childhood systems in their communities (Building our Future, RWJF, 2017). These communities, as well as other US communities and communities in Canada and Australia, have used a standardized measure, the Early Development Instrument (EDI), to assess the emotional maturity, social competence, language and cognitive development, and physical health of children in

kindergarten. The analysis of the EDI data and community engagement and mobilization using a Collective Impact Model has led to the coordination and enhancement of early childhood service systems and supports across their communities.

*Transforming Early Childhood Community Systems (TECCS) Initiative* achieves its goals through the following three core strategies:

I. Data collection and analysis utilizing the Early Development Instrument (EDI): The University of California Los Angeles, Center for Healthier Children, Families and Communities (UCLA) is licensed by the Canadian Publishers of the EDI at McMaster University, Offord Centre for Child Studies, to sub-license the EDI and provide technical support to organizations and communities in the United States. UCLA operates the EDI national support network for local communities participating in the EDI by providing the technical assistance, licensed training materials, online EDI software, data analytics, mapping, and visualization.

- The EDI is a checklist completed by kindergarten teachers on their students, based on observational recall. This tool measures five domains of early childhood development: *physical health and well-being; social competence; emotional maturity; language and cognitive skills; and communication skills and general knowledge*. The assessment provides a psychometrically reliable and valid measure of children's health, development and kindergarten readiness at the community level.
- This instrument was designed as a population surveillance tool to inform policies, resource allocation, and community level strategies to improve conditions for young children, and research has shown the results in kindergarten can predict third grade skills. Thus, the EDI can track and guide community efforts to help children reach school ready to learn and in good health.
- The EDI is filled out typically during the second half of the school year and can be completed by teachers every three years to provide communities with a measure of progress over time. The three-year interval is designed to allow communities sufficient time to begin to address the major ecosystem issues and measure change in EDI scores.
- Results of the EDI are geographically mapped to other socio-demographic indicators such as poverty rates, single-parent homes, and number of children enrolled in 3-star child care, as well as community service indicators.

The EDI data provides a powerful lens for communities to reflect on where and why children are doing better or worse in particular geographic and developmental areas. The data generates new narratives about how stakeholders in the community can work together to achieve better and more equitable outcomes for their children, right from the start of life. EDI maps are also used as tools to engage communities in a data-driven process to inform and improve early childhood service systems.

II. Community Systems Building: Using a skill building and coaching approach to improving cross sector efforts developed by the UCLA Center for Healthier Children, Families and Communities, the Northeast Tennessee TECCS Initiative will attempt to achieve large-scale system change across our region and improve early childhood development and kindergarten readiness and improve 3<sup>rd</sup> grade reading scores. Recognizing that communities are complex adaptive systems, our approach includes introducing tools (including population measure such as EDI) as well as other processes such as a Collective Impact strategy to inform and deepen local understanding and guide them in how to improve complex adaptive systems and to achieve improved child outcomes at the community level.

The Collective Impact model of community engagement and action is a methodology that promotes collective action by bringing together key stakeholders from a diverse set of community groups to; 1) clarify their purpose; 2) convene the right people; 3) cultivate trust; 4) coordinate actions; and 5) collaborate generously (Ehrlichman D, *Stanford Social Innovation Review*, 2015). These steps don't necessarily happen in order; leaders must reaffirm them throughout a network's formation and evolution. Consistently engaging with this process helps ensure that the 5 principles get baked into impact networks as they emerge and work together to effect change. Cultivating an effective and sustainable impact network in NE TN will require dedicated effort and a long time horizon. The Collective Impact model has demonstrated effectiveness in achieving dramatic and sustained change in issues such as large scale population improvements in early childhood educational achievement (Ehrlichman D, 2015).

III. Collaborative Learning Networks: The Northeast Tennessee TECCS Initiative will join a vibrant collaborative network of communities across the country who are involved in cross-disciplinary approaches to accelerate innovation and improvement of community systems that support children and families. By joining a larger network of communities and individuals working to achieve similar goals, our local communities have the opportunity to share best practices and lessons learned in real time. Shared learning topics will be identified by the communities based on common interest and will evolve as our work progresses. This sharing includes learning how to enhance EDI implementation, interpretation of the data, how best to graphically visualize and display data, better ways of messaging and dissemination of findings to different audiences, as well as connecting our communities with other opportunities for engagement and learning within the larger national network of EDI users.

#### **Goals/Objectives of the Northeast Tennessee TECCS Initiative:**

Our long-term objective is for the Transforming Early Childhood Community Systems Initiative in northeast Tennessee is to serve as a regional hub to transform early childhood systems in eight counties in NE Tennessee, including Hawkins, Hancock, Washington, Sullivan, Carter, Unicoi, Johnson, and Greene Counties and improve child health outcomes for all children. We propose to utilize the Transforming Early Childhood Community Systems model and the Early Development Instrument (EDI) to measure child wellbeing in this region and build regional capacity to:

- Map children’s health, development and school readiness, neighborhood by neighborhood, in eight counties in NE Tennessee;
- Using a Collective impact approach and the EDI results to engage key stakeholders with in each county to engage stakeholders, inform planning and take actions to improve local early childhood systems;
- Engage pediatricians, family physicians, nurse practitioners, hospital systems, public health departments, and other health professionals serving infants and young children to screen for and provide brief, primary care-based interventions for maternal depression and parenting training;
- Organize support for increased access to high-quality (3-star rating) early childhood education, including early Head Start programs, Head Start center-based classrooms, and pre-kindergarten classrooms;
- Engage the mental health, social services, and legal systems to enhance services for families with young children, integrating mental health services with educational and primary care services.

**Proposed Scope of Work for the NE Tennessee TECCS Initiative**

ETSU and the First Tennessee Development District will serve as the regional lead entities administering the project, using a Collective Impact model during the community engagement phase. The UCLA Center for Healthier Children, Families, and Communities has agreed to support the following core components: a) training on administration and implementation of the EDI by kindergarten teachers across 14 school districts housed within the eight counties (approximately 325 kindergarten classes); b) analysis of EDI data and creation of county and regional level maps of student vulnerabilities along with data reports; and c) provision of a shared learning and technical assistance platform to support community engagement.

In the table below we outline the proposed scope of work by year.

**Table 1 Proposed Two-Year Scope of Work**

<b>Work Component</b>	<b>2017-2018: Implementation of EDI in 8 Counties</b>	<b>2018-2019: Facilitate Community of Practice on Use of EDI for Systems Alignment</b>
<b>1. EDI data collection</b>	<ul style="list-style-type: none"> <li>• NE TN TECCS membership in the national TECCS Learning Exchange including activities such as conference calls, webinars, access to discussion forums on Group Site (ongoing), and access to TECCS.net</li> </ul>	NA

	<p>materials</p> <ul style="list-style-type: none"> <li>• UCLA to coach NE TN TECCS staff on a “Train the trainer” model via phone and webinar as well as assist with recruitment, teacher training and data collection. UCLA has agreed to provide all needed background materials, guidebooks, tools, and the online EDI data collection portal</li> <li>• NE TN TECCS will form a Regional Steering Committee and 8 local county-based Early Childhood Services coalitions (Fall 2017)</li> <li>• NE TN TECCS to engage 14 school districts housed within 8 NE TN Counties (summer 2017)</li> <li>• NE TN TECCS staff will upload Teacher-Student Roster from each school district into the EDI Portal to establish teacher user accounts for EDI data collection (December 2017 to January 2018)</li> <li>• NE TN TECCS Initiative staff will train teachers on the EDI across the 8 counties; working closely with individual school districts to set up data accounts for each kindergarten teacher in each elementary school (approximately 325 kindergarten teachers) (January - February 2018)</li> <li>• NE TN TECCS staff will upload EDI data for kindergarten classes across 8 counties (February – March 2018)</li> <li>• NE TN TECCS staff will provide technical support to kindergarten teachers/schools as data is submitted electronically to UCLA for analysis (February – May 2018)</li> <li>• UCLA will train NE TN TECCS staff assume full lead for subsequent waves of EDI data collection (spring-summer 2019)</li> <li>• UCLA to conduct data analysis for EDI collected by teachers (March-May 2018)</li> </ul>	
<p><b>2. EDI mapping and</b></p>	<ul style="list-style-type: none"> <li>• Mapping Consultation: NE TN</li> </ul>	<p>UCLA to prepare NE TN TECCS staff to</p>



<p><b>report making</b></p>	<p>TECCS staff will utilize phone and webinar consultation with UCLA and guide local partners through the process of selecting boundaries and indicators for EDI maps (from contract execution to March 2018)</p> <ul style="list-style-type: none"> <li>• UCLA will engage in the following mapping activities with assistance from the NE TN TECCS staff</li> <li>• Data Preparation <ul style="list-style-type: none"> <li>development of shape files, as needed</li> <li>- Geocoding records</li> <li>- Preparing other census and other related indicators for maps</li> </ul> </li> <li>• NE TN TECCS staff receives child level data file (September 2018)</li> <li>• UCLA and NE TN TECCS staff cooperate in the creation of the EDI map book (pdf). Consists of a core set of 16 standard maps (see listing below) along with up to four additional indicator maps chosen by local stakeholders provided the source data is either readily available at the appropriate level of aggregation to UCLA on public access sites or provided to UCLA by a NE TN TECCS (summer 2018)</li> <li>• UCLA and NE TN TECCS staff to create Excel Table Book and Reference Guide. Table book contains comprehensive set of aggregated descriptive statistics organized by separate tabs. Reports on distribution by neighborhood of EDI participation rates, EDI results by domain and subdomain and descriptive statistics on key demographic variables (summer 2018)</li> </ul>	<p>take over mapping and reporting role in subsequent waves of EDI data collection (fall 2019)</p>
<p><b>3. Community Engagement and Collective Impact</b></p>	<ul style="list-style-type: none"> <li>• Members of the NE TECCS Initiative steering committee will be identified</li> <li>• Upon completion of the EDI data collection, analysis, and mapping, the</li> </ul>	<ul style="list-style-type: none"> <li>• NE TN TECCS staff to conduct SWOT Analysis across 8 counties to identify regional challenges and opportunities for improving local early childhood systems with recommendations for moving</li> </ul>

	<p>following products will be shared with the steering committee members and key stakeholders across our region:</p> <ul style="list-style-type: none"> <li>• EDI Summary Report (Snapshot) (summer 2018)</li> <li>• Child level data file (scored and de-identified) (summer 2018)</li> <li>• EDI School Reports (summer 2018)</li> <li>• NE TN TECCS steering committee and project staff will form local and regional coalitions with the following representation: public health, health care providers, local and county government, juvenile and family court system representatives, early childhood educators, local school boards, churches and faith-based organizations, and social services providers</li> <li>• NE TN TECCS steering committee and project staff support will host and support ongoing meetings of local coalitions to share EDI data and engage key stakeholders and citizens; NE TN TECCS steering committee and project staff will work to build understanding and support for the EDI effort and to build understanding and support for the EDI effort and gain consensus on a plan for supporting counties in Years 2 and 3 (within 1<sup>st</sup> quarter of contract).</li> </ul>	<p>forward (fall 2018 – spring 2019)</p> <ul style="list-style-type: none"> <li>• NE TN TECCS staff and community stakeholders to identify state, federal, and foundation funding opportunities and submit grant applications for specific initiatives</li> <li>• NE TN TECCS staff to facilitate ongoing meetings to share EDI results and generate deeper understanding of data, plan for use of data in coming year. (October 2019)</li> <li>• NE TN TECCS staff to co-facilitate monthly-shared learning platform to support use of EDI for systems level changes.</li> <li>• NE TN TECCS steering committee and project staff to facilitate communities to create early childhood support plans, engaging the health, social services and educational systems.</li> <li>• NE TN TECCS steering committee and project staff to work with stakeholders to implement local research-based interventions across sectors and evaluate impact on child health, developmental and educational outcomes</li> <li>• NE TN TECCS steering committee and project staff to monitor coalitions' progress, implementation of programs, and child and family outcomes</li> </ul>
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#### List of Maps:

- a. Map 1 - Children Vulnerable in One or More Developmental Domains
- b. Map 2 - Children Vulnerable in the Physical Health and Well-being Domain
- c. Map 3 - Children Vulnerable in the Social Competence Domain
- d. Map 4 - Children Vulnerable in the Emotional Maturity Domain
- e. Map 5 - Children Vulnerable in the Language and Cognitive Development Domain
- f. Map 6 - Children Vulnerable in the Communication Skills and General Knowledge Domain
- g. Map 7 - Proportion of Vulnerabilities by Domain
- h. Map 8 - Percentage of Families with Children in Poverty
- i. Map 9 - Percentage of Single Parent Families
- j. Map 10 - Years at Current Residence
- k. Map 11 - Percentage of Children Enrolled in Preschool/Nursery School
- l. Map 12 - Transportation lines
- m. Map 13 - Primary care providers serving young children
- n. Map 14 - Mental Health Services
- o. Map 15 - Map of 3-star rated early childhood centers; including Head Start classrooms
- p. Map 16 - Map of parks, and cultural centers across the region

### **Budget and Budget Justification**

#### **NE TN TECCS Staff Contract Justification**

This Initiative is a joint effort of the ETSU Center of Excellence in Early Childhood Learning and Development, the ETSU Quillen College of Medicine Department of Pediatrics, and the First Tennessee Development District. Dr. Kimberly Hale and Dr. David Wood, along with Ms. Lottie Ryans from the First Tennessee Development District, will be the leadership team to oversee all phases of the Initiative

Dr. David Wood, Co-Investigator: We are requesting a total of \$50,203 in salary and benefits support Dr. Wood as a Co-Investigator for the two-year initiative. Dr. Wood will devote a total of 10% of his time as co-PI with 5% of Dr. Wood's time in-kind. In this role, Dr Wood will work directly with UCLA to oversee the data collection and mapping of EDI data. Dr. Wood, along with the co-PI, Dr. Hale will oversee the development, implementation, and analysis of the NE TN TECCS, as well as work with the NE TN TECCS Steering Committee to engage stakeholders and county coalitions in the review of the EDI data. He will also provide leadership in engaging the health care community and leading efforts to improve health care delivery for young children.

Dr. Kimberly Hale, Co-Investigator: We are requesting a total of \$60,450 in salary and benefits to support Dr. Kimberly Hale as a Co-Investigator for the two-year project will devote 20% of her time as the co-PI during each annual year. In this role, Dr. Hale will exercise overall hiring and supervision of project staff, work directly with the school districts to oversee the EDI data collection at the local level, school mapping, and reports, and assist Dr. Wood with the organization and implementation of dissemination of the EDI data to key stakeholders and community coalitions. She will lead the effort to engage the early childhood education system to identify and lead change efforts to improve access to and the quality of early childhood education.

Ms. Ryans, Consultant: We are requesting a total of \$40,000 in salary to support Ms. Lottie Ryans as a Consultant for the two-year project. Ms. Ryans will devote 20% of her time to assist the Co-PIs in the organization and implementation of the project. Ms. Ryans has extensive experience in community leadership and community organizations. She will provide the lead in engaging key leaders in the region and in each of the 8 counties to form the regional and local coalitions that will form the Collective Impact approach.

Cost of teacher release time. We estimate a cost of \$75/day to pay substitutes to cover for the teachers in 325 kindergarten classes across the 14 school districts, for a total cost of \$24,375.

Project Coordinator (TBD): We are requesting funds in the amount of \$131,729 to support a Project Coordinator who will devote 100% effort across the two years. The Project Coordinator will be supervised directly by the Co-PIs and will be responsible for the daily activities of the project including data reporting, organization of the regional advisory committee and local advisory committees, community engagement, and will help implement the collective impact approach with each of the 8 counties.

Two Graduate Research Assistants: The Center of Excellence in Early Childhood Learning and Development will sponsor two graduate research assistantships for the two years of the project, accounting for an in-kind contribution over the 2 years of \$36,796. Each graduate research assistant will devote 20 hours per week for the academic year to the project. The graduate assistants will be supervised directly by the Project Coordinator and will be responsible for assisting the Project Coordinator in the daily activities of the project including: a) assisting Dr. Hale in the training of teachers on the EDI, b) assisting with EDI data upload, c) establishing and maintaining contact teachers, principals, and school IT support for the EDI data upload stage, d) assist the co-PIs and Project Coordinator with analysis of mapping data and writing reports, e) assist the co-PIs and Project Coordinator with the organization of meetings for the regional advisory committee and local advisory committees.

### **UCLA Contract Justification**

UCLA will conduct a train the trainer coaching via phone and webinar to NE TN TECCS project staff and schools to support recruitment, teacher training and data collection. This includes the provision of all needed background materials, guidebooks, tools, and the online EDI data collection portal. UCLA will clean and upload Teacher-Student Roster from each elementary school across the 8 county region into the EDI Portal to establish teacher user accounts for EDI data collection and conduct data analysis for EDI collected by teachers. UCLA will conduct phone and webinar consultation with ETSU to guide local partners through the process of selecting boundaries and indicators for EDI maps.

UCLA will develop shape files, as needed, geocoding records, preparing other census and other related indicators for maps and creation of the EDI map book (pdf), which will consist of a core set of 16 standard maps along with up to four additional indicator maps chosen by local stakeholders (provided the source data is either readily available at the appropriate level of aggregation to UCLA on public access sites or provided to UCLA by a local partner). UCLA will produce the excel Table Book and Reference Guide. The table book contains comprehensive set of aggregated descriptive statistics organized by separate tabs, including distribution by neighborhood of EDI participation rates, EDI results by domain and subdomain and descriptive statistics on key demographic variables. In addition, UCLA will include ETSU in the National TECCS Learning Exchange including conference calls, webinars, TECCS.net materials and access to discussion forums on Groupsite. UCLA will facilitate a kickoff meeting in NE Tennessee with all participating communities to build understanding and support for the EDI effort and gain consensus for the Collective Impact plan the 8 counties. UCLA will assist ETSU in the SWOT analysis of regional and local challenges and opportunities for improving local early childhood systems with recommendations for moving forward. UCLA will provide coaching to the ETSU/FTDD leadership team to guide the Collective Impact regionally and at the county level.

*Budget for TECCS Program*

	2017-2018		2018-2019		2 year totals total Costs	
	Grant Costs	ETSU In-Kind	Grant Costs	ETSU In-Kind	Grant Costs	ETSU In-Kind
<i>UCLA Contract Costs</i>						
<i>EDI Data Collection</i>	\$200,000				\$200,000	
<i>EDI Report and Map Making</i>	\$50,000				\$50,000	
<i>Coaching</i>	\$50,000		\$50,000		\$100,000	
<i>UCLA subtotal</i>	\$300,000		\$50,000		\$350,000	
<i>NE TN TECCS/Local Costs</i>						
<i>Teacher Substitute Costs</i>	\$24,375				\$24,375	
<i>Project Coordinator</i>	\$64,274		\$67,455		\$131,729	
<i>Doctoral Fellow</i>	\$25,427		\$26,569		\$51,996	
<i>Graduate Student Assistants</i>		\$17,827		\$18,969		\$36,796
<i>Project Leadership</i>						
<i>David Wood, MD</i>	\$24,697	\$24,697	\$25,506	\$25,506	\$50,203	\$50,203
<i>Kimberly Hale</i>	\$29,646		\$30,804		\$60,450	
<i>Lottie Ryans, FTDD</i>	\$20,000		\$20,000		\$40,000	
<i>Other expenses (travel, print resources, food)</i>			\$25,000		\$25,000	
<b><i>Total Costs</i></b>	<b>\$488,419</b>	<b>\$42,524</b>	<b>\$245,334</b>	<b>\$44,475</b>	<b>\$733,753</b>	<b>\$86,999</b>

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**Internal Revenue Service**

Department of the Treasury  
Washington, DC 20224

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[Third Party Communication:  
Date of Communication: Month DD, YYYY]

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Johnson City, Tennessee 37614-1710

Person To Contact:  
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Refer Reply To:  
CC:TEGE:EOEG:E0  
PLR-127207-12

Date:  
August 9, 2013

**Legend**

- Organization = Eastern Tennessee State University
- State = Tennessee
- State Board = Tennessee State Board of Regents
- Year 1 = 1972
- Statute = Tennessee Code Annotated Section 49-8-101
- Commission = Tennessee Higher Education Commission
- x = 19

Dear B.J. King:

This is in reply to your letter dated June 18, 2012, requesting a ruling on behalf of Organization. You requested a ruling that Organization is an instrumentality of State and is eligible to receive charitable contributions under Section 170(c)(1) of the Internal Revenue Code ("Code").

**FACTS AND REPRESENTATIONS**

State Board was established in Year 1 by act of State legislature; the act was codified at Statute. State Board is an integral part of State. The government, management and control of the State university and community college system

are vested in State Board. State Board approves the operating and capital budgets of each of the institutions in the State university and community college system. Organization is a member institution of the State Board and serves a governmental purpose of educating the citizens of the State. Organization was established as an instrumentality of State operating as a public institution of higher learning. The purpose of Organization is to support educational excellence in State. Organization represents that contributions made to it are for exclusively public purposes.

Organization is governed by State Board composed of x members (including four ex officio members who shall be the Governor, the Commissioners of Education and Agriculture, and the Executive Director of Commission. A majority of the members of the State Board are appointed by the Governor of State.

Organization is attached for administrative purposes to Commission, which establishes a formula for distribution of public funds through which Organization receives State operating and capital appropriations. State exercises oversight of Organization's finances through Commission.

## LAW

Revenue Ruling 57-128, 1957-1 C.B. 311, sets forth the factors to be taken into account in determining whether an entity is an instrumentality of one or more governmental units: (1) whether the organization is used for a governmental purpose and performs a governmental function; (2) whether performance of its function is on behalf of one or more states or political subdivisions; (3) whether there are any private interests involved, or whether the states or political subdivisions have the power and interests of an owner; (4) whether control and supervision of the organization is vested in a public authority or authorities; (5) whether express or implied statutory or other authority is necessary for the creation and/or use of the organization, and whether this authority exists; and (6) the degree of financial autonomy of the entity and the source of its operating expenses. Each of these factors must be evaluated in order to determine if Organization is an instrumentality of the State.

Section 170(a)(1) allows, subject to certain limitations, a deduction for charitable contributions as defined in section 170(c), payment of which is made within the taxable year. Section 170(c)(1) includes in the definition of "charitable contribution" a contribution or gift made for exclusively public purposes to or for



the use of a state, a possession of the United States, a political subdivision of either a state or possession of the United States, the United States, or the District of Columbia. Entities eligible to receive tax deductible contributions include not only governmental units described in section 170(c)(1), but also wholly owned instrumentalities of states and political subdivisions.

## ANALYSIS

Organization satisfies the first factor listed in Rev. Rul. 57-128, which requires it to have a governmental purpose and perform a governmental function. The purpose of Organization is to support education in State.

Organization satisfies the second factor, as it performs its function on behalf of State Board. State Board is established pursuant to Statute. State Board is an integral part of State. Organization therefore performs its function on behalf of State.

Organization satisfies the third factor, because no private interests are involved and the State has the power and interest of an owner. Organization is controlled by State Board, an integral part of the State. State Board approves the operating and capital budgets of Organization.

Organization satisfies the fourth factor. Organization is governed by State Board. State Board was created by act of State legislature. Control and supervision of Organization is therefore vested in a public authority.

Organization satisfies the fifth factor, because State Board was created by an act of the State legislature. Organization is a member institution of State Board and provides educational benefits to the people of State. Thus, statutory authority is necessary for the Organization to provide educational services to State.

Organization satisfies the sixth factor, which considers the source of operating expenses as well as the degree of financial autonomy. Organization's source of operating funds is from money, services and property from Commission. Organization is statutorily limited to specific purposes.. State indirectly controls Organization's finances because State controls State Board. A majority of State Board members are appointed by the Governor. Committee requires Organization to maintain financial records consistent with the requirements of Committee.

Organization satisfies all factors enumerated in Revenue Ruling 57-128. Accordingly, Organization is an instrumentality of State and is eligible to receive charitable contributions under Section 170(c)(1) of the Code.

Except as expressly provided herein, no opinion is expressed or implied concerning the tax consequences of any aspect of any transaction or item discussed or referenced in this letter.

This ruling is directed only to the taxpayer requesting it. Section 6110(k)(3) provides that it may not be used or cited as precedent.

A copy of this letter must be attached to any income tax return to which it is relevant. Alternatively, taxpayers filing their returns electronically may satisfy this requirement by attaching a statement to their return that provides the date and control number of this letter.

The rulings contained in this letter are based upon information and representations submitted by the taxpayer. While this office has not verified any of the material submitted in support of the request for rulings, it is subject to verification on examination.

Sincerely,

A handwritten signature in black ink, appearing to read "Casey A. Lothamer", with a long horizontal flourish extending to the right.

Casey A. Lothamer  
Senior Technician Reviewer  
(Exempt Organizations Branch)  
(Tax Exempt & Government Entities)