JMU
JAMES MADISON
UNIVERSITY.

COMMONWEALTH OF VIRGINIA
STANDARD CONTRACT

Contract No. **UCPJMU5468**

This contract entered into this 21st day of February 2019, by Compass Evaluation and Research, Inc., hereinafter called the "Contractor" and Commonwealth of Virginia, James Madison University called the "Purchasing Agency".

WITNESSETH that the Contractor and the Purchasing Agency, in consideration of the mutual covenants, promises and agreements herein contained, agree as follows:

SCOPE OF CONTRACT: The Contractor shall provide the services to the Purchasing Agency as set forth in the Contract Documents.

PERIOD OF PERFORMANCE: From February 21, 2019 through February 20, 2020 with four one-year renewal options.

The contract documents shall consist of:

(1) This signed form;

(2) The following portions of the Request for Proposal MLO-944 dated July 9, 2018:
  (a) The Statement of Needs,
  (b) The General Terms and Conditions,
  (c) The Special Terms and Conditions together with any negotiated modifications of those Special Conditions;
  (d) Addendum One, dated July 26, 2018

(3) The Contractor's Proposal dated August 13, 2018 and the following negotiated modification to the Proposal, all of which documents are incorporated herein.
  (a) Negotiations Summary, dated January 17, 2019.

IN WITNESS WHEREOF, the parties have caused this Contract to be duly executed intending to be bound thereby.

CONTRACTOR:	PURCHASING AGENCY:
By: Anne D'Agostino (Signature)	By: [signature] (Signature)
Anne D'Agostino (Printed Name)	Doug Chester (Printed Name)
Title: secretary/Treasurer	Title: Buyer Senior

Rev. 10/14/09

JAMES MADISON UNIVERSITY

RFP # MLO-944
Sponsored Programs Evaluation Services
Negotiation Summary for Compass Evaluation and Research
January 17, 2019

1. Pricing schedule:

Consultants	Hourly Rate*
Project Director	$125
Project Manager	$115
Statistician	$150
Data Technician/Manager	$75
Project Assistant	$40
Administrative/Support Personnel (data entry, clerical, etc)	$30

*Includes any necessary travel

2. Billable hours shall be for actual work hours on authorized projects/tasks rounded to the quarter hour.

3. Contractor shall provide detailed invoicing to include project title, number of hours worked, role of individual(s) performing the work, and specific tasks performed.

4. Contractor has disclosed all potential fees. Additional charges will not be accepted.

REQUEST FOR PROPOSAL
RFP# MLO-944

Issue Date:	**July 9, 2018**
Title:	**Sponsored Programs Evaluation Services**
Issuing Agency:	**Commonwealth of Virginia** **James Madison University** **Procurement Services MSC 5720** **752 Ott Street, Wine Price Building** **First Floor, Suite 1023** **Harrisonburg, VA 22807**

Period of Contract: From Date of Award Through One Year (Renewable)

Sealed Proposals Will Be Received Until 2:00 PM on August 14, 2018 for Furnishing The Services Described Herein.

SEALED PROPOSALS MAY BE MAILED, EXPRESS MAILED, OR HAND DELIVERED DIRECTLY TO THE ISSUING AGENCY SHOWN ABOVE.

All Inquiries For Information And Clarification Should Be Directed To: Matasha Owens, MPA, CUPO, VCO, Buyer Senior, Procurement Services, owensml@jmu.edu; 540-568-3137; (Fax) 540-568-7935 not later than five business days before the proposal closing date.

NOTE: THE SIGNED PROPOSAL AND ALL ATTACHMENTS SHALL BE RETURNED.
In compliance with this Request for Proposal and to all the conditions imposed herein, the undersigned offers and agrees to furnish the goods/services in accordance with the attached signed proposal or as mutually agreed upon by subsequent negotiation.

Name and Address of Firm:

Compass Evaluation and Research, Inc.

5720 Fayetteville Road, Suite 202

Durham, NC 27713

By: Anne D'Agostino
(Signature in Ink)

Name: Anne D'Agostino
(Please Print)

Date: August 13, 2018

Title: Secretary/Treasurer

Web Address: www.compasseval.com

Phone: 919-544-9004

Email: anne-d@compasseval.com

Fax #: 866-281-7946

ACKNOWLEDGE RECEIPT OF ADDENDUM: #1_____ #2_____ #3_____ #4_____ #5_____ (please initial)

SMALL, WOMAN OR MINORITY OWNED BUSINESS:
X YES; ☐ NO; *IF YES* ⇒⇒ X SMALL; X WOMAN; ☐ MINORITY ***IF MINORITY***: ☐ AA; ☐ HA; ☐ AsA; ☐ NW; ☐ Micro

Note: This public body does not discriminate against faith-based organizations in accordance with the *Code of Virginia*, § 2.2-4343.1 or against an offeror because of race, religion, color, sex, national origin, age, disability, or any other basis prohibited by state law relating to discrimination in employment.

JAMES MADISON UNIVERSITY

Sponsored Programs Evaluation Services

PROPOSAL

RFP Number: **MLO-944**

ORIGINAL

SUBMITTED BY:
Compass Evaluation and Research, Inc.
5720 Fayetteville Rd., Suite 202
Durham, NC 27713

Toll Free: **877.652.0189**
Phone: **919.544.9004**
Fax: **919.321.6997**

www.CompassEval.com

EIN: 27-0845506

COMPASS
EVALUATION AND RESEARCH, INC.

I certify that this proposal is made without prior understanding, agreement or connection with any corporation, firm, or person submitting a proposal for the same services, materials, supplies, or equipment, and is in all respect fair and without collusion and fraud. I agree to abide by all conditions of this proposal and certify that I am authorized to sign this proposal for the offeror.

Authorized Signature:	Anne D'Agostino	*Date:*	***8/13/2018***
Printed Name:	***Anne D'Agostino***		
Title:	*Partner / Senior Evaluator*		

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SECTION A: QUALIFICATIONS

COMPANY BACKGROUND

Compass Evaluation and Research, Inc. (Compass) is a woman-owned and operated firm that began in 2001 and whose primary functions are to: 1) conduct evaluations of a broad range of educational, health, community-based, and social services programs; 2) provide training and technical assistance in all aspects of evaluation design, implementation, analysis, and reporting; 3) design and conduct experimental and quasi-experimental research into the efficacy and efficiency of policy investments and programmatic interventions; and 4) facilitate utilization of evaluation and research findings for future-oriented decisions and policy making.

Compass has significant experience managing large scale, multi-year evaluation efforts at the state and national level. Compass is comprised of three founding partners/senior evaluators, a senior evaluator, a research assistant, and a data technician. Compass often collaborates with other organizations such as Westat to propose and conduct work and utilizes the services of consultants in specialty areas when deemed important to providing the highest quality work possible. Compass employs additional data collectors, data collection managers, and data entry personnel, as needed, to provide support. [1]

Compass is committed to the highest possible standards for research and evaluation practice. Accordingly, all Compass evaluators have received advanced training in research methods and continue to accrue professional development and education in research and analytic methods. In addition, Compass acknowledges and adheres to the best practices advocated by the Joint Committee on Standards for Educational Evaluation of Personnel, Programs, and Students which are broadly stated as:

- Utility Standards: intended to ensure that an evaluation will serve the information needs of intended users;
- Feasibility Standards: intended to ensure that an evaluation will be realistic, prudent, diplomatic, and frugal;
- Propriety Standards: intended to ensure that an evaluation will be conducted legally, ethically, and with due regard for the welfare of those involved in the evaluation, as well as those affected by its results; and
- Accuracy Standards: intended to ensure that an evaluation will reveal and convey technically accurate information about the features that determine worth or merit of the program being evaluated.

All Compass partners have completed their doctorates, which includes advanced coursework in statistics, evaluation, research, and/or measurement. Compass's strengths include our extensive education in evaluation; our vast experience with multiple types of analytic frameworks, evaluation

[1] In all projects Compass ensures project staff receive training in data security, human subjects rights and protection, and project-specific details. Compass also ensures all project staff receive oversight and management and meet quality assurance benchmarks.

designs, and methodologies; the size and scope of organizations served; our national network of collaborators and partners, and our responsiveness to our clients. These strengths are not diminished by distance; Compass's work is national in scope and we capably manage this aspect of our business while retaining base operations in Durham NC.

SECTION B: EXPERTISE

Compass' expertise is primarily within education. We have worked extensively with early childhood education programs and systems; state and local education agencies; universities and colleges; and various programs in the U.S. Education Department, including the Office of Special Education Programs (OSEP). Our work has involved studies and evaluations focused on school readiness; programs and services targeting young children and their parents or primary caregivers; state quality rating and improvement systems; general and special education programs; classroom instruction and student achievement; teacher professional development; alternative pathways to teacher certification; and out-of-school time and dropout prevention programs. In addition, we provide technical assistance in evaluation for multiple clients including the U.S. Education Department program offices and the Office of Special Education Programs.

Compass is well-versed in the use of quantitative, qualitative, and mixed methods approaches. Compass' projects frequently involve (1) the design and implementation of evaluations that include logic models, evaluation and research questions, quasi-experimental or experimental designs, timelines, management plans, budgets, etc.; (2) development of instruments (often involving evaluation of the psychometric properties) and protocols for surveys, focus groups, interviews, and observations; (3) collection, management, and analysis of quantitative and qualitative data; and (4) reporting formative progress and summative outcomes and impacts.

Compass is experienced in the execution of data sharing agreements with local and state authorities and the secondary use of large datasets. For example, Compass members have worked with the National Educational Longitudinal Study (NELS) and the Early Childhood Longitudinal Program (ECLS) national datasets. Compass members also have worked with school district and state education department student datasets, state datasets that capture information on child care and preschool sites, as well as state Department of Health datasets.

All Compass principals have completed Doctorate degrees and are trained and experienced in research design, descriptive and inferential statistical techniques (e.g., ANOVA, Multiple Regression, Hierarchical Linear Modeling (HLM), Structural Equation Modeling (SEM), Social Network Analysis (SNA)), methods for establishing validity and reliability of instruments, and qualitative techniques for assessing program outcomes and impacts. Further, some Compass members have completed the competitive Institute for Education Sciences training in Cluster Randomized Trials, which focuses on the creation and completion of multi-level and randomized block trials while other members have completed training in advanced survey design through the University of North Carolina at Chapel Hill's Odom Institute.

SECTION C: PRIOR EVALUATIONS

The following are projects completed by Compass over the past five years. All of the projects listed involve the use of both qualitative and quantitative elements including surveys, interviews, observations, and/or the collection and analysis of secondary data. While a small number utilized pre-existing instruments, the vast majority of the projects listed also included the design and development of surveys and interviews specific to the projects. In these cases, Compass created instruments in collaboration with the clients.

- **Duke University, Pratt School of Engineering** - Evaluation of Integrative Bioinformatics for Investigating and Engineering Microbiomes (IBIEM), a Research Traineeship Program (NRT) grant funded by NSF. 2015-2020, $100,000, Dr. Glenda Kelly, Duke University, Box 90287, Durham NC 27708, 919-564-9016.
- **Kentucky Governor's Office of Early Childhood** – Validation study of Kentucky's All STARS early childhood tiered quality rating improvement system. 2017-2019, $1,237,467, Linda Hampton, Kentucky Governor's Office of Early Childhood, 125 Holmes Street, Frankfort KY 40601, 502-782-9473.
- **Children's Services Council of Palm Beach County, BRIDGES** – Evaluation of BRIDGES program in Palm Beach County Florida. 2017-18, $80,000, Bonnie Wagner, Children's Services Council of Palm Beach County, 2300 High Ridge Road, Boynton Beach FL 33426, 561-374-7616.
- **Westat, IDEA Data Center (IDC)** - Formative evaluation of the technical assistance services and resources provided through IDC. 2013-2018, $1,163,080, Tom Fiore, Westat, 1009 Slater Road, Suite 110, Durham NC 27703, 919-474-0349.
- **MDC, Inc. and Kate B. Reynolds Trust** - Family Friend and Neighbor Care Study in Forsyth County North Carolina. 2017, $87,787, Marni Eisner, Great Expectations, MDC, 307 West Main Street, Durham NC, 27701 704-904-4348.
- **Catawba College** - Evaluation of the Catawba College's National Science Foundation (NSF) Noyce Scholars grant program. 2012-2017, $79,900, Dr. Constance Rogers Lowery, Catawba College, Department of Biology, 2300 W. Innes St. Salisbury NC 28144, 704-645-4803.
- **South Carolina First Steps to School Readiness** – Evaluation of the Parents as Teachers (PAT) Programs funded by SC First Steps. 2016-2017, $39,981, Dan Wuori, SC First Steps, 1300 Sumter Street, Suite 100, Columbia SC 29201, 803-734-0100.
- **Westat** - Internal evaluation of technical assistance provided to US Department of Education Teacher Incentive Fund (TIF) grantees. 2016-2017, $17,368, Allison Henderson, Westat, 1600 Research Blvd RB2133, Rockville MD 20850, 301-251-4291.
- **Westat** - Internal evaluation of technical assistance provided to US Department of Education i3 grantees. 2012-2017, $162,595, Darcy Pietryka, Westat, 1600 Research Blvd RB2133, Rockville MD 20850, 301-610-4895.

- **Ohio Department of Jobs and Family Services** – Validation study of Ohio's Step Up to Quality early childhood tiered quality rating improvement system. 2015-2016, $743,782, Melinda Kowalski, Ohio Department of Jobs and Family Services, 30 East Broad Street, Columbus OH 43215, 614-387-8036.
- **North Carolina Department of Public Instruction, Exceptional Children Division** – Evaluation of the North Carolina State Personnel Development Grant (SPDG) program. 2011-2016, $289,552. Susan Davis (Former Section Chief, Exceptional Children Division, NC DPI), 919-744-5784.
- **South Carolina First Steps to School Readiness** - Evaluation of South Carolina's First Steps Early Childhood Initiative. 2014-2015, $91,463, Dan Wuori, SC First Steps, 1300 Sumter Street, Suite 100, Columbia SC 29201, 803-734-0100.
- **Duke University, Pratt School of Engineering** - Formative and summative evaluation of the NSF-funded TechXcite afterschool engineering curriculum providing technology and science projects for middle school students in 4-H afterschool programs in six states. 2008-2014, $60,270, Dr. Gary Ybarra (Former Principal Investigator), NC State University, 890 Oval Drive 3114 Engineering Building II, Raleigh NC 27606, 919-515-2336.
- **Montana Department of Public Health and Human Services, Early Childhood Services** – Evaluation of a pilot study of the Best Beginnings STARS to Quality initiative. 2012-2014, $171,494, Rhonda Schwenke, Early Childhood Services Bureau, 111 North Jackson Street, Helena MT 59601, 406-466-2326.
- **Kansas Department of Education** - Evaluation of the Kansas Character Education Partnership Grant funded by the US Department of Education. 2011-2013, $74,503, Kent Reed, KDE, 900 SW Jackson St., Topeka KS 66612, 785-296-8109.
- **Rowan-Salisbury School System** - Evaluation of the Rowan-Salisbury Mathematics and Science Partnership Program grant. 2010-2013, $121,574, Contact person for this project has retired.

SECTION D: INNOVATIVE OR CREATIVE DESIGN APPROACHES

Compass' approach to each evaluation is relatively systematic. First, we clarify the context for the evaluation and the evaluation questions. Second, for each question, we identify a rigorous and appropriate design. Third, across questions, we determine how best to efficiently capture high quality data, so that we can triangulate a response to each evaluation question. Each of these steps, along with opportunities for innovative approaches, are presented in more detail below.

Context

Innovative Approaches to Thinking about Context

- Develop a Theory of Change
- Conduct a PESTLE analysis
- Complete a checklist for communication and use of evaluation findings

Evaluations often seek to answer questions such as “Is program XX working?” or “Is investment XX generating value?” However, the answer to these questions may vary depending upon the data sources examined—and, when asked together, the answers to these two questions may not be the same. The reason is that different stakeholders will have different expectations and needs for programs—therefore, indicators of success and value will vary. Generally speaking, educational programs are implemented within the context of states, districts, communities, neighborhoods, and families. At each level, context is ever-changing, reflecting shifts in the political, economic, social, technological, legal, and environmental (or, PESTLE) landscapes.

One of the first steps in planning an evaluation is to gain an appreciation for the contexts and stakeholders that have standing for the project. In doing so, we may ask questions such as:
(1) Why is this evaluation being conducted?

(2) Who needs the findings from the evaluation and how will the findings from the evaluation be used?

(3) What would happen or not happen if the evaluation did not occur?

These initial consultations with clients supplement and clarify information presented in a Request for Proposals and also help confirm the evaluation questions. Evaluation questions take on several forms, each of which [typically] is necessary to produce a comprehensive study. They include:

Innovative Approaches to Developing Evaluation Questions

- Develop a program logic model
- Conduct a Delphi process with different groups of stakeholders

(1) Questions regarding outputs. Evaluations should track the direct results of investments, or outputs. Outputs can include the number of products or deliverables that result from a program’s investments, the number of clients served, and the number of services provided to clients. It is important to track outputs to determine dosage, or the frequency and intensity of services that may later be correlated with program outcomes.
(2) Questions regarding outcomes. Whereas evaluation questions that target outputs tend to ask “how many” or “what occurred”, questions that target outcomes tend to ask “to what extent” and “in what ways” did changes occur, thereby creating opportunities for nuanced assessments of the changes in knowledge, behavior, skills, systems that can be linked to program investments. A comprehensive or ongoing evaluation will assess outcomes across multiple stages: developmental or ramp-up/initial stages, formative or implementation stages, and mature or summative stages. Alternately, evaluations can be focused on a particular stage, to retrieve information for a specific use (such as capturing implementation data to inform program improvements).

(3) Questions regarding impact. Questions on a program's impact target the unique contributions of a program to a desired change in knowledge, behavior, skills, or systems. Questions regarding impact typically are initiated for mature programs, or programs that have completed at least one cycle of formative assessment and have all critical program features in place and fully-functioning. To be the most meaningful, impact is assessed with a counter-factual such as a control or comparison group.

Different types of questions will be important, depending upon the context for the evaluation. Some of the techniques Compass employs to explore context are presented in Exhibit 1 and include the development or review of a Theory of Change; completion of PEST or PESTLE assessments; and identifying the audiences for the evaluation (and the types of data or information they will need and use). Some of the techniques Compass uses to develop or confirm evaluation questions are presented in Exhibit 2 and include the development or review of a program logic model or the use of two (or more) rounds of Delphi technique among diverse stakeholders, to identify high priority questions.

Design

It is customary to create design sections that describe, in general terms, the intended methodology for an evaluation project. Compass believes this is appropriate as a summary step. First, however, a rigorous and appropriate design must be confirmed for each question. This approach ensures that each question receives specific attention to design. Compass relies on several foundational texts when developing its designs and methodologies such as Campbell and Stanley's *Experimental and Quasi-Experimental Designs for Research* or Shadish and Cook's *Experimental and Quasi-Experimental Designs for Generalized Causal Inference*.

Innovative Approaches to Design

- Convene an Advisory Council to provide input or feedback on design (and interpretation of findings)
- Use portable technology and the internet to capture "live" data
- Identify inter- or cross-disciplinary methods that can be adapted to educational research

On a question-by-question basis, design becomes a matter of assigning the most rigorous [possible] techniques to answering an evaluation question—while also attending to bias that may be attached to any particular choice in design. Design decisions also incorporate attention to (a) sampling; (b) instrumentation; and (c) timing of data collections. Standard methods include surveys, focus groups, use of standardized assessments, extraction and analysis of secondary data, and interviews. Emerging techniques include the use of highly portable technology (such as tablets or cell phones) and internet-based vehicles to record or capture data (including the recording of services in action, videotaped testimonials or Story Corps, or creating opportunities for online discussion groups). Alternately, it can be helpful to borrow techniques from complementary fields, such as the use of contingent economic valuation techniques to establish the value of a program or service or the harvesting of publicly-available social media data to establish context.

Effective and Efficient Projects

An effective evaluation project will generate highly useful data—data that produce answers to evaluation questions and help stakeholders make future-oriented decisions. An efficient evaluation maximizes the production of meaningful and highly useful information, for the available resources. Compass seeks to maximize the benefit of the evaluation by identifying "high value" data collection opportunities—or, opportunities to gather data that can be used to respond to multiple evaluation questions. An example would be the development of a stakeholder survey that contains items that address multiple evaluation questions. Compass also seeks out extant data, which may be shared through a data sharing agreement or through publicly-available datasets, for secondary data analyses—a method of minimizing the cost of new data collections (provided extant data meet the design needs of the evaluation questions).

Innovative Approaches to Developing Effective and Efficient Projects

- Employ a meta-evaluator to troubleshoot issues of bias
- Ensure data collection events provide data for two or more evaluation questions
- Use web-based or virtual data collection techniques
- Explore the availability of publicly available datasets, across disciplines, for information that can inform the evaluation.

Effective projects also address bias—which can emerge from a number of internal and external sources, some of which are outside evaluator control. As noted above, an Advisory Council (or, a meta-evaluator) can be helpful to vet and respond to potential bias. Another important technique is triangulation, or the use of data from multiple sources, to converge on a finding. Thus, Compass tries to identify two or more data sources for each evaluation question.

Compass grounds its designs in an overarching framework for evaluation, which is presented in Appendix V. The framework positions evaluation within a cycle of planning, implementation, and continuous improvement and guides the design of an evaluation to be of service to a larger system of change.

SECTION E: PLAN AND METHODOLOGY FOR PROVIDING THE GOODS/ SERVICES

1. ALLOCATION OF STAFF

Permanent Compass staff includes the firm's three Principals and a full-time Research Assistant. Additional staff are regularly employed on a project-by-project basis and include positions such as data technician, data entry, data collection, and project assistant positions. Permanent staff are allocated to each project based upon the specific project size, scope, and need. Typically, Compass allocates a Principle Investigator who is supported by a Project Manager and a Research Assistant.

For larger projects, Compass often convenes reference groups of important stakeholders based on specific project needs. Reference groups can provide valuable perspectives, advice, and input to help ensure project success. When such groups are used, we rely upon collaboration with the client to determine the makeup of the group.

2. Management methods

Once a contract has been assigned, we work with the client to develop a communication plan that includes contact information for client and Compass liaisons; an initial project kick-off meeting with the client and their staff; a regular schedule of meetings (by phone or in person) for discussing clarifications, issues, and project status reports and updates; and processes for disseminating drafts of documents and reports. The communication plan is used to ensure that information is exchanged on a continuous basis and understood by all parties involved.

Once final expectations for project deliverables have been determined, Compass finalizes and prioritizes the tasks and subtasks required for each deliverable, creates a timeline and project schedule, and assigns staff and allocates resources for implementing each task. Quality is managed at every stage of the project through regular internal staff meetings and setting specific standards of performance and documentation for each project.

3. Systems to ensure maintenance of complete and accurate records

One aspect of Compass' project management is the creation and maintenance of a data inventory. The inventory is initiated during an evaluation's design phase and updated or revised as necessary through the evaluation project. The inventory is used to track:

- Data collection events, noting that one particular technique or tool (such as a participant survey) may occur numerous times and each event must be tracked;
- Data collection modes, such as hard copy/paper and pencil, virtual, electronic, video, and so on;
- Data management techniques, such the entry of hard copy data into electronic form, coding of data, storage of video or electronic data files;
- Authorized users for different datasets; and
- Data security and transfer protocols or required for different datasets.

The contracting process typically includes the identification of materials or information that must be maintained for auditing or monitoring purposes. Thus, in addition to the data inventory, Compass maintain project management files that include contracts, MOUs, confidentiality (or, non-disclosure) agreements, certificates of training, time sheets, receipts, invoices, and email or other written communications. Compass also maintain case notes that track meetings and decision-points over the course of a project. Standard templates are utilized whenever possible to ensure the consistency of record keeping.

4. Processes in place to protect personally identifiable information

Compass Evaluation and Research, Inc. is committed to treating all data with sensitivity, care, and discretion. Access to Compass facilities is controlled at all times through the use of locked doors, with keys assigned to individual staff only. A video monitoring system is used to request and allow entrance of non-staff into Compass facilities.

To the degree possible, personal identifiable information is masked and/or replaced with a coded ID number with a master list stored separately from program data and held in a secure location. Compass staff and subcontractors receive instructions on protecting data confidentiality and sign an Assurance of Confidentiality Agreement. Compass subcontractors are not allowed access to any stored personally identifiable data. In addition, employees and subcontractors

- are trained and obligated to keep confidential all personal data learned either incidentally or in the course of the data collection;
- may not knowingly collect data on or from a study subject he or she knows personally; and
- must keep all data that they collect under lock and key until the data is turned over to Compass personnel. Once Compass receives the data, additional copies that are retained under the safekeeping of the data collector(s) are to be immediately and securely destroyed by shredding or other acceptable methods of secure disposal.

Compass works closely with clients to ensure that all necessary data transfer agreements are completed, such that Compass can access data as necessary to complete an evaluation project. If and when an electronic transfer is possible, data are transferred using Secure Socket Layer (SSL) or Transport Layer Security (TLS) technology with an audited AES 256 bit encryption system to ensure the same level of transfer security used by banks and financial institutions. All personally identifiable electronic information is encrypted and password protected when appropriate. In the rare event that any personally identifiable data must be kept in paper or hard copy format, files will be securely stored in locked cabinets. Compass stores hard copy identifiable data only for the amount of time required by the project or five years after the program ends, and then it is destroyed using a secure shredder. In addition, other confidential project documents are retained only for an agreed-upon time period. Once the retention period ends and it has been determined that the client no longer requires that the documents be retained, they are destroyed by a licensed shredding service under the supervision of a Compass employee. Compass offices remained locked at all times and are not accessible to the general public.

Computer operating systems are updated regularly with applicable security patches whenever they are made available by the vendors. To protect PCs and email services from viruses, Trojans, and worms, PCs and email messages are regularly scanned and virus protection software installed on all computers are updated hourly. Data transferred electronically uses encryption and is transmitted using Secure Socket Layer (SSL) or Transport Layer Security (TLS) technology.

When computers and/or electronic storage devices are to be disposed of, Compass removes all directories and files and or other industry-approved destructive methods are used to destroy any remaining data.

In the event that a staff member leaves Compass employ, any computer accounts assigned to the employee are deactivated and all physical locks changed. The departing employee is reminded that they remain bound to its terms and conditions of their signed Assurance of Confidentiality Agreement.

Finally, Compass has participated in training to address security issues. Courses have included:

- *Cyber Security and Privacy Awareness* to increase awareness of potential threats, vulnerabilities, and risks to the security and privacy of information and information systems;
- *Anti-Phishing* to recognize attempts at phishing and actions to avoid these attacks and their consequences; and
- *Protecting Information* for looking at the requirements of Personally Identifiable Information (PII), Sensitive Personally Identifiable Information (SPII), and Controlled Unclassified Information (CUI), and safeguarding personal information.

5. Potential Use of Subcontractors

Compass employs sub-contractors for a number of reasons, when necessary to successfully complete a project. These reasons include (a) the need for specialized content knowledge or experience (e.g., advanced statistical consulting; economic modeling); (b) the need for a "firewall" between Compass staff and an additional evaluation specialist, to address bias or to ensure external review of methods; (c) the need for additional personnel to ensure timely completion of the project; and (d) the need for an Advisory Group to provide guidance or oversight on the project.

The use (and identity) of subcontractors is vetted with clients, to ensure transparency and credibility of the evaluation team.

6. Commitment to Project Completion within Time and Budget Constraints

We are committed to completing every evaluation project on time and within the contracted budget. For every project, we create a buffered timeline that includes a series of milestones against which to track progress and we delineate a detailed project budget. This allows us to quickly mitigate unexpected challenges and make the adjustments necessary to achieve our project goals within tight deadlines and budget constraints. As a result, Compass has a perfect track record of completing every contracted project on time and within budget.

SECTION F: QUALITY CONTROL PROCESS

Compass employs multiple strategies to maintain quality assurance regardless of project distance from our base of operations. Our primary strategies include:

1) ***Internal quality assurance system***. Compass' internal quality assurance system is composed of two principle steps:
   a. Construction of project quality assurance measures in collaboration with project (i.e., client) liaisons.
   b. Internal review of products against quality assurance measures prior to dissemination to the client.
2) ***Communications scheduling with project liaisons***. Compass' project "kick off" steps include development of quality assurance measures and the pre-scheduling of communication and progress check opportunities. Compass has found this is extremely useful in maintaining

timely communication and progress toward evaluation milestones. Compass uses phone, web conferencing, and email to maintain regular contact with clients. We also travel as needed to visit contracting organizations.

SECTION G: STATISTICAL ANALYSIS SOFTWARE

Compass is well versed in using both quantitative and qualitative methods. Quantitative data methods included paper-pencil and web-based surveys, structured observations, checklists, log forms, and established tests. Data analysis techniques included basic inferential statistics to more advanced procedures such as multiple and logistic regression, structural equation modeling, and hierarchical linear modeling.

Compass partners are trained and experienced in the use of descriptive and inferential statistical techniques (e.g., ANOVA, MANOVA, ANCOVA, Multiple Regression, Hierarchical Linear Modeling (HLM), Structural Equation Modeling (SEM), Social Network Analysis (SNA), etc.), methods for establishing validity and reliability of instruments, and qualitative techniques for assessing program outcomes and impacts. Most all evaluations that Compass designs and conducts use a mixed method approach or multiple data sources to triangulate findings.

Compass' partners also are proficient in the use of various analytic tools, such as

- Excel, SAS, STATA, HLM, Amos, LISREL, JMP, and SPSS for analyzing quantitative data (e.g., achievement, attendance, discipline, survey data);
- ATLAS.ti for analyzing qualitative data (e.g., interview, focus group, survey data);
- ArcMap for managing and analyzing geographic evaluative information; and
- TreeAge for analyzing potential costs and benefits of policy choices.

SECTION H: MANAGEMENT PERSONNEL

Descriptions of the education, skills, and work experience of Compass personnel who will be involved in providing the evaluation services outlined in the RFP are provided below and resumes are appended to this document. It should be understood that all staff times on project(s) depend upon the actual requirements of the assigned projects. All evaluation scientists serving as project directors and managers will participate in evaluation/research design, logic model and instrument development, data validation and analysis, communications, reporting, and project oversight. Research Assistant will be responsible for database development and management as well as data collection and data entry management. **Resumes for key personnel are appended to this proposal.**

Dr. Anne D'Agostino – Evaluation Scientist

Dr. Anne D'Agostino is a Compass co-founder with over 20 years' experience in designing, managing, and conducting research and formative and summative evaluations of PK-12 education, teacher professional development, and special education programs. She received her Ph.D. in Human Development and Family Studies from UNC-Greensboro.

Dr. D'Agostino's experience in evaluation has occurred at the federal (e.g., CIPP, IDC, and SIG), state (e.g., NC SPDG NY MSP, SC First Steps, Ohio Step Up to Quality, Kentucky All STARS), and local levels. These evaluations all have involved collecting and/or analyzing qualitative and/or quantitative data. She is proficient in the use of Excel and SPSS for analyzing quantitative data (e.g., educational, health, survey data) and ATLAS.ti for analyzing qualitative data (e.g., interview, focus group, survey data). As appropriate, she uses both descriptive and inferential statistics as well as qualitative data to assess program outcomes, with most all evaluations utilizing a mixed method approach or multiple data sources to triangulate findings.

With regard to qualitative data, Dr. D'Agostino has managed and/or conducted phone interviews, in-person interviews, and focus groups for numerous projects interviews with stakeholders at the state level (e.g., special education directors, Part B and C coordinators) as well as district and local levels (e.g., special education directors, directors of early childhood agencies, parents, students, and community members). Other relevant skills include Dr. D'Agostino's experience providing evaluation and technical assistance to federal (such as CIPP), state (such as NY MSP), and local level programs (such as Smart Start and Even Start Early Literacy) to build their capacity to develop evaluations, develop instruments, collect and analyze data, and/or write reports.

Dr. Sarah Heinemeier – Evaluation Scientist

Dr. Heinemeier specializes in the utilization of evaluation and policy analysis findings for programmatic progress and policy change. Dr. Heinemeier received her Ph.D. in Social Foundations of Education with a focus on Early Childhood Education and Public Policy Analysis from the University of North Carolina at Chapel Hill. She received master's certification in public policy analysis as a complement to this degree. Dr. Heinemeier also earned a M.A. in Biological Anthropology and Anatomy from Duke University and was a North Carolina Educational Policy Fellow in 2004-2005.

Dr. Heinemeier has engaged in a diverse range of projects and methodologies and the majority of her projects incorporate mixed methods of data collection and analysis. For example, Dr. Heinemeier is the principal evaluator for numerous early childhood partnerships for North Carolina Smart Start, South Carolina First Steps, Virginia Smart Beginnings, and has led studies of tiered quality rating systems in Montana, Ohio, and Kentucky. In support of these evaluations, Dr. Heinemeier engages in development in evaluation protocols for programs and personnel, conducts community-wide needs assessments, kindergarten readiness assessments, trend and time series analyses, cost effectiveness studies and partnership impact studies. Dr. Heinemeier also provides direct technical assistance to partnership staff, funding recipients, Board members and administrators. Dr. Heinemeier often employs quasi-experimental design principles in the development and implementation of impact-oriented evaluation studies for Smart Start partnerships, such as the longitudinal study of recipients of family support services and the impact of Smart Start services upon kindergarten readiness.

Dr. Heinemeier regularly uses software support for data collection, management, and analysis. This support regularly includes SPSS statistical software for management and analysis of quantitative data, Atlas ti for management and analysis of qualitative information, and ArcMap for management and analysis of geographic evaluative information. In addition, Dr. Heinemeier has used STATA, SPSS, and SAS statistical software for analysis of weighted data sets and various social network analysis tools. Finally, Dr. Heinemeier also uses decision tree/cost effectiveness software such as TreeAge for the management and analysis of potential costs and benefits associated with policy choices.

Dr. Bethany Page – Evaluation Scientist

Dr. Page earned an M.Ed. degree in Educational Research Methodology from the University of North Carolina (UNC) at Greensboro and a Ph.D. in Educational Psychology, Measurement, and Evaluation from UNC at Chapel Hill. Dr. Page began her career as an evaluation intern in the Evaluation and Research Department of the second largest school system in NC (Wake County Public School System) where she assisted in the evaluations of many educational programs. This experience combined with the numerous K-12 evaluations she has been involved with over the past 12 years, have given her the necessary skills to develop and implement technically sound educational evaluation studies.

Dr. Page has designed, conducted, and managed formative as well as summative evaluations involving continuous input and feedback from stakeholders. For example, Dr. Page was involved in several evaluations of a character education and life skills program called Connect With Kids. For one of these evaluations, she and Dr. D'Agostino worked together to design a quasi-experimental study to assess the impact of the Connect With Kids program Kansas and Missouri. The study involved developing instruments, establishing the psychometrics of the instruments, and creating data collection binders for teachers, administering pre- and post-surveys to students and teachers, and analyzing and summarizing data from several data sources. Based on the study and results, the program was accepted into the What Works Clearinghouse. Additionally, as part of all the evaluations, implementation data including barriers, challenges, and successes were collected and recommendations discussed for programmatic improvements.

Dr. Page is proficient in the use of Excel, JMP, and SPSS to analyze quantitative data (e.g., achievement, attendance, discipline, survey data) and ATLAS.ti to analyze qualitative data (e.g., interview, focus group, survey data). She has used descriptive and inferential statistics as well as qualitative data to assess program outcomes and most all evaluations have utilized a mixed method approach or multiple data sources to corroborate findings. Dr. Page converses regularly with clients to keep them apprised of evaluation activities and to share findings that may inform modifications to the design or implementation of a program. In addition, she has written technical reports as well as briefs to summarize evaluation results in order to reach all stakeholder audiences.

Ms. Susan Yonk – Research Assistant

Ms. Susan Yonk serves as the primary research assistant for Compass. Ms. Yonk develops project databases, conducts data collection, analyzes data, and contributes to the production of summary reports for a variety of education and early childhood projects. She also researches demographic, economic, and education data and assists in the development of logic models and proposals. Ms. Yonk has over 17 years of experience in telecommunication software design and development, including 8 years of software design management. Her experience also incorporates technical and management-level documentation, including software design documents, requirements analysis papers, test plans, marketing and customer guides, software development process documentation, management presentations, and employee performance assessments.

SECTION I: EVALUATION WORK SAMPLE DESCRIPTIONS

Executive summaries of two recent evaluation projects completed by Compass are included in this section: 1) Catawba College Noyce Scholars Program and 2) South Carolina First Steps to School Readiness – Evaluation of Parents Teachers (PAT Program. Full project reports are available upon request.

1) Catawba College Noyce Scholars Program

This report is a compilation of the cumulative evaluation reports prepared for each of activity conducted to evaluate the Catawba College Noyce Scholars Program. The Catawba College Noyce Scholars program is a research-driven program with the goal to recruit, prepare, and retain STEM majors in teaching careers by blending academic preparation, professional community-building, and field experiences. To achieve these goals, the program

- Conducted an annual Exploratory Internship to increase awareness of teaching careers for STEM majors. The paid internships allowed 62 freshmen and sophomore students at Rowan-Cabarrus Community College (RCCC) to experience teaching and recruited them to pursue a career in K-12 education.
- Provided 18 Scholars a $20,000 tuition scholarship for their junior and senior years of college to pursue a major in a STEM discipline and licensure in teaching at Catawba College. To supplement course work, Scholars completed mentored experiences within the local school system, Rowan-Salisbury Schools, and in research laboratories to gain understanding of both STEM and education fields.
- Engaged Scholars in activities to build social and cultural capital in the profession of education. Activities included a cohort-building retreat and a Mentoring Program, where Scholars engaged in field experiences in the classroom. Following graduation, Scholars were required to work 4 years in a high-need school district. To support the Scholars during their induction into teaching, they received funds to attend a state STEM education conference and to purchase classroom supplies.

The evaluation of the Noyce Scholars Program utilized web-based surveys, telephone interviews, scoring rubrics, and student grade point averages (GPAs). A brief overview as well as major findings for each evaluation activity are presented below. For more in-depth information, see the cumulative report for each activity that is included in this document.

- **Awareness Survey (pages 1-3).** An awareness survey was conducted three times during the project to help assess the effectiveness of the marketing campaign. In 2014 and 2015, a total of 203 out of 986 Catawba College students with STEM or undeclared majors completed the survey. In 2017, 57 out of approximately 6,000 RCCC students completed the survey. Overall, 30% of respondents (n=260) indicated they were aware of the program and most often had heard about it via word of mouth (64%) (e.g., professors, recruiting officers, other students).
- **Exploratory Internship Intern Assessment (pages 4-7).** At the end of each Exploratory Internship, the EDUC 2000 instructor completed assessments for a total of 61 students and the internship sponsors completed assessments for a total of 63 students. The assessments contained items related to general characteristics and skills of effective teachers (e.g., actively participates, well prepared, effective organization, adaptable) and teaching skills (e.g., understanding the variety of methods, strategies and materials available to meet the needs of all students).

  In general, the instructor and internship sponsors rated interns satisfactory (on a scale of 0 to 3) across all assessment items. The instructor rated interns highest on them item demonstrates understanding that students have different learning needs (2.97) and lowest on the item has a positive attitude, is approachable, and has a sense of humor (2.69). Sponsors rated interns highest on the item is open to constructive feedback and new ideas and admits to mistakes (2.89) and lowest on the items demonstrates the ability to facilitate instruction (2.47) and demonstrates the ability to effectively manage student behavior (2.47).
- **Exploratory Internship Evaluation Survey (pages 8-10).** In the fall after the Exploratory Internship was completed, interns were emailed a link to an online survey. The survey asked for information related to the quality of the internship experience including what they learned. A total of 52 out of 62 interns completed the survey.

  Overall, interns agreed to all items on the survey. Most often respondents cited the exposure to and experience working with others in a positive environment (n=18) and the teaching experiences or working with students (n=17) as the aspects they liked most about the Exploratory Internship. Making the internship longer was the most often suggested improvement (n=13). The majority of respondents (82%) indicated the internship influenced their decision of whether to become a teacher, but just over a third (38%) reported they had decided to become a teacher.
- **Noyce Scholar Intern Field Assessment (pages 11-19).** Noyce scholars completed internships in the classroom as part of the program. At the end of the internship, the classroom teachers rated the skills of each scholar using a modified version of the North Carolina Teacher Evaluation Rubric.

  Overall, all scholars (n=13) were developing or proficient in 13 of 22 elements comprising the standards. Lack or time or opportunity, e.g., lack of classroom diversity, was the most often cited explanation for the small percent of scholars not demonstrating characteristics. More than 60% of scholars displayed the following proficient characteristics and behaviors:
  - *Standard I (3 of 5 items):*
    - Establishes a safe and orderly classroom (83%)
    - Demonstrates ethical behavior through adherence to the Code of Ethics for NC Educators and the Standards for Professional Conduct (77%)
    - Supports positive change in policies and practices affecting student learning (62%)
  - *Standard II (1 of 6 items):*

        - Establishes an inviting, respectful, inclusive, flexible, and supportive learning environment (62%)
    - *Standard III (1 of 6 items):*
        - Uses their understanding of the NC Standard Course of Study in the preparation of lesson plans and applying strategies to make the curriculum rigorous and relevant (69%)
    - *Standard IV (1 of 10 items):*
        - Demonstrates knowledge of how to utilize technology in instruction (69%)
    - *Standard V (1 of 3 items):*
        - Provides ideas about what can be done to improve student learning in the classroom (77%)

- **GPA Summary (page 20).** Overall, the average GPA for Noyce Scholars (3.380; n=15) was slightly higher than the GPA for students with similar majors (3.244; n=77).
- **Noyce Scholar Senior Interviews (pages 21-28).** Interviews were conducted with 15 Noyce scholars over the 3-year period from 2015-17 to get their feedback on the program and its impact on their preparedness for teaching STEM subjects. Specifically, scholars were asked what led them into STEM teaching, the extent to which they feel prepared to teach in a STEM subject area, how prepared they feel for tasks associated with STEM instruction (e.g., time management, managing classroom discipline), and their plans after graduation.

  The feedback from all scholars was positive. Most scholars (n=12) reported feeling well or very well prepared to teach in a STEM subject area; three reported feeling fairly well prepared. All felt confident (n=6) or very confident (n=9) in their ability to teach in their particular discipline.

  When asked the extent to which the Noyce program in general helped prepare them for STEM teaching, scholars most often mentioned the leadership retreat (n=9) and the summer internship (n=4) as being helpful. When asked about the benefit and added value of specific Noyce components, the leadership retreat and summer lab internship received the most positive feedback as well. Most scholars did not recall the activity referred to as the follow-up team session. Several scholars also mentioned the respect the Noyce program garners as being of added value.

  When asked what were the most beneficial experiences in preparing them for STEM teaching, scholars most often mentioned the mentoring internship (n=13), lesson planning (n=6), the leadership retreat (n=4), and the summer lab internship (n=4). Among those who had done student teaching, this was cited as the most beneficial (n=5). With respect to how prepared they feel with tasks associated with STEM teaching, scholars indicated feeling most prepared for differentiating STEM instruction (3.33 on a scale of 0 to 4) and least prepared for reducing student absenteeism (2.07).
- **Interviews and Efficacy Scales for First-Year Noyce Teachers and their Mentors (pages 29-39):** In spring 2016 and spring 2017, six Noyce first-year teachers, five mentors, and four principals responded to questions during a phone interview or in writing. Additionally, Six first-year teachers, four mentors, and four principals completed an efficacy scale. The purpose of the interviews and efficacy scale was to get feedback on the Noyce program, its impact on STEM teaching, how well it prepared Noyce graduates for teaching, and how Noyce first-year teachers compared to other first-year teachers.

  Teachers were very positive about the program and reported feeling well or very well prepared to teach in a STEM subject area. Classroom experience, i.e., student teaching and internships, were the most helpful. Student teaching was the most beneficial among those who student taught. Most teachers said the leadership retreat, content area training, lesson planning and visiting different schools were helpful also.

With respect to tasks related to STEM instruction, teachers felt most prepared in time management and in differentiating STEM instruction (3.00 each on a scale of 0-4). They felt least prepared for decreasing student absenteeism (1.33). Mentors and principals rated teacher proficiency highest in encouraging participation of specific subgroups in STEM (3.11 on a scale of 0-4) and lowest in differentiating instruction (2.00). When rating teachers as below average, average or above average compared to typical first-year teachers, the highest score was for encouraging participation of specific subgroups in STEM (2.00 on a scale of 0-2). The lowest score was for time management and for managing classroom discipline (1.25 each) while also noting that classroom discipline is a challenge for most if not all new teachers. The biggest difference overall between Noyce and other first-year teachers was in the Noyce graduates' comfort level in and preparedness for the classroom. The efficacy scale included 17 practices related to creating a respectful environment for a diverse population, dissemination of content knowledge and facilitation of learning. Teachers were asked to rate their ability to (I can) and their use of (I do) these practices. They rated themselves highest for using practices to motivate students to actively engage in learning (2.54 on a scale of 0-3) and lowest for incorporating culturally sensitive materials and ideas in lessons and instruction (1.33). Mentors and principals rated teacher proficiency highest for effectively using technology in a variety of ways to enhance student learning (2.50 on a scale of 0-3) and for making learning enjoyable for students (2.50). The lowest teacher proficiency score was in promoting and integrating global awareness in lessons (1.63) and in incorporating culturally sensitive materials and ideas in lessons and instruction (1.63). As compared to other first-year teachers, the highest score was for creating a positive, respectful and inclusive environment for all students (1.50 on a scale of 0-2); the lowest score was for incorporating culturally sensitive materials and ideas in lessons and instruction (0.88).

2) South Carolina First Steps to School Readiness – Evaluation of Parents as Teachers (PAT)

South Carolina (SC) First Steps to School Readiness was the nation's third statewide early childhood initiative, following North Carolina and California, originally passed into SC law in 1999.[2] The purpose of the initiative, as stated in §59-152-20 of the S.C. Code of Laws, is to "… develop, promote, and assist efforts of agencies, private providers, and public and private organizations and entities, at the state level and the community level, to collaborate and cooperate in order to focus and intensify services, assure the most efficient use of all available resources, and eliminate duplication of efforts to serve the needs of young children and their families…" The initiative's goals are to[3]

- Provide parents with access to the support they might seek and want to strengthen their families and to promote the optimal development of their preschool children;
- Increase comprehensive services so children have reduced risk for major physical,

[2] South Carolina Education and Economic Development Act, SC Code §59-152-10

[3] SC Code §59-152-30

developmental, and learning problems;
- Promote high quality preschool programs that provide a healthy environment that will promote normal growth and development;
- Provide services so all children receive the protection, nutrition, and health care needed to thrive in the early years of life so they arrive at school ready to learn; and
- Mobilize communities to focus efforts on providing enhanced services to support families and their young children so as to enable every child to reach school.

Forty-six counties in SC receive First Steps funding based on population-level risk factor data. Each county offers services through a local First Steps Partnership with its own governing board, which decides on the services that best fit the needs of their particular community. Among these services is home visitation such as provided in the Parents as Teachers program, the subject of this report.

Purpose of the Evaluation

Section 59-152-50(7) of the S.C. Code of Laws requires the evaluation of programs that comprise 10% or more of total programming spending. As one of these programs, the purpose of the current evaluation was to assess both program implementation and program achievements of First Steps' Parents as Teachers (PAT) home visitation model.

Parents as Teachers was founded in 1984; its mission is to promote "*the optimal early development, learning and health of children by supporting and engaging their parents and caregivers*."[4] The national Parents as Teachers logic model presents the program approach. Namely, through implementation of the program's four core components (personal visits, group connections, screenings, and resource networks) and a focus on (a) parent-child interactions, (b) development-centered parenting, and (c) family well-being, the program will promote positive change in birth outcomes, parent knowledge, parenting capacity and practices, parent-child interactions, family health and functioning, and identification of child-level developmental needs. Through these short-term outcomes, the program aims to address longer-term changes such as school readiness and thriving families. Parents as Teachers meets parents and families "where they are" and uses a strengths-based approach to reinforcing family assets and setting and achieving family goals. In South Carolina, the program focuses on highly vulnerable families, or families with multiple risk factors, with the goal of helping vulnerable families develop their strengths, realize positive changes in parenting and family well-being, and, ultimately, experience long-term and positive child and family outcomes.

The evaluation was designed to focus on program implementation and short-term changes, such as changes in parenting knowledge and capacity. The evaluation assessed the extent to which the program was successful at meeting its implementation goals (including goals for serving the most vulnerable families) and achieving its direct outcomes of changes in parenting knowledge, capacity, etc. The evaluation also examined the extent to which the program can be aligned with evidence that children in highly vulnerable families are benefitting, in that they are coming alongside less vulnerable peers in their developmental progress and school readiness.

The examination of program implementation was formative in nature and designed to assess whether the program was executed as intended between Fiscal Years 2008-09 and 2015-16 and

[4] https://parentsasteachers.org/who-we-are

successfully met the standards established for PAT in South Carolina. The standards established for PAT in 2013-14 were used for the current evaluation because that is the year in which the CIRCLE school readiness assessment was administered, which was used to examine child outcomes. The focus of the evaluation was on the standards directly addressing child outcomes (e.g., targeting at-risk populations, retention of clients in the program, home visits, etc.) versus standards related to monitoring program functions (e.g., staff qualifications, reporting and parent educator supervision, FSDC, etc.).[5]

The second part of the evaluation included summative elements involving parent and child outcomes, as described in the following evaluation questions:

1. What is the relationship between exposure to PAT between the ages of 0-3 years and children's Pre-K or Kindergarten readiness outcomes?
    a. How do child outcomes as measured by CIRCLE and grade retention vary when controlling for total months or years of enrollment? Total number of visits completed?
    b. If there is variation, what is the minimal level of exposure that appears to be necessary to achieve meaningful child outcomes as measured by CIRCLE scores and grade retention? Is this level consistent with PAT and SC expectations for program implementation?
    c. Are children with scores on ASQ/ASQ:SE indicating delays or potential delays more likely to receive special education services in pre-kindergarten or kindergarten?
2. What is the relationship between exposure to PAT and parenting outcomes as measured by KIPS/ACIRI?
    a. How do outcomes vary when controlling for total months or years of enrollment? Total number of visits completed?
    b. What is the minimal level of exposure that appears to be necessary to achieve meaningful parenting outcomes? Is this level consistent with PAT and SC expectations for program implementation?
3. What is the relationship between parenting outcomes as measured by KIPS/ACIRI and children's Pre-K or Kindergarten readiness outcomes as measured by CIRCLE scores and grade retention?
    a. Does a particular threshold level (or criterion-reference) in parenting appear to be related to child outcomes?
    b. Are gains in parenting associated with gains in child developmental progress or outcomes?
4. What is the relationship between exposure to PAT and interactive literacy as measured by KIPS/ACIRI?

[5] Note as well that National PAT standards have changed in the eight years between 2008-09 and 2015-16. Thus, program monitoring elements varied over time to accommodate the changing standards.

5. Are there characteristics of children/families that moderate the impact of PAT on child or parent outcomes?
    a. What relations, if any, appear when data are analyzed to account for race, ethnicity, and other common demographic traits?

Data for the evaluation were provided the SC Office of First Steps, the South Carolina Department of Social Services, and the South Carolina Department of Education. The Department of Social Services provided socioeconomic data, while the Department of Education provided information regarding grade retention, special education identification (pre-kindergarten and kindergarten), and *mclass:CIRCLE* scores from the 2014-2015 school year. The SC Office of First Steps collected data for all families who participated in PAT between Fiscal Years 2008-09 and 2015-16 and provided data related to the program's implementation. PAT information about enrolled families included:

- PAT selection factors (e.g., student's gender, family size, income/ socioeconomic status, family risk characteristics, etc.)
- PAT services, visits, and participation
- Parent Keys to Interactive Parenting Scale (KIPS) collected before children entered kindergarten
- Adult-Child Interactive Reading Inventory (ACIRI) collected before children entered kindergarten

Data Analysis and Presentation

Two types of analysis were employed in analyzing the evaluation data: descriptive and inferential. Descriptive analyses included frequency distributions and estimates of central tendencies (mean, median, etc.), and examination of sub-groups. Descriptive analyses were used to describe patterns in service patterns and outcomes across the state.

The second (inferential) type of analysis relied on statistical models such as analysis of variance (ANOVA), linear regression, and hierarchical linear modeling to test for program impact. Hierarchical linear modeling was used to examine outcomes (such as KIPS or ACIRI scores) with a nested research design (e.g., multiple time-points reported by each subject). The standard alpha level of .05 was used for the analyses, to determine statistical significance.

Summary of Findings

Implementation

Implementation was analyzed for several key aspects of program services: risk factors, retention, home visits, group meetings, child screenings, and referrals. In each case, and especially in the more recent years, Parents as Teachers programs are meeting if not exceeding South Carolina standards. This means that programs are providing services as required by National PAT, in dosages and formats that have been shown in to be correlated with program success. This finding also is consistent with South Carolina expectations to serve the most vulnerable children and families, or the children who may be at greatest risk for school readiness and poor academic performance. In particular, the following results are noteworthy:

- The most prevalent risk factors include SNAP and TANF eligibility, as well as mothers with less than a High School (or equivalent) education. By 2015-2016, ~81% of enrolled families had three or more risk factors.
- When factors are grouped into domains, the prevalence of risk is as follows.
  - 89% of cases had at least one **poverty** risk factor.
  - 53% of cases had at least one risk factor related to **low maternal education**.
  - 24% of cases had at least one risk related to **family stability, illness, or disability**
  - 17% of cases had at least one risk related to **child developmental delays or health concerns**
  - 10% of cases had at least one risk related to **abuse, neglect, or violence**; and
  - 3% of cases had at least one risk related to **English as a Second Language**.
- When examined by risk domain, 51% of cases (n=2520) exhibited risks in two domains; 25% (n=1210) had risks in one domain; 20% (n=822) had risks in three domains; and 5% (n=229) had risks in four or five domains.
- As of 2015-2016, families are enrolled for an average of 21 months, or just under two years. Almost 61% of families maintained enrollment for 9 or more months and 32% of families maintained were enrolled for 2 or more years.
- Since 2009-2010, families have averaged 2 or more home visits per month.
- In 2015-2016, the percent of families that received 2 or more visits per month was 78%. Home visits routinely average 1 or more hours per visit.
- In the past three years, at least one group meeting has been offered each month. Over time, the percent of families attending at least one group meeting each year has grown from ~50% in 2009-2010 to ~63% in 2015-2016.
- Increasing percentages of children are receiving annual vision, hearing, and dental screenings.
- Since 2010-2011, most referrals have been issued for family-needs or events. The average number of referrals per family has risen to 4.1, in 2015-2016. The connection rate for referrals was greater than 93% in 2015-2016.

Adult Outcomes

The PAT program model establishes that parenting knowledge and behaviors are direct targets for program services. Improvements in parenting knowledge and behaviors are the first indicators that the program is achieving its desired results. These outcomes were therefore an important component of the evaluation.

The evaluation focused on parenting practices and literacy behaviors. Data were available from two standardized assessments: the Keys to Interactive Parenting Scale and the Adult-Child Interactive Reading Inventory. Data supported an analysis of change in parenting practices and literacy behaviors over time. The resulting analyses found:

- There was significant and positive change over time in parenting practices, as assessed using the Keys to Interactive Parenting Scale (KIPS). As may be expected, parents with a greater number of risk factors had lower KIPS scores. There was a significant and positive association between program home visits and improvement in KIPS scores, such that a greater number of home visits was associated with increased KIPS scores. There appears to be a benefit to families to staying in the program for as long as possible, with the greatest increases in scores observed in the first and fourth years.

- There was significant and positive change over time in literacy behaviors, as assessed using the Adult-Child Interactive Reading Inventory (ACIRI), which captures data on both adult and child literacy. There were significant and positive changes in ACIRI scores that mirrored the trends established with KIPS scores. Namely, the greatest improvements in scores were observed in the first and fourth years, supporting the need for families to be served in the program over an extended time horizon.

Child Outcomes

The PAT program model indicates that some of the earliest goals for children are to identify developmental trends (or delays), and to respond as appropriate (through referrals to more formal assessments and connections to community resources, for example). As noted above, over the program's history, increasing percentages of children received health and developmental screenings. In 2015-2016, for example, between seven and 12 percent of children were identified with developmental delays: 7.1% of children were identified with a delay in gross motor skills, 7.1% were identified with a delay in personal-social skills, 7.8% were identified with a delay in communication skills, 7.9% were identified with a delay in overall socio-emotional skills, 10.3% were identified with a delay in fine motor skills, and 11.6% were identified with a delay in problem-solving. Additional children were identified with potential delays, which also prompt a program response.

It is anticipated that, over time, through consistent participation in program services and active response in the form of improved parenting practices, there will be additional child-level benefits such that children served through Parents as Teachers perform on par or closely aligned with their less vulnerable peers. To examine these expectations further, the study first examined **grade retention** in kindergarten and found no statistically significant difference between PAT and non-PAT students. This suggests that participating, high-risk PAT students were sufficiently successful in kindergarten, so as to advance to the first grade along with their more advantaged peers. Specifically, 8.1% of the sample of non-PAT students (1978 of 24,473) were retained, compared to 10% (44 of 440) of PAT students. Also of interest, a higher proportion of male students were retained, compared to female students, and a higher proportion of SNAP-participating students were retained, compared to students who did not participate in SNAP.

The study also examined **special education identification** in 2014-2015 and 2015-2016. For the 2014-2015 school year, only prekindergarten students were examined. The study found that almost 16 percent of PAT students received special education placement, compared to almost 11 percent of students who were not involved in PAT, likely reflecting the intervention's success in identifying developmentally-delayed children and connecting them to early intervention services. Also of interest:

- More than twice as many males received special education status, compared to females.
- Indian, White, and African-American students received the highest levels of special education identification.
- SNAP-participants were more likely to receive special education status.

There were significant gender, race, socioeconomic, and program (PAT) differences related to the odds of being identified for special education. More specifically, males had greater odds of being special education compared to females, white students had significantly smaller odds relative to all racial groups except Indian, students in poverty had greater odds than those not in poverty, and PAT students had greater odds of special education than non-PAT students.

In the 2015-2016 school year, special needs identification in both prekindergarten and kindergarten students was examined. For the prekindergarten students, the study found that PAT students did not have higher levels of special needs identification. However, among kindergarten students, a higher percentage of PAT students received special education status, compared to non-PAT students. In addition, the study found that gender, race, and poverty were significantly associated with identification for special education.

Finally, the study examined student performance on the **CIRLCE assessment**, a computer-based early childhood literacy assessment that was administered to all publicly-funded 4- and 5-year-old prekindergarten and kindergarten students in SC in the fall of 2014. Of interest for the current study were measures related to phonological awareness, letter naming, vocabulary, and observable behaviors related to literacy and socioemotional development.

For children assessed in their prekindergarten year, the study found that high-risk PAT and (less disadvantaged) non-PAT students had comparable outcomes; means of most measures were not significantly different. This is an important, positive finding for the program, suggesting that high-risk program participants – who might otherwise been expected to enter school at a disadvantage - are entering school on similar footing with more advantaged peers. For children assessed in their kindergarten year, there were significant mean differences between PAT and non-PAT children on most measures—however, groups differences were not large. The study also found, for both prekindergarten and kindergarten children, that female students had higher mean scores than male students and that there were differences associated with race (with Hispanic students consistently associated with lower mean scores compared to other racial groups).

Implications

The evaluation was designed to assess South Carolina's PAT program in stages. First, the evaluation addressed the extent to which the program was faithfully implemented in accordance with both National PAT and South Carolina First Steps requirements. The results from this study indicate that this is indeed the case. Especially pertinent is the program's focus on highly vulnerable children and families—the program has worked over time to ensure that this high-risk population receives the bulk of program investments.

Next, the evaluation addressed the extent to which program investments are resulting in direct outcomes, which include changes in parenting practices (including literacy behaviors) as well as child-focused actions related to the identification of and response to developmental delays or needs. The study finds that the program is faithful in its screening for and response to child-level and developmental needs and that, over time, parents are exhibiting positive growth in parenting practices and literacy behaviors.

Finally, the evaluation addressed the extent to which the program is aligned with longer-term changes such as school readiness and academic success. A 2007 analysis by the SC Budget and Control Board's Office of Research and Statistics suggests that 1 in 3 South Carolina children with any of nine significant risk factors will be categorized into a category of “early school failure” (grade-level retention or bottom quartile of the state’s standardized achievement test) by the third grade. Since that time, SC First Steps has used these risk factors to target the state’s most at-risk children, for whom measurable performance gaps at school entry might otherwise be expected. This finding is consistent with the groundbreaking work of Betty Hart and Todd Risley, whose *Meaningful Differences in the Everyday Experience of Young American Children* documents a 30-million word gap in the language exposure of low-income children by age 3.

The current analysis suggests that PAT children (and especially, prekindergarten children, who, for the years in which readiness data are available, represent a population with multiple risk factors) are successfully coming alongside their less vulnerable or less disadvantaged peers. For many vulnerable children, therefore, PAT services may be contributing to their ability to “hold their own” upon entering school.

Findings from the examination of parenting practices suggest that length of exposure or total time in the program may be associated with positive change. This supports program requirements to serve parents and children for as long as possible (during the child’s early childhood period). Further, it is important to stress the program’s importance in helping parents build strong “toolkits” of parenting skills and strategies, tools that help families become or maintain their resilience. A strong toolkit and the core characteristic of family resilience will help parents guide and nurture their children not only at the point of school entry but throughout an academic career.

APPENDICES

I. OFFEROR DATA SHEET

1. QUALIFICATIONS OF OFFEROR: Offerors must have the capability and capacity in all respects to fully satisfy the contractual requirements.

2. YEARS IN BUSINESS: Indicate the length of time you have been in business providing these types of goods and services.

   Years__17_____ Months___4_____

3. REFERENCES: Indicate below a listing of at least five (5) organizations, either commercial or governmental/educational, that your agency is servicing. Include the name and address of the person the purchasing agency has your permission to contact.

CLIENT	LENGTH OF SERVICE	ADDRESS	CONTACT PERSON/PHONE #
Duke University	6 years	Box 90287, Durham NC 27708	Dr. Glenda Kelly, 919-564-9016
Westat, Inc.	14 years	1009 Slater Road, Suite 110 Durham, NC 27703	Dr. Tom Fiore, 919- 474-0349
Catawba College	5 years	2300 W. Innes St. Salisbury NC 28144	Dr. Constance Lowery, 704-645-4803
Smart Start of Davidson County	15 years	306 E US Highway 64, Lexington, NC 27292	Ms, Mary Draughn 336-249-6688
Smart Start of Forsyth County	15 years	7820 North Point Blvd, Ste 200, Winston-Salem, NC 27106	Ms. Charlette Lindell, 336-714-4347

4. List full names and addresses of Offeror and any branch offices which may be responsible for administering the contract.

   Compass Evaluation and Research, Inc. 5720 Fayetteville Road, Suite 202, Durham, NC 27713

5. RELATIONSHIP WITH THE COMMONWEALTH OF VIRGINIA: Is any member of the firm an employee of the Commonwealth of Virginia who has a personal interest in this contract pursuant to the CODE OF VIRGINIA, SECTION 2.2-3100 – 3131?
   [ ] YES [X] NO
   IF YES, EXPLAIN:____

II. Small, Women and Minority-owned Businesses (SWaM) Utilization Plan

ATTACHMENT B

Offeror Name: Compass Evaluation and Research, Inc.   Preparer Name: Anne D'Agostino
Date: July 25, 2018

Is your firm a **Small Business Enterprise** certified by the Department of Small Business and Supplier Diversity (SBSD)? Yes___ No_X (**add-on certification application is in process as of July 13, 2018**)
If yes, certification number: ____________ Certification date:______________

Is your firm a **Woman-owned Business Enterprise** certified by the Department of Small Business and Supplier Diversity (SBSD)? Yes__X___ No_____
If yes, certification number: 716707 Certification date: 8/20/2015 **(recertification in process)**

Is your firm a **Minority-Owned Business Enterprise** certified by the Department of Small Business and Supplier Diversity (SBSD)? Yes____ No__X___
If yes, certification number: ____________ Certification date:______________

Is your firm a **Micro Business** certified by the Department of Small Business and Supplier Diversity (SBSD)? Yes_____ No__X___
If yes, certification number: ____________ Certification date: _____________-_

Instructions: *Populate the table below to show your firm's plans for utilization of small, women-owned and minority-owned business enterprises in the performance of the contract. Describe plans to utilize SWAMs businesses as part of joint ventures, partnerships, subcontractors, suppliers, etc.*

Small Business: "Small business " means a business, independently owned or operated by one or more persons who are citizens of the United States or non-citizens who are in full compliance with United States immigration law, which, together with affiliates, has 250 or fewer employees, or average annual gross receipts of $10 million or less averaged over the previous three years.

Woman-Owned Business Enterprise: A business concern which is at least 51 percent owned by one or more women who are U.S. citizens or legal resident aliens, or in the case of a corporation, partnership or limited liability company or other entity, at least 51 percent of the equity ownership interest in which is owned by one or more women, and whose management and daily business operations are controlled by one or more of such individuals. **For purposes of the SWAM Program, all certified women-owned businesses are also a small business enterprise.**

Minority-Owned Business Enterprise: A business concern which is at least 51 percent owned by one or more minorities or in the case of a corporation, partnership or limited liability company or other entity, at least 51 percent of the equity ownership interest in which is owned by one or more minorities and whose management and daily business operations are controlled by one or more of such individuals. **For purposes of the SWAM Program, all certified minority-owned businesses are also a small business enterprise.**

Micro Business is a certified Small Business under the SWaM Program and has no more than twenty-five (25) employees **AND** no more than $3 million in average annual revenue over the three-year period prior to their certification.

All small, women, and minority owned businesses must be certified by the Commonwealth of Virginia Department of Small Business and Supplier Diversity (SBSD) to be counted in the SWAM program. Certification applications are available through SBSD at 800-223-0671 in Virginia, 804-786-6585 outside Virginia, or online at http://www.sbsd.virginia.gov/ (Customer Service).

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ATTACHMENT B (CNT'D)
Small, Women and Minority-owned Businesses (SWaM) Utilization Plan

Procurement Name and Number: Sponsored Programs Evaluation Services, RFP# MLO-944_ Date Form Completed: July 25, 2018

Listing of Sub-Contractors, to include, Small, Woman Owned and Minority Owned Businesses
for this Proposal and Subsequent Contract

Offeror / Proposer:
Compass Evaluation and Research, Inc. — Firm
5720 Fayetteville Road, Suite 202, Durham, NC 27713 — Address
Anne D'Agostino — Contact Person/No.

Sub-Contractor's Name and Address	Contact Person & Phone Number	SBSD Certification Number	Services or Materials Provided	Total Subcontractor Contract Amount (to include change orders)	Total Dollars Paid Subcontractor to date (to be submitted with request for payment from JMU)
Because we are a certified small women-owned enterprise (#716707), we do not plan at this time to sub-contract with other firms. However, we will do so as needed.					

(Form shall be submitted with proposal and if awarded, again with submission of each request for payment)

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III. Sales with VASCUPP Member Institutions

This section is not applicable.

IV. Resumes

Anne D'Agostino, Ph.D.

Education

Ph.D. Human Development & Family Studies, *University of North Carolina at Greensboro*
M.S. Human Development & Family Studies, *University of North Carolina at Greensboro*
B.A. Psychology, *High Point University*

Research and Development

Owner of Compass Evaluation and Research, Inc., 2001 to Present

Adjunct Evaluator, *Center for Creative Leadership, Greensboro, NC,* 2005-2013

Program Manager/Senior Evaluation Specialist, *Evaluation, Assessment, and Policy Connections (EvAP), Chapel Hill, NC*, 1999-2003

Project Manager/Senior Evaluation Specialist, *Teaching to Diversity, Greensboro, NC,* 1996-1999

Research Assistant, *University of North Carolina, Greensboro,* 1992-1996

Teaching

Adjunct Instructor, *University of North Carolina at Greensboro, School of Education,* 1995-1997
Tests & Measurement, Adolescent & Child Development
Adjunct Instructor, *Salem College, School of Education, Winston-Salem, NC,* 1996-1997
Educational Research Methods and Design

Experience

Current Projects

2016-2021 **Duke University, Pratt School of Engineering, Integrative Bioinformatics for Investigating and Engineering Microbiomes (IBIEM)**. Primary evaluator for a Research Traineeship Program (NRT) grant funded by the National Science Foundation (NSF).

2017-2020 **Duke University, Pratt School of Engineering, Research Experience for Undergraduates (REU) Site for Meeting the Grand Challenges in Engineering.** Primary Evaluator for an REU grant funded by NSF.

2017-2019 **Kentucky Governor's Office of Early Childhood, Kentucky All STARS**. Project/Study Manager and Evaluator for the validation study of the Kentucky All STARS early childhood quality rating and improvement system.

2017-2018 **Children's Services Council of Palm Beach County, BRIDGES.** Evaluator for BRIDGES program in Palm Beach County Florida.

2013-2018 **U.S. Education Department, Office of Special Education Programs, IDEA Data Center (IDC).** Evaluator on a subcontract with Westat to provide formative evaluation services for IDC, which provides technical assistance to build capacity within states for collecting, reporting, and analyzing high-quality IDEA data.

2009-2018 **Duke University, Center for the Environmental Implications of NanoTechnology (CEINT).** Consultant providing analysis and reporting services for the evaluation of a collaborative funded by NSF and EPA between Duke and Carnegie Mellon University, Howard University, Virginia Tech, University of Kentucky, Stanford University, and Baylor University.

Past Projects

2016-2017 **South Carolina First Steps to School Readiness.** Project Manager and Evaluator for the evaluation of South Carolina First Steps Parents as Teachers (PAT) program.

2013-2017 **U.S. Education Department, Office of Special Education Programs, Center for The Improvement of Program Performance (CIPP2).** Evaluation Technical Assistance Provider on a subcontract with Westat to provide technical assistance and to develop logic models and summative evaluation plans for select OSEP grants.

2015-2016 **Ohio Department of Job and Family Services, Step Up to Quality**. Project/Study Manager for the validation study of the Ohio Step Up to Quality early childhood quality rating and improvement system.

2011-2016 **NC Department of Public Instruction, Exceptional Children Division.** Project Manager and Evaluator for the formative and summative evaluation of the NC State Improvement Program funded by the U.S. Department of Education, Office of Special Education Programs' Personnel Development grant.

2014-2015 **South Carolina First Steps to School Readiness.** Project Manager and Evaluator for the evaluation of South Carolina's First Steps Early Childhood Initiative.

2011-2014 **Kansas Department of Education**. Evaluator for a US Education Department-funded Character Education grant program assessing the effects of teacher professional development on teacher practice and student outcomes.

2010-2014 **Montana Department of Public Health and Human Services, Early Childhood Services**. Evaluator for a pilot study of the Best Beginnings STARS to Quality initiative.

2007-2014 **Duke University, Pratt School of Engineering**. Primary Evaluator for the formative and summative evaluation of NSF-funded TechXcite afterschool engineering program providing technology and science projects for middle school students in 4-H afterschool programs in six states.

2011-2013 **The School District of Greenville County (South Carolina).** Primary Evaluator for a formative and summative evaluation of an Advanced Placement (AP) Program funded by the U.S. Department of Education.

2010-2013 **Rowan-Salisbury School System (North Carolina).** Evaluator for the formative and summative evaluation of the district's Mathematics and Science Partnership (MSP) grant.

2008-2013 **U.S. Education Department, Office of Special Education Programs, Center for The Improvement of Program Performance (CIPP).** Evaluation Technical Assistant Provider on a subcontract with Westat to provide technical assistance and to develop logic models and summative evaluation plans for select OSEP grants.

2007-2013 **Wake County Public School System, NC**. Primary Evaluator for the formative and summative evaluation of a federal Transition to Teaching grant.

2007-2012 **U.S. Education Department, Office of Special Education Programs**. Evaluator on a subcontract with Westat to participate in the evaluation of OSEP's Personnel Preparation Grant and Personnel Preparation Centers Program.

2012	**North Carolina New Schools Project (NCNSP**). Primary Researcher for a case study of an early college high school in North Carolina.
2012	**Duke University, Pratt School of Engineering**. Primary Evaluator for NSF-funded Triangle Materials Research Science and Engineering Center (MRSEC): Morphodynamic Soft Matter. The Triangle MRSEC is a national resource for soft matter science and engineering research and education in North Carolina.
2011	**The Center for Creative Leadership**. Consultant to conduct and analyze interviews with hospital administrators and department chairs about a 10-year-old leadership development program in light of upcoming health-care changes.
2008-2010	**Orange County Schools, NC.** Primary Evaluator for the formative and summative evaluation of a federal emergency response grant.
2007-2010	**Chicago Public Schools, Office of Research, Evaluation, And Accountability** (REA). Primary Evaluator for a meta-evaluation of REA's evaluation of the University of Chicago and Chicago Public Schools Collaborative Approach project involving the development of models and tools for teacher professional development in Mathematics.
2005-2010	**New York State Education Department**. Project Manager and Evaluator for the statewide evaluation of New York Mathematics Science Partnerships (MSP) and provide evaluation technical assistance to local MSP project evaluators.
2010	**The Center for Creative Leadership.** Consultant to conduct and analyze interviews with stakeholders about a 25-year-old community-level leadership development program focusing on content and networking building.
2008-2009	**Wake County Public School System, NC.** Primary Evaluator for the formative and summative evaluation of the district Parent Liaison program serving economically disadvantaged and English language learners.
2008-2009	**The Center for Creative Leadership**. Consultant to conduct and analyze interviews with stakeholders and participants in three intensive leadership development programs in the U.S.
2007-2009	**All Kinds of Minds**. Evaluator for a qualitative and quantitative study of the impact of the Schools Attuned teacher professional development program on feeder middle school students in high-need counties in NC, as defined by the NC High School Turnaround Initiative.
2004-2009	**U.S. Education Department, Office of Special Education Programs**. Evaluator on a subcontract with Westat to assist in a five-year evaluation to assess the quality and effectiveness of states' IDEA Part B (K-16) and C (0-preK) monitoring and improvement practices.
2009	**Chicago Public Schools, Office of Literacy**. Project Manager and Evaluator for the formative and summative evaluation of Writing Workshop, a district writing initiative.
2007-2008	**Partnership for Educational Success (PES).** Primary Evaluator for a partnership between Wake County Human Services and the Wake County Public School System in NC to serve economically-disadvantaged and English language learners performing below grade level and their families.

2006-2007	**John Rex Foundation.** Researcher for a cost study and qualitative study to compare the effectiveness of ECHO-2 Community Health Outreach Program to that of traditional clinic care in Wake County, NC.
2006-2007	**University of North Carolina At Chapel Hill.** Evaluator for a sub-contract to conduct a survey of the Disadvantaged Students Supplemental Fund (DSSF) required by the NC legislature.
2006-2007	**U.S. Education Department, Office of Special Education Programs.** Evaluator on a subcontract with Westat to complete a study of leadership and its relationship to successful implementation of SIG funded projects.
2005-2007	**Imprints for Families**. Primary Evaluator for the formative and summative qualitative evaluation of a health program for economically disadvantaged Hispanic teen mothers and fathers in NC.
2003-2007	**Wake County Public School System**. Primary Evaluator for the formative and summative evaluation of a federal emergency response grant.
2007	**Wake County Public Schools.** Consultant to conduct focus groups with multiple stakeholders as part of a curriculum audit of the Wake County Public Schools.
2005-2006	**The Center for Teaching Quality.** Consultant to analyze the Teacher Working Conditions Survey for SC.
2005-2006	**All Kinds of Minds.** Researcher conducting an investigation of teachers' implementation of Schools Attuned in their classrooms and its impact on special education referrals.
2004-2005	**Forsyth Early Childhood Partnership.** Primary Evaluator for a Needs Assessment of Hard-to-Reach Populations for Forsyth County regarding early childhood services.
2004-2005	**Wake County Public School System.** Primary Evaluator for a summative evaluation of a school improvement initiative at an Alternative Middle School.
2003-2005	**Connecting With Kids (CWK).** Researcher for the Study of the Effectiveness of a Character Education Program for Grades 3-12 in three states.
2003-2005	**Forsyth Early Childhood Partnership.** Researcher for the Study of the Effects of Smart Start Early Childhood Services on School Readiness.
2001-2004	**Children and Families First Commission.** Evaluator for Los Angeles County's First 5 Proposition 10 Child Care Initiative. (EvAP)
1996-2004	**Smart Start Partnerships.** Evaluator for providing evaluation services and technical assistance to NC Smart Start Partnerships in Forsyth, Moore, Randolph, Davidson, Onslow, Ashe, New Hanover, and Orange. (Teaching to Diversity, EvAP)
2002-2003	**NC Department of Public Instruction.** Project Manager and Evaluator for the evaluation of NC Charter Schools. (EvAP)
2002-2003	**Ashe County, NC Even Start Early Literacy Program.** Primary Evaluator and Technical Assistant Provider for the Ashe County Even Start Literacy Program for English Language learners.
2002-2003	**The Duke Endowment Early Learning Initiative**. Evaluator for Schools Attuned in Children's Homes in North and South Carolina.

Selected Papers and Presentations

Ybarra, G. A., Klenk, P. A. Simmons, R., Maxa, E., Guerdat, K., **D'Agostino, A. F.**, Morgan, T., & Shaw, N. (2010, June). Impacts of Engineering in 4-H Afterschool Programs. American Society for Engineering Education (AEE), Louisville, KY.

Ybarra, G. A., Klenk, P. A. Simmons, R., Maxa, E., Guerdat, K., **D'Agostino, A. F.**, Morgan, T., & Shaw, N. (2009, October). Work in Progress -TechXcite: Discover Engineering. Paper Presentation, Frontiers in Education (FIE), San Antonio, TX.

Carlson, E., & **D'Agostino, A.F.** (2015). Designing and Conducting Customer Surveys. Center for the Improvement of Program Performance (CIPP), Westat.

D'Agostino, A. F. (2008, January). Government Performance and Results Act (GPRA) Guidance. USDOE Grants to Reduce Alcohol Abuse Technical Assistance Conference, Albuquerque, NM (Data Quality Initiative)

D'Agostino, A. F. (2007, January). How to measure teacher content knowledge in Science. Workshop Presentation, USDOE Math Science Partnership (MSP) Conference, Washington, DC (for DQI).

D'Agostino, A. F., Heinemeier, S., & Germuth, A. A. (2007, November). Cost and Effectiveness of Health Delivery in Underserved Communities: The Evaluation of Education, Community Health Outreach (ECHO-2) in North Carolina. Paper Presentation, American Evaluation Association (AEA), Baltimore, MD.

D'Agostino, A. F., & Page, B. A. (2005, November). Reaching hard to reach populations: Successes and challenges. Paper Presentation, AEA, Toronto, Canada.

D'Agostino, A. F., & Heinemeier, S. (2002, November). Evaluation as a developmental theory. AEA, Washington, DC.

D'Agostino, A. F. (2002, April). Impact of Charter Schools on Other Public Schools. AERA, New Orleans, LA.

D'Agostino, A. F., Germuth, A. A., Heinemeier, S., & Hassel, B. C. (2002, April). Evaluating State Charter School Programs: Reconciling Charter School Needs with State Goals. AERA, New Orleans, LA.

D'Agostino, A. F., Heinemeier, S., & Anderson, A. (2002, April). A Typology of NC Charter Schools: Constructing a Framework for Success. AERA, New Orleans, LA.

D'Agostino, A. F., & Page, B. A. (2001, November). Collaborative Evaluation and Professional Development in Education: Investigating Results. AEA, St. Louis, MO.

D'Agostino, A. F., & Page, B. A. (2001, July). Methods for Evaluating a National Staff Development Program. CREATE National Evaluation Institute, Wilmington, NC.

D'Agostino, A. F., O'Sullivan, R. G., Dempsey-Tanner, T., Jimenez, M., & Rivest, M. (2000, November). Collaborative Evaluation of Early Childhood Initiatives in North Carolina. Presentation, AEA, Honolulu, HI.

D'Agostino, A. F. (2000, September). Participatory Evaluation. Frank Porter Graham Smart Start Evaluation Conference, Chapel Hill, NC.

D'Agostino, A. F. (1999, November). Using Case Studies and Rubrics to Measure Knowledge of Schools Attuned Concepts. American Evaluation Association, Orlando, FL.

O'Sullivan, R. G., **D'Agostino, A. F.**, & Wyrick, D. (1999, November). Summarizing public input sessions on promotion standards: A collaborative case study method. AEA, Orlando, FL.

Publications and Selected Technical Reports

O'Sullivan, R. G., & **D'Agostino, A. F.** (2002). Promoting evaluation through collaboration with community-based programs for young children and their families. Evaluation, 8(3).

Page, B. A., & **D'Agostino, A. F.** (2006). Evaluation of the impact of CWK in three states. What Works Clearinghouse.

D'Agostino, A. F. (2014). Yadkin Valley Regional Career Academy: Case Study of a New Type of School. Durham, NC: North Carolina New Schools Project.

D'Agostino, A. F. (2012). Caldwell Early College High School: A Case Study. Durham, NC: North Carolina New Schools Project.

D'Agostino, A. F. (2012). Annual evaluation report for the Teach-UP program: Wake County Public School System's Transition to Teaching Grant. Durham, NC: Compass Evaluation and Research.

D'Agostino, A. F. (2011). Annual evaluation report for the Teach-UP program: Wake County Public School System's Transition to Teaching Grant. Durham, NC: Compass Evaluation and Research.

D'Agostino, A. F. (2010). Annual evaluation report for the Teach-UP program: Wake County Public School System's Transition to Teaching Grant. Durham, NC: Compass Evaluation and Research.

D'Agostino, A. F., Page, B.A., & Yonk, S. F. (2010). Final evaluation report for New York State Education Department 2007-10 MSP projects. Durham, NC: Compass Consulting Group.

D'Agostino, A. F., Page, B.A., & Yonk, S. F. (2010). Third year evaluation report for New York State Education Department 2007-10 MSP projects. Durham, NC: Compass Consulting Group.

D'Agostino, A. F., Page, B.A., & Yonk, S. F. (2009). Second year evaluation report for New York State Education Department 2007-10 MSP projects. Durham, NC: Compass Consulting Group.

D'Agostino, A. F. (2009). Annual evaluation report for the Teach-UP program: Wake County Public School System's Transition to Teaching Grant. Durham, NC: Compass Consulting Group.

D'Agostino, A. F., & Germuth, A. A. (2009). Formative Evaluation for Chicago Public Schools' Office of Literacy Writing Initiative. Durham, NC: Compass Consulting Group.

D'Agostino, A. F., Page, B.A., & Germuth, A. A. (2008). First year evaluation report for New York State Education Department 2007-10 MSP projects. Durham, NC: Compass Consulting Group.

D'Agostino, A. F. (2008). Annual evaluation report for the Teach-UP program: Wake County Public School System's Transition to Teaching Grant. Durham, NC: Compass Consulting Group.

D'Agostino, A. F. (2007). Government Performance and Results Act (GPRA) Guidance: Grants to reduce alcohol abuse (GRAA), Westat: Data Quality Initiative.

D'Agostino, A. F., Heinemeier, S. E., & Germuth, A. A. (2006). Final Report of the Evaluation and Cost Effectiveness Study of the Education, Community Health Outreach (ECHO) 2 Project. Durham, NC: John Rex Endowment.

D'Agostino, A. F. (2006). Summary of baseline data for New York State Education Department 2004-07 MSP projects. Durham, NC: Compass Consulting Group.

D'Agostino, A. F., & Page, B. A. (2004). Evaluation of the impact of CWK in three states. Durham, NC: Compass Consulting Group.

D'Agostino, A. F., Heinemeier, S., & Germuth, A. A., & Jimenez, M. B. (2002). 2001-02 Evaluation of the Forsyth Early Childhood Partnership. Chapel Hill, NC: UNC, Evaluation, Assessment, & Policy Connections.

D'Agostino, A. F. (2001). 1999-00 Report of NC Charter School Director Survey. Chapel Hill, NC: UNC, Evaluation, Assessment, & Policy Connections.

D'Agostino, A. F. (2001). 1999-00 Report of NC Charter School Impact. Chapel Hill, NC: UNC, Evaluation, Assessment, & Policy Connections.

D'Agostino, A. F. (2001). 1999-00 Report of Charter School Characteristics. Chapel Hill, NC. UNC, Evaluation, Assessment, & Policy Connections.

D'Agostino, A. F. and Germuth, A. A. (2001). The Relationship Between Smart Start Participation and Kindergarten Readiness. Chapel Hill, NC: UNC, Evaluation, Assessment, & Policy Connections.

Fiore, T., Berkowitz, S., Carlson, E., Munk, T., Johnson, L., Heinemeier, S., **D'Agostino, A.,** Howell, B., and Germuth, A. (2013). Center to Improve Project Performance: Final Report (Prepared under contract to the Office of Special Education Programs, U.S. Department of Education). Durham, NC: Westat.

Heinemeier, S., **D'Agostino, A**., Lammert, J.D., & Fiore, T.A. (2014). Guidelines for Working with Third-Party Evaluators*.* Rockville, MD: Westat.

O'Sullivan, R. G., **D'Agostino, A. F.**, Page, B. A., Germuth, A. A., Heinemeier, S., & Anderson, A. (2002). Los Angeles County Children and Families First Proposition 10 Child Care Initiative Evaluation. UNC-CH, EvAP.

O'Sullivan, R. G., & **D'Agostino, A. F.** (2000). Final Evaluation Report for the W. K. Kellogg Foundation's Pre-Birth Through Age Three Initiative, Phase II. UNC-CH, EvAP.

O'Sullivan, R. G., & **D'Agostino, A. F.** (1999). Final Evaluation Report of the Mary Reynolds Babcock Organizational Development Program. Greensboro, NC: UNCG, Teaching to Diversity.

O'Sullivan, R. G., **D'Agostino, A. F.** (1999). Analysis and Summary of Public Input Sessions on Promotion Standards. Greensboro, NC. UNCG, Teaching to Diversity.

Sarah Heinemeier, Ph.D.

EDUCATION

Ph.D. Social Foundations of Education, School of Education, Dec. 2004
The University of North Carolina at Chapel Hill

MPP Certification Department of Public Policy and Analysis, Spring 2002
The University of North Carolina at Chapel Hill

M.A. Biological Anthropology and Anatomy, Spring 1996
Duke University, North Carolina

B.A. Anthropological Sciences, May 1990
State University of New York at Stony Brook

TRAININGS AND FELLOWSHIPS

IES Methods Training in Getting SMART about Adaptive Interventions in Education 2017
Institute of Education Sciences

IES Methods Training in Cost -Effectiveness and Cost-Benefit Analysis 2016
Institute of Education Sciences

Clustered Randomized Controlled Trials Summer Institute 2013
Institute of Education Sciences

Senior Fellow Global Education Policy Fellowship Program, 2012-13
Institute for Educational Leadership

Fellow Education Policy Fellowship Program, 2004-05
Institute for Educational Leadership North Carolina Chapter

RELEVANT EXPERIENCE

June 2001 to Present

Owner and Founding Partner, Compass Evaluation and Research, Inc.,
Durham, NC (formerly Compass Consulting Group)

- Involved with all aspects of evaluation design and implementation, data collection and analysis, technical assistance and reporting.
- Web-based logic modeling, evaluation planning, and reporting.
- Cloud-applications for performance management.
- Special focus on the utilization of evaluation findings for future-oriented decision and policy making.
- Interests and research agenda includes cost-effectiveness and cost-utilization studies and the use of evaluation for future-oriented decision making (e.g., prospective evaluation)
- Development and provision of training to a variety of professional and para-professional groups. Trainings vary from half-day to week-long modules focused on evaluation design, implementation, analysis and utilization.

2001 – 2003	**Evaluation Specialist, Evaluation, Assessment and Policy Connections** • Served as an evaluation specialist, focusing on policy analysis, for Los Angeles Proposition 10 Child Care Initiative (First Five Los Angeles), Duke Endowment's Model Childcare Initiative (Duke Endowment), Masters Education Initiative (UNC-Chapel Hill School of Education), and North Carolina Charter Schools (NC Department of Public Instruction)

GRANTS AND CONTRACTS

2017-2021	WESTAT/Office of Special Education. Center to Improve Project Performance—3 (Evaluator)
2017	Kentucky Governor's Office of Early Childhood. Validation Study of All STARS (Kentucky's Quality Rating Improvement System)
2017	Children's Services Council of Palm Beach County. Evaluation of the BRIDGES Initiative in Palm Beach County.
2017	MDC, Inc. and Kate B. Reynolds Trust. Family Friend and Neighbor Care Study in Forsyth County North Carolina.
2017	Oconee County First Steps. Early Childhood Needs Assessment for Oconee County South Carolina.
2016	Ohio's Office of Jobs and Family Services. Validation Study of the Step Up to Quality Quality Rating Improvement System. (In partnership with WESTAT)
2016	South Carolina First Steps. Evaluation of South Carolina's Parents as Teachers program. (Principal Evaluator)
2016	North Carolina Partnership for Children. Updating of Smart Start's Resource Guide of Evidence-Based and Evidence-Informed Programs and Practices. (Project Lead)
2016-2017	WESTAT. Internal evaluation of technical assistance to Education Technical Assistance and Support Service: Teacher Incentive Fund. (Lead Quality Control)
2014-2015	South Carolina First Steps. Evaluation of South Carolina's First Steps Initiative (Principal Evaluator)
2010-2014	Early Childhood Services Bureau of Montana. Montana STARS to Quality Initiative Evaluation (Principal Evaluator)
2013-2018	WESTAT/Office of Special Education. IDEA Data Center. (Formative Evaluation)
2013-2017	WESTAT/Office of Special Education. Center to Improve Project Performance—2 (Evaluator)
2012-2017	WESTAT. Internal evaluation of technical assistance to US Education Department i3 grantees.
2011-2015	WESTAT/Education Department. Data Quality Initiative 2 (Evaluation Specialist)
2008-2013	WESTAT/Office of Special Education. Center to Improve Project Performance (Evaluator)
2012-2015	KidzNotes, Durham, NC. KidzNotes Program Evaluation (Principal Evaluator)
2012-Present	Rockingham County Partnership for Children. Smart Start Program and Partnership Evaluation (Principal Evaluator)
2006-2012	WESTAT/Education Department. Data Quality Initiative (Evaluation Specialist)

2010-2011	City of Chesapeake. Virginia. Smart Beginnings of Chesapeake Evaluation and Sustainability Planning (Principal Investigator)
2009-2010	Smart Beginnings South Hampton Roads, Virginia. Evaluation Consultation (Principal Evaluator)
2007-Present	Alamance Partnership for Children. Smart Start Program and Partnership Evaluation (Principal Investigator)
2012-Present	Rockingham County Partnership for Children. Smart Start Program and Partnership Evaluation (Principal Investigator)
2007-Present	Sampson County Partnership for Children. Smart Start Program and Partnership Evaluation (Principal Investigator)
2006-Present	Person County Partnership for Children. Smart Start Program and Partnership Evaluation (Principal Investigator)
2003-Present	Smart Start of Davidson County. Smart Start Program and Partnership Evaluation (Principal Investigator)
2003-Present	Smart Start of Forsyth County. Smart Start Program and Partnership Evaluation (Principal Investigator)
2010-2011	Consumer Credit Counseling Services of Forsyth County/Center for Home Ownership Forsyth County. Strategic Planning and Evaluation Design (Principal Investigator)
2009-2011	Smart Beginnings of Martinsville/Henry County, Virginia. Program Evaluation (Principal Evaluator)
2009-2010	Communities in Schools of Lexington/Davidson County. High School Graduation Coach Program Evaluation (Principal Investigator)
2009-2010	Down East Partnership for Children. Nash and Edgecombe Counties Smart Start Program and Partnership Evaluation (Co-Principal Investigator)
2007-2008	Communities in Schools of Wake County. Program Performance Review (Principal Investigator)
2007-2008	North Carolina Museum of Art. Art of Collaboration (Principal Investigator)
2007	All Kinds of Minds. Schools Attuned State Summaries Federal Earmark Evaluation (Principal Investigator)
2007	North Carolina Museum of Art. In Good Company Evaluation (Principal Investigator)
2006-2010	WESTAT/Office of Special Education. Evaluation of state monitoring of IDEA Parts B and C (Evaluation Specialist)
2006-2008	UNC-Chapel Hill/State of North Carolina. Evaluation of Disadvantaged Students Supplemental Fund (Evaluator)
2006-2007	North Caroline Rural Economic Development Center. Project New Start (Evaluation Specialist)
2006	J. Rex Endowment. ECHO 2 Evaluation and Cost Effectiveness Study (Evaluation Specialist)
2004-2006	Z Smith Reynolds Foundation and Forsyth Early Childhood Partnership. Forsyth County Kindergarten Readiness Study (Co-Principal Investigator)

PUBLICATIONS (CURRENT TECHNICAL REPORTS, EVALUATION & RESEARCH PAPERS)

Lammert, J. D., Heinemeier, S., & Fiore, T. (2017). *Effectively Communicating Evaluation Findings.* Rockville, MD: Westat.

Lammert, J. D., Heinemeier, S., Howell, B., Germuth, A., & Fiore, T. (2016). *Demonstrating evidence across the project cycle.* Rockville, MD: Westat.

Lammert, J. D., **Heinemeier, S.,** Schaaf, J. M., & Fiore, T.A. (2016). *Evaluating special education programs: Resource Toolkit*. Rockville, MD: Westat.

Heinemeier, S., D'Agostino, A., Lammert, J.D., & Fiore, T.A. (2014). *Guidelines for Working with Third-Party Evaluators*. Rockville, MD: Westat.

Fiore, T., Berkowitz, S., Carlson, E., Munk, T., Johnson, L., **Heinemeier, S.,** D'Agostino, A., Howell, B., and Germuth, A. (2013). *Center to Improve Project Performance: Final Report (Prepared under contract to the Office of Special Education Programs, U.S. Department of Education).* Durham, NC: WESTAT.

Lammert, J., **Heinemeier, S.,** and Fiore, T. (2013). *Center to Improve Project Performance: IDEA Personnel Development Program Results Toolkit (Prepared under contract to the Office of Special Education Programs, U.S. Department of Education).* Durham, NC: WESTAT.

Heinemeier, S. (2012). *Progress and Possibilities: Evaluation of KidZNotes (El Sistema).* Durham NC: Compass Evaluation and Research.

Heinemeier, S. (2012). *Findings from Montana's STARS to Quality Field Test: First Two Years.* Durham NC: Compass Evaluation and Research

Heinemeier, S. (2012). *2011-2012 Partners Report for Smart Start of Davidson County.* Lexington, NC: Smart Start of Davidson County

Heinemeier, S. (2012). *2011-2012 Partners Report for Smart Start of Forsyth County.* Winston-Salem, NC: Smart Start of Forsyth County

Heinemeier, S. (2012). *2011-2012 Partners Report for Sampson County Partnership for Children.* Clinton, NC: Sampson County Partnership for Children

Heinemeier, S. (2012). *2011-2012 Partners Report for Rockingham County Partnership for Children.* Burlington, NC: Alamance Partnership for Children

Heinemeier, S. (2012). *2011-2012 Partners Report for Alamance Partnership for Children.* Burlington, NC: Alamance Partnership for Children

Heinemeier, S. and Yonk, S. (2012). *Alamance County State of the County Report.* Burlington, NC: Alamance Partnership for Children

Heinemeier, S. and Yonk, S. (2012). *Davidson County State of the County Report.* Lexington, NC: Smart Start of Davidson County

Heinemeier, S. and Yonk, S. (2012). *Forsyth County State of the County Report.* Winston-Salem, NC: Smart Start of Forsyth County

Heinemeier, S. and Yonk, S. (2012). *Person County State of the County Report.* Roxboro, NC: Person County Partnership for Children

Heinemeier, S. and Yonk, S. (2012). *Rockingham County State of the County Report.* Wentworh, NC: Rockingham Partnership for Children

Heinemeier, S. and Yonk, S. (2012). *Sampson County State of the County Report.* Clinton, NC: Sampson County Partnership for Children

Heinemeier, S. and Troppe, P. (2011). *Guidance to the Indian Education Professional Development Grant Program on Reviewing Section A of the Semi-Annual Participant Report.* Rockville, MD: WESTAT, Inc.

Heinemeier, S. and Troppe, P. (2011). *Guidance to the Office of Indian Education Demonstration Grants for Indian Children Program on Identifying and Counting Service Units.* Rockville, MD: WESTAT, Inc.

Heinemeier, S. (2011). *Kindergarten Readiness in Alamance County: A Three Year Perspective.* Burlington, NC: Alamance Partnership for Children

Heinemeier, S. (2011). *Strategic Findings and Plan for Consumer Credit Counseling Services.* Winston-Salem, NC: Consumer Credit Counseling Services on Forsyth County.

Heinemeier, S. (2011). *2010-2011 Partners Report for Smart Start of Davidson County.* Lexington, NC: Smart Start of Davidson County

Heinemeier, S. (2011). *2010-2011 Partners Report for Smart Start of Forsyth County.* Winston-Salem, NC: Smart Start of Forsyth County

Heinemeier, S. (2011). *2010-2011 Partners Report for Sampson County Partnership for Children.* Clinton, NC: Sampson County Partnership for Children

Heinemeier, S. (2011). *2010-2011 Partners Report for Alamance Partnership for Children.* Burlington, NC: Alamance Partnership for Children

Heinemeier, S. and Yonk, S. (2011). *Alamance County State of the County Report.* Burlington, NC: Alamance Partnership for Children

Heinemeier, S. and Yonk, S. (2011). *Davidson County State of the County Report*. Lexington, NC: Smart Start of Davidson County

Heinemeier, S. and Yonk, S. (2011). *Forsyth County State of the County Report.* Winston-Salem, NC: Smart Start of Forsyth County

Heinemeier, S. and Yonk, S. (2011). *Person County State of the County Report.* Roxboro, NC: Person County Partnership for Children

Heinemeier, S. and Yonk, S. (2011). *Sampson County State of the County Report*. Clinton, NC: Sampson County Partnership for Children

Heinemeier, S. and Troppe, P. (2010). *Office of Indian Education Professional Development Program Customized Annual Performance Report and Supporting Documents.* Rockville, MD: WESTAT, Inc.

Heinemeier, S. and Troppe, P. (2010). *Guidance to the Office of Indian Education Demonstration Grants for Indian Children Program on Assessing, Aggregating, and Reporting Grantee GPRA Data.* Rockville, MD: WESTAT, Inc.

Heinemeier, S. (2010). *Report to the Board Lexington City Schools Graduation Coach Progress and Opportunities October 2010*. Lexington, NC: Communities in Schools

Heinemeier, S. (2010). *Evaluation of Smart Beginnings of Martinsville/Henry County. Report to the Board. January 2010.* Martinsville, VA: Smart Beginnings of Martinsville/Henry County.

Heinemeier, S. (2010). *2009-2010 Partners Report for Smart Start of Davidson County.* Lexington, NC: Smart Start of Davidson County

Heinemeier, S. (2010). *2009-2010 Partners Report for Smart Start of Forsyth County.* Winston-Salem, NC: Smart Start of Forsyth County

Heinemeier, S. (2010). *2009-2010 Partners Report for Sampson County Partnership for Children.* Clinton, NC: Sampson County Partnership for Children

Heinemeier, S. (2010). *2009-2010 Partners Report for Alamance Partnership for Children.* Burlington, NC: Alamance Partnership for Children

Heinemeier, S. and Yonk, S. (2010). *Alamance County State of the County Report.* Burlington, NC: Alamance Partnership for Children

Heinemeier, S. and Yonk, S. (2010). *Davidson County State of the County Report*. Lexington, NC: Smart Start of Davidson County

Heinemeier, S. and Yonk, S. (2010). *Forsyth County State of the County Report.* Winston-Salem, NC: Smart Start of Forsyth County

Heinemeier, S. and Yonk, S. (2010). *Person County State of the County Report.* Roxboro, NC: Person County Partnership for Children

Heinemeier, S. and Yonk, S. (2010). *Sampson County State of the County Report*. Clinton, NC: Sampson County Partnership for Children

Heinemeier, S. and Troppe, P. (2009). *Migrant HEP Sampling Requirements for GPRA Measure 2*. Rockville, MD: WESTAT, Inc.

Heinemeier, S. and Troppe, P. (2009). *Guidance to the Office of Migrant Education High School Equivalency Program on Assessing, Aggregating, and Reporting Grantee GPRA Data.* Rockville, MD: WESTAT, Inc.

Heinemeier, S. and Troppe, P. (2009). *Guidance to the Office of Migrant Education Even Start Program on Assessing, Aggregating, and Reporting Grantee GPRA Data.* Rockville, MD: WESTAT, Inc.

Heinemeier, S. and Troppe, P. (2009). *Guidance and Examples for the Office of Migrant Education High School Equivalency Program on Conducting Data Quality Checks.* Rockville, MD: WESTAT, Inc.

Heinemeier, S. and Troppe, P. (2009). *Guidance to Indian Education Demonstration Grants Program Grantees on GPRA Data Collection and Reporting: GPRA Measures 1, 2, and 3.* Rockville, MD: WESTAT, Inc.

Heinemeier, S. and Troppe, P. (2009). *Guidance to Indian Education Demonstration Grants Program Grantees on GPRA Data Collection and Reporting: GPRA Measures 4 and 5.* Rockville, MD: WESTAT, Inc.

Heinemeier, S. (2009). *2008-2009 Partners Report for Smart Start of Davidson County.* Lexington, NC: Smart Start of Davidson County

Heinemeier, S. (2009). *2008-2009 Partners Report for Smart Start of Forsyth County.* Winston-Salem, NC: Smart Start of Forsyth County

Heinemeier, S. (2009). *2008-2009 Partners Report for Sampson County Partnership for Children.* Clinton, NC: Sampson County Partnership for Children

Heinemeier, S. (2009). *2008-2009 Partners Report for Alamance Partnership for Children.* Burlington, NC: Alamance Partnership for Children

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Heinemeier, S. and Yonk, S. (2009). *Person County State of the County Report.* Roxboro, NC: Person County Partnership for Children

Heinemeier, S. and Yonk, S. (2009). *Nash and Edgecombe Counties: State of the County Report*. Rocky Mount, NC: Down East Partnership for Children

Heinemeier, S. and Troppe, P. (2010). *Office of Migrant Education High School Equivalency Program Customized Annual Performance Report and Supporting Documents.* Rockville, MD: WESTAT, Inc.

Heinemeier, S. and Troppe, P. (2008). *Government Performance and Results Act (GPRA) Guidance: Migrant Education Even Start (MEES).* Rockville, MD: WESTAT, Inc.

Heinemeier, S. (2008). *2007-2008 Partners Report for Smart Start of Davidson County.* Lexington, NC: Smart Start of Davidson County

Heinemeier, S. (2008). *2007-2008 Partners Report for Smart Start of Forsyth County.* Winston-Salem, NC: Smart Start of Forsyth County

Heinemeier, S. (2008). *2007-2008 Partners Report for Sampson County Partnership for Children.* Clinton, NC: Sampson County Partnership for Children

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Heinemeier, S. (2008). *Alamance County State of the County Report.* Burlington, NC: Alamance Partnership for Children

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Heinemeier, S. (2008). *Forsyth County State of the County Report.* Winston-Salem, NC: Smart Start of Forsyth County

Heinemeier, S. (2008). *Person County State of the County Report.* Roxboro, NC: Person County Partnership for Children

Heinemeier, S. (2008). *Sampson County State of the County Report*. Clinton, NC: Sampson County Partnership for Children

SELECTED PRESENTATIONS

OME—MEES: Annual Performance Report Standards for Reporting. Presentation to Migrant Education Even Start grantees, Office of Migrant Education, Department of Education, May 2011.

Office of Indian Education Professional Development Grants: Guidance to Grantees on Collecting and Reporting GPRA and Service Payback Data. Presentation t0 Professional Development Program grantees, Office of Indian Education, Department of Education, March 2011.

Community Assessment of Person County. Presentation to the Person County Partnership for Children, January 2011. Roxboro, NC.

Alamance Partnership for Children Three Year Study: Factors Influencing Kindergarten Readiness. Presentation to the Board of the Alamance Partnership for Children, February 2011, Burlington NC.

Office of Indian Education Professional Development Grants Grantee Meeting: Data Collection and Management of Participant Information. Presentation at the Annual Meeting of Professional Development Program, Office of Indian Education, Department of Education, August 2010.

Trends and Topics in Consumer Finance: Board Planning Retreat. Conducted for Consumer Credit Counseling Services of Forsyth County, September and October 2010, Winston-Salem, NC.

Evaluation of Smart Beginnings of Martinsville/Henry County: Report to the Board. Presentation to the Board of Smart Beginnings of Martinsville/Henry County, March 2010, Martinsville, VA.

OIE Demonstration Grants for Indian Children: Guidance on Collecting and Reporting GPRA Data. Presentation at the Annual Meeting of Demonstration Grants for Indian Children, Office of Indian Education, Department of Education, July 2010.

OIE Demonstration Grants for Indian Children: Guidance on Collecting and Reporting GPRA Data. Presentation at the Annual Meeting of Demonstration Grants for Indian Children, Office of Indian Education, Department of Education, November 2010.

Office of Indian Education Professional Development Grants Grantee Meeting: Data Collection and Management of Participant Information. Presentation at the Annual Meeting of Professional Development Program, Office of Indian Education, Department of Education, November 2010.

Strategic Plan Update. Presentation to the Board of the Alamance Partnership for Children, February 2009, Burlington NC.

OIE Demonstration Grants for Indian Children: Guidance on Collecting and Reporting GPRA Data. Presentation at the Annual Meeting of Demonstration Grants for Indian Children, Office of Indian Education, Department of Education, July 2009.

Office of Migrant Education High School Equivalency Program Sampling Requirements for GPRA Measure 2. Presentation to High School Equivalency Program grantees, Office of Migrant Education, Department of Education. July 2009.

Guidance on Collecting Participant Follow-Up Data for Reporting on GPRA Measure 2. Presentation to High School Equivalency Program grantees, Office of Migrant Education, Department of Education. July 2009.

OME-HEP Guidance on Reporting GPRA Data Using the Customized APR. Presentation to High School Equivalency Program grantees, Office of Migrant Education, Department of Education. July 2009.

OME—MEES: Annual Performance Report Standards for Reporting. Presentation to Migrant Education Even Start grantees, Office of Migrant Education, Department of Education, April 2009.

OME-HEP: Guidance on Reporting using the Customized APR. Presentation to High School Equivalency Program grantees, Office of Migrant Education, Department of Education, October 20, 2008.

Office of Indian Education Demonstration Grants Data Collection Responsibilities for GPRA Measures. Presentation at the Annual Meeting of Demonstration Grants for Indian Children, Office of Indian Education, Department of Education, July 2008.

Office of Indian Education Professional Development Grants Data Collection Responsibilities for GPRA Measures. Presentation at the Annual Meeting of Professional Development Program, Office of Indian Education, Department of Education, July 2008.

OME—MEES: Annual Performance Report Standards for Reporting. Presentation to Migrant Education Even Start grantees, Office of Migrant Education, Department of Education, April 2008.

INSTRUCTION

Current	**Duke Non-Profit Management Certificate Program**, Instructor Seminars in evaluation, performance measurement, and planning
2006	**North Carolina Cooperative Extension Northwest Region**, Instructor Workshop in Evaluation Planning
Fall 2001- Spring 2002	**UNC-Chapel Hill School of Education**, Instructor Introduction to the American High School, a course for pre-service teachers
Summer 2001	**UNC-Chapel Hill School of Education**, Instructor Advanced Pedagogy & Curriculum Leadership, Master of Arts in Teaching Program

PROFESSIONAL MEMBERSHIPS

- American Evaluation Association
- Association of Public Policy and Management
- International Society for Child Indicators

BETHANY ANN HOWELL

EDUCATION

Ph.D. Educational Psychology, Measurement, & Evaluation, August 2004
The University of North Carolina at Chapel Hill
M.Ed. Educational Research Methodology, May 1998
The University of North Carolina at Greensboro
B.S. Psychology, May 1993
The University of North Carolina at Chapel Hill

EXPERIENCE

June 2001 to Present

Owner of Compass Evaluation and Research, Inc. (formerly Compass Consulting Group)
Durham, North Carolina

- Helped establish Compass to meet the evaluation and research needs of private, public, and non-profit organizations.
- Design and implement program formative and summative evaluations using a collaborative and utilization focused model.
- Provide evaluation technical assistance to build the evaluation capacity of educational and non-profit organizations.
- Develop proposals and negotiate contracts.

August 1999 to September 2003

Associate Director of Evaluation Services
The University of North Carolina at Chapel Hill

- Functioned as project manager for large-scale evaluations.
- Researched and developed grant proposals.
- Supervised graduate assistants, evaluation assistants, and evaluation specialists.

January 1997 to July 1999

Evaluation Specialist
The University of North Carolina at Greensboro

- Served as the manager for four large-scale projects including the evaluation of the North Carolina Character Education Partnership, North Carolina and National Schools Attuned Programs, and Wake County Public School System School-to-Career Program.
- Collaborated with clients to develop strategic plans and implement formative- and outcome-based evaluations.
- Designed and piloted evaluation instruments.
- Collected quantitative and qualitative evaluation information via surveys, phone interviews, focus groups, and site visits.
- Analyzed and summarized evaluation information for use by clients, government, school systems, and/or participating schools.

January 1995 to December 1996

Evaluation and Research Intern
Wake County Public School System (WCPSS), North Carolina

- Collected, analyzed, and interpreted data on system, school, and program effectiveness for WCPSS use in decision making.
- Prepared state-mandated evaluation reports and summary newsletters on findings.
- Conducted literature reviews of research findings on selected topics and summarized in non-technical format for school staff use.
- Created and updated a grant database for WCPSS to empirically assess competitive federal grant programs.

GRANTS AND CONTRACTS

2013-2018	WESTAT, $1,163,080. Subcontract with WESTAT to conduct a formative evaluation of the technical assistance services and resources provided through the IDEA Data Center.
2013-2017	WESTAT, Center for Improved Program Performance. Subcontract with WESTAT to provide technical assistance in formative evaluation to projects funded by the Office of Special Education Programs (OSEP).
2012-2017	Catawba College, $79,900. Conduct an evaluation of the Catawba College NSF Noyce Scholars grant program.
2012-2017	WESTAT, $162,595. Subcontract with WESTAT to conduct an internal evaluation of their project to provide technical assistance to US Department of Education i3 grantees.
2011-2015	WESTAT, Data Quality Initiative II, $527,349. Subcontract with WESTAT to provide technical assistance in evaluation to the US Department of Education program offices and grantees.
2011-2016	North Carolina Department of Public Instruction. Conduct an evaluation of the North Carolina State Personnel Development Grant program (NC SIP).
2011-2013	Kansas Department of Education, $74,503. Conduct an evaluation of the Kansas Character Education Partnership Grant.
2010-2013	Rowan-Salisbury School System, $121,574. Conduct an evaluation of the Rowan-Salisbury Mathematics and Science Partnership Program grant.
2010-2012	Cumberland County Public School District, $53,548. Conduct an evaluation of the Cumberland County Math and Science Department of Defense Educational Activities Grant.
2009-2013	WESTAT, Center for Improved Program Performance. Subcontract with WESTAT to provide technical assistance in summative evaluation to projects funded by OSEP.
2006-2012	WESTAT, Data Quality Initiative, $666,495. Subcontract with WESTAT to provide technical assistance in evaluation to US Department of Education program offices and grantees.
2007-2010	Cumberland County Public School District, $224,000. Conduct an evaluation of the Cumberland County Magnet School Assistance Program.
2005-2010	New York State Education Department. Conduct a statewide evaluation of New York Mathematics and Science Partnership (MSP) programs and provide evaluation technical assistance to local MSP project evaluators.
2004-2009	WESTAT, $176,698. Subcontract with WESTAT to assist in a five-year study funded by OSEP to assess the quality and effectiveness of states' IDEA Part B and C monitoring and improvement practices.

2006-2007	University of North Carolina at Chapel Hill, $52,783. Sub-contract to conduct a survey of the Disadvantaged Students Supplemental Fund (DSSF) required by the NC legislature.
2003-2007	School District of Greenville County, $15,000. Conduct an evaluation of Greenville County's Arts in Education Model Development and Dissemination Grant program.
2005-2007	Cumberland County Public School District, $24,449. Conduct an evaluation of the Cumberland County Community Emergency Preparedness Plan.
2005-2006	CWK Network, Inc., $40,000. Provide guidance, analyses, and report writing for the evaluation of a CWK dropout prevention program in Houston and a CWK character education and life skills program in Kansas and Missouri.
2004-2005	CWK Network, Inc., $70,000. Conduct a quasi-experimental study of the CWK character education and life skills program in Kansas and Missouri.
2003-2004	CWK Network, Inc., $72,000. Evaluate the impact of CWK character education and life skills program in three states.
2001-2003	Southern Region Sustainable Agriculture Research and Education (SARE), $40,000. Develop and institutionalize a system that evaluates the effectiveness and efficiency of the SARE Professional Development Program.

PUBLICATIONS (Note: Former names Prohm and Page)

Cizek, G. J., & **Page, B.** (2003). The concept of reliability in the context of automated scoring. In M. D. Shermis & J. Burnstein (Eds), *Automated essay scoring: A cross-disciplinary perspective*. Mahwah, NJ: Lawrence Erlbaum Associates, Inc.

O'Sullivan, R., Faircloth, B., Germuth, A., Heinemeier, S., Hill, A., Kubasko, D., Lin, C., Nimkoff, T., **Page**, B., & Orsini, M. (2001). *Case Study of a learning organization: Wake County Cooperative Extension Center – 'Pinions, pain, and personal life.* Raleigh, NC: Wake County Cooperative Extension.

Prohm, B., & Baenen, N. (1996). Are WCPSS multi-track elementary schools effective? ERS Spectrum: *Journal of School Research and Information 14*(2), 42-47.

TECHNICAL REPORTS

Baenen, N., & **Prohm, B.** (1995). *1994-95 EPSF results* (Report No. 95E.04). Raleigh, NC: Wake County Public School System, Evaluation and Research Department.

Baenen, N., & **Prohm, B.** (1996). *Are single-track year-round elementary schools effective?* (Report No. 96.11). Raleigh, NC: Wake County Public School System, Evaluation and Research Department.

Baenen, N., **Prohm, B.**, Johnson, J., & Donley, J. (1995). *Improving achievement through technology: Status report on the Magnet Schools Assistance Program (MSAP)* (Report No. 95E.05). Raleigh, NC: Wake County Public School System, Evaluation and Research Department. (ERIC Document Reproduction Service No. ED 384 342)

Baenen, N., **Prohm, B.**, & Reese, A. (1996). *Fall 1995 parent survey results* (Report No. 96E.07). Raleigh, NC: Wake County Public School System, Evaluation and Research Department.

Bollmer, J., Cronin, R., Brauen, M., Howell, B., Fletcher, P., Gonin, R., & Jenkins, F. (2010). *A Study of States' Monitoring and Improvement Practices Under the Individuals with Disabilities Education Act*. (NCSER 2011-3001). Rockville, MD: Westat.

Carruthers, W. L., Baenen, N., **Prohm, B.**, Johnson, J., Dulaney, C., Reher, J., & Stocks, H. (1997). *Alternative schools evaluation report 1995-96: National, local, and specific perspectives*. Paper presented at the meeting of the American Educational Research Association. (Received the 1997 Division H Annual Report Award)

D'Agostino, A. F., Howell, B., & Yonk, S. F. (2010). *Final evaluation report for New York State Education Department 2007-10 MSP projects*. Durham, NC: Compass Consulting Group.

D'Agostino, A. F., Howell, B., & Yonk, S. F. (2010). *Third year evaluation report for New York State Education Department 2007-10 MSP projects*. Durham, NC: Compass Consulting Group.

D'Agostino, A. F., Howell, B., & Yonk, S. F. (2009). *Second year evaluation report for New York State Education Department 2007-10 MSP projects*. Durham, NC: Compass Consulting Group.

D'Agostino, A. F., Howell, B., & Germuth, A. A. (2008). *First year evaluation report for New York State Education Department 2007-10 MSP projects*. Durham, NC: Compass Consulting Group.

Feifs, H., Baenen, N., & **Prohm, B.** (1995). *Fall 1994 parent survey results* (Report No. 95E.03). Raleigh, NC: Wake County Public School System, Evaluation and Research Department. (ERIC Document Reproduction Service No. ED 382 345)

Howell, B. (2007). *Cumberland County School System: Emergency response system final report*. Durham, NC: Compass Consulting Group.

Howell, B. (2007). *Grove Elementary School: 2007 arts integration final report.* Durham, NC: Compass Consulting Group.

Howell, B. (2005). *Tanglewood Middle School: 2005 arts integration final report*. Durham, NC: Compass Consulting Group.

Johnson, R., **Prohm, B.**, & O'Sullivan, R. G., (1998). *Development and implementation of character education programs: 1997-98 principal survey results*. Greensboro, NC: UNCG, Teaching to Diversity.

Lammert, J. D., Heinemeier, S., Howell, B., Germuth, A., & Fiore, T. (2016). *Demonstrating evidence across the project cycle.* Rockville, MD: Westat.

Lammert, J. D., Heinemeier, S., Schaaf, J. M., Fiore, T.A., & Howell, B. (2016). *Evaluating special education programs: Resource Toolkit*. Rockville, MD: Westat

Page, B. (2006) *Surveys of Enacted Curriculum: Pilot Study for the Evaluation of the Disadvantaged Supplemental Student Fund Program: Technical Report*. Durham, NC: Compass Consulting Group.

Page, B., D'Agostino, A. F., & Germuth, A. A. (2007). *New York State Education Department Mathematics and Science Partnership: 2004-06 evaluation report*. Durham, NC: Compass Consulting Group..

Page, B., & D'Agostino, A. F. (2006). *Evaluation of the impact of CWK in three states*. What Works Clearinghouse.

Prohm, B., Baenen, N., & Banks, K. (1995). *Literature review: Writing to Read and other instructional technology* (Report No. 95.18). Raleigh, NC: Wake County Public School System, Evaluation and Research Department.

Prohm, B., Baenen, N., Johnson, J., & Donley, J. (1995). *Safe Schools program 1994-95* (Report No. 96E.01). Raleigh, NC: Wake County Public School System, Evaluation and Research Department. (ERIC Document Reproduction Service No. ED 391 575)

Prohm, B., Feifs, H., & Baenen, N. (1995). *Wake County Public School System 1994-95 dropout report* (Report No. 96.05). Raleigh, NC: Wake County Public School System, Evaluation and Research Department.

Prohm, B., Feifs, H., Baenen, N., & Holoman, P. (1997). *Wake County Public School System 1995-96 dropout report* (Report No. 97.07). Raleigh, NC: Wake County Public School System, Evaluation and Research Department.

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PRESENTATIONS

Howell, B. (March 15, 2012). Professional Development for Arts Educators (PDAE) Program Evaluation Workshop I: GPRA Measure 2. Presented at the Professional Development for Arts Educators Project Directors' Annual Meeting, Washington, DC.

Howell, B. (November 10, 2010). Professional Development for Arts Educators (PDAE) Annual Performance Reporting. Presented at the Arts in Education Model Development and Dissemination Professional Development for Arts Educators Evaluation Workshop, Washington, DC.

Howell, B. (February 4, 2010). School Leadership Program: Getting GPRA Right. Presented at the 2010 School Leadership Program Project Directors and Evaluators Meeting, Washington, DC.

Howell, B. (November 16, 2007). Foreign Language Assistance Program GPRA Measures. Presented at the American Council on the Teaching of Foreign Languages (ACTFL) Convention, San Antonio, TX.

Howell, B. (October 31, 2007). Native American and Alaska Native Program GPRA Presentation. Presented at the OELA Sixth Annual Celebrate our Rising Stars Summit, Washington, D.C.

Howell, B. (October 31, 2007). National Professional Development GPRA Presentation. Presented at the OELA Sixth Annual Celebrate our Rising Stars Summit, Washington, D.C.

Howell, B. (2006, December). Measuring Changes in Teachers' Science Content Knowledge. Presented at the Mathematics and Science Partnership (MSP) Regional Conference, Washington, D.C.

O'Sullivan, R. G., D'Agostino, A. F., **Page, B.**, & Wakely, M. (1999, November). Collaboratively establishing pre- and post-measures for Schools Attuned. Symposium, American Evaluation Association, Orlando, FL.

O'Sullivan, R. G., D'Agostino, A. F., & **Prohm, B.** (1997, November). Collaborative approaches with community-based program for young children and their families. Paper Presentation, American Evaluation Association, San Diego, CA.

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Woody, D., Lee, A., Hudson, C., Perry, D., & **Page, B.** (1999, October). The North Carolina Character Education Partnership: A model for character education, Character Education Partnership 6th National Forum, Charlotte, NC.

Prohm, B. (1998, April). Character education: Measuring school climate. Presentation, North Carolina Association for Research in Education, Greensboro, NC.

PROFESSIONAL MEMBERSHIPS

- Member, American Evaluation Association
- Member, American Educational Research Association

Susan Yonk

EDUCATION

B.S. Computer Science, 1983
University of South Alabama, Mobile, AL
The Wilson Reading System@ Training, Fall 2006
Certificate in ESL Teaching, June 2004
Duke University, Durham, NC
Nortel Networks, 1985 – 2002, *Research Triangle Park, NC*
Completed 560 hours of professional and technical training, including root cause analysis and defect prevention, continuous improvement, technical writing, diversity management, and employee relations; C++, Smalltalk, TCP/IP
A.A.S Paralegal, 1979
Davidson County Community College, Lexington, NC

EXPERIENCE

2005-Present **Research Assistant,** *Compass Evaluation and Research, Inc., Durham, NC (formerly Compass Consulting Group)*

- Data collection and analysis: create online surveys, conduct in-person and phone interviews, organize data collection events, create Excel spreadsheets and input data, analyze quantitative and qualitative data, and write summary reports.
- Report writing: research demographic, economic and education-related data for annual state of the county reports and regional snapshots
- Assist in the development of grant proposals: develop logic models and draft proposals

2004-2005 **ESL and Special Education Instructional Teaching Assistant,** *Baucom Elementary School, Apex, NC*

- Worked with CCR Lead Teacher tutoring special education students, individually and in small groups; used The Wilson Reading System@.
- Designed lesson plans and tutored ESL students individually and in small groups.

1985-2002 **Software Development Manager / Software Engineer,** *Nortel Networks, Research Triangle Park, NC*

- Managed software design teams of 6-17 engineers over 8 years. Responsibilities included project planning for new feature development and day-to-day management of support and sustaining functions. Technical areas included the Centrex Business Services Call Processing software for the DMS-100 digital telephone switch and DMS-100 Core and Peripheral Maintenance software (peripheral maintenance, system recovery, software loads/upgrades and diagnostics).
- Teamed with internal design and test groups, marketing, and customers to define requirements and resolve issues to ensure high quality and timely delivery of software.
- Conducted regular performance feedback sessions with employees. Identified objectives and opportunities for professional and technical development. Participated

in Continuous Improvement of the review and feedback process to improve employee satisfaction.

- Contributed to the achievement of ISO 9000 RTP lab certification by active participation in the definition and documentation of the Software Development and Software Ownership processes and active participation in ISO audits.
- Designed and developed software in the areas of Stream Control Transmission Protocol (SCTP) and ISDN Primary Rate Interface software for the Nortel DMS-100 digital switch. Included requirements analysis; software design, implementation and verification on multiple platforms; problem analysis and resolution; and technical design documentation.
- Designed and developed software for DMS-100 peripheral configuration and maintenance. Included feature design, development, verification and documentation.

1982-1984 **Software Designer,** *QMS, Inc., Mobile, AL*

- Developed software for the manipulation of bit-mapped graphics for the QMS line of printers.
- Supervised two technicians responsible for the generation of bit-mapped fonts and graphics using graphics workstations.

TECHNICAL REPORTS

Heinemeier, S. and Yonk, S. (2014). *Alamance County State of the County Report.* Burlington, NC: Alamance Partnership for Children

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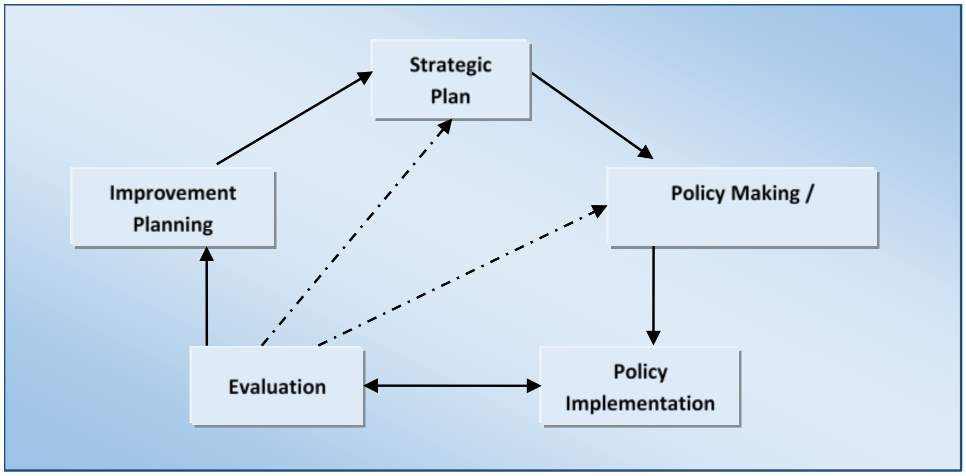
V. Compass' Framework for Evaluation

Figure 1. Framework for Evaluation Use and Influence



Compass' framework for evaluation involves first viewing the evaluation within the context of its potential contribution to the organization before assessing its contribution to the actual program to be evaluated. Compass also believes that understanding the contribution of evaluation on any level (i.e., programmatic, organizational, community, state, etc.) begins with a clear conceptualization of the relation of evaluation methods and findings to other aspects of goal attainment such as strategic planning, policy making/resource allocation, program implementation, and improvement planning. With this in mind, evaluation is one link in an iterative chain, as depicted in Figure I.

As shown, strategic planning is the process by which mid- and long-term vision, mission, goals, objectives, and benchmarks are established. The strategic plan is used to inform policy-making, the process by which resources are allocated so that the strategic plan can be achieved. Resources include but are not limited to funding, personnel, time…anything of value that can be transferred and used. Policy-making is a difficult process involving the allocation of limited resources to almost unlimited demands and needs and/or the creation of decision frameworks regarding those allocations. Therefore, various analytic tools such as multi-attribute decision-making and cost benefit analysis are used to help elucidate the most efficient and equitable paths to achieving the strategic plan. Once policies are made and resources are allocated, policies are implemented through the spending of resources to achieve the strategic plan goals.

Evaluation can be part of the entire process or discrete components of the process. Again, as illustrated in Figure 1, evaluation can be used to provide information regarding the extent to which: a) the plan has been achieved; b) policy-making has efficiently and equitably operationalized the plan; and/or c) policy implementation has been effective at achieving the stipulations of the plan. Evaluation results in an agenda for change, designated as Improvement Planning. These plans identify and value what has taken place and provide recommendations and guidance for what might take place, all within the context of achieving (or revising) the overarching plan.

Given this philosophy, several concrete steps need to be taken to operationalize theory into an evaluation design and framework. These steps are included in Figure 2 and outlined as follows. Not surprisingly, they overlap strongly with the Centers for Disease Control's (CDC) framework for evaluation.

1. Stakeholder Identification

The first step is stakeholder identification. Stakeholders can be loosely defined as anyone that is (positively or negatively) affected by the strategic plan, policy-making, and/or implementation. It is important to recognize all stakeholders, including those who may incur costs because of programming.

2. Needs Identification

The next step in the process is identification of needs. Valuation of policies and programs relies upon identification of stakeholder needs and the evaluation questions that would best respond to those needs. Resource Mapping (including needs assessments and gap analyses) is one tool that Compass relies upon to establish the scope and intensity, and if applicable, location of stakeholder needs. Needs identification also involves accurately understanding the program to be evaluated and the context in which it operates. The findings from needs assessments and gap analyses along with program descriptions are considered fundamental to the construction of an evaluation design.

3. Evaluation Design

With the information gathered from stakeholders and through needs identification, Compass identifies key evaluation questions and potential evaluation activities that will result in capturing the best evidence for assessing program impacts. Often multiple activities and data sources are identified to address each question as data triangulation is recognized as one way to validate findings. These plans, which form the evaluation design, are shared with stakeholders for their input.

4. Collection of Credible Evidence

Once an evaluation design is agreed upon, Compass enacts that design and begins data collection. As noted throughout, Compass collects data from many and diverse sources, using multiple and mixed methods for each evaluation question.

5. Drawing Justifiable Conclusions

Once data are collected, evaluators begin assessing the degree to which programs and policies are achieving expressed goals and objectives. Data are also assessed to determine the degree to which they support or defeat rival hypotheses and to ascertain any unintended consequences, positive or negative. During this phase, a Process of Valuation also occurs, whereby program achievements are assessed within the context of stakeholder needs and analyzed through context-specific “filters” to facilitate the determination of the “value” of program outcomes. Filters may include program barriers, side effects or value added, cost effectiveness, etc. The Process of Valuation is best completed in cooperation and collaboration with stakeholders and program representatives, who are most knowledgeable about program outcomes. This process informs Recommendations and Improvement Planning for future change.

Within this framework, Compass regularly incorporates the following into their evaluation activities:

- A collaborative approach, whereby efforts are taken to engage key program stakeholders throughout the evaluative process. This promotes the value and validity of findings while also expanding the evaluation expertise of program staff.
- Formative evaluation activities, as there are often many chances to learn information that may be useful fur future or similar programs.
- Meta-evaluations, where an objective review of evaluation plans and activities are requested, formally or informally, as is best practice for ensuring evaluations adhere to the standards advocated by the Joint

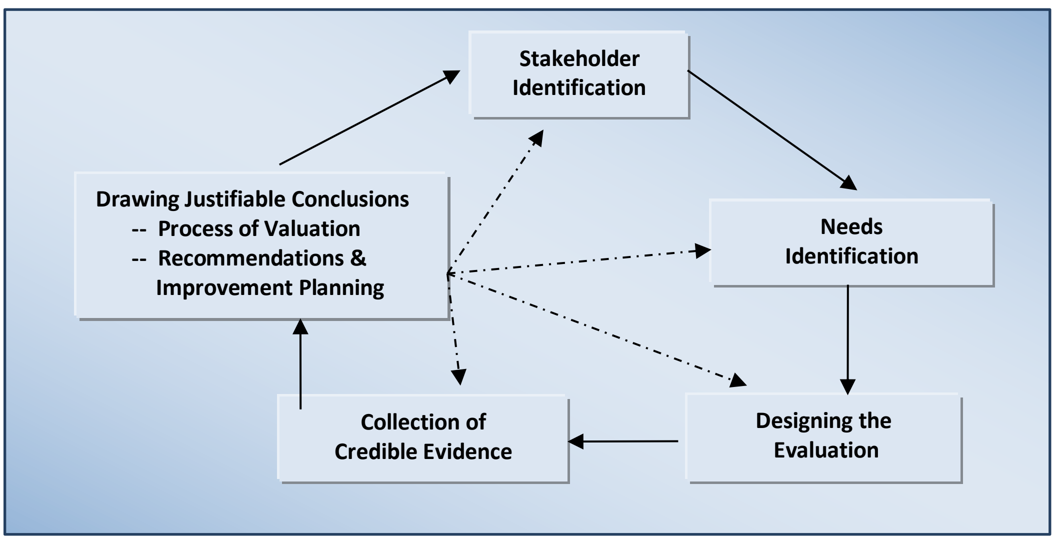
Committee on Standards for Evaluation of Personnel, Programs, and Students and AEA guiding Principles.

- Adherence to Joint Committee Standards for Evaluation which are broadly stated as: 1) Utility Standards: intended to ensure that an evaluation will serve the information needs of intended users; 2) Feasibility Standards: intended to ensure that an evaluation will be realistic, prudent, diplomatic, and frugal; 3) Propriety Standards: intended to ensure that an evaluation will be conducted legally, ethically, and with due regard for the welfare of those involved in the evaluation, as well as those affected by its results; and 4) Accuracy Standards: intended to ensure that an evaluation will reveal and convey technically accurate information about the features that determine worth or merit of the program being evaluated.

Although the above descriptions suggest that operationalizing evaluation is a linear process, the model below shows that this is rarely the case. Operationalizing evaluation is a process that while iterative, may also at times require backtracking and reassessing or adding such things as key evaluation questions, activities, data sources, or stakeholders as new data continue to be analyzed and impacts become clearer.

With this framework as a way to introduce its general view of evaluation, Compass is willing to conduct various and multiple types of evaluation activities as required by Fairfax County. Compass believes that its expertise in formative, summative, collaborative evaluations, quasi-experimental designs, and cost analyses are evident in all its work.

Figure 2. Operationalizing Evaluation



Compass believes in and promotes the Guiding Principles established by the American Evaluation Association (AEA); all of Compass' proposals and contracts are established with the understanding that the Guiding Principles define ethical practice in evaluation. The standards acknowledge the multiple disciplines from which evaluators arise and the varied nature of training and preparation evaluators may have. The standards therefore are necessary to standardize practice and ensure a minimum level of competence and ethical practice is provided. In short, the standards dictate:

SYSTEMATIC INQUIRY: *Evaluators conduct systematic, data-based inquiries.* Compass grounds all of its practice in research-based inquiry. All Compass evaluators have advanced training in experimental and quasi-experimental design as well as methodologies for managing and analyzing data (including proficiencies in software packages such as SPSS, SAS, and Excel). Further, all Compass evaluators engage in ongoing professional development to a) further refine their practice and b) maintain current knowledge regarding "*state of the art*" experimental and statistical techniques.

Often, Compass is tasked with first explaining the methodologies utilized in an evaluation. Compass also is often required to provide its deliverables (e.g., reports, Power Point presentations) in multiple formats for dissemination to multiple audiences (e.g., technical readers, public policy advocates, policy makers, clients, the general public). Compass views these tasks as an important service for clients as it helps build the capacity of individual clients to identify and demand high-quality, technically accomplished work.

COMPETENCE: *Evaluators provide competent performance to stakeholders.* Compass engages in ongoing professional development and, as noted, Compass' evaluators continue their educational attainment with pursuit of additional advanced degrees and certifications. Compass invests in professional development to a) maintain the quality and integrity of our practice and b) provide innovative and responsive evaluation solutions to clients. With rapidly developing opportunities in information technology (e-mail and web-based data collection, management, and analysis), Compass believes it is imperative that we maintain and advance our knowledge and capacity to utilize multiple modes of communication with stakeholders.

Compass clients frequently are provided with evaluators' resumes and biographies, which describe evaluator credentials and competencies to perform the described tasks. These documents are updated frequently to reflect our advancing capacities and experience.

Finally, all Compass evaluators have completed coursework and training in acknowledging bias in evaluation. Bias may emerge in multiple forms and be expressed at any point within an evaluation. The most common forms of bias reflect issues of cultural diversity and its intersections with race/ethnicity, socioeconomic standing, religion, nationality, and language. Compass employs meta-evaluation to identify and mediate bias and ensure cultural sensitivity, salience, and appropriateness of data collection and analyses. When possible, Compass will engage an external evaluator to conduct a meta-evaluation of a project. Most often, Compass works with Advisory Groups or staff committees that receive updates on and contribute collaboratively to design and instrument selection processes. For example, Compass in its work with the Kentucky All STARS Validation Study, Children's Services Council of Palm Beach County's BRIDGES evaluation, and numerous North Carolina Smart Start partnerships (e.g., Forsyth, Davidson, Alamance, and Person counties) participates in Evaluation Committees for providing oversight and insight into evaluation activities and findings.

INTEGRITY/HONESTY: *Evaluators display honesty and integrity in their own behavior, and attempt to ensure the honesty and integrity of the entire evaluation process.* Compass insists on transparent processes such that all project stakeholders can observe, question and have questions regarding the evaluation resolved. Compass actively promotes this transparency through its collaborative process, which makes evaluation plans, findings and reports available to multiple stakeholders for comment and feedback.

RESPECT FOR PEOPLE: *Evaluators respect the security, dignity, and self-worth of respondents, program participants, clients, and other evaluation stakeholders.* Compass approaches this standard in much the same way it approaches issues of bias. Compass evaluators realize that there can be no dissolution of inherent bias. Therefore, Compass takes steps to identify and resolve bias through processes of meta-evaluation, collaboration, and transparency.

RESPONSIBILITIES FOR GENERAL AND PUBLIC WELFARE: *Evaluators articulate and take into account the diversity of general and public interests and values that may be related to the evaluation.* Compass' evaluation planning begins within identification of project stakeholders. In our experience, the list of stakeholders can be long and varied, encompassing clients, staff, policy makers, community members, funders, and so on. Compass evaluation planning identifies how key stakeholders will be approached and engaged in the evaluation process, and therefore provide their feedback and perspectives to the final product. Compass' experience is that, in matters of public policy and finance, there rarely are "*win-win*" situations. Rather, in those situations, what is at stake are trade-offs in programming and the purpose of the evaluation is to identify and account for the positive benefits that have accrued to some and the negative effects that have accrued to others. Thus, Compass' definition of stakeholder encompasses those who are both negatively and positively affected by the existence (i.e., funding) of the project under evaluation. Examples of Compass work in this regard include the numerous community surveys conducted for local North Carolina Smart Start agencies, interviews conducted with ECHO 2 health initiative clients, and interviews with IDEA Data Center (IDC) technical assistance recipients.

JAMES MADISON UNIVERSITY

Sponsored Programs Evaluation Services

PRICING SCHEDULE

RFP Number: **MLO-944**

ORIGINAL

SUBMITTED BY:
Compass Evaluation and Research, Inc.
5720 Fayetteville Rd., Suite 202
Durham, NC 27713

Toll Free: **877.652.0189**
Phone: **919.544.9004**
Fax: **919.321.6997**

www.CompassEval.com

EIN: 27-0845506

COMPASS
EVALUATION AND RESEARCH, INC.

I certify that this proposal is made without prior understanding, agreement or connection with any corporation, firm, or person submitting a proposal for the same services, materials, supplies, or equipment, and is in all respect fair and without collusion and fraud. I agree to abide by all conditions of this proposal and certify that I am authorized to sign this proposal for the offeror.

Authorized Signature: ______________________ *Date:* ***8/14/2018***

Printed Name: ***Anne D'Agostino***

Title: *Partner / Senior Evaluator*

PRICING SCHEDULE

POSITION TITLE	HOURLY RATE
Project Director	$125
Project Manager	$115
Statistician	$150
Data Technician/Manager	$75
Project Assistant	$40
Administrative/Support Personnel (data entry, clerical, etc.)	$30

The above hourly rates include benefits and taxes as follows:

- FICA – 6.20%
- Medicare and Social Security – 1.45%
- Health Insurance – 10.0%
- Disability Insurance – 2.1%
- Liability and Business Insurance – 2.1%
- Retirement Contribution – 9.0%
- Overhead – 10.0%

Request for Proposal

RFP# MLO-944

Sponsored Programs Evaluation Services

July 9, 2018

REQUEST FOR PROPOSAL
RFP# MLO-944

Issue Date: **July 9, 2018**

Title: **Sponsored Programs Evaluation Services**

Issuing Agency: **Commonwealth of Virginia**
James Madison University
Procurement Services MSC 5720
752 Ott Street, Wine Price Building
First Floor, Suite 1023
Harrisonburg, VA 22807

Period of Contract: From Date of Award Through One Year (Renewable)

Sealed Proposals Will Be Received Until 2:00 PM on August 14, 2018 for Furnishing The Services Described Herein.

SEALED PROPOSALS MAY BE MAILED, EXPRESS MAILED, OR HAND DELIVERED DIRECTLY TO THE ISSUING AGENCY SHOWN ABOVE.

All Inquiries For Information And Clarification Should Be Directed To: Matasha Owens, MPA, CUPO, VCO, Buyer Senior, Procurement Services, owensml@jmu.edu; 540-568-3137; (Fax) 540-568-7935 not later than five business days before the proposal closing date.

NOTE: THE SIGNED PROPOSAL AND ALL ATTACHMENTS SHALL BE RETURNED.
In compliance with this Request for Proposal and to all the conditions imposed herein, the undersigned offers and agrees to furnish the goods/services in accordance with the attached signed proposal or as mutually agreed upon by subsequent negotiation.

Name and Address of Firm:

____

____

____

By: ____________________________________
(Signature in Ink)

Name: __________________________________
(Please Print)

Date: ______________________________ Title: ______________________________

Web Address: __________________________ Phone: ______________________________

Email: ________________________________ Fax #: ______________________________

ACKNOWLEDGE RECEIPT OF ADDENDUM: #1_____ #2_____ #3_____ #4_____ #5_____ (please initial)

SMALL, WOMAN OR MINORITY OWNED BUSINESS:
☐ YES; ☐ NO; ***IF YES*** ⇒⇒ ☐ SMALL; ☐ WOMAN; ☐ MINORITY ***IF MINORITY***: ☐ AA; ☐ HA; ☐ AsA; ☐ NW; ☐ Micro

Note: This public body does not discriminate against faith-based organizations in accordance with the *Code of Virginia*, § 2.2-4343.1 or against an offeror because of race, religion, color, sex, national origin, age, disability, or any other basis prohibited by state law relating to discrimination in employment.

Rev. 5/4/18 LMF

REQUEST FOR PROPOSAL

RFP # MLO-944

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A. Offeror Data Sheet
B. SWaM Utilization Plan
C. Sample of Standard Contract

I. PURPOSE

The purpose of this Request for Proposal (RFP) is to solicit sealed proposals from qualified sources to enter into a contract to provide evaluation services for external funding at James Madison University (JMU), an agency of the Commonwealth of Virginia. Initial contract shall be for one (1) year with an option to renew for four (4) additional one-year periods.

II. BACKGROUND

James Madison University (JMU) is a comprehensive public institution in Harrisonburg, Virginia with an enrollment of approximately 22,000 students and more than 4,000 faculty and staff. There are over 600 individual departments on campus that support seven academic divisions. The University offers over 120 majors, minors, and concentrations. Further information about the University may be found at the following website: http://www.jmu.edu.

JMU pursues external funding for a variety of programs and special projects that advance the University's mission. External funding is sought from diverse sources, including federal, state, and local agencies, corporate entities, local and national grant making foundations, and private donors. Types of support received at the University includes grants, cooperative agreements, and contracts. In FY2017, 194 individuals at JMU sought or received a total of $16M in external funding to promote research, instruction, outreach, and other activities. A full-report of FY2017 activity can be found at the following website: https://www.jmu.edu/sponsoredprograms/newsletters-and-reports/FY17-OSPAnnualReport_final.pdf

Increasingly, more sponsors require robust evaluation or assessment plans in their guidelines to receive funding. As a condition of funding, applicants are required to collect and report performance data to show the efficacy of programs. The University currently receives funding from various federal agencies such as the Department of Health and Human Services, Department of Education, Department of State, National Science Foundation, Department of Energy, National Endowment for the Arts, National Endowment for the Humanities, and Environmental Protection Agency as well as state, local, private, and corporate sponsors.

III. SMALL, WOMAN-OWNED AND MINORITY PARTICIPATION

It is the policy of the Commonwealth of Virginia to contribute to the establishment, preservation, and strengthening of small businesses and businesses owned by women and minorities, and to encourage their participation in State procurement activities. The Commonwealth encourages contractors to provide for the participation of small businesses and businesses owned by women and minorities through partnerships, joint ventures, subcontracts, and other contractual opportunities. Attachment B contains information on reporting spend data with subcontractors.

IV. STATEMENT OF NEEDS

James Madison University seeks to contract with an experienced Contractor(s) to provide evaluation services on an as-needed basis for the various externally-funded programs at the University. Contractors should have expertise in program evaluation and research design, management of complex, multi-site evaluation projects with multiple stakeholders, and scientific research methodologies including the development of surveys and other data collection instruments as well as sampling, testing, and statistical analysis. Contractors should also have experience related to a regulatory environment and compliance, such as the Health Insurance Portability and Accountability Act (HIPAA), and working with Institutional Review Boards or Institutional

Animal Care and Use Committees. At the request of the University, Offerors shall create logic models, develop evaluation design plans that include formative and summative assessments and both qualitative and quantitative evaluation methods, create and implement data collection and sampling plans, conduct analyses, write reports, and disseminate results. Some programs may require evaluators with specific skills related to a particular field (*i.e. biology, education, human services, engineering*).

Describe in detail your firm's approach to each of the following items. Failure to provide responses to the items listed below may result in rejection of the proposal.

A. Describe in detail the firm's qualifications and expertise in providing evaluation services to organizations similar in size and scope to James Madison University.

B. Provide a detailed description of the firm's areas of expertise (i.e. biology, education, human services). Include general and specific evaluation design specialties/expertise.

C. Describe in detail the firm's prior evaluations of externally-funded projects, specifically any evaluations provided for governmental entities and institutions of higher education. Include a list of projects, funding agency, contact information to include name, phone number, and email address, and nature of the project as well as any additional information that would be helpful in evaluating the capacity and complexity of past projects.

D. Describe any innovative or creative design approaches or strategies.

E. Describe in detail the firm's evaluation planning and implementation methodology to include the following:

   1. Allocation of staff

   2. Management methods

   3. Systems to ensure maintenance of complete and accurate records

   4. Processes in place to protect personally identifiable information

   5. Potential use of subcontractors

   6. Commitment to project completion within time and budget constraints

F. Describe your firm's quality control process, including mechanisms to detect and reduce fraud and errors in data collection.

G. Describe your firm's software used for statistical analysis of data.

H. Provide the names, titles, and resumes of key management personnel that may be assigned to perform work for James Madison University.

I. Provide a sample evaluation plan, evaluation report, or executive summary for a recent project for which the firm provided evaluation services.

V. PROPOSAL PREPARATION AND SUBMISSION

A. GENERAL INSTRUCTIONS

To ensure timely and adequate consideration of your proposal, offerors are to limit all contact, whether verbal or written, pertaining to this RFP to the James Madison University Procurement Office for the duration of this Proposal process. Failure to do so may jeopardize further consideration of Offeror's proposal.

1. RFP Response: In order to be considered for selection, the **Offeror shall submit a complete response to this RFP**; and shall submit to the issuing Purchasing Agency:

   a. **One (1) original** and **six (6) copies** of the entire proposal, INCLUDING ALL ATTACHMENTS. Any proprietary information should be clearly marked in accordance with 3.f. below.

   b. **One (1) electronic copy in WORD format or searchable PDF** (*CD or flash drive*) of the entire proposal, INCLUDING ALL ATTACHMENTS. Any proprietary information should be clearly marked in accordance with 3.f. below.

   c. Should the proposal contain **proprietary information**, provide **one (1) redacted hard copy** of the proposal and all attachments with **proprietary portions removed or blacked out**. This copy should be clearly marked "*Redacted Copy*" on the front cover. The classification of an entire proposal document, line item prices, and/or total proposal prices as proprietary or trade secrets is not acceptable. JMU shall not be responsible for the Contractor's failure to exclude proprietary information form this redacted copy.

   No other distribution of the proposal shall be made by the Offeror.

2. The version of the solicitation issued by JMU Procurement Services, as amended by an addenda, is the mandatory controlling version of the document. Any modification of, or additions to, the solicitation by the Offeror shall not modify the official version of the solicitation issued by JMU Procurement services unless accepted in writing by the University. Such modifications or additions to the solicitation by the Offeror may be cause for rejection of the proposal; however, JMU reserves the right to decide, on a case-by-case basis in its sole discretion, whether to reject such a proposal. If the modification or additions are not identified until after the award of the contract, the controlling version of the solicitation document shall still be the official state form issued by Procurement Services.

3. Proposal Preparation

   a. Proposals shall be signed by an authorized representative of the Offeror. All information requested should be submitted. Failure to submit all information requested may result in the purchasing agency requiring prompt submissions of missing information and/or giving a lowered evaluation of the proposal. Proposals which are substantially incomplete or lack key information may be rejected by the purchasing agency. Mandatory requirements are those required by law or regulation or are such that they cannot be waived and are not subject to negotiation.

b. Proposals shall be prepared simply and economically, providing a straightforward, concise description of capabilities to satisfy the requirements of the RFP. Emphasis should be placed on completeness and clarity of content.

c. Proposals should be organized in the order in which the requirements are presented in the RFP. All pages of the proposal should be numbered. Each paragraph in the proposal should reference the paragraph number of the corresponding section of the RFP. It is also helpful to cite the paragraph number, sub letter, and repeat the text of the requirement as it appears in the RFP. If a response covers more than one page, the paragraph number and sub letter should be repeated at the top of the next page. The proposal should contain a table of contents which cross references the RFP requirements. Information which the offeror desires to present that does not fall within any of the requirements of the RFP should be inserted at the appropriate place or be attached at the end of the proposal and designated as additional material. Proposals that are not organized in this manner risk elimination from consideration if the evaluators are unable to find where the RFP requirements are specifically addressed.

d. As used in this RFP, the terms "must", "shall", "should" and "may" identify the criticality of requirements. "Must" and "shall" identify requirements whose absence will have a major negative impact on the suitability of the proposed solution. Items labeled as "should" or "may" are highly desirable, although their absence will not have a large impact and would be useful, but are not necessary. Depending on the overall response to the RFP, some individual "must" and "shall" items may not be fully satisfied, but it is the intent to satisfy most, if not all, "must" and "shall" requirements. The inability of an offeror to satisfy a "must" or "shall" requirement does not automatically remove that offeror from consideration; however, it may seriously affect the overall rating of the offeror' proposal.

e. Each copy of the proposal should be bound or contained in a single volume where practical. All documentation submitted with the proposal should be contained in that single volume.

f. Ownership of all data, materials and documentation originated and prepared for the State pursuant to the RFP shall belong exclusively to the State and be subject to public inspection in accordance with the Virginia Freedom of Information Act. Trade secrets or proprietary information submitted by the offeror shall not be subject to public disclosure under the Virginia Freedom of Information Act; however, the offeror must invoke the protection of Section 2.2-4342F of the Code of Virginia, in writing, either before or at the time the data is submitted. The written notice must specifically identify the data or materials to be protected and state the reasons why protection is necessary. The proprietary or trade secret materials submitted must be identified by some distinct method such as highlighting or underlining and must indicate only the specific words, figures, or paragraphs that constitute trade secret or proprietary information. The classification of an entire proposal document, line item prices and/or total proposal prices as proprietary or trade secrets is not acceptable and will result in rejection and return of the proposal.

4. Oral Presentation: Offerors who submit a proposal in response to this RFP may be required to give an oral presentation of their proposal to James Madison University. This provides an opportunity for the Offeror to clarify or elaborate on the proposal. This is a fact-finding and explanation session only and does not include negotiation. James Madison University will schedule the time and location of these presentations. Oral presentations are an option

of the University and may or may not be conducted. Therefore, proposals should be complete.

B. SPECIFIC PROPOSAL INSTRUCTIONS

Proposals should be as thorough and detailed as possible so that James Madison University may properly evaluate your capabilities to provide the required services. Offerors are required to submit the following items as a complete proposal:

1. Return RFP cover sheet and all addenda acknowledgements, if any, signed and filled out as required.

2. Plan and methodology for providing the goods/services as described in Section IV. Statement of Needs of this Request for Proposal.

3. A written narrative statement to include, but not be limited to, the expertise, qualifications, and experience of the firm and resumes of specific personnel to be assigned to perform the work.

4. Offeror Data Sheet, included as *Attachment A* to this RFP.

5. Small Business Subcontracting Plan, included as *Attachment B* to this RFP. Offeror shall provide a Small Business Subcontracting plan which summarizes the planned utilization of Department of Small Business and Supplier Diversity (SBSD)-certified small businesses which include businesses owned by women and minorities, when they have received Department of Small Business and Supplier Diversity (SBSD) small business certification, under the contract to be awarded as a result of this solicitation. This is a requirement for all prime contracts in excess of $100,000 unless no subcontracting opportunities exist.

6. Identify the amount of sales your company had during the last twelve months with each VASCUPP Member Institution. A list of VASCUPP Members can be found at: www.VASCUPP.org.

7. Proposed Cost. See Section X. Pricing Schedule of this Request for Proposal.

VI. EVALUATION AND AWARD CRITERIA

A. EVALUATION CRITERIA

Proposals shall be evaluated by James Madison University using the following criteria:

1. Quality of products/services offered and suitability for intended purposes

2. Qualifications and experience of Offeror in providing the goods/services

3. Specific plans or methodology to be used to perform the services

4. Participation of Small, Women-Owned, & Minority (SWaM) Businesses

5. Cost

Allocation of points for evaluation criteria will be published to the eVA solicitation posting prior to the closing date and time.

B. AWARD TO MULTIPLE OFFERORS: Selection shall be made of two or more offerors deemed to be fully qualified and best suited among those submitting proposals on the basis of the evaluation factors included in the Request for Proposals, including price, if so stated in the Request for Proposals. Negotiations shall be conducted with the offerors so selected. Price shall be considered, but need not be the sole determining factor. After negotiations have been conducted with each offeror so selected, the agency shall select the offeror which, in its opinion, has made the best proposal, and shall award the contract to that offeror. The Commonwealth reserves the right to make multiple awards as a result of this solicitation. The Commonwealth may cancel this Request for Proposals or reject proposals at any time prior to an award, and is not required to furnish a statement of the reasons why a particular proposal was not deemed to be the most advantageous. Should the Commonwealth determine in writing and in its sole discretion that only one offeror is fully qualified, or that one offeror is clearly more highly qualified than the others under consideration, a contract may be negotiated and awarded to that offeror. The award document will be a contract incorporating by reference all the requirements, terms and conditions of the solicitation and the contractor's proposal as negotiated.

VII. GENERAL TERMS AND CONDITIONS

A. PURCHASING MANUAL: This solicitation is subject to the provisions of the Commonwealth of Virginia's Purchasing Manual for Institutions of Higher Education and Their Vendors and any revisions thereto, which are hereby incorporated into this contract in their entirety. A copy of the manual is available for review at the purchasing office. In addition, the manual may be accessed electronically at http://www.jmu.edu/procurement or a copy can be obtained by calling Procurement Services at (540) 568-3145.

B. APPLICABLE LAWS AND COURTS: This solicitation and any resulting contract shall be governed in all respects by the laws of the Commonwealth of Virginia and any litigation with respect thereto shall be brought in the courts of the Commonwealth. The Contractor shall comply with applicable federal, state and local laws and regulations.

C. ANTI-DISCRIMINATION: By submitting their proposals, offerors certify to the Commonwealth that they will conform to the provisions of the Federal Civil Rights Act of 1964, as amended, as well as the Virginia Fair Employment Contracting Act of 1975, as amended, where applicable, the Virginians With Disabilities Act, the Americans With Disabilities Act and §10 of the Rules Governing Procurement, Chapter 2, Exhibit J, Attachment 1 (available for review at http://www.jmu.edu/procurement). If the award is made to a faith-based organization, the organization shall not discriminate against any recipient of goods, services, or disbursements made pursuant to the contract on the basis of the recipient's religion, religious belief, refusal to participate in a religious practice, or on the basis of race, age, color, gender or national origin and shall be subject to the same rules as other organizations that contract with public bodies to account for the use of the funds provided; however, if the faith-based organization segregates public funds into separate accounts, only the accounts and programs funded with public funds shall be subject to audit by the public body. *(§6 of the Rules Governing Procurement*).

In every contract over $10,000 the provisions in 1. and 2. below apply:

1. During the performance of this contract, the contractor agrees as follows:

a. The contractor will not discriminate against any employee or applicant for employment because of race, religion, color, sex, national origin, age, disability, or any other basis prohibited by state law relating to discrimination in employment, except where there is a bona fide occupational qualification reasonably necessary to the normal operation of the contractor. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of this nondiscrimination clause.

b. The contractor, in all solicitations or advertisements for employees placed by or on behalf of the contractor, will state that such contractor is an equal opportunity employer.

c. Notices, advertisements, and solicitations placed in accordance with federal law, rule, or regulation shall be deemed sufficient for the purpose of meeting these requirements.

2. The contractor will include the provisions of 1. Above in every subcontract or purchase order over $10,000, so that the provisions will be binding upon each subcontractor or vendor.

D. ETHICS IN PUBLIC CONTRACTING: By submitting their proposals, offerors certify that their proposals are made without collusion or fraud and that they have not offered or received any kickbacks or inducements from any other offeror, supplier, manufacturer or subcontractor in connection with their proposal, and that they have not conferred on any public employee having official responsibility for this procurement transaction any payment, loan, subscription, advance, deposit of money, services or anything of more than nominal value, present or promised, unless consideration of substantially equal or greater value was exchanged.

E. IMMIGRATION REFORM AND CONTROL ACT OF 1986: By entering into a written contract with the Commonwealth of Virginia, the Contractor certifies that the Contractor does not, and shall not during the performance of the contract for goods and services in the Commonwealth, knowingly employ an unauthorized alien as defined in the federal Immigration Reform and Control Act of 1986.

F. DEBARMENT STATUS: By submitting their proposals, offerors certify that they are not currently debarred by the Commonwealth of Virginia from submitting proposals on contracts for the type of goods and/or services covered by this solicitation, nor are they an agent of any person or entity that is currently so debarred.

G. ANTITRUST: By entering into a contract, the contractor conveys, sells, assigns, and transfers to the Commonwealth of Virginia all rights, title and interest in and to all causes of action it may now have or hereafter acquire under the antitrust laws of the United States and the Commonwealth of Virginia, relating to the particular goods or services purchased or acquired by the Commonwealth of Virginia under said contract.

H. MANDATORY USE OF STATE FORM AND TERMS AND CONDITIONS RFPs: Failure to submit a proposal on the official state form provided for that purpose may be a cause for rejection of the proposal. Modification of or additions to the General Terms and Conditions of the solicitation may be cause for rejection of the proposal; however, the Commonwealth reserves the right to decide, on a case by case basis, in its sole discretion, whether to reject such a proposal.

I. CLARIFICATION OF TERMS: If any prospective offeror has questions about the specifications or other solicitation documents, the prospective offeror should contact the buyer whose name appears on the face of the solicitation no later than five working days before the due date. Any revisions to the solicitation will be made only by addendum issued by the buyer.

J. PAYMENT:

1. To Prime Contractor:

   a. Invoices for items ordered, delivered and accepted shall be submitted by the contractor directly to the payment address shown on the purchase order/contract. All invoices shall show the state contract number and/or purchase order number; social security number (for individual contractors) or the federal employer identification number (for proprietorships, partnerships, and corporations).

   b. Any payment terms requiring payment in less than 30 days will be regarded as requiring payment 30 days after invoice or delivery, whichever occurs last. This shall not affect offers of discounts for payment in less than 30 days, however.

   c. All goods or services provided under this contract or purchase order, that are to be paid for with public funds, shall be billed by the contractor at the contract price, regardless of which public agency is being billed.

   d. The following shall be deemed to be the date of payment: the date of postmark in all cases where payment is made by mail, or the date of offset when offset proceedings have been instituted as authorized under the Virginia Debt Collection Act.

   e. Unreasonable Charges. Under certain emergency procurements and for most time and material purchases, final job costs cannot be accurately determined at the time orders are placed. In such cases, contractors should be put on notice that final payment in full is contingent on a determination of reasonableness with respect to all invoiced charges. Charges which appear to be unreasonable will be researched and challenged, and that portion of the invoice held in abeyance until a settlement can be reached. Upon determining that invoiced charges are not reasonable, the Commonwealth shall promptly notify the contractor, in writing, as to those charges which it considers unreasonable and the basis for the determination. A contractor may not institute legal action unless a settlement cannot be reached within thirty (30) days of notification. The provisions of this section do not relieve an agency of its prompt payment obligations with respect to those charges which are not in dispute (*Rules Governing Procurement, Chapter 2, Exhibit J, Attachment 1 § 53; available for review at http://www.jmu.edu/procurement*).

2. To Subcontractors:

   a. A contractor awarded a contract under this solicitation is hereby obligated:

      (1) To pay the subcontractor(s) within seven (7) days of the contractor's receipt of payment from the Commonwealth for the proportionate share of the payment received for work performed by the subcontractor(s) under the contract; or

(2) To notify the agency and the subcontractors, in writing, of the contractor's intention to withhold payment and the reason.

b. The contractor is obligated to pay the subcontractor(s) interest at the rate of one percent per month (unless otherwise provided under the terms of the contract) on all amounts owed by the contractor that remain unpaid seven (7) days following receipt of payment from the Commonwealth, except for amounts withheld as stated in (2) above. The date of mailing of any payment by U. S. Mail is deemed to be payment to the addressee. These provisions apply to each sub-tier contractor performing under the primary contract. A contractor's obligation to pay an interest charge to a subcontractor may not be construed to be an obligation of the Commonwealth.

3. Each prime contractor who wins an award in which provision of a SWAM procurement plan is a payment, evidence and certification of compliance (subject only to insubstantial shortfalls and to shortfalls arising from subcontractor default) with the SWAM procurement plan. Final payment under the contract in question may be withheld until such certification is delivered and, if necessary, confirmed by the agency or institution, or other appropriate penalties may be assessed in lieu of withholding such payment.

4. The Commonwealth of Virginia encourages contractors and subcontractors to accept electronic and credit card payments.

K. PRECENDENCE OF TERMS: Paragraphs A through J of these General Terms and Conditions and the Commonwealth of Virginia Purchasing Manual for Institutions of Higher Education and their Vendors, shall apply in all instances. In the event there is a conflict between any of the other General Terms and Conditions and any Special Terms and Conditions in this solicitation, the Special Terms and Conditions shall apply.

L. QUALIFICATIONS OF OFFERORS: The Commonwealth may make such reasonable investigations as deemed proper and necessary to determine the ability of the offeror to perform the services/furnish the goods and the offeror shall furnish to the Commonwealth all such information and data for this purpose as may be requested. The Commonwealth reserves the right to inspect offeror's physical facilities prior to award to satisfy questions regarding the offeror's capabilities. The Commonwealth further reserves the right to reject any proposal if the evidence submitted by, or investigations of, such offeror fails to satisfy the Commonwealth that such offeror is properly qualified to carry out the obligations of the contract and to provide the services and/or furnish the goods contemplated therein.

M. TESTING AND INSPECTION: The Commonwealth reserves the right to conduct any test/inspection it may deem advisable to assure goods and services conform to the specifications.

N. ASSIGNMENT OF CONTRACT: A contract shall not be assignable by the contractor in whole or in part without the written consent of the Commonwealth.

O. CHANGES TO THE CONTRACT: Changes can be made to the contract in any of the following ways:

1. The parties may agree in writing to modify the scope of the contract. An increase or decrease in the price of the contract resulting from such modification shall be agreed to by the parties as a part of their written agreement to modify the scope of the contract.

2. The Purchasing Agency may order changes within the general scope of the contract at any time by written notice to the contractor. Changes within the scope of the contract include, but are not limited to, things such as services to be performed, the method of packing or shipment, and the place of delivery or installation. The contractor shall comply with the notice upon receipt. The contractor shall be compensated for any additional costs incurred as the result of such order and shall give the Purchasing Agency a credit for any savings. Said compensation shall be determined by one of the following methods:

   a. By mutual agreement between the parties in writing; or

   b. By agreeing upon a unit price or using a unit price set forth in the contract, if the work to be done can be expressed in units, and the contractor accounts for the number of units of work performed, subject to the Purchasing Agency's right to audit the contractor's records and/or to determine the correct number of units independently; or

   c. By ordering the contractor to proceed with the work and keep a record of all costs incurred and savings realized. A markup for overhead and profit may be allowed if provided by the contract. The same markup shall be used for determining a decrease in price as the result of savings realized. The contractor shall present the Purchasing Agency with all vouchers and records of expenses incurred and savings realized. The Purchasing Agency shall have the right to audit the records of the contractor as it deems necessary to determine costs or savings. Any claim for an adjustment in price under this provision must be asserted by written notice to the Purchasing Agency within thirty (30) days from the date of receipt of the written order from the Purchasing Agency. If the parties fail to agree on an amount of adjustment, the question of an increase or decrease in the contract price or time for performance shall be resolved in accordance with the procedures for resolving disputes provided by the Disputes Clause of this contract or, if there is none, in accordance with the disputes provisions of the Commonwealth of Virginia Purchasing Manual for Institutions of Higher Education and their Vendors. Neither the existence of a claim nor a dispute resolution process, litigation or any other provision of this contract shall excuse the contractor from promptly complying with the changes ordered by the Purchasing Agency or with the performance of the contract generally.

P. DEFAULT: In case of failure to deliver goods or services in accordance with the contract terms and conditions, the Commonwealth, after due oral or written notice, may procure them from other sources and hold the contractor responsible for any resulting additional purchase and administrative costs. This remedy shall be in addition to any other remedies which the Commonwealth may have.

Q. INSURANCE: By signing and submitting a proposal under this solicitation, the offeror certifies that if awarded the contract, it will have the following insurance coverage at the time the contract is awarded. For construction contracts, if any subcontractors are involved, the subcontractor will have workers' compensation insurance in accordance with§ 25 of the Rules Governing Procurement – Chapter 2, Exhibit J, Attachment 1, and 65.2-800 et. Seq. of the Code of Virginia (available for review at http://www.jmu.edu/procurement) The offeror further certifies that the contractor and any subcontractors will maintain these insurance coverage during the entire term of the contract and that all insurance coverage will be provided by insurance companies authorized to sell insurance in Virginia by the Virginia State Corporation Commission.

MINIMUM INSURANCE COVERAGES AND LIMITS REQUIRED FOR MOST CONTRACTS:

1. Workers' Compensation: Statutory requirements and benefits. Coverage is compulsory for employers of three or more employees, to include the employer. Contractors who fail to notify the Commonwealth of increases in the number of employees that change their workers' compensation requirement under the Code of Virginia during the course of the contract shall be in noncompliance with the contract.

2. Employer's Liability: $100,000

3. Commercial General Liability: $1,000,000 per occurrence and $2,000,000 in the aggregate. Commercial General Liability is to include bodily injury and property damage, personal injury and advertising injury, products and completed operations coverage. The Commonwealth of Virginia must be named as an additional insured and so endorsed on the policy.

4. Automobile Liability: $1,000,000 combined single limit. (*Required only if a motor vehicle not owned by the Commonwealth is to be used in the contract. Contractor must assure that the required coverage is maintained by the Contractor (or third party owner of such motor vehicle.*)

R. ANNOUNCEMENT OF AWARD: Upon the award or the announcement of the decision to award a contract over $50,000, as a result of this solicitation, the purchasing agency will publicly post such notice on the DGS/DPS eVA web site (www.eva.virginia.gov) for a minimum of 10 days.

S. DRUG-FREE WORKPLACE: During the performance of this contract, the contractor agrees to (i) provide a drug-free workplace for the contractor's employees; (ii) post in conspicuous places, available to employees and applicants for employment, a statement notifying employees that the unlawful manufacture, sale, distribution, dispensation, possession, or use of a controlled substance or marijuana is prohibited in the contractor's workplace and specifying the actions that will be taken against employees for violations of such prohibition; (iii) state in all solicitations or advertisements for employees placed by or on behalf of the contractor that the contractor maintains a drug-free workplace; and (iv) include the provisions of the foregoing clauses in every subcontract or purchase order of over $10,000, so that the provisions will be binding upon each subcontractor or vendor.

For the purposes of this section, "drug-free workplace" means a site for the performance of work done in connection with a specific contract awarded to a contractor, the employees of whom are prohibited from engaging in the unlawful manufacture, sale, distribution, dispensation, possession or use of any controlled substance or marijuana during the performance of the contract.

T. NONDISCRIMINATION OF CONTRACTORS: An offeror, or contractor shall not be discriminated against in the solicitation or award of this contract because of race, religion, color, sex, national origin, age, disability, faith-based organizational status, any other basis prohibited by state law relating to discrimination in employment or because the offeror employs ex-offenders unless the state agency, department or institution has made a written determination that employing ex-offenders on the specific contract is not in its best interest. If the award of this contract is made to a faith-based organization and an individual, who applies for or receives goods, services, or disbursements provided pursuant to this contract objects to the religious character of the faith-based organization from which the individual receives or would receive the goods, services, or disbursements, the public body shall offer the individual, within a reasonable period of time after the date of his objection, access to equivalent goods, services, or disbursements from an alternative provider.

U. eVA BUSINESS TO GOVERNMENT VENDOR REGISTRATION, CONTRACTS, AND ORDERS: The eVA Internet electronic procurement solution, website portal www.eVA.virginia.gov, streamlines and automates government purchasing activities in the Commonwealth. The eVA portal is the gateway for vendors to conduct business with state agencies and public bodies. All vendors desiring to provide goods and/or services to the Commonwealth shall participate in the eVA Internet eprocurement solution by completing the free eVA Vendor Registration. All offerors must register in eVA and pay the Vendor Transaction Fees specified below; failure to register will result in the proposal being rejected. Vendor transaction fees are determined by the date the original purchase order is issued and the current fees are as follows:

Vendor transaction fees are determined by the date the original purchase order is issued and the current fees are as follows:

1. For orders issued July 1, 2014 and after, the Vendor Transaction Fee is:

    a. Department of Small Business and Supplier Diversity (SBSD) certified Small Businesses: 1% capped at $500 per order.

    b. Businesses that are not Department of Small Business and Supplier Diversity (SBSD) certified Small Businesses: 1% capped at $1,500 per order.

2. For orders issued prior to July 1, 2014 the vendor transaction fees can be found at www.eVA.virginia.gov.

3. The specified vendor transaction fee will be invoiced by the Commonwealth of Virginia Department of General Services approximately 60 days after the corresponding purchase order is issued and payable 30 days after the invoice date. Any adjustments (increases/decreases) will be handled through purchase order changes.

V. AVAILABILITY OF FUNDS: It is understood and agreed between the parties herein that the Commonwealth of Virginia shall be bound hereunder only to the extent of the funds available or which may hereafter become available for the purpose of this agreement.

W. PRICING CURRENCY: Unless stated otherwise in the solicitation, offerors shall state offered prices in U.S. dollars.

X. E-VERIFY REQUIREMENT OF ANY CONTRACTOR: Any employer with more than an average of 50 employees for the previous 12 months entering into a contract in excess of $50,000 with James Madison University to perform work or provide services pursuant to such contract shall register and participate in the E-Verify program to verify information and work authorization of its newly hired employees performing work pursuant to any awarded contract.

VIII. SPECIAL TERMS AND CONDITIONS

A. AUDIT: The Contractor hereby agrees to retain all books, records, systems, and other documents relative to this contract for five (5) years after final payment, or until audited by the Commonwealth of Virginia, whichever is sooner. The Commonwealth of Virginia, its authorized agents, and/or State auditors shall have full access to and the right to examine any of said materials during said period.

B. CANCELLATION OF CONTRACT: James Madison University reserves the right to cancel and terminate any resulting contract, in part or in whole, without penalty, upon 60 days written notice to the contractor. In the event the initial contract period is for more than 12 months, the resulting contract may be terminated by either party, without penalty, after the initial 12 months of the contract period upon 60 days written notice to the other party. Any contract cancellation notice shall not relieve the contractor of the obligation to deliver and/or perform on all outstanding orders issued prior to the effective date of cancellation.

C. IDENTIFICATION OF PROPOSAL ENVELOPE: The signed proposal should be returned in a separate envelope or package, sealed and identified as follows:

From: ____

Name of Offeror	Due Date	Time
Street or Box No.	RFP #	
City, State, Zip Code	RFP Title	

Name of Purchasing Officer: ______________________________

The envelope should be addressed as directed on the title page of the solicitation.

The Offeror takes the risk that if the envelope is not marked as described above, it may be inadvertently opened and the information compromised, which may cause the proposal to be disqualified. Proposals may be hand-delivered to the designated location in the office issuing the solicitation. No other correspondence or other proposals should be placed in the envelope.

D. LATE PROPOSALS: To be considered for selection, proposals must be received by the issuing office by the designated date and hour. The official time used in the receipt of proposals is that time on the automatic time stamp machine in the issuing office. Proposals received in the issuing office after the date and hour designated are automatically non responsive and will not be considered. The University is not responsible for delays in the delivery of mail by the U.S. Postal Service, private couriers, or the intra university mail system. It is the sole responsibility of the Offeror to ensure that its proposal reaches the issuing office by the designated date and hour.

E. UNDERSTANDING OF REQUIREMENTS: It is the responsibility of each offeror to inquire about and clarify any requirements of this solicitation that is not understood. The University will not be bound by oral explanations as to the meaning of specifications or language contained in this solicitation. Therefore, all inquiries deemed to be substantive in nature must be in writing and submitted to the responsible buyer in the Procurement Services Office. Offerors must ensure that written inquiries reach the buyer at least five (5) days prior to the time set for receipt of offerors proposals. A copy of all queries and the respective response will be provided in the form of an addendum to all offerors who have indicated an interest in responding to this solicitation. Your signature on your Offer certifies that you fully understand all facets of this solicitation. These questions may be sent by Fax to 540/ 568-7936 or 540/568-7935.

F. RENEWAL OF CONTRACT: This contract may be renewed by the Commonwealth for a period of four (4) successive one year periods under the terms and conditions of the original contract except as stated in 1. and 2. below. Price increases may be negotiated only at the time of renewal. Written notice of the Commonwealth's intention to renew shall be given approximately 90 days prior to the expiration date of each contract period.

1. If the Commonwealth elects to exercise the option to renew the contract for an additional one-year period, the contract price(s) for the additional one year shall not exceed the contract price(s) of the original contract increased/decreased by no more than the percentage increase/decrease of the other services category of the CPI-W section of the Consumer Price Index of the United States Bureau of Labor Statistics for the latest twelve months for which statistics are available.

2. If during any subsequent renewal periods, the Commonwealth elects to exercise the option to renew the contract, the contract price(s) for the subsequent renewal period shall not exceed the contract price(s) of the previous renewal period increased/decreased by more than the percentage increase/decrease of the other services category of the CPI-W section of the Consumer Price Index of the United States Bureau of Labor Statistics for the latest twelve months for which statistics are available.

G. SUBMISSION OF INVOICES: All invoices shall be submitted within sixty days of contract term expiration for the initial contract period as well as for each subsequent contract renewal period. Any invoices submitted after the sixty day period will not be processed for payment.

H. OPERATING VEHICLES ON JAMES MADISON UNIVERSITY CAMPUS: Operating vehicles on sidewalks, plazas, and areas heavily used by pedestrians is prohibited. In the unlikely event a driver should find it necessary to drive on James Madison University sidewalks, plazas, and areas heavily used by pedestrians, the driver must yield to pedestrians. For a complete list of parking regulations, please go to www.jmu.edu/parking; or to acquire a service representative parking permit, contact Parking Services at 540.568.3300. The safety of our students, faculty and staff is of paramount importance to us. Accordingly, violators may be charged.

I. COOPERATIVE PURCHASING / USE OF AGREEMENT BY THIRD PARTIES: It is the intent of this solicitation and resulting contract(s) to allow for cooperative procurement. Accordingly, any public body, (to include government/state agencies, political subdivisions, etc.), cooperative purchasing organizations, public or private health or educational institutions or any University related foundation and affiliated corporations may access any resulting contract if authorized by the Contractor.

Participation in this cooperative procurement is strictly voluntary. If authorized by the Contractor(s), the resultant contract(s) will be extended to the entities indicated above to purchase goods and services in accordance with contract terms. As a separate contractual relationship, the participating entity will place its own orders directly with the Contractor(s) and shall fully and independently administer its use of the contract(s) to include contractual disputes, invoicing and payments without direct administration from the University. No modification of this contract or execution of a separate agreement is required to participate; however, the participating entity and the Contractor may modify the terms and conditions of this contract to accommodate specific governing laws, regulations, policies, and business goals required by the participating entity. Any such modification will apply solely between the participating entity and the Contractor.

The Contractor will notify the University in writing of any such entities accessing this contract. The Contractor will provide semi-annual usage reports for all entities accessing the contract. The University shall not be held liable for any costs or damages incurred by any other participating entity as a result of any authorization by the Contractor to extend the contract. It is understood and agreed that the University is not responsible for the acts or omissions of any entity and will not be considered in default of the contract no matter the circumstances.

Use of this contract(s) does not preclude any participating entity from using other contracts or competitive processes as needed.

J. SMALL BUSINESS SUBCONTRACTING AND EVIDENCE OF COMPLIANCE:

1. It is the goal of the Commonwealth that 42% of its purchases are made from small businesses. This includes discretionary spending in prime contracts and subcontracts. All potential offerors are required to submit a Small Business Subcontracting Plan. Unless the offeror is registered as a Department of Small Business and Supplier Diversity (SBSD)-certified small business and where it is practicable for any portion of the awarded contract to be subcontracted to other suppliers, the contractor is encouraged to offer such subcontracting opportunities to SBSD-certified small businesses. This shall not exclude SBSD-certified women-owned and minority-owned businesses when they have received SBSD small business certification. No offeror or subcontractor shall be considered a Small Business, a Women-Owned Business or a Minority-Owned Business unless certified as such by the Department of Small Business and Supplier Diversity (SBSD) by the due date for receipt of proposals. If small business subcontractors are used, the prime contractor agrees to report the use of small business subcontractors by providing the purchasing office at a minimum the following information: name of small business with the SBSD certification number or FEIN, phone number, total dollar amount subcontracted, category type (small, women-owned, or minority-owned), and type of product/service provided. **This information shall be submitted to: JMU Office of Procurement Services, Attn: SWAM Subcontracting Compliance, MSC 5720, Harrisonburg, VA 22807.**

2. Each prime contractor who wins an award in which provision of a small business subcontracting plan is a condition of the award, shall deliver to the contracting agency or institution with every request for payment, evidence of compliance (subject only to insubstantial shortfalls and to shortfalls arising from subcontractor default) with the small business subcontracting plan. **This information shall be submitted to: JMU Office of Procurement Services, SWAM Subcontracting Compliance, MSC 5720, Harrisonburg, VA 22807**. When such business has been subcontracted to these firms and upon completion of the contract, the contractor agrees to furnish the purchasing office at a minimum the following information: name of firm with the Department of Small Business and Supplier Diversity (SBSD) certification number or FEIN number, phone number, total dollar amount subcontracted, category type (small, women-owned, or minority-owned), and type of product or service provided. Payment(s) may be withheld until compliance with the plan is received and confirmed by the agency or institution. The agency or institution reserves the right to pursue other appropriate remedies to include, but not be limited to, termination for default.

3. Each prime contractor who wins an award valued over $200,000 shall deliver to the contracting agency or institution with every request for payment, information on use of subcontractors that are not Department of Small Business and Supplier Diversity (SBSD)-certified small businesses. When such business has been subcontracted to these firms and upon completion of the contract, the contractor agrees to furnish the purchasing office at a minimum the following information: name of firm, phone number, FEIN number, total dollar amount subcontracted, and type of product or service provided. **This information shall be submitted to: JMU Office of Procurement Services, Attn: SWAM Subcontracting Compliance, MSC 5720, Harrisonburg, VA 22807**.

K. AUTHORIZATION TO CONDUCT BUSINESS IN THE COMMONWEALTH: A contractor organized as a stock or nonstock corporation, limited liability company, business trust, or limited partnership or registered as a registered limited liability partnership shall be authorized to transact business in the Commonwealth as a domestic or foreign business entity if so required by Title 13.1 or Title 50 of the Code of Virginia or as otherwise required by law. Any business entity described above that enters into a contract with a public body shall not allow its existence to lapse or its certificate of authority or registration to transact business in the Commonwealth, if so required under Title 13.1 or Title 50, to be revoked or cancelled at any time during the term of the contract. A public body may void any contract with a business entity if the business entity fails to remain in compliance with the provisions of this section.

L. PUBLIC POSTING OF COOPERATIVE CONTRACTS: James Madison University maintains a web-based contracts database with a public gateway access. Any resulting cooperative contract/s to this solicitation will be posted to the publicly accessible website. Contents identified as proprietary information will not be made public.

M. CRIMINAL BACKGROUND CHECKS OF PERSONNEL ASSIGNED BY CONTRACTOR TO PERFORM WORK ON JMU PROPERTY: The Contractor shall obtain criminal background checks on all of their contracted employees who will be assigned to perform services on James Madison University property. The results of the background checks will be directed solely to the Contractor. The Contractor bears responsibility for confirming to the University contract administrator that the background checks have been completed prior to work being performed by their employees or subcontractors. The Contractor shall only assign to work on the University campus those individuals whom it deems qualified and permissible based on the results of completed background checks. Notwithstanding any other provision herein, and to ensure the safety of students, faculty, staff and facilities, James Madison University reserves the right to approve or disapprove any contract employee that will work on JMU property. Disapproval by the University will solely apply to JMU property and should have no bearing on the Contractor’s employment of an individual outside of James Madison University.

N. INDEMNIFICATION: Contractor agrees to indemnify, defend and hold harmless the Commonwealth of Virginia, its officers, agents, and employees from any claims, damages and actions of any kind or nature, whether at law or in equity, arising from or caused by the use of any materials, goods, or equipment of any kind or nature furnished by the contractor/any services of any kind or nature furnished by the contractor, provided that such liability is not attributable to the sole negligence of the using agency or to failure of the using agency to use the materials, goods, or equipment in the manner already and permanently described by the contractor on the materials, goods or equipment delivered.

O. ADDITIONAL GOODS AND SERVICES: The University may acquire other goods or services that the supplier provides than those specifically solicited. The University reserves the right, subject to mutual agreement, for the Contractor to provide additional goods and/or services under the same pricing, terms, and conditions and to make modifications or enhancements to the existing goods and services. Such additional goods and services may include other products, components, accessories, subsystems, or related services that are newly introduced during the term of this Agreement. Such additional goods and services will be provided to the University at favored nations pricing, terms, and conditions.

P. SUBCONTRACTS: No portion of the work shall be subcontracted without prior written consent of the purchasing agency. In the event that the contractor desires to subcontract some part of the work specified herein, the contractor shall furnish the purchasing agency the names, qualifications and experience of their proposed subcontractors. The contractor shall, however, remain fully liable and responsible for the work to be done by its subcontractor(s) and shall assure compliance with all requirements of the contract.

Q. PRIME CONTRACTOR RESPONSIBILITIES: The contractor shall be responsible for completely supervising and directing the work under this contract and all subcontractors that he may utilize, using his best skill and attention. Subcontractors who perform work under this contract shall be responsible to the prime contractor. The contractor agrees that he is as fully responsible for the acts and omissions of his subcontractors and of persons employed by them as he is for the acts and omissions of his own employees.

R. CONFIDENTIALITY OF PERSONALLY IDENTIFIABLE INFORMATION: The contractor assures that information and data obtained as to personal facts and circumstances related to faculty, staff, students, affiliates, and research study participants will be collected and held confidential, during and following the term of this agreement, and will not be divulged without the individual's and the agency's written consent and only in accordance with federal law or the Code of Virginia. This shall include FTI, which is a term of art and consists of federal tax returns and return information (and information derived from it) that is in contractor/agency possession or control which is covered by the confidentiality protections of the Internal Revenue Code (IRC) and subject to the IRC 6103(p)(4) safeguarding requirements including IRS oversight. FTI is categorized as sensitive but unclassified information and may contain personally identifiable information (PII). Contractors who utilize, access, or store personally identifiable information as part of the performance of a contract are required to safeguard this information and immediately notify the agency of any breach or suspected breach in the security of such information. Contractors shall allow the agency to both participate in the investigation of incidents and exercise control over decisions regarding external reporting. Contractors and their employees working on this project may be required to sign a confidentiality statement.

IX. METHOD OF PAYMENT

The Contractor will be paid on the basis of invoices submitted in accordance with the solicitation and any negotiations. James Madison University recognizes the importance of expediting the payment process for our vendors and suppliers. We are asking our vendors and suppliers to enroll in the Wells Fargo Bank single use Commercial Card Number process or electronic deposit (ACH) to your bank account so that future payments are made electronically. Contractors signed up for the Wells Fargo Bank single use Commercial Card Number process will receive the benefit of being paid in Net 15 days. Additional information is available online at:
http://www.jmu.edu/financeoffice/accounting-operations-disbursements/cash-investments/vendor-payment-methods.shtml

X. PRICING SCHEDULE

The offeror shall provide a pricing structure based on hourly rates for all services included in the proposal.

The Contractor shall not be reimbursed for, nor will James Madison University purchase, any operational needs or expenses of the Contractor, which includes, but is not limited to, office supplies and equipment, computers and accessories, and office furniture.

XI. ATTACHMENTS

Attachment A: Offeror Data Sheet

Attachment B: Small, Women, and Minority-owned Business (SWaM) Utilization Plan

Attachment C: Standard Contract Sample

ATTACHMENT A

OFFEROR DATA SHEET

TO BE COMPLETED BY OFFEROR

1. QUALIFICATIONS OF OFFEROR: Offerors must have the capability and capacity in all respects to fully satisfy the contractual requirements.

2. YEARS IN BUSINESS: Indicate the length of time you have been in business providing these types of goods and services.

   Years_______ Months_________

3. REFERENCES: Indicate below a listing of at least five (5) organizations, either commercial or governmental/educational, that your agency is servicing. Include the name and address of the person the purchasing agency has your permission to contact.

CLIENT	LENGTH OF SERVICE	ADDRESS	CONTACT PERSON/PHONE #

4. List full names and addresses of Offeror and any branch offices which may be responsible for administering the contract.

____

____

____

____

5. RELATIONSHIP WITH THE COMMONWEALTH OF VIRGINIA: Is any member of the firm an employee of the Commonwealth of Virginia who has a personal interest in this contract pursuant to the CODE OF VIRGINIA, SECTION 2.2-3100 – 3131?
   [ ] YES [ ] NO
   IF YES, EXPLAIN:____

____

____

____

ATTACHMENT B

Small, Women and Minority-owned Businesses (SWaM) Utilization Plan

Offeror Name: ___________________________________ Preparer Name: ___________________

Date: ________

Is your firm a **Small Business Enterprise** certified by the Department of Small Business and Supplier Diversity (SBSD)? Yes_____ No_____

If yes, certification number: ____________ Certification date:______________

Is your firm a **Woman-owned Business Enterprise** certified by the Department of Small Business and Supplier Diversity (SBSD)? Yes_____ No_____

If yes, certification number: ____________ Certification date:______________

Is your firm a **Minority-Owned Business Enterprise** certified by the Department of Small Business and Supplier Diversity (SBSD)? Yes____ No_____

If yes, certification number: ____________ Certification date:______________

Is your firm a **Micro Business** certified by the Department of Small Business and Supplier Diversity (SBSD)? Yes_____ No_____

If yes, certification number: ____________ Certification date: ______________

Instructions: *Populate the table below to show your firm's plans for utilization of small, women-owned and minority-owned business enterprises in the performance of the contract. Describe plans to utilize SWAMs businesses as part of joint ventures, partnerships, subcontractors, suppliers, etc.*

Small Business: "Small business " means a business, independently owned or operated by one or more persons who are citizens of the United States or non-citizens who are in full compliance with United States immigration law, which, together with affiliates, has 250 or fewer employees, or average annual gross receipts of $10 million or less averaged over the previous three years.

Woman-Owned Business Enterprise: A business concern which is at least 51 percent owned by one or more women who are U.S. citizens or legal resident aliens, or in the case of a corporation, partnership or limited liability company or other entity, at least 51 percent of the equity ownership interest in which is owned by one or more women, and whose management and daily business operations are controlled by one or more of such individuals. **For purposes of the SWAM Program, all certified women-owned businesses are also a small business enterprise.**

Minority-Owned Business Enterprise: A business concern which is at least 51 percent owned by one or more minorities or in the case of a corporation, partnership or limited liability company or other entity, at least 51 percent of the equity ownership interest in which is owned by one or more minorities and whose management and daily business operations are controlled by one or more of such individuals. **For purposes of the SWAM Program, all certified minority-owned businesses are also a small business enterprise.**

Micro Business is a certified Small Business under the SWaM Program and has no more than twenty-five (25) employees **AND** no more than $3 million in average annual revenue over the three-year period prior to their certification.

All small, women, and minority owned businesses must be certified by the Commonwealth of Virginia Department of Small Business and Supplier Diversity (SBSD) to be counted in the SWAM program. Certification applications are available through SBSD at 800-223-0671 in Virginia, 804-786-6585 outside Virginia, or online at http://www.sbsd.virginia.gov/ (Customer Service).

RETURN OF THIS PAGE IS REQUIRED

ATTACHMENT B (CNT'D)

Small, Women and Minority-owned Businesses (SWaM) Utilization Plan

Procurement Name and Number: ____________________________________ Date Form Completed:______________

Listing of Sub-Contractors, to include, Small, Woman Owned and Minority Owned Businesses
for this Proposal and Subsequent Contract

Offeror / Proposer:

________________________________ ____ ________________________________
Firm Address Contact Person/No.

Sub-Contractor's Name and Address	Contact Person & Phone Number	SBSD Certification Number	Services or Materials Provided	Total Subcontractor Contract Amount (to include change orders)	Total Dollars Paid Subcontractor to date (to be submitted with request for payment from JMU)

(Form shall be submitted with proposal and if awarded, again with submission of each request for payment)

RETURN OF THIS PAGE IS REQUIRED

ATTACHMENT C

COMMONWEALTH OF VIRGINIA
STANDARD CONTRACT

Contract No.__________

This contract entered into this__________day of_______________20____,by ______________________ hereinafter called the "Contractor" and Commonwealth of Virginia, James Madison University called the "Purchasing Agency".

WITNESSETH that the Contractor and the Purchasing Agency, in consideration of the mutual covenants, promises and agreements herein contained, agree as follows:

SCOPE OF CONTRACT: The Contractor shall provide the services to the Purchasing Agency as set forth in the Contract Documents.

PERIOD OF PERFORMANCE: From__________________ through__________________

The contract documents shall consist of:

(1) This signed form;

(2) The following portions of the Request for Proposals dated ____________________:
   (a) The Statement of Needs,
   (b) The General Terms and Conditions,
   (c) The Special Terms and Conditions together with any negotiated modifications of those Special Conditions;
   (d) List each addendum that may be issued

(3) The Contractor's Proposal dated ____________________and the following negotiated modification to the Proposal, all of which documents are incorporated herein.
   (a) Negotiations summary dated ____________.

IN WITNESS WHEREOF, the parties have caused this Contract to be duly executed intending to be bound thereby.

CONTRACTOR:	PURCHASING AGENCY:
By:________________________________	By:________________________________
(Signature)	(Signature)
________________________________	________________________________
(Printed Name)	(Printed Name)
Title:______________________________	Title:______________________________

July 26, 2018

ADDENDUM NO. ONE

TO ALL OFFERORS:

REFERENCE:	Request for Proposal No:	**RFP# MLO-944**
	Dated:	**July 9, 2018**
	Commodity:	**Sponsored Programs Evaluation Services**
	RFP Closing On:	**August 14, 2018 at 2:00 p.m. *(Eastern)***

Please note the clarifications and/or changes made on this proposal program:

1. QUESTION: Will past project experience, rather than company references, satisfy Item No. 3 on Attachment A?

   ANSWER: **Offerors should provide company references if possible on Attachment A.**

2. QUESTION: Can you explain the pricing structure that should be included in our proposal?

   ANSWER: **Offerors should provide an onsite and offsite hourly rate for the range of personnel to provide labor under any resulting contract. Hourly rates should include all travel, incidentals, and miscellaneous expenses.**

3. QUESTION: My firm is currently in the process of becoming SWaM certified. The certification process may not be complete prior to the RFP closing date and time. Will my firm receive points for SWaM participation?

   ANSWER: **Offerors that are SWaM certified by Virginia's Small Business and Supplier Diversity (SBSD) department on the day that the solicitation closes will receive the full amount of points allotted for Participation of SWaM Businesses. Offerors that submit a SWaM subcontractor plan (Attachment B) shall receive a percentage of the points allotted based on the submitted SWaM subcontractor spend. Offerors are not required to be SWaM certified in order to submit a proposal.**

4. QUESTION: Is there an incumbent who provides evaluation services for JMU?

   ANSWER: **Evaluation services have been provided by various firms and individuals; however, the University has not previously established term contracts for these services.**

5. QUESTION: Are we required to submit Attachment B?

   ANSWER: **Regardless of sub-contractor utilization, Offerors should complete and submit Attachment B with their proposals.**

6. QUESTION: What is the weight (point) of each evaluation criteria?

   ANSWER: **See Section VI.A.**

7. <u>QUESTION:</u> Will employees' prior program evaluation experience before joining the current firm count toward the firm's program evaluation experience?

<u>ANSWER:</u> **Offerors should describe in detail relevant prior work experience of both the firm and employees in their response to Item IV.C.**

8. <u>QUESTION:</u> Can the same firm be the prime contractor on one proposal and a subcontractor on another proposal?

<u>ANSWER:</u> **Yes.**

9. <u>QUESTION:</u> What is the expected level of effort each year during the performance period?

<u>ANSWER:</u> **This will vary based on the specific needs of each project.**

10. <u>QUESTION:</u> Will the requirement for criminal background checks apply to evaluation project staff attending meetings or conducting interviews on University property?

<u>ANSWER:</u> **Yes.**

11. <u>QUESTION:</u> If our proposal is successful, will the resulting contract be a subaward, cooperative contract, or a standard professional services contract? What type of agreements do you plan to award under this vehicle (contracts or grants)?

<u>ANSWER:</u> **Cooperative contract(s).**

12. <u>QUESTION:</u> Reference Section IV. *Statement of Needs* – Item C. requires offerors to "describe in detail the firm's prior evaluations of externally-funded projects" including "funding agency, contact information." Is there a timeframe to which we should limit these evaluations (i.e. the last 5 years)?

<u>ANSWER:</u> **No.**

13. <u>QUESTION:</u> Reference Section IV *Statement Needs* – Regarding Item I., can we provide up to three examples of our work to offer a glimpse into the multiple methods/product types we offer?

<u>ANSWER:</u> **Yes.**

14. <u>QUESTION:</u> Can you provide an estimated annual value to enable us to draft a proposed small business subcontracting plan?

<u>ANSWER:</u> **Estimated annual value will vary depending on project needs.**

Signify receipt of this addendum by initialing *"Addendum #1"* on the signature page of your proposal.

Sincerely,

Matasha Owens, MPA, VCO, CUPO
Buyer Senior