



REQUEST FOR APPLICATIONS

AISP Learning Community: Integrated Data System Training & Technical Assistance Program

Issued: September 27, 2018

IMPORTANT INFORMATION

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| Purpose: | To help states and counties develop and implement integrated data systems for policy analysis and program evaluation through participation in an 18-month training and technical assistance program. |
| Applicant's Webinar (optional): | October 18, 2018 at 11am ET Webinar Registration: https://sp2upenn.zoom.us/meeting/register/7e80e9005b35a1728c34be5db4a05ad8 |
| Applications Due: | November 19, 2018 by 5pm ET |
| Selection Announcement: | December 14, 2018 |
| First Meeting: | Spring 2019 |
| Funding Available: | Costs of tuition, travel, lodging, and meals for the three 2.5 day, in-person training seminars for 4 individuals per jurisdiction. |
| Period of Performance: | February 2019 – July 2020 |
| Eligibility: | All states, commonwealths, counties, and their partners, including universities or non-profits. |
| AISP Contact: | Kristen Smith, Senior Research Coordinator Actionable Intelligence for Social Policy krsm@upenn.edu 215-898-7149 |

Table of Contents

| | |
|---|-------------------------------------|
| What is the AISP Learning Community (AISP-LC)? | 3 |
| What is AISP? | 3 |
| What is an Integrated Data System? | 3 |
| What is the goal of this undertaking? | 4 |
| What services will the AISP-LC provide? | 4 |
| What content will the TTA modules cover? | 4 |
| Who is eligible to apply for AISP TTA services? | 5 |
| How will be AISP training services be awarded? | 5 |
| What are the expectations of selected AISP-LC participants? | 6 |
| What are the requirements and expectations of the facilitator? | 6 |
| About the Application Process | 6 |
| Application Components | 6 |
| RFA Schedule | 7 |
| How should I prepare and submit my application? | 7 |
| Will additional RFAs be issued? | Error! Bookmark not defined. |
| Who is the AISP point of contact? | 7 |
| Application Components | 8 |
| Part A: Contact Information | 8 |
| Primary Applicant..... | 8 |
| Applicant Point of Contact/Project Lead..... | 8 |
| Site Facilitator | 8 |
| Partner Agencies | 8 |
| Part B: Application Narrative | 9 |
| Appendix A: Sample AISP Learning Community MOU Agreement | 10 |

What is the AISP Learning Community (AISP-LC)?

Actionable Intelligence for Social Policy (AISP) at the University of Pennsylvania—with support from the Annie E. Casey Foundation—will provide 18-months of intensive training and technical assistance (TTA) as well as travel support (airfare, lodging, meals) to help participating states and local governments develop integrated data systems (IDS) through the creation of a Learning Community. The AISP Learning Community (AISP-LC) and related curriculum will deliver in-depth guidance on establishing and developing operations in each core component of the necessary IDS infrastructure: governance, legal agreements, data integration/linking procedures, and identifying and carrying out research priorities.

Engagement in the AISP Learning Community will provide participating sites with the opportunity to directly work with a cohort of other developing IDS sites and AISP experts in a hands-on environment. Each cohort will be composed of developing IDS sites that have a basic appreciation of the value that an IDS brings to government, as well as non-profits, community organizations, and philanthropies. All sites chosen for participation are expected to be ready to develop and refine partnerships within their jurisdiction to meet the priorities of the entities their IDS will serve.

Participants will meet for three 2.5 day, in-person training modules over the course of an 18-month period, complete all training assistance assignments, and regularly participate in an online learning community. AISP will cover the costs of travel, meals, and lodging for a total of four individuals (three participants and one facilitator) from each site in these training modules. (Sites may choose to self-fund the travel costs for up to two additional participants to attend the in-person training modules. In this instance, AISP will still cover training costs for these team members.)

Applications must be submitted via email by **5:00 PM ET on November 19, 2018** to Kristen Smith (krs@upenn.edu). AISP will host an information webinar on this Request for Applications (RFA) at **11am ET on October 18, 2018**. You must register for the webinar in advance at: <https://sp2upenn.zoom.us/meeting/register/8a9cf0c74cdb3b324ac87b605f06faf5>.

Individual questions will be accepted through November 1, 2018, and should be submitted by email to krs@upenn.edu. Please note that all submitted questions and their associated answers will be published to the AISP website. See page 7 for a list of important dates.

What is AISP?

Actionable Intelligence for Social Policy (AISP) is an initiative at the University of Pennsylvania that focuses on the development, use, and innovation of integrated data systems (IDS) for policy analysis and program reform. In 2009, it established the AISP Network, a professional group of 13 states and local governments that operate robust IDS across the U.S. These jurisdictions, comprising 36% of the U.S. population, have been collaborating for a decade to develop national standards, share best practices, and conduct multi-site research projects. (For examples of IDS use by AISP Network sites, see: <http://bit.ly/2nnB3Sv>). Recently, AISP has also worked to identify opportunities for innovation in the development and use of IDS, establishing guidelines and standards for four key components of IDS development: IDS governance, legal issues, data standards, and technology and data security (see <http://bit.ly/2ndLffO>). AISP is also promoting the development and use of IDS among *additional* states and counties through its “developing sites” seminars and technical assistance activities, including this initiative.

What is an Integrated Data System?

Integrated Data Systems (IDS) foster social innovation by accelerating the knowledge-to-practice development cycle. IDS accomplish this by linking administrative data across multiple agencies on an ongoing basis for policy analysis and program evaluation. IDS provide a more complete picture of how different policies and programs affect the individuals they’re intended to serve. This in turn equips decision-makers

with the actionable intelligence they need to better address the often-interconnected needs of citizens. IDS are also used to test social policy innovations through high-speed, low-cost randomized control trials (RCTs) and quasi-experimental approaches. They can also be used for continuous quality improvement efforts and benefit cost analysis.

What is the goal of this undertaking?

Development of a mature IDS, which is a sustainable system that integrates data from three or more agencies on a regular basis in order to produce actionable intelligence that drives policy and program decision making. The five factors required for a mature IDS site include: (1) strong executive support for the IDS effort; (2) a governance process that convenes data owners and other stakeholders; (3) the establishment of MOUs with 3 or more agencies that authorize data sharing and data request approval procedures; (4) technological procedures for data transmission, storage, linkage and cohort construction; and (5) sustainable funding for operational and project expenses.

What services will the AISP-LC provide?

IDS site-teams will participate in formal IDS training and technical assistance (TTA) as a learning community for an 18-month period, after which they will be invited to join the AISP Network, further extending the benefits of the formal training. Teams will be composed of three representatives from each participating jurisdiction and one on-the-ground facilitator. Depending on the jurisdiction, the team might include: a government agency director or policy expert, a research analyst or evaluator, a data infrastructure manager or technologist, and/or legal counsel (see page 9, number 3). AISP staff will work closely with each site's facilitator (see page 6 for a full description of this role) to ensure the site-team is on track to meet the goals developed at the start of the AISP-LC.

AISP will conduct three in-person training modules over the course of the 18-month period. Each module will last for 2.5 days, and will include pre-work and post-work assignments so participants can adequately prepare for and apply the learnings to the onsite experience. In advance of the first module, participants will also be required to complete assigned pre-work.

What content will the TTA modules cover?

The content that the three training and technical assistance modules will cover includes:

Module 1: IDS Introduction and Governance

- Introduction to the purpose, value, and ethical use of an IDS
- Review of federal privacy laws that govern the use of identifiable administrative data
- Introduction to IDS governance models and key IDS policies and procedures
- Foundational legal agreements and templates for IDS, including inter-agency Memorandum of Understanding (MOU) and end-user data use licenses (DUL).
- Development of a governance process including legal and ethical issues.

Module 2: Research Priorities

- Introduction to a range of IDS use cases
- Introduction to commonly used IDS data sources
- Review of key data-related terms and vocabulary
- Review of types of data security (legal, procedural, technical, physical)
- Introduction to processes for data transfer, integration, linkage, and de-identification

Module 3: Data Standards and Technology

- Review data system infrastructure options

- Review data formatting and record linkage procedures
- Discussion of IDS-researcher interface
- Discussion of approaches to IDS sustainability

Who is eligible to apply for AISP TTA services?

Applicants may be located anywhere in the United States, and must meet the following requirements:

- A. States and/or local government agencies interested in IDS development¹, or their representatives (university or non-profit organization).

AND

- B. Currently working on IDS development, as expressed through:
- Agency executive leadership – demonstration of an expressed commitment by executive agency leaders to IDS creation.
 - Key staff – identification of personnel who will play a leadership role in the IDS development effort, including the people who will represent the jurisdiction on the Learning Community team.

How will be AISP training services be awarded?

All eligible applications will be reviewed by a multi-member panel of experts at AISP for responsiveness to the questions listed in Part B of the application (see page 9). Each eligible application will be scored on the elements listed below:

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| 25% | Demonstrated commitment to IDS development: Applicants are more likely to be selected if they can demonstrate support for IDS development from key stakeholders such as government officials (e.g., a governor, legislative body or agency heads), service providers, or other relevant organizations such as university and/or philanthropic partner. Applicants are encouraged to include documentation of this support with their applications. |
| 25% | Capacity to participate in the AISP-LC. Successful applicants will identify an individual project lead/point of contact, designate an on-the-ground facilitator, and make the case for three staff who will actively participate in the 18-month IDS training period. The facilitator should meet all role requirements as outlined on page 6. Participants should represent a multi-disciplinary team, such as an agency head or policy expert in the lead agency, a research analyst knowledgeable about the research and evaluation needs of the state/local government, a data scientist in an IT data governance role, and/or a legal counsel. |
| 25% | IDS Progress to Date: Successful applicants will describe their progress in and future plans for the IDS development process beyond securing buy-in from senior leadership. This could include any preliminary meetings of the IDS planning body, discussions about relevant agencies and other stakeholders to include, analytic priorities for the IDS, and potential data sets to include as well as planned next steps for moving forward. |
| 12.5% | Reasons for creating an IDS: Applicants are more likely to be selected if they can articulate a reason or purpose for creating the IDS, how it will be used, and the ways that it will contribute to the well-being of the population being served. |

¹ Note that the AISP-LC is specifically geared for sites that seek to develop and sustain an IDS for policy analysis and program evaluation. It will not address administrative data integration for purpose of case management.

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| 12.5% | Current administrative data use and capacity: Successful applicants will describe their current or proposed use of administrative data and existing or desired data capacity. This may include dedicated staff tasked with data management or analysis, data sharing agreements in place or in negotiation between agencies, initial steps taken towards creating a data governance process, or a technological approach for integrating administrative data. |
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Not all criteria must be met for an applicant to be selected. AISP may follow up with applicants to obtain more information to inform the selection process.

What are the expectations of selected AISP-LC participants?

All applicants will be expected to do the following:

- Commit to an 18-month period of engagement and scope of work by signing a memorandum of understanding (MOU) with AISP. A sample MOU is included with this application.
- Be active participants in the TTA process, including participating in all training modules, carrying out the required pre- and post-work assignments, actively participating in the online learning community, and maintaining regular correspondence with the AISP team.
- Review and respond to materials in a timely manner.
- Designate a project lead/point of contact for communication with the AISP training assistance team.
- Designate an on-the-ground facilitator that is able to devote approximately 20-30% FTE to coordinating the site's effort, activities, and participation to ensure the site meets the goals developed at the start of the AISP-LC. This individual should also attend all three in-person meetings.

What are the requirements and expectations of the facilitator?

- The facilitator will work closely with the AISP team to plan, guide, and manage his/her team's participation.
- Specifically, the facilitator will meet with the AISP Training Director at least once a month to provide a report of the site's progress and alert the Training Director to any instances where the site needs additional assistance.
- Requirements for the facilitator role include:
 - A good working relationship with the site
 - An understanding of the local political landscape
 - Policy analysis experience
 - Prior experience managing projects and/or workgroups
 - Good written and verbal communication skills
 - Excellent organizational skills, including attention to detail and multi-tasking
- This could be the same person as the project lead/point of contact provided they also meet the facilitator role requirements.

About the Application Process

Application Components

All application components are listed in the form (on pages 8-9) included with this Request for Applications (RFA) for the AISP-LC. AISP will host an information webinar on this RFA on October 18, 2018 at 11am ET. This will include opportunities for participant questions on the elements of this application, our

evaluation process, and/or the services offered. Applicants may also submit questions about the RFA to AISP Sr. Research Coordinator, Kristen Smith (krs@upenn.edu).

Application components:

- Application Part A (see page 8, contact information, named facilitator, and key organizations, required)
- Application Part B (see page 9, proposal narrative, required)
- Letters of Support (from a governor, legislative body, agency heads, and/or other potential partners)

RFA Schedule

September 27, 2018: AISP publishes RFA.

October 18, 2018: AISP hosts an informational RFA webinar with opportunities for participant questions at 4pm Eastern. A recording will be posted within one week of the webinar date. Attendance is **optional**. Register at <https://sp2upenn.zoom.us/meeting/register/7e80e9005b35a1728c34be5db4a05ad8>

November 1, 2018: Last day to submit questions to AISP (Kristen Smith, krs@upenn.edu).

November 19, 2018: Applications are due to AISP by 5pm Eastern.

November 19 – December 13, 2018: AISP reviews submitted RFA applications and makes follow-up calls/contact with applicants to gain additional information as needed.

December 14, 2018: Selected applicants are notified via e-mail.

January 2019 – February 1, 2019: MOU between AISP and each selected site is developed and finalized.

February 2019: AISP-LC activities expected to begin.

How should I prepare and submit my application?

Please email **one copy** of your application in PDF format to AISP Sr. Research Coordinator, Kristen Smith (krs@upenn.edu). All applications should be typed, double-spaced, and no longer than 12 pages (not including additional materials, such as letters of support). All application pages should be numbered, font should be 12-point Times New Roman, text should have one-inch margins all around, and all relevant questions should be answered. Please combine all application materials in a single PDF.

Who is the AISP point of contact?

Questions about this RFA and completed applications should be sent to Kristen Smith (krs@upenn.edu).

Part B: Application Narrative

Please respond to the prompts below to provide information describing your agency and any partners, your IDS development activities to date, and the data-related challenges you would expect TTA to address. Limit your response to these questions to no more than 12 pages (not including letters of support or supplemental materials).

1. Briefly describe your preliminary goals and objectives for creating the IDS. Include its proposed uses and how it will contribute to the wellbeing of the population being served.
2. Briefly describe your agency, its mission, and role in the IDS development effort, and how it will contribute to the goals and objectives described in response to prompt #1.
3. List the point of contact and at least three key staff in the lead or partner agencies who will participate in the AISP-LC, and explain their respective roles in IDS project development. Identify accommodations that will allow staff to travel to three 2.5-day training modules over an 18-month period, and to dedicate a minimum of 10 hours per month to the IDS development effort. Also, explain the rationale for the particular individuals selected, and how their skillsets will contribute to addressing the legal, research and technological dimensions of IDS development (see page 5 for the list of suggested roles and skillsets). If the jurisdiction plans to send more than 3 representatives to the training modules, explain how the travel and lodging expenses of the additional staff will be funded.
4. List your site's proposed facilitator. Given the facilitator guidelines listed on page 6, explain the rationale behind choosing this individual to serve in the facilitator role.
5. Briefly describe the partner agencies (if applicable) that will participate in the IDS development effort. Include a description of each partner agency, and list the types of data they might contribute. If formal partnerships are not in place, please identify government agencies that will likely play a key role in IDS project development. Applicants are strongly encouraged to demonstrate support from partner agencies through letters of support.
6. Briefly describe your current or desired administrative data use and capacity. This may include dedicated staff tasked with data management or analysis, data sharing agreements in place or in negotiation, initial steps towards creating a data governance process, or a technological approach for integrating administrative data.
7. Describe any other factors that you feel are relevant to your suitability for receiving training and technical assistance and participating in the AISP-LC.

Appendix A: Sample AISP Learning Community MOU Agreement

Memorandum of Understanding

between

Actionable Intelligence for Social Policy (AISP)

and

(Participating State or Local Government, or their Designated Representative)

This Memorandum of Understanding (MOU) sets forth the terms and understanding between Actionable Intelligence for Social Policy (AISP) and the (state or local government) which is participating in the AISP Learning Community: Integrated Data System Training & Technical Assistance Program.

Organization name: Actionable Intelligence for Social Policy
Partner representative: Dennis Culhane, PI
Position: The Dana and Andrew Stone Professor of Social Policy
Address: 3701 Locust Walk, C19, Philadelphia PA 19104
Telephone: (215) 746-3245
Fax: 215.573.2099
E-mail: culhane@upenn.edu

Primary Agency/ Organization:
Primary point of contact:
Position:
Address:
Telephone:
Fax:
E-mail:

Purpose

The purpose of this MOU is to establish an agreement among the above-mentioned parties concerning their respective roles and responsibilities for implementation of the AISP Learning Community: Integrated Data System Training & Technical Assistance Program.

This agreement is to establish and coordinate roles and responsibilities for the AISP Learning Community program, including the training and technical assistance (TTA) and travel support that AISP will provide, and the full participation of selected states and local governments in the 18-month training program.

AISP Learning Community Vision and Overview

Since the MOU is intended to describe and detail how AISP and the organizations/agencies will contribute to the AISP Learning Community, it is important that all partners to the MOU agree upon their respective roles, and have a common understanding as to the scope and purpose of the program.

The description provided under this section will serve as a critical framework for the AISP Learning Community over the period of its implementation.

Duties of Parties

In this section, the responsibilities and agreements of each party is described separately.

For **Actionable Intelligence for Social Policy**, the responsibilities and agreements include:

- *Conduct three, 2.5 day, in-person IDS training and technical assistance modules over the course of an 18-month period (February 1, 2019 –July 31, 2020);*
- *Cover all necessary aspects of IDS development including IDS governance, legal agreements, data integration and linking procedures, and identifying and carrying out research priorities;*
- *Provide IDS training materials and host an online learning platform that will house all Learning Community materials and assignments, and facilitate communications;*
- *Provide full travel support (airfare, meals, lodging) for four individuals (three participants and one facilitator) from each site for three training modules, and cover the costs of training for up to an additional two participants;*
- *Conduct a full evaluation of the TTA program at the end of the 18-month course.*

For the **participating state or local government**, the following apply:

- *Ensure that at least four individuals (three representatives and one facilitator) will participate in each of the three 2.5 day, in-person, training and technical assistance sessions;*
- *Designate an on-the-ground facilitator to spend 20 - 30% FTE coordinating the site's effort, activities, and participation to ensure the site meets the goals developed at the start of the AISP-LC.*
- *Dedicate a minimum of 10 hours of staff time per month to the IDS development effort;*
- *Carry out all pre-work and post-work assignments for the TTA course;*
- *Maintain regular correspondence with the AISP TTA team;*
- *Ensure commitment to and continuity of the IDS development effort over the 18-month AISP Learning Community time period;*
- *Actively participate in the AISP online Learning Community website;*
- *Participate in the evaluation of the AISP Learning Community and TTA at the end of the 18-month course.*

Duration

The agreement is for a period of 18-months covering the duration of the AISP Learning Community, Training & Technical Assistance Program.

Procedures for Modification and Termination

- The MOU may be modified, revised, extended, or renewed by mutual written consent of both parties, by the issuance of a written amendment, signed and dated by both parties.
- Either party of the MOU may terminate their participation in this MOU by giving written notice of intent to terminate to the other partner.

Signatures

All partners in this agreement sign to confirm their acceptance of its terms by their signature.

(Dennis Culhane, AISP)
Dennis Culhane
The Dana and Andrew Stone Professor
of Social Policy
University of Pennsylvania

Date:

(Partner signature)
Partner Printed Name
Position

Organization

Date: