

CONTRACT
Delaware Stars for Early Success Evaluation
RFP # 2012-13

This Agreement ("Agreement") is effective only upon the execution of a State of Delaware Purchase Order and will end on December 31, 2015, by and between the State of Delaware, Department of Education, hereafter referred to as DDOE, and RAND Corporation hereafter referred to as RAND.

WHEREAS, DDOE desires to obtain certain services to support the Delaware Office of Early Learning (OEL), as well as other stakeholders in the state, in their efforts to design and implement an effective, robust system for measuring and reporting on the quality of early learning and care programs in home and center settings and for improving the quality of care in ways that are beneficial for participating children and their families. The study will provide OEL with independent, objective, and rigorous empirical evidence of the extent to which rating tiers reflect relevant differences in the quality of home- and center-based providers and whether the system is operating effectively in terms of technical assistance, financial supports, and other features. The study will contribute to continuous quality improvement of Delaware Stars and the identification of priorities for advancing early care and education quality in Delaware.; and

WHEREAS, RAND desires to provide such services to DDOE on the terms set forth below;

WHEREAS, DDOE and RAND represent and warrant that each party has full right, power and authority to enter into and perform under this Agreement;

FOR AND IN CONSIDERATION OF the premises and mutual agreements herein, DDOE and RAND agree as follows:

1. Services.

1.1 RAND shall perform for DDOE the services specified in the Appendices to this Agreement, attached hereto and made a part hereof.

1.2 Any conflict or inconsistency between the provisions of the following documents shall be resolved by giving precedence to such documents in the following order: (a) this Agreement (including any amendments or modifications thereto); (b) DDOE's request for proposals, attached hereto as Appendix F; and (c) RAND's response to the request for proposals, attached hereto as Appendix G. The aforementioned documents are specifically incorporated into this Agreement and made a part hereof.

1.3 DDOE may, at any time, by written order, make changes in the scope of this Agreement and in the services or work to be performed. No services for which additional compensation may be charged by RAND shall be furnished without the written authorization of DDOE. When DDOE desires any addition or deletion to the deliverables or a change in the Services to be provided under this Agreement, it shall notify RAND, who shall then submit to DDOE a "Change Order" for approval authorizing said change. The Change Order shall state whether the change shall cause an alteration in the price or the time required by RAND for any aspect of its performance under this Agreement. Pricing of changes shall be consistent with those established within this Agreement.

1.4 RAND will not be required to make changes to its scope of work that result in RAND's costs exceeding the current unencumbered budgeted appropriations for the services. Any claim of either party for an adjustment under Section 1 of this Agreement shall be asserted in the manner specified in the writing that authorizes the adjustment.

2. Payment for Services and Expenses.

2.1 The term of the initial contract shall be from the execution of this agreement and a State of Delaware Purchase Order through December 31, 2015.

2.2 DDOE will pay RAND for the performance of services described in Appendix A, Statement of Work. The fee will be paid in accordance with the payment schedule attached hereto as part of Appendix B.

2.3 DDOE's obligation to pay RAND for the performance of services described in Appendix A, Statement of Work will not exceed the fixed fee amount of \$ 1,900,000.00. It is expressly understood that the work defined in the appendices to this Agreement must be completed by RAND and it shall be RAND's responsibility to ensure that hours and tasks are properly budgeted so that all services are completed for the agreed upon fixed fee. DDOE's total liability for all charges for services that may become due under this Agreement is limited to the total maximum expenditure(s) authorized in DDOE's purchase order(s) to RAND.

2.4 RAND shall submit monthly invoices to DDOE in sufficient detail to support the services provided during the previous month. DDOE agrees to pay those invoices within thirty (30) days of receipt. In the event DDOE disputes a portion of an invoice, DDOE agrees to pay the undisputed portion of the invoice within thirty (30) days of receipt and to provide RAND a detailed statement of DDOE's position on the disputed portion of the invoice within thirty (30) days of receipt.

DDOE's failure to pay any amount of an invoice that is not the subject of a good-faith dispute within thirty (30) days of receipt shall entitle RAND to charge interest on the overdue portion at no more than 1.0% per month or 12% per annum. All payments should be sent to RAND, 1776 Main Street, Santa Monica, CA 90401.

2.5 Unless provided otherwise in an Appendix, all expenses incurred in the performance of the services are to be paid by RAND. If an Appendix specifically provides for expense reimbursement, RAND shall be reimbursed only for reasonable expenses incurred by RAND in the performance of the services, including, but not necessarily limited to, travel and lodging expenses, communications charges, and computer time and supplies.

2.6 DDOE is a sovereign entity, and shall not be liable for the payment of federal, state and local sales, use and excise taxes, including any interest and penalties from any related deficiency, which may become due and payable as a consequence of this Agreement.

2.7 DDOE shall subtract from any payment made to RAND all damages, costs and expenses caused by RAND's negligence, resulting from or arising out of errors or omissions in RAND's work products, which have not been previously paid to RAND.

2.8 Invoices shall be submitted to: Jason Gardner, Manager of Finance and Administration, 820 N. French St, 5th Floor, Wilmington DE 19801 or Jason.Gardner@state.de.us.

3. Responsibilities of RAND.

3.1 RAND shall be responsible for the professional quality, technical accuracy, timely completion, and coordination of all services furnished by RAND, its subcontractors and its and their principals, officers, employees and agents under this Agreement. In performing the specified services, RAND shall follow practices consistent with generally accepted professional and technical standards. RAND shall be responsible for ensuring that all services, products and deliverables furnished pursuant to this Agreement comply with the standards promulgated by the Department of Technology and Information ("DTI") published at <http://dti.delaware.gov/>, and as modified from time to time by DTI during the term of this Agreement. If any service, product or deliverable furnished pursuant to this Agreement does not conform with DTI standards, RAND shall, at its expense and option either (1) replace it with a conforming equivalent or (2) modify it to conform with DTI standards. RAND shall be and

remain liable in accordance with the terms of this Agreement and applicable law for all damages to DDOE caused by RAND's failure to ensure compliance with DTI standards.

3.2 It shall be the duty of the RAND to assure that all products of its effort are technically sound and in conformance with all pertinent Federal, State and Local statutes, codes, ordinances, resolutions and other regulations. RAND will not produce a work product that violates or infringes on any copyright or patent rights. RAND shall, without additional compensation, correct or revise any errors or omissions in its work products.

3.3 Permitted or required approval by DDOE of any products or services furnished by RAND shall not in any way relieve RAND of responsibility for the professional and technical accuracy and adequacy of its work. DDOE's review, approval, acceptance, or payment for any of RAND's services herein shall not be construed to operate as a waiver of any rights under this Agreement or of any cause of action arising out of the performance of this Agreement, and RAND shall be and remain liable in accordance with the terms of this Agreement and applicable law for all damages to DDOE caused by RAND's performance or failure to perform under this Agreement.

3.4 RAND shall appoint a Project Manager who will manage the performance of services. All of the services specified by this Agreement shall be performed by the Project Manager, or by RAND's associates and employees under the personal supervision of the Project Manager. The positions anticipated include:

Project	Team	Title	% of Project Involvement
Joie Acosta		Behavioral/Social Scientist	11%
Lynn Karoly		Sr. Economist	16%
Courtney-Ann Kase		Research Assistant	13%
Vi-Nhuan Le		TBD	14%
TBD		Research Programmer	11%
Heather Schwartz		Policy Researcher, Full	15%
Gail Zellman		Sr. Behavioral/Social Scientist	4%
Sarah Cressy		Administrative Assistant	3%

3.5 Designation of persons for each position is subject to review and approval by DDOE. Should the staff need to be diverted off the project for what are now unforeseeable circumstances, RAND will notify DDOE immediately and work out a transition plan that is acceptable to both parties, as well as agree to an acceptable replacement plan to fill or complete the work assigned to this project

staff position. Replacement staff persons are subject to review and approval by DDOE. If RAND fails to make a required replacement within 30 days, DDOE may terminate this Agreement for default. Upon receipt of written notice from DDOE that an employee of RAND is unsuitable to DDOE for good cause, RAND shall remove such employee from the performance of services and substitute in his/her place a suitable employee.

3.6 RAND shall furnish to DDOE's designated representative copies of all correspondence to regulatory agencies for review prior to mailing such correspondence.

3.7 RAND agrees that its officers and employees will cooperate with DDOE in the performance of services under this Agreement and will be available for consultation with DDOE at such reasonable times with advance notice as to not conflict with their other responsibilities.

3.8 RAND has or will retain such employees as it may need to perform the services required by this Agreement. Such employees shall not be employed by the State of Delaware or any other political subdivision of the State.

3.9 RAND will not use DDOE's name, either express or implied, in any of its advertising or sales materials without DDOE's express written consent.

3.10 The rights and remedies of DDOE provided for in this Agreement are in addition to any other rights and remedies provided by law.

4. Time Schedule.

4.1 A project schedule is included in Appendix A.

4.2 Any delay of services or change in sequence of tasks must be approved in writing by DDOE.

4.3 In the event that RAND fails to complete the project or any phase thereof within the time specified in the Contract, or with such additional time as may be granted in writing by DDOE, or fails to prosecute the work, or any separable part thereof, with such diligence as will insure its completion within the time specified in this Agreement or any extensions thereof, DDOE shall suspend the payments scheduled as set forth in Appendix A.

5. State Responsibilities.

5.1 In connection with RAND's provision of the Services, DDOE shall perform those tasks and fulfill those responsibilities specified in the appropriate Appendices.

5.2 DDOE agrees that its officers and employees will cooperate with RAND in the performance of services under this Agreement and will be available for consultation with RAND at such reasonable times with advance notice as to not conflict with their other responsibilities.

5.3 The services performed by RAND under this Agreement shall be subject to review for compliance with the terms of this Agreement by DDOE's designated representatives. DDOE representatives may delegate any or all responsibilities under the Agreement to appropriate staff members, and shall so inform RAND by written notice before the effective date of each such delegation.

5.4 The review comments of DDOE's designated representatives may be reported in writing as needed to RAND. It is understood that DDOE's representatives' review comments do not relieve RAND from the responsibility for the professional and technical accuracy of all work delivered under this Agreement.

5.5 DDOE shall, without charge, furnish to or make available for examination or use by RAND as it may request, any data which DDOE has available, including as examples only and not as a limitation:

- a. Copies of reports, surveys, records, and other pertinent documents;
- b. Copies of previously prepared reports, job specifications, surveys, records, ordinances, codes, regulations, other document, and information related to the services specified by this Agreement.

RAND shall return any original data provided by DDOE.

5.6 DDOE shall assist RAND in obtaining data on documents from public officers or agencies and from private citizens and business firms whenever such material is necessary for the completion of the services specified by this Agreement.

5.7 RAND will not be responsible for accuracy of information or data supplied by DDOE or other sources to the extent such information or data would be relied upon by a reasonably prudent contractor.

5.8 DDOE agrees not to use RAND's name, either express or implied, in any of

its advertising or sales materials. RAND reserves the right to reuse the nonproprietary data and the analysis of industry-related information in its continuing analysis of the industries covered.

6. Work Product.

6.1 All materials, information, documents, and reports, whether finished, unfinished, or draft, developed, prepared, completed, or acquired by RAND for DDOE relating to the services to be performed hereunder shall become the property of DDOE and shall be delivered to DDOE's designated representative upon completion or termination of this Agreement, whichever comes first. RAND shall not be liable for damages, claims, and losses arising out of any reuse of any work products on any other project conducted by DDOE. DDOE shall have the right to reproduce all documentation supplied pursuant to this Agreement. DDOE grants RAND a perpetual, nontransferable, non-exclusive paid-up right and license to use, copy, modify, publish and prepare derivative works of all materials first produced under this Agreement, subject to the requirements of FERPA.

6.2 RAND retains all title and interest to the data it furnished and/or generated pursuant to this Agreement. Retention of such title and interest does not conflict with DDOE's rights to the materials, information and documents developed in performing the project. Upon final payment, DDOE shall have a perpetual, nontransferable, non-exclusive paid-up right and license to use, copy, modify and prepare derivative works of all materials in which RAND retains title, whether individually by RAND or jointly with DDOE. Any and all source code developed in connection with the services provided will be provided to DDOE, and the aforementioned right and license shall apply to source code. The parties will cooperate with each other and execute such other documents as may be reasonably deemed necessary to achieve the objectives of this Section.

6.3 In no event shall RAND be precluded from developing for itself, or for others, materials that are competitive with the Deliverables, irrespective of their similarity to the Deliverables. In addition, RAND shall be free to use its general knowledge, skills and experience, and any ideas, concepts, know-how, and techniques within the scope of its consulting practice that are used in the course of providing the services.

6.4 Notwithstanding anything to the contrary contained herein or in any attachment hereto, any and all intellectual property or other proprietary data owned by RAND prior to the effective date of this Agreement ("Preexisting Information") shall remain the exclusive property of RAND even if such

Preexisting Information is embedded or otherwise incorporated into materials or products first produced as a result of this Agreement or used to develop such materials or products. DDOE's rights under this section shall not apply to any Preexisting Information or any component thereof regardless of form or media.

7. Confidential Information.

To the extent permissible under 29 *Del. C.* § 10001, et seq., the parties to this Agreement shall preserve in strict confidence any information, reports or documents obtained, assembled or prepared in connection with the performance of this Agreement.

8. Warranty.

8.1 RAND warrants that its services will be performed in a good and workmanlike manner. RAND agrees to re-perform any work not in compliance with this warranty brought to its attention within a reasonable time after that work is performed.

8.2 Third-party products within the scope of this Agreement are warranted solely under the terms and conditions of the licenses or other agreements by which such products are governed. With respect to all third-party products and services purchased by RAND for DDOE in connection with the provision of the Services, RAND shall pass through or assign to DDOE the rights RAND obtains from the manufacturers and/or vendors of such products and services (including warranty and indemnification rights), all to the extent that such rights are assignable.

9. Indemnification; Limitation of Liability.

9.1 RAND shall indemnify and hold harmless the State, its agents and employees, from any and all liability, suits, actions or claims, together with all reasonable costs and expenses (including attorneys' fees) directly arising out of (A) the negligence or other wrongful conduct of the RAND, its agents or employees, or (B) RAND's breach of any material provision of this Agreement not cured after due notice and opportunity to cure, provided as to (A) or (B) that (i) RAND shall have been notified promptly in writing by DDOE of any notice of such claim; and (ii) RAND shall have the sole control of the defense of any action on such claim and all negotiations for its settlement or compromise.

9.2 If DDOE promptly notifies RAND in writing of a third party claim against

DDOE that any Deliverable infringes a copyright or a trade secret of any third party, RAND will defend such claim at its expense and will pay any costs or damages that may be finally awarded against DDOE. RAND will not indemnify DDOE, however, if the claim of infringement is caused by (1) DDOE's misuse or modification of the Deliverable; (2) DDOE's failure to use corrections or enhancements made available by RAND; (3) DDOE's use of the Deliverable in combination with any product or information not owned or developed by RAND; (4) DDOE's distribution, marketing or use for the benefit of third parties of the Deliverable or (5) information, direction, specification or materials provided by Client or any third party. If any Deliverable is, or in RAND's opinion is likely to be, held to be infringing, RAND shall at its expense and option either (a) procure the right for DDOE to continue using it, (b) replace it with a noninfringing equivalent, (c) modify it to make it noninfringing. The foregoing remedies constitute DDOE's sole and exclusive remedies and RAND's entire liability with respect to infringement.

9.3 DDOE agrees that RAND' total liability to DDOE for any and all damages whatsoever arising out of or in any way related to this Agreement from any cause, including but not limited to contract liability or RAND negligence, errors, omissions, strict liability, breach of contract or breach of warranty shall not, in the aggregate, exceed fees paid to RAND.

In no event shall RAND be liable for special, indirect, incidental, economic, consequential or punitive damages, including but not limited to lost revenue, lost profits, replacement goods, loss of technology rights or services, loss of data, or interruption or loss of use of software or any portion thereof regardless of the legal theory under which such damages are sought, and even if RAND has been advised of the likelihood of such damages.

10. Employees.

10.1 RAND has and shall retain the right to exercise full control over the employment, direction, compensation and discharge of all persons employed by RAND in the performance of the services hereunder; provided, however, that it will, subject to scheduling and staffing considerations, attempt to honor DDOE's request for specific individuals.

10.2 Except as the other party expressly authorizes in writing in advance, neither party shall solicit, offer work to, employ, or contract with, whether as a partner, employee or independent contractor, directly or indirectly, any of the other party's Personnel during their participation in the services or during the twelve (12) months thereafter. For purposes of this Section 10.2, "Personnel"

includes any individual or company a party employs as a partner, employee or independent contractor and with which a party comes into direct contact in the course of the services.

10.3 Possession of a Security Clearance, as issued by the Delaware Department of Public Safety, may be required of any employee of RAND who will be assigned to this project.

11. Independent Contractor.

11.1 It is understood that in the performance of the services herein provided for, RAND shall be, and is, an independent contractor, and is not an agent or employee of DDOE and shall furnish such services in its own manner and method except as required by this Agreement. RAND shall be solely responsible for, and shall indemnify, defend and save DDOE harmless from all matters relating to the payment of its employees, including compliance with social security, withholding and all other wages, salaries, benefits, taxes, exactions, and regulations of any nature whatsoever.

11.2 RAND acknowledges that RAND and any subcontractors, agents or employees employed by RAND shall not, under any circumstances, be considered employees of DDOE, and that they shall not be entitled to any of the benefits or rights afforded employees of DDOE, including, but not limited to, sick leave, vacation leave, holiday pay, Public Employees Retirement System benefits, or health, life, dental, long-term disability or workers' compensation insurance benefits. DDOE will not provide or pay for any liability or medical insurance, retirement contributions or any other benefits for or on behalf of DDOE or any of its officers, employees or other agents.

11.3 RAND shall be responsible for providing liability insurance for its personnel.

11.4 As an independent contractor, RAND has no authority to bind or commit DDOE. Nothing herein shall be deemed or construed to create a joint venture, partnership, fiduciary or agency relationship between the parties for any purpose.

12. Suspension.

12.1 DDOE may suspend performance by RAND under this Agreement for such period of time as DDOE, at its sole discretion, may prescribe by providing written notice to RAND at least 30 working days prior to the date on which DDOE wishes

to suspend. Upon such suspension, DDOE shall pay RAND its compensation, based on the percentage of the project completed and earned until the effective date of suspension, less all previous payments. RAND shall not perform further work under this Agreement after the effective date of suspension. RAND shall not perform further work under this Agreement after the effective date of suspension until receipt of written notice from DDOE to resume performance.

12.2 In the event DDOE suspends performance by RAND for any cause other than the error or omission of the RAND, for an aggregate period in excess of 30 days, RAND shall be entitled to an equitable adjustment of the compensation payable to RAND under this Agreement to reimburse RAND for additional costs occasioned as a result of such suspension of performance by DDOE based on appropriated funds and approval by DDOE.

13. Termination.

13.1 This Agreement may be terminated in whole or in part by either party in the event of substantial failure of the other party to fulfill its obligations under this Agreement through no fault of the terminating party; but only after the other party is given:

- a. Not less than 30 calendar days written notice of intent to terminate; and
- b. An opportunity for consultation with the terminating party prior to termination.

13.2 This Agreement may be terminated in whole or in part by DDOE for its convenience, but only after RAND is given:

- a. Not less than 30 calendar days written notice of intent to terminate; and
- b. An opportunity for consultation with DDOE prior to termination.

13.3 If termination for default is effected by DDOE, DDOE will pay RAND that portion of the compensation which has been earned as of the effective date of termination but:

- a. No amount shall be allowed for anticipated profit on performed or unperformed services or other work, and
- b. Any payment due to RAND at the time of termination may be adjusted to the extent of any additional costs occasioned to DDOE by reason of RAND's default.

- c. Upon termination for default, DDOE may take over the work and prosecute the same to completion by agreement with another party or otherwise. In the event RAND shall cease conducting business, DDOE shall have the right to make an unsolicited offer of employment to any employees of RAND assigned to the performance of the Agreement, notwithstanding the provisions of Section 10.2.

13.4 If after termination for failure of RAND to fulfill contractual obligations it is determined that RAND has not so failed, the termination shall be deemed to have been effected for the convenience of DDOE.

13.5 The rights and remedies of DDOE and RAND provided in this section are in addition to any other rights and remedies provided by law or under this Agreement.

13.6 Gratuities.

13.6.1 DDOE may, by written notice to RAND, terminate this Agreement if it is found after notice and hearing by DDOE that gratuities (in the form of entertainment, gifts, or otherwise) were offered or given by RAND or any agent or representative of RAND to any officer or employee of DDOE with a view toward securing a contract or securing favorable treatment with respect to the awarding or amending or making of any determinations with respect to the performance of this Agreement.

13.6.2 In the event this Agreement is terminated as provided in 13.6.1 hereof, DDOE shall be entitled to pursue the same remedies against RAND it could pursue in the event of a breach of this Agreement by RAND.

13.6.3 The rights and remedies of DDOE provided in Section 13.6 shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Agreement.

14. Severability.

If any term or provision of this Agreement is found by a court of competent jurisdiction to be invalid, illegal or otherwise unenforceable, the same shall not affect the other terms or provisions hereof or the whole of this Agreement, but such term or provision shall be deemed modified to the extent necessary in the

court's opinion to render such term or provision enforceable, and the rights and obligations of the parties shall be construed and enforced accordingly, preserving to the fullest permissible extent the intent and agreements of the parties herein set forth.

15. Assignment; Subcontracts.

15.1 Any attempt by RAND to assign or otherwise transfer any interest in this Agreement without the prior written consent of DDOE shall be void. Such consent shall not be unreasonably withheld.

15.2 Services specified by this Agreement shall not be subcontracted by RAND, without prior written approval of DDOE.

15.3 Approval by DDOE of RAND's request to subcontract or acceptance of or payment for subcontracted work by DDOE shall not in any way relieve RAND of responsibility for the professional and technical accuracy and adequacy of the work. All subcontractors shall adhere to all applicable provisions of this Agreement.

15.4 RAND shall be and remain liable for all damages to DDOE caused by negligent performance or non-performance of work under this Agreement by RAND, its subcontractor or its sub-subcontractor.

15.5 The compensation due shall not be affected by DDOE's approval of the RAND's request to subcontract.

16. Force Majeure.

Neither party shall be liable for any delays or failures in performance due to circumstances beyond its reasonable control.

17. Non-Appropriation of Funds.

17.1 Validity and enforcement of this Agreement is subject to appropriations by the General Assembly of the specific funds necessary for contract performance. Should such funds not be so appropriated DDOE may immediately terminate this Agreement, and absent such action this Agreement shall be terminated as to any obligation of the State requiring the expenditure of money for which no specific appropriation is available, at the end of the last fiscal year for which no appropriation is available or upon the exhaustion of funds.

17.2 Notwithstanding any other provisions of this Agreement, this Agreement shall terminate and DDOE's obligations under it shall be extinguished at the end of the fiscal year in which the State of Delaware fails to appropriate monies for the ensuing fiscal year sufficient for the payment of all amounts which will then become due.

18. State of Delaware Business License.

RAND and all subcontractors represent that they are properly licensed and authorized to transact business in the State of Delaware as provided in 30 *Del. C.* § 2301.

19. Complete Agreement.

19.1 This agreement and its Appendices shall constitute the entire agreement between DDOE and RAND with respect to the subject matter of this Agreement and shall not be modified or changed without the express written consent of the parties. The provisions of this agreement supersede all prior oral and written quotations, communications, agreements and understandings of the parties with respect to the subject matter of this Agreement.

19.2 If the scope of any provision of this Agreement is too broad in any respect whatsoever to permit enforcement to its full extent, then such provision shall be enforced to the maximum extent permitted by law, and the parties hereto consent and agree that such scope may be judicially modified accordingly and that the whole of such provisions of the Agreement shall not thereby fail, but the scope of such provision shall be curtailed only to the extent necessary to conform to the law.

19.3 RAND may not order any product requiring a purchase order prior to DDOE's issuance of such order. Each Appendix, except as its terms otherwise expressly provide, shall be a complete statement of its subject matter and shall supplement and modify the terms and conditions of this Agreement for the purposes of that engagement only. No other agreements, representations, warranties or other matters, whether oral or written, shall be deemed to bind the parties hereto with respect to the subject matter hereof.

20. Miscellaneous Provisions.

20.1 In performance of this Agreement, RAND shall comply with all applicable federal, state and local laws, ordinances, codes and regulations. RAND shall solely bear the costs of permits and other relevant costs required in the performance of this Agreement.

20.2 Neither this Agreement nor any appendix may be modified or amended except by the mutual written agreement of the parties. No waiver of any provision of this Agreement shall be effective unless it is in writing and signed by the party against which it is sought to be enforced.

20.3 The delay or failure by either party to exercise or enforce any of its rights under this Agreement shall not constitute or be deemed a waiver of that party's right thereafter to enforce those rights, nor shall any single or partial exercise of any such right preclude any other or further exercise thereof or the exercise of any other right.

20.4 RAND covenants that it presently has no interest and that it will not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services required to be performed under this Agreement. RAND further covenants, to its knowledge and ability, that in the performance of said services no person having any such interest shall be employed.

20.5 RAND acknowledges that DDOE has an obligation to ensure that public funds are not used to subsidize private discrimination. RAND recognizes that if they refuse to hire or do business with an individual or company due to reasons of race, color, gender, ethnicity, disability, national origin, age, or any other protected status, DDOE may declare RAND in breach of the Agreement, terminate the Agreement, and designate RAND as non-responsible.

20.6 RAND warrants that no person or selling agency has been employed or retained to solicit or secure this Agreement upon an agreement or understanding for a commission, or a percentage, brokerage or contingent fee. For breach or violation of this warranty, DDOE shall have the right to annul this contract without liability or at its discretion deduct from the contract price or otherwise recover the full amount of such commission, percentage, brokerage or contingent fee.

20.7 This Agreement was drafted with the joint participation of both parties and shall be construed neither against nor in favor of either, but rather in accordance with the fair meaning thereof.

20.8 RAND shall maintain all public records, as defined by 29 *Del. C.* § 502(7), relating to this Agreement and its deliverables for the time and in the manner specified by the Delaware Division of Archives, pursuant to the Delaware Public Records Law, 29 *Del. C.* Ch. 5. During the term of this Agreement, authorized

representatives of DDOE may inspect or audit RAND's performance and records pertaining to this Agreement at the RAND business office during normal business hours.

21. Insurance.

21.1 RAND shall maintain the following insurance during the term of this Agreement:

- A. Worker's Compensation and Employer's Liability Insurance in accordance with applicable law, and
- B. Comprehensive General Liability - \$1,000,000.00 per person/\$3,000,000 per occurrence, and
- C. Medical/Professional Liability - \$1,000,000.00 per person/\$3,000,000 per occurrence; or
- D. Miscellaneous Errors and Omissions - \$1,000,000.00 per person/\$3,000,000 per occurrence, or
- E. Automotive Liability Insurance covering all automotive units used in the work with limits of not less than \$100,000 each person and \$300,000 each accident as to bodily injury and \$25,000 as to property damage to others.

21.2. RAND shall provide forty-five (45) days written notice of cancellation or material change of any policies.

21.3. Before any work is done pursuant to this Agreement, the Certificate of Insurance and/or copies of the insurance policies, referencing the contract number stated herein, shall be filed with the State. The certificate holder is as follows:

Delaware Department of Education
401 Federal Street, Suite 2
Dover, DE 19901

21.4. In no event shall the State of Delaware be named as an additional insured on any policy required under this agreement.

22. Assignment of Antitrust Claims.

As consideration for the award and execution of this contract by the State, RAND hereby grants, conveys, sells, assigns, and transfers to DDOE all of its right, title and

interest in and to all known or unknown causes of action it presently has or may now or hereafter acquire under the antitrust laws of the United States and the State of Delaware, relating to the particular goods or services purchased or acquired by the State pursuant to this contract.

23. Governing Law.

This Agreement shall be governed by and construed in accordance with the laws of the State of Delaware, except where Federal Law has precedence. RAND consents to jurisdiction venue in the State of Delaware.

24. Notices.

Any and all notices required by the provisions of this Agreement shall be in writing and shall be mailed, certified or registered mail, return receipt requested. All notices shall be sent to the following addresses:

CONTRACTOR: RAND Corporation
 1776 Main Street
 Santa Monica, CA 90401

DDOE: Karen Field Rogers
 Associate Secretary, Financial Reform & Resource Mgmt.
 Delaware Department of Education
 John G. Townsend Building
 401 Federal Street, Suite 2
 Dover, DE 19901
 Phone No. (302) 735-4040
 Fax No. (302) 739-7768

DOE Certificated Staff coordinating activity:
Harriet Dichter

Next Page for Signatures.

IN WITNESS THEREOF, the Parties hereto have caused this Agreement to be duly executed as of the date and year first above written.

RAND Corporation

Original on File

Dennis Flieder

Director of Contracts & Grants

6/11/13

Date

Original on File

Mitchell Blake

Director of Financial Operations

6/11/2013

Date

Delaware Department of Education

Original on File

Karen Field Rogers

Associate Secretary, Financial Reform &
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DELAWARE STARS FOR EARLY SUCCESS EVALUATION

SUMMARY

Effective date: June 15, 2013 through December 31, 2015

Objective. The purpose of the Delaware Stars for Early Success Evaluation is to support the Delaware Office of Early Learning (OEL), as well as other stakeholders in the state, in their efforts to design and implement an effective, robust system for measuring and reporting on the quality of early learning and care programs in home and center settings and for improving the quality of care in ways that are beneficial for participating children and their families. The study will provide OEL with independent, objective, and rigorous empirical evidence of the extent to which rating tiers reflect relevant differences in the quality of home- and center-based providers and whether the system is operating effectively in terms of technical assistance, financial supports, and other features. The study will contribute to continuous quality improvement of Delaware Stars and the identification of priorities for advancing early care and education quality in Delaware.

To accomplish these goals, the evaluation will address a series of interrelated research questions in four thematic areas:

- Delaware Stars ratings and program quality. Do quality tiers reflect differential levels of program quality? What is the relationship between program characteristics and quality?
- Delaware Stars system and program quality improvement. Does technical assistance help providers in meeting and moving up in Stars? Do high need programs in Stars improve their program quality?
- Delaware Stars system performance. How well do the Stars system components operate? What do consumers understand about Stars? Is Stars properly financed?
- Delaware Star ratings and child developmental outcomes. Do children in higher rated programs experience greater gains? What dimensions of Stars are most relevant for child outcomes?

The evaluation of Delaware Stars contributes to two of the four goals articulated as part of Delaware's Early Learning Challenge grant from the U.S. Department of Education:

- Expanding the number of Stars programs and high needs children in Stars (Goal 2) and
- Sustaining a thriving statewide early learning system (Goal 4).

Each of these goals is served by evidence-based efforts to validate the Delaware Stars quality rating and improvement system (QRIS), given its critical role in supporting the state's strategies for improving early learning and care programs.

Approach. Through a series of interrelated research tasks that draw on primary and secondary data sources and use both qualitative and quantitative methods, the study team will:

- Collect and analyze relevant QRIS literature and existing documentation regarding Delaware Stars planning and implementation;
- Employ existing data from the Early Childhood Longitudinal Study, Birth Cohort (ECLS-B) in a "virtual pilot"—conducted in advance of our own data collection—to gain insights into the relationship between child development gains and school readiness and ECE program quality as

defined by the Delaware Stars quality elements or the composite measure of quality defined by the Delaware Stars rating tiers;

- Conduct key informant interviews with state-level QRIS administrators, TA providers, ECE program assessors, and staff who interact with parents; for three local communities (one in each county), conduct interviews with a small number of ECE program directors and conduct focus groups with parents of infants, toddlers, or preschool-age children—all to gain insights into the experiences key stakeholders have with Delaware Stars;
- Use Delaware Stars administrative data for rated programs to examine the relationship between quality elements, changes in programs ratings over time, the extent of TA and other supports received by programs in the Stars system, and other relevant questions supported by the administrative data;
- Validate the Delaware Stars rating system by collecting observational assessments of program quality in the fall of 2014 and spring of 2015—using validated quality measurement instruments not already included in the Delaware Stars rating scale—for a Provider Sample of 300 small and large family child care homes (FCCHs) and early care and education centers (ECECs), including FCCHs and ECECs that both do and do not participate in Delaware Stars;
- Interview program directors in the Provider Sample at the same two points in time, both those participating in Delaware Stars and those not yet in the system, to collect additional information about their knowledge of and experience with the Delaware Stars system, including program ratings, TA, financial incentives, and other supports; and
- Assess the relationship between ECE program quality and child developmental gains by collecting developmental assessments for a Child Sample of 1,800 toddlers and preschool-age children, drawn from the observed large FCCHs and ECEC classrooms in the Provider Sample, with gains measured from the fall of 2014 to the spring of 2015.

The project will be guided by an Advisory Group that will provide input on the study design, implementation, and interpretation of results and review and comment on the draft study reports.

Study Team. The project will be conducted by the non-profit non-partisan RAND Corporation. Through independent research and analysis, RAND provides decisionmakers in the public and private sectors with a better understanding of the policy issues surrounding significant national and international concerns. The project will be led by Dr. Lynn A. Karoly, Principal Investigator, and Dr. Heather L. Schwartz, co-Principal Investigator. They will lead an interdisciplinary team with the substantive and methodological expertise required to successfully execute the project.

Timeline and Products. The effective date of the project is June 15, 2013 through December 31, 2015. The first phase of project activities in 2013 will include the literature review, virtual pilot, key informant interviews and site visits, and analysis of administrative data. The collection of provider- and child-level data will occur in fall 2014 and spring 2015. Study reports will be produced in summer 2013, at the end of 2013, in early 2015, and at the end of 2015.

DELAWARE STARS FOR EARLY SUCCESS EVALUATION

WORK PLAN

Effective date: June 15, 2013 through December 31, 2015

SECTION I. PURPOSE

For more than a decade, states and localities have been designing and implementing quality rating and improvement systems (QRISs) as a tool for improving early care and education (ECE) programs (Zellman and Perlman, 2008). Delaware, with the advent of its Delaware Stars for Early Success (Delaware Stars) QRIS and recent system refinements, is in line with this trend. QRISs typically incorporate multi-component assessments into a single rating designed to make the quality of ECE programs transparent to parents, funders in the public and private sectors, and other interested parties. Designers of QRISs seek, as the ultimate goal, to improve the developmental outcomes of the children who participate in ECE programs by raising quality in those domains that are most relevant for children's social, emotional, cognitive, and physical development. Despite this goal, until recently, there have been only a few studies to determine if the ratings embedded in QRISs actually capture differences in program quality and—more to the point—differences in quality that are relevant for children's developmental progress. With this call for a comprehensive evaluation of Delaware Stars, OEL will obtain critical information for advancing the effectiveness of the state's QRIS and will also contribute to the larger evidence base that seeks to validate the design and use of QRISs.

The purpose of RAND's proposed evaluation of the Delaware Stars for Early Success QRIS is to support the Delaware OEL, as well as other stakeholders in the state, in their efforts to design and implement an effective, robust system for measuring and reporting on the quality of ECE programs in home and center settings and for improving the quality of care in ways that are beneficial for participating children and their families. The RAND study, with the design features discussed in the sections that follow, aims to provide OEL with independent, objective, and rigorous empirical evidence of the extent to which the rating tiers established under Delaware Stars reflect relevant differences in the quality of home- and center-based early ECE providers. Through a series of interrelated tasks involving multiple methods and the use of existing data and new data that will be collected over the course of the project, the RAND study will provide OEL with critical data and analysis that can support a process of continuous quality improvement and help to establish priorities for OEL and other stakeholders in their efforts to advance the quality of ECE in Delaware.

SECTION II. GOALS

The evaluation of Delaware Stars contributes to two of the four goals articulated as part of Delaware's Early Learning Challenge (ELC) grant from the U.S. Department of Education:

- Expanding the number of Stars programs and high needs children in Stars (Goal 2) and
- Sustaining a thriving statewide early learning system (Goal 4).

Each of these goals is served by evidence-based efforts to validate the Delaware Stars QRIS, given its critical role in supporting the state's strategies for improving early learning and care programs.

First, by assembling evidence regarding the link between Delaware Stars ratings and ECE program quality and between the developmental outcomes of participating children, the state can determine if the QRIS is well designed, so that it can be viewed as a trusted tool for identifying programs that are already high quality, as well as programs that are in need of further improvement. Validation of a QRIS

can provide the motivation for programs to participate in a voluntary QRIS, as they understand that quality will be recognized and any shortfalls can be identified and addressed. Such evidence can also be used to garner additional public funds to invest in improving program quality. Parents as consumers will also view the QRIS as a trusted resource as they make decisions regarding ECE programs for their children. These linkages are all consistent with the QRIS logic model developed by proposed team members Zellman et al. (2008) in their validation study of Qualistar Colorado, Colorado's statewide QRIS.

Second, a validation study can provide critical data on a variety of performance aspects of a QRIS, as evidenced by the range of the research questions discussed later in this proposal. In addition to information about the relationship between program ratings and both program quality and child developmental outcomes, a well-designed validation study can also provide insights into the adequacy of the financial incentives embedded in the QRIS for motivating and supporting program improvement. Evidence regarding the effectiveness of technical assistance (TA) and other supports can also be ascertained. In addition, information can be gathered regarding parents' knowledge about the rating system and their use of program ratings in making child care choices.

SECTION III. EFFECTIVE DATE

The effective date for this contract is June 15, 2013 through December 31, 2015.

SECTION V. IMPLEMENTATION PLAN

As illustrated in Exhibit V.1, our approach to addressing the research questions associated with both the validation and child outcomes portions of the evaluation may be found in a set of interrelated, complementary tasks. Thus, although there are two ELC goals to which the study will contribute, we view the activities and results, as well as the strategies and resources, as an integrated whole.

For this reason, in the remainder of this section, we first illustrate the linkage between the study questions and task. We then proceed by providing a detailed plan for the eight tasks required to accomplish the study objectives. We also discuss the project management and staffing plan and the qualifications of the key research personnel, as well as the project timetable, milestones, and deliverables.

A. Relationship Between Study Questions and Tasks

Exhibit V.2 presents a detailed list of the study questions grouped by the four themes referenced above. The link between the research activities (Tasks 2 to 7) and each study question is also shown.

Exhibit V.1. Summary of ELC Goals and Study Objectives, Deliverables, Staffing, Timeline, and Intended Results

ELC Goal 2: Expand the number of Stars programs and high needs children in Stars and			
ELC Goal 4: Sustain a thriving statewide early learning system			
Objective: To conduct an evaluation of Delaware Stars that addresses nine research questions pertaining to two study components: a validation study and a child outcome study.			
Deliverables:	Staff:	Timeline:	Intended Results:
<p>Through eight study tasks, conduct research and analysis that produces the following products:</p> <ul style="list-style-type: none"> • Year 1 working papers for Tasks 2 and 3 and Year 1 report covering findings from Tasks 2, 3, 4, and 5 • Year 2 report covering analysis of fall 2014 data collection for Tasks 6 and 7 • Year 3 report covering findings from all prior tasks plus the analysis of fall 2014 and spring 2015 data collection for Tasks 6 and 7 	<p>Key RAND research personnel are Karoly, Schwartz, Acosta, Le, and Zellman</p>	<p>June 15, 2013 – December 31, 2015</p>	<p>To provide OEL with independent, objective, and rigorous empirical evidence regarding nine research questions that will support a process of continuous quality improvement for the design and operation of Delaware Stars.</p>

Exhibit V.2. Relationship Between Study Research Questions and the Six Research Tasks

Study Research Questions	Delaware Stars Ratings and Program Quality					
	Task 2 QRIS Literature Review	Task 3 Virtual Pilot	Task 4 Interviews & Focus Groups	Task 5 QRIS Admin. Data	Task 6 Provider Sample	Task 7 Child Sample
Q1. To what extent do the quality tiers of Delaware Stars accurately reflect differential levels of program quality such that programs at the top levels provide higher quality services than programs at lower levels?						
Q1a. To what extent do quality tiers as operationalized by Delaware Stars reflect a comprehensive definition of quality that includes both structural and process features that contribute to quality?	✓	✓		✓	✓	
Q1b. To what extent does Delaware Stars, as designed, result in programs that demonstrate the highest levels of quality being rated at the top quality tier?	✓	✓		✓	✓	
Q1c. Which quality standards across the four domains predict program quality? To what extent does each of the domains contribute to and/or predict quality?	✓	✓		✓	✓	
Q2. What is the relationship between program characteristics and quality in Delaware Stars?						
Q2a. Do features such as subsidy density, size, program type, etc. influence quality ratings and observed classroom quality scores?	✓			✓	✓	
Q2b. Do teacher and administrator characteristics influence quality ratings and observed quality scores?	✓			✓	✓	
Q2c. Do key aspects of teaching and learning, such as curriculum, influence quality ratings and observed quality scores?	✓			✓	✓	
Delaware Stars System and Program Quality Improvement						
Q3. To what extent does the technical assistance provided (i.e. on-site support, orientation, etc.) to Delaware Stars participants assist providers in meeting and moving up in Stars?	✓		✓	✓	✓	
Q4. To what extent do high need programs that participate in Stars Plus enhance their program quality?						
V4a. Do Stars Plus programs enhance program quality levels and move up in the Delaware Stars system?	✓		✓		✓	
V4b. What is the relative contribution of the Stars Plus model components to changes in quality ratings and observed classroom quality scores?	✓				✓	

Study Research Questions		Delaware Stars System Performance						
		Task 2 QRIS Literature Review	Task 3 Virtual Pilot	Task 4 Interviews & Focus Groups	Task 5 QRIS Admin. Data	Task 6 Provider Sample	Task 7 Child Sample	
Q5.	How well do the Delaware Stars system components operate?							
Q5a.	Are the accountability and monitoring efforts rigorous enough to determine tiered ratings? Is the schedule of accountability and monitoring appropriate? Do the accountability and monitoring measures accurately measure the tiers of quality sufficiently?	✓		✓		✓		
Q5b.	What provider supports and incentives make a significant difference in moving programs/providers to higher levels of quality? How are provider incentives and supports utilized? Are provider supports and incentives being utilized as originally intended?	✓		✓		✓		
Q6.	What do consumers understand about Delaware Stars? Do consumers ask about ratings?	✓		✓		✓		
Q7.	Is Delaware Stars properly financed? Is the total funding sufficient to support the system? Are the financial incentives and supports for providers sufficient to support the needed quality improvements?	✓		✓		✓		
Delaware Stars Ratings and Child Developmental Outcomes								
Q8.	All else being equal, do young children participating in higher rated programs make more positive gains in learning and development as compared to similar children in programs in non-participating or lower-rated programs?							
Q8a.	Are children participating in higher rated programs more ready for school as compared to peers in lower rated programs, including at entry to and exit from kindergarten?	✓	✓		✓	✓	✓	
Q8b.	Do children with high needs participating in higher rated programs benefit differentially compared to children with high needs in lower rated programs?	✓	✓		✓	✓	✓	
Q9.	What dimensions of Delaware Stars program participation are most vital to child learning and developmental outcomes?							
Q9a.	Do all dimensions of the Delaware Stars model predict child learning and development outcomes? What are their relative contributions?	✓	✓		✓	✓	✓	
Q9b.	Are there differential developmental and learning gains dependent on children's time in program (e.g., duration, intensity, mobility/continuity)?	✓	✓		✓	✓	✓	

B. Approach to Study Tasks

RAND will perform eight tasks that address the research questions outlined in Exhibit V.2. In this section, we detail our approach to each task. Section V.C. below provides further information about task management and the time allocated for RAND staff to perform each task. Additional detail about the timeline of activities and deliverables associated with the tasks is included in Section V.D.

Task 1. Recruit and Engage a Project Advisory Group

We will create an advisory group comprised of 8 to 10 members that will meet in-person once per year in two contract years. Within the first month of the contract, we will propose and finalize the advisory group members with OEL. The purpose of the group is to advise RAND on selection of the best data collection instruments, the construction of the provider sample strata, and to review and comment on RAND draft evaluation reports. We expect to designate up to two representatives from the Delaware Stars management team and up to two representatives from the Delaware Early Childhood Council to attend the advisory group meetings. Members of the advisory group will include up to two individuals from OEL, two child care providers, and a supervising TA who is not affiliated with the University of Delaware. In addition to these local experts, the members will include four nationally-recognized research experts on ECE and QRISs.

We propose to engage the Advisory Group in three ways: (1) to provide expert input on the design of individual research tasks, but most importantly on the data collection and analysis components of Tasks 6 and 7, including the sampling plan, data collection instruments, and analytic design; (2) to review and comment on entire draft reports or targeted sections based on areas of expertise, including the Task 8 interim reports produced at the end of 2013 and 2014 and the Task 8 final study report to be delivered by the conclusion of the project in December 2015; and (3) to be available as needed from time to time to provide quick input on research plans, the data collection and analysis, and written findings.

Karoly will take the lead on this task, with input from Schwartz and Zellman regarding candidates for the group and the most effective ways to utilize the members' expertise. We have budgeted for honoraria for all panelists (as appropriate), along with travel expenses for the national experts on the panel to attend the two in-person meetings. A modest food budget for the in-person meetings is provided, as well.

Task 2. Review QRIS Evaluation Literature and Delaware Stars Materials

As a starting point for addressing each of the research questions listed in Exhibit V.2, we propose to conduct a comprehensive review of QRIS evaluation research. We can efficiently perform this task because several of the proposed research staff have recently completed a comprehensive review of the literature as part of the QRIS evaluation activities undertaken as part of a project funded by the California Department of Education as part of the state's ELC grant. Our recent literature review, covering published studies available as of January 2013, revealed 15 studies covering 11 states that pertain to QRIS validation or impact analysis. We propose to update this review and synthesis to incorporate any new research that becomes available over the course of the study. In addition, we will gather and review all documents pertaining to the design and implementation of Delaware Stars, as well as any prior evaluations of the Stars system (e.g., Del Gross et al., 2010).

The literature and document review will serve several purposes. First, it will be helpful to have a baseline understanding of the methods and findings from prior research against which we can compare the findings from the Delaware Stars evaluation. Second, the literature review, especially documents

specific to the Delaware Stars system, will help us to refine the study questions and pinpoint areas for further investigation, especially through our key informant interviews (Task 4) and interviews with program directors (Task 6). Finally, we can use the literature review to identify areas where methodological advances can be made as we undertake the Stars evaluation, especially for Tasks 6 and 7.

Schwartz will lead Task 2 with input from Karoly and Zellman and with support from the project research assistant (RA). The detailed literature review and findings will be documented initially in a working paper available for public distribution and then incorporated into the Year 1 study report. Findings from the review will also be incorporated in summary form into the final Year 3 study report.

Task 3. Conduct a Virtual Pilot of the Delaware Stars Rating System

To provide a first look at answers to research questions Q1, Q8, and Q9 listed in Exhibit V.2, we propose to conduct a “virtual pilot” of the Delaware Stars system. The idea behind a virtual pilot is to use existing data to test out the relationships between one or more dimensions of ECE quality included in a rating system, or the summary ratings themselves, with other measures of quality external to the rating system or with child developmental outcomes. Karoly and Zellman (2012) performed such an exercise for California, using available statewide and county data on observed quality elements for a sample of ECECs and FCCHs as a way of testing out the likely ratings that programs would experience if the proposed California QRIS were implemented. This analysis was possible, even though California had conducted no pilot studies specifically for the QRIS design, by taking advantage of several existing data sources with relevant measures. Their analysis provided insights into the correlations between quality elements, the distribution of those elements for providers of different types (e.g., FCCHs versus ECECs or centers with infant-toddler care versus those without), and other findings relevant for the next stage of QRIS design.

Although the RAND study team did not have access to child developmental assessments in their data, the approach could be extended to consider the relationship between child developmental gains and QRIS ratings or QRIS quality elements. Indeed, in a recent analysis, Sabol et al. (2012) use data from the NCEDL (National Center for Early Development and Learning) and SWEEP (Study of State-Wide Early Education Programs) studies to test if various quality indicators typically included in state rating systems, as well as the combined quality rating scales, are predictive of child developmental gains during the preschool year. The study found that only one of the five quality indicators they examined—the CLASS—was strongly predictive of children’s developmental progress and virtually none of the state rating algorithms were predictive of child growth. One limitation of their study is that it was conducted using a sample of state prekindergarten programs, which are probably a more selective group of programs with a limited range in quality variation, making it harder to detect the relationships of interest. Our proposed approach will address this issue by using a nationally representative source of data with measures of quality for a wider range of care settings and for a more representative population of preschool-age children.

For the Delaware Stars virtual pilot, we propose to use the restricted-use version of the Early Childhood Longitudinal Study-Birth Cohort (ECLS-B), a nationally representative longitudinal data source with child developmental assessments measured during the preschool year and again at kindergarten, and with measures of ECE program quality collected using standard observation tools. The ECLS-B has the advantage of a large sample of preschool-age children with detailed family background characteristics, so we can control for a wide range of factors that may affect the selectivity of children into ECE settings based on their quality. Although the ECLS-B covers children nationwide, we can reweight the sample to reflect the characteristics of Delaware’s toddler and preschool-aged population.

In addition, the ECLS-B provider sample has measures of quality that match either specific measures in Delaware Stars or elements in the same domain. Specifically, ECLS-B measures cover the classroom learning environment (as measured by the ECERS-R and ITERS-R), family and community partnerships, teachers' qualifications and professional development experiences, and directors' management and administrative experience. Using the available ECLS-B measures, we will simulate for each ECE program in the sample the hypothetical ratings that would be obtained under Delaware's QRIS.

Our analysis will use the ECLS-B child and provider data to examine the following relationships:

- Between individual quality elements in Delaware Stars and other quality elements not included in Stars (Q1b, Q1c);
- Between predicted Stars ratings, as well as individual quality elements in Delaware Stars, and child developmental outcomes (Q8a, Q9a);
- Between predicted Stars rating, as well as individual quality elements in Delaware Stars, and child developmental outcomes, considering differences in the relationship based on child characteristics such as low family income or disability status (Q9b).

These relationships will be examined when no child or family background controls are included, when only those measures that we expect to have available for Task 6 or 7 are included, and when a more extensive set of controls is included. This sensitivity analysis will allow us to determine how robust the above relationships are to the ability to control for background characteristics and thereby minimize the possible influence of parental selectivity in choosing care settings.

This analysis will provide a first look at a number of the research questions that we will address in greater depth as part of Tasks 6 and 7 based on data collected specifically for Delaware. Our analysis will recognize that we will not be able to exactly replicate the rating a given program would receive under Delaware Stars. Nevertheless, the analysis may suggest quality elements that should be included in our data collection efforts, as well as particularly relevant measures of child development for specific domains. It will also provide us with an understanding of how our results might be affected by any selectivity bias that we are not able to control for.

Task 3 will be led by Le with input from Karoly and Schwartz and with support from the project research programmer. The detailed virtual pilot methods and findings will be documented initially in a working paper available for public distribution and then incorporated into the Year 1 study report. A short summary will also be made available as a project memorandum for distribution to OEL and advisory group members. Findings from the review will also be included in summary form in the final Year 3 study report.

Task 4. Conduct Key Informant Interviews and Focus Groups

During the first project year we will conduct semi-structured telephone interviews with key informants from the Delaware Stars system to gain qualitative insights into the performance of the Delaware Stars system (research questions Q3, Q4a, Q5a, Q5b, Q6, and Q7) and, as an additional benefit, to provide formative input into the design of the primary data collection tools for Task 6. While we expect these key informants to primarily have a statewide perspective, we also want to gain insights into system performance in the three regions of the state. Thus, during site visits to three locations, we will also interview local ECE directors and conduct focus groups with parents.

Exhibit V.3 shows the different types of informants and their approximate numbers, as well as the anticipated topics. In general, participants in the first four categories reflect a cross-section of individuals involved in designing or implementing the Delaware Stars Program, while those in the latter

three groups capture those who are participants in the system, as providers, staff who work directly with parents (e.g. from Children and Families First or OEL), or parents. We will create a standardized protocol by informant type to guide our interviews and focus groups. We will work closely with OEL to review and finalize these topics in the first three months of the project, and to ensure that they align with the study questions and with the findings from the Task 2 literature review.

Interviews with QRIS administrators, QRIS assessors, TA providers, and staff who work with parents will be conducted over the phone; we anticipate they will last 45-60 minutes. Prior to each interview, the study team will conduct a brief call to request a copy of any existing materials or documents that the interviewee maintains in-house that would help our study team to pre-populate the interview protocol, explain the study and the consent procedure, and then schedule the interview. The purpose of the interviews is to understand the structure and implementation status of the Delaware Stars system; gather perceptions of how well it is working; and identify the types, quality, and validity of available data. We will also gather feedback from QRIS administrators and assessors regarding a draft protocol for the director interviews to be conducted as part of Task 6.

Exhibit V.3. Types of Informants and Interview Topics

Category	Approximate Total Number of Participants	Interview Topics
Interviews		
QRIS administrators	3-4	Scope and structure of Delaware Stars (funding, staffing, leadership); status of implementation; strengths and weaknesses of the Delaware Stars system (what is working, what is not); input to develop and refine the director interview (for Task 6)
QRIS assessors	2	Type and frequency of assessments; challenges and facilitators of assessment; validity and rigor of assessment; input to develop and refine the director interview (for Task 6)
Delaware Stars TA providers	4	Scope of TA efforts (mode, topic, frequency, intensity) for Delaware Stars and Stars Plus participants; strengths and weaknesses of TA; impact of TA on star ratings for Delaware Stars and Stars Plus participants; whether certain types of TA show more promise for improving quality of care
Staff who work with parents	2	Extent/nature of interactions with parents regarding Delaware Stars; impressions of effect of Stars on parent decisionmaking; role of the agency in the Stars program.
Directors in licensed ECE programs participating in Delaware Stars	9	Status of QRIS participation and expected future plans; facilitators or barriers to participation in Delaware Stars; how Stars influenced quality of care; validity and rigor of Stars rating; whether data adequately reflects quality of care; appropriateness of data collection timing; utilization of provider incentives and TA; effectiveness of provider incentives and TA; input to develop and refine the director interview (for Task 6)
Focus Groups		
Parents	21	Satisfaction with and interaction with child care providers; awareness of Delaware Stars; understanding of the star rating system; influence of Star ratings on decisionmaking

We will also conduct a two-day visit to one site in each of Delaware's three counties (Kent, Newcastle, and Sussex,) to capture the regional diversity of the state. At each location, we will interview directors in three ECE programs participating in Delaware Stars, targeting at least one licensed ECEC, one licensed large FCCH, and one FCCH. We will seek to interview both low- and high-rated providers during these visits. In addition, at each location, we will conduct one focus group with a group of approximately six to eight parents who have at least one child not yet in kindergarten. The protocols for these interviews and the focus groups will be tailored to the perspectives of each of these stakeholders.

Using our typed notes taken during interviews and focus groups, the study team will use a qualitative method known as constant comparative analysis (Lincoln and Guba, 1985) to identify similar themes related to strengths, weaknesses, and implementation status for each aspect of the QRIS system. The analysis will result in a narrative description of interviewees' perceptions of the overall Delaware Stars program and a set of recommendations for what should be included in the protocols for the director interviews.

This task will be led by Acosta, with contributions from Karoly, Schwartz, and Zellman, as well as the project RA. These team members will contribute to the design of the interview and focus group protocols. Acosta will lead most of the telephone interviews, although Karoly and Schwartz will also undertake several interviews. Acosta will travel to the local sites to conduct the in-person interviews and the focus groups. The project RA will team with one of the researchers for each telephone interview to take notes. Our analysis of the interviews and focus groups will be incorporated into the Year 1 report and a summary version will be included in the Year 3 report as well.

Task 5. Analyze QRIS Administrative Data for Delaware Stars

Using administrative data that we obtain from OEL at the provider-level about all providers in the Delaware Star system, we propose to examine research questions Q1, Q2, Q3, and Q4 listed in Exhibit IV.1. To the extent that administrative data are available that link kindergarten children and their readiness assessment to their early childhood program, we propose to also examine Q8 and Q9, although these questions will be primarily answered by data we propose to collect as part of Task 7.

Our assumption is that the administrative data will provide us with provider-level measures of the individual quality components assessed for the Stars rating, as well as the resulting Stars rating. We anticipate that the data will include some provider characteristics such as provider type (FCCH or ECEC), program size, share of children receiving public subsidies, time in the Delaware Stars system, and so on. We would also seek to obtain historical data as well as current data, so that we can examine changes in providers' ratings over time. Until we have more information about exactly what information is available in the administrative data, we cannot fully specify the analyses we will perform. However, we briefly describe three analyses that illustrate what we would like to accomplish with the administrative data.

Characteristics of participating providers and the scope of their participation. Starting from a dataset of all licensed providers in Delaware that we merge with Delaware Stars participant data, we will begin by generating descriptive statistics of participating providers that include frequencies (or percentages) for such data as type of provider, enrollment, subsidy density, locale (e.g., urban versus rural), and staff qualifications. We will then use Chi Square/ANOVA tests to determine whether participation (or level of participation) in the QRIS varies significantly by the above characteristics. We will examine the distribution of quality ratings by type of provider and other relevant early learning characteristics and by scope of participation in the QRIS. Finally, we will examine the extent to which providers have entered and exited the system. Besides providing an overall understanding of who participates in the Delaware Stars program, the other purpose of these analyses will be to identify areas to probe in director

interviews. If, for example, we find that many providers exit the Delaware Stars system, it suggests the need to investigate possible reasons why in provider interviews as part of Task 6.

Characteristics of providers who increase (or decrease) their quality ratings. Our analysis of changes in ratings over time will need to account for the changes in the Delaware Stars rating system over time. At a minimum we can focus on provider ratings since the most recent revision in 2012. However, we will also explore whether it is possible to replicate the current rating system using historical data on provider quality elements. In other words, we can ask what a provider's rating would have been in 2009, 2010, or 2011 using the current rating structure but based on their quality indicators measured as of those earlier points in time. Based on the consistent time series data we can assemble, we will examine the characteristics (such as program size, type, subsidy density, locale, and other factors) of providers who have increased (or decreased) their quality ratings through time. We will begin by identifying providers who have moved up (or down), by at least one level, in Delaware's rating system over a 2-year period, or have sustained the highest level rating over the time period in question. We will then generate a matrix of providers that identifies whether or not each met the quality increase criteria, with each provider categorized based on the aforementioned characteristics. Using data from the matrix, we will run a series of bivariate analyses to determine whether there are statistically significant differences amongst providers that did and did not increase (or decrease) their quality ratings, based on the provider characteristics of interest (e.g., program size, type, locale). These analyses will allow us to determine if, for example, more ECECs than small FCCHs increased their quality. We will also determine whether or not staff qualifications (e.g., the percentage of staff with a bachelor's degree) are significantly associated with increases in quality ratings.

The relationship among the standards in the four Star domains and the contribution of each domain to the overall 100-point scale rating. To understand in greater detail how the rating system works, we propose to examine correlations among the quality elements within the rating system. Specifically, we propose to assess whether there is a positive relationship among each of the quality indicators comprising Delaware's QRIS. For example, is it the case that the higher-rated programs tend to score highly on all the elements of quality, or does the Delaware Stars work as a compensatory model where certain domains are rated especially high, making up for low ratings in other domains? We will also explore the distribution of the four quality dimensions across the QRIS ratings to better identify the standards programs have trouble meeting. For example, it may be the case that programs with a rating of 3 have scored as well as programs with a rating of 5 on all but one particular quality dimension. This type of analysis will help us to identify particular standards and domains for director interviews probes that are a part of Task 6, and will help us construct interview questions around the kinds of assistance needed for programs to move to the next QRIS level.

Le will lead Task 5 with input from Karoly, Schwartz, and Zellman, as well as the project programmer. The analysis of the QRIS administrative data will be presented in the Year 1 report and a condensed version will be covered in the Year 3 report.

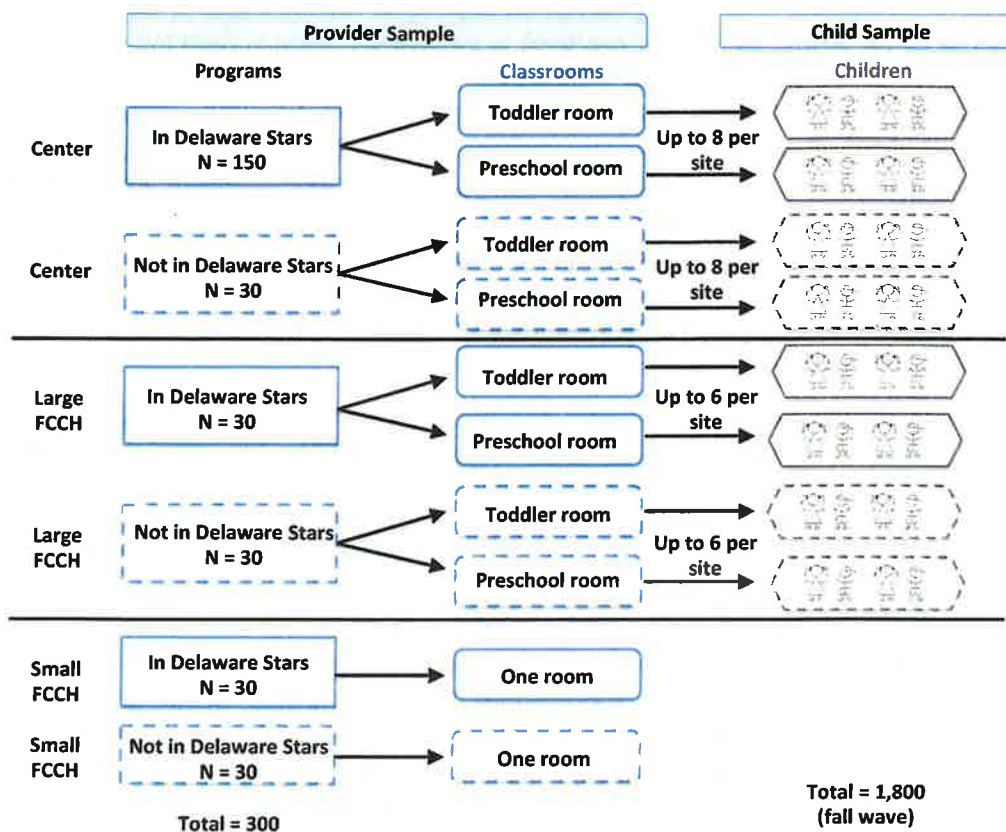
Task 6. Collect and Analyze Provider Sample Interview and Observation Data

To answer questions Q1 to Q3 and Q5 to Q7, as well as the child outcome questions Q8 and Q9 included in Exhibit V.2, it is necessary to directly observe and assess the quality of care in ECE settings and to ask questions of the program director. To do this, we propose to recruit a representative Provider Sample from among Delaware ECE providers. The Provider Sample also forms the basis for the Child Sample to be collected as part of Task 7. Given the linkages between the two tasks and the associated data, we use Exhibit V.3 to illustrate the design of the Provider and Child Samples and the relationship between these two primary data sources. Data will be collected from both samples at two points in

time: fall of 2014 and spring of 2015. An initial set of analysis will be conducted using the Provider Sample and Child Sample cross-sectional data available after the first wave of data collection. Additional analyses will be performed once longitudinal data from both data collection waves become available.

In the remainder of this section, we first discuss our approach to defining the Provider Sample and undertaking the data collection. We then describe the analyses that the data will support with the first and second waves of data.

Exhibit V.4. Relationship Between Provider Sample and Child Sample



NOTE: Up to two classrooms will be selected for observation for each provider among ECECs and large FCCHs. For some programs, one classroom will be selected for observation.

Task 6 Provider Sample and Data Collection

With a list of all licensed providers that we obtain from the OEL, we propose to stratify and then sample 300 ECE providers. Exhibit V.4 indicates the six major strata for which we plan to sample providers that we will then recruit to participate in the study. Three of the strata pertain to providers, by type— ECECs, large FCCHs, and small FCCHs—that are already participating in Delaware Stars (represented in Exhibit V.3 by the boxes on the left with a solid outline). For these providers, we also intend to further stratify, within each program type, by star rating to ensure our study sample includes providers along the entire five-star spectrum.

Exhibit V.5. Provider Strata for Study

Provider Type	Total in Delaware (projected to 2014) (N)	Target Number in Study Sample (N)
Licensed ECECs participating in Delaware Stars	380	150
Licensed ECECs centers not participating in Delaware Stars	70	30
Licensed large FCCHs participating in Delaware Stars	32	30
Licensed large FCCHs not participating in Delaware Stars	47	30
Licensed small FCCHs participating in Delaware Stars	212	30
Licensed small FCCHs not participating in Delaware Stars	588	30
Total	1,329	300

While Exhibit V.5 sets out our intended distribution of the study sample across six strata, we may shift the number of selected providers across the strata to reflect participation rates by provider type. Regardless of the distribution, however, we plan to maintain the overall 300 sample size. We will finalize the distribution by examination of the system as of 2014 and in consultation with OEL and the advisory group. For example, we may oversample ECECs that serve children receiving child care subsidies.

The design also proposes to sample and recruit a set of ECE providers in the same three categories that are *not* currently participating in Delaware Stars (represented in Exhibit V.4 by the boxes with a dashed outline). By including nonparticipating providers, we have an opportunity to: (1) capture the full range of quality in the ECE marketplace; (2) interview directors in nonparticipating programs to learn about why they are not participating; and (3) potentially observe a set of providers before and after they transition to Stars participation, to learn more about the experience of entering the system.

To obtain 300 providers' participation, we intend to oversample within each strata: a total of approximately 580 providers, assuming 60 percent will consent to participate. In summer 2014, RAND's Survey Research Group (SRG) will contact the sampled providers first by mail and then by follow up phone calls to solicit their participation in the study. In our letter, we will offer those that participate in the study a \$100 incentive. This letter will stipulate that, for ECECs and large FCCHs, participation consists of: (1) two in-person 30-minute interviews with the director—first in fall 2014 and a second time in spring 2015; (2) permission to observe and rate up to two classrooms in fall 2014 and again in spring 2015; and (3) sending home (e.g., in backpacks), up to two times, blank parental consent forms for all toddlers and preschool-age children. Participation for small FCCHs consists of the first two requirements only. As discussed in Task 7 below, and shown in Exhibit V.4, we do not plan to conduct developmental assessments for children in small FCCHs because the number of children available to recruit for the study is likely to be too small to obtain the desired number of children to assess.

ECE providers where parents of a minimum of five children have parental consent to be assessed (described in Task 7) will be deemed eligible for data collection. To avoid pressure on directors to obtain signed parental consent forms, we have assumed in our budget that sites will be provided the \$100 if they agree to participate and if they send home parental consent forms with their enrolled children; the funds will not be contingent on the number of parental consent forms received.

At ECECs and large FCCHs, we will sample up to one toddler room and one preschool room to observe for up to three hours in the fall of 2014, with the intent to observe the same rooms again in spring 2015. At small FCCHs, we will observe the single room of children they serve.

To validate the Delaware Stars QRIS as part of Q1, it is critical that we employ observation instruments of program quality that are not already included within the QRIS. During the design phase of this task, in consultation with OEL and the Advisory Group, and based on our Task 2 literature review, we will finalize our selection of the observation tools. Our current expectation is that the most appropriate measure for ECEs will be the CLASS preschool and newly-available toddler instruments. In FCCHs, our current plan is to use either the Assessment Profile for Family Child Care Homes (APFCCH) or the Child Care Homes Inventories (CC-HOME). Each of these instruments have been validated and employed in other research studies (see Halle and Vick, 2008).

To answer research questions Q5, Q6, and Q7, and to collect supplementary data for Q2, we propose to interview the site director at the time of the fall 2014 and spring 2015 onsite data collection. We anticipate that the fall 2014 questions will focus on gathering data about the program to verify and supplement administrative data from the OEL and the degree to which the directors communicate with parents about the Delaware Star system. For the providers participating in Delaware Stars at baseline and those that transition into Delaware Stars between waves, the spring 2015 interview will focus on TA received that year, quality improvements made over the year, use of QRIS grant funds, and perceptions of the QRIS system. At sites that remain out of the Star system, we intend to probe regarding barriers to participation. We have budgeted to conduct these director interviews in English and Spanish as needed.

Task 6 Analyses

The interview and observation data collected for the Provider Sample, combined with administrative data for Delaware Stars for rated programs (detailing the values of the quality elements that comprise the ratings and the overall rating), provide a rich source of data for addressing a number of the study questions in Exhibit IV.1. Following the qualitative data analysis methods discussed for Task 4, we will analyze the interview data, both as of the first wave of data collection and later considering the two waves combined. These data will allow us to assess providers' experiences with Delaware Stars, both those in and out of the system, in terms of Q5, Q6, and Q7.

Based on the fall 2014 wave of data collection, we will begin by examining the mean observational scores for CLASS or APFCCH (or CC-HOME) against the QRIS ratings for Star participants. If the QRIS ratings are meaningful, we should observe a Guttman scale, such that the average observational scores for programs with a QRIS rating of 5 stars are higher than the average observational scores for programs with a QRIS rating of 4 stars, which in turn, should be higher than those for programs with a 3-star QRIS rating, etc. (Q1b). We will repeat this analysis for each of the four domains of the QRIS, thereby allowing us to explore whether there are certain domains within the QRIS that are more or less sensitive to the aspects of quality being measured by the CLASS and the APFCCH (or the CC-HOME) (Q1c). We can perform similar analyses to determine the relationship between specific program characteristics and quality, as measured by either Delaware Stars or the independent measures of quality (CLASS, APFCCH or CC-HOME) (Q2).

With the addition of the spring 2015 data, we can repeat the above analyses, treating the second wave of data as a new cross-section. The added data will allow to further examine dynamic questions such as the effect of TA or other supports on changes in program quality over time as measured by the CLASS or APFCCH (or CC-HOME) (Q3).

Using either or both waves of data, we can also compare CLASS or APFCCH (or CC-HOME) scores for Delaware Stars participants and nonparticipants to determine the selectivity of those providers in the Stars system.

Task 6 will be led by Schwartz, with contributions from Karoly, Acosta, Le, and Zellman. The RAND SRG will have primary responsibility for data collection planning and execution. The budget narrative

included in the separate Business Proposal provides additional detail regarding SRGs data collection tasks and the fieldwork parameters. Key prefield activities include obtaining clearance from RAND's human subjects protection committee for the data collection protocols (including consent procedures) and data safeguarding plan; developing a record management system; and recruiting sites. The data collection procedures will be piloted with nine ECE providers prior to initiating fieldwork. We will recruit data collectors, where possible, with prior experience collecting similar data and field staff will undergo extensive training to ensure they are reliable on all data collection instruments. With the exception of site recruitment, similar procedures with respect to piloting, training, and fieldwork will apply for the spring 2015 wave of data collection. During the fieldwork in fall 2014 and spring 2015, both Schwartz and Acosta will be in the field to observe or conduct data collection over several days. Once the data are collected, Le will take the lead in analyzing first the fall 2014 data and later the combined fall 2014-spring 2015 data. The other project team members will also contribute to the data analysis plan and interpretation of findings.

Task 7. Collect and Analyze Child Sample Developmental Assessment Data

To assess the questions related to child outcomes, Q8 and Q9, we also propose to assess children participating in the ECE programs in the Provider Sample. This Child Sample will be linked to the provider data at the classroom and program level, as illustrated in Exhibit V.3. Like the Provider Sample, data collection for the Child Sample, specifically developmental assessments, will be conducted at two time points—fall 2014 and spring 2015—in support of longitudinal analysis. These analyses will allow us to determine if children experience larger developmental gains depending on (a) the Star rating of the site, (b) individual components of the Star rating system, and (c) observational measures of quality not included in Delaware Stars that will be collected for the Provider Sample as part of Task 6 (e.g., the CLASS).

As with Task 6, we first discuss our approach to selecting the Child Sample and collecting the associated data. We then describe the analyses we will conduct based on the first wave of data and then when the first and second waves of data can be combined.

Task 7 Child Sample and Data Collection

We propose to conduct developmental assessments for children in ECECs and large FCCHs but not small FCCHs. We exclude small FCCHs, which are defined as serving 1 to 6 children, because we have established a minimum threshold, for cost and analytic reasons, of assessing no fewer than five toddlers or preschoolers per site in fall 2014. We believe it is not realistic to expect that all, or nearly all, parents at any given site would provide the active consent required for assessing their children in fall 2014. Further, given high rates of mobility among children enrolled at small FCCH sites, we anticipate that a large proportion of children at a given small FCCH provider in fall 2014 will no longer be enrolled in the same program as of spring 2015. So given the small number of children at baseline for measurement and the likely higher rate of attrition, we propose to assess children in only ECECs and large FCCHs (see Exhibit V.4).

At each of the large FCCHs, we propose to assess an average of six toddlers and preschools in fall 2014 with the expectation that four of the six will still be enrolled at the same site as of spring 2015. At each of the ECECs, we propose to assess an average of eight toddlers or preschoolers, with the expectation that six will remain enrolled in spring 2015. Given the number of programs in the Provider Sample by type shown in Exhibit V.4 and the targeted number of children by type produces the child sample sizes shown in Exhibit V.6 for fall 2014 and spring 2015 (see also Exhibit V.4). As noted below, subject to the limitations dictated by the assessment tools selected for the study, we will seek to be inclusive of Spanish-speaking English-language learners (ELLs) and children with special needs.

Exhibit V.6. Target Number in Child Sample

Provider Type	Target Child Sample (N)	
	Fall 2014	Spring 2015
Licensed ECECs participating in Delaware Stars	1,200	900
Licensed ECECs centers not participating in Delaware Stars	240	180
Licensed large FCCHs participating in Delaware Stars	180	120
Licensed large FCCHs not participating in Delaware Stars	180	120
Licensed small FCCHs participating in Delaware Stars	–	–
Licensed small FCCHs not participating in Delaware Stars	–	–
Total	1,800	1,200

This sampling scheme is likely to result in sufficiently large sample sizes to afford adequate statistical power to detect effects. Indeed, these sample sizes are up to two times as large as those of other recent QRIS evaluations that included child developmental assessments conducted by trained assessors (e.g., Elicker et al., 2011; Thornburg et al., 2009; Tout et al., 2010, 2011). This expectation is confirmed by our power calculations, where we generated calculations under different assumptions about the extent of clustering of children within the same program. This measure of resemblance, known as the intra-class correlation (ICC), accounts for the fact that children enrolled in the same program are more likely to be similar than children enrolled in different programs.

Because the statistical power needed to detect a given effect size depends on the ICC, and ICCs vary by outcome, we explored a range of ICCs, where an ICC equal to 0 indicates no clustering, and an ICC greater than 0 indicates some correlation in children's responses within programs. For an 80% power and a 0.05 significance level, and ICCs ranging between 0 and 0.2, we can expect to detect effect sizes between 0.17 and 0.22. As these figures do not take into account covariate adjustments, they are conservative, and in practice, we will be able to detect even smaller effect sizes with the proposed sample of children.

As mentioned in Task 6, we will request that directors send home our active consent form to parents of each toddler and preschooler (as applicable) enrolled as of fall 2014. On the parental consent form, we intend to add approximately six close-ended questions to ascertain key family background characteristics such as mother's (or father's) education level, family income bracket, language spoken at home, whether the child receives a subsidy, the child's birth date, and the child's race and ethnicity. These will be essential control variables for the analyses we describe below. The consent form and the questions will be translated into English and Spanish. Accompanying these active consent forms will be pre-paid envelopes addressed to RAND. As an incentive, we have budgeted to enter the names of all parents who have returned signed consent forms into a raffle for several large prizes like four \$500 Target gift cards. We propose to determine with OEL the most appropriate incentives for parents.

Two weeks after we drop or mail blank consent forms at child care sites, RAND's SRG will contact the sites where fewer than six parental consent forms have been returned to solicit the director's distribution of a second round of parent consent forms. Depending on the number of returned consent forms per site, SRG may, after another two weeks, recruit additional sites to participate to obtain 240 sites to participate in the child assessment portion of the study. At sites with at least five parental consent forms, we will then randomly sample approximately five to eight children per site for assessment in fall 2014. We will first stratify the eligible child sample (i.e. toddler- and preschool-aged

children whose parents have returned a signed consent form) along subsidy, race, and income to obtain a balanced sample. Among children assessed in fall 2014, SRG will contact directors in spring 2015 to confirm their enrollment and again assess those children in spring 2015.

We have budgeted for 30 minutes of individually-administered assessments of the children in our sample in both fall 2014 and spring 2015, consistent with the time allotted for developmental assessments in other recent QRIS evaluations. We will employ instruments appropriate for toddlers and preschool-age children, selecting different instruments where required. As in other recent QRIS reevaluations, we will select the instruments required assess a range of developmental domains inclusive of early literacy and math skills, gross and fine motor skills, and socio-emotional and behavioral development. For example, for toddlers, we would likely select well-validated, reliable measures such as the Bayley Scales of Infant and Toddler Development, Third Edition. For preschool-age children, we would expect to use the Peabody Pictures and Vocabulary Test, 4th edition; the Woodcock-Johnson III tests of achievement (applied problems subtest; math skills subtest); and, for socio-emotional skills, the Devereux Early Childhood Total Protective Factors. We will seek, where possible, to select instruments that are also available in Spanish so that we can include Spanish-speaking ELLs in the study. We will also be attentive to the ability to administer the instruments to children with special needs, identifying those accommodations that are possible. The final selection of specific assessments will be determined in consultation with OEL and the Advisory Group and guided by our literature review in Task 2.

To complete Task 6 and Task 7 successfully, we have also budgeted for a pilot of our provider-level data collection procedures during the winter-spring 2014. Specifically, we anticipate soliciting three small family child cares, one large family child care, and three ECECs into a pilot to test and refine our active parental consent procedures, child assessments, site observation protocol, and director interview protocols. These sites would be excluded from our study sample.

Task 7 Analyses

All analyses of the Child Sample data collected in Task 7 will be performed with data matched to the provider and classroom observation data collected in Task 6. With the child assessment data we have collected in this task, we will first conduct analyses using the baseline data of matched Child-Provider Samples for fall 2014. Following the second wave of data collection, we will undertake additional analyses using the panel data that are designed to answer the key study questions regarding the relationship between children's outcomes and QRIS ratings (Q8 and Q9).

Analyses using Fall 2014 data. Using the fall 2014 data, we will use descriptive methods to explore the relationship between child characteristics and baseline child developmental assessments and the characteristics of the programs children are enrolled in. We will perform these analyses for participating and nonparticipating Stars providers. This will identify differences in the population of children by provider type (ECECs versus FCCs) and provider participation in Delaware Stars.

Analyses using Fall 2014–Spring 2015 data. With the fall-spring data, we will be able to examine growth in child developmental outcomes. The first set of analyses we will perform largely replicates the QRIS evaluation studies that have previously examined the relationship between QRIS ratings and child developmental gains. Namely, it will consist of a cross-sectional regression, where we explore whether children in programs with higher QRIS ratings demonstrate better developmental outcomes and whether those relationships differ by developmental domain (e.g., cognitive, socio-emotional). We will conduct a regression analysis where children's outcomes serve as the dependent variables, and children's background characteristics (derived from the parent questionnaire), and QRIS ratings serve as the independent variables. To the extent that higher QRIS ratings are associated with better outcomes, we have validity evidence for the QRIS as a measure of quality. To determine whether a particular

component of the QRIS is most strongly associated with outcomes, we will repeat this analysis and replace the QRIS ratings with the individual quality elements of the QRIS.

We will also explore the possibility that there is a minimum threshold level of quality on each dimension that must be surpassed before significant relationships between quality and children's outcomes can be observed. Using a non-parametric generalized additive modeling technique, we will explore for non-linear relationships between quality and outcomes. This analysis may help inform refinements to the cut-points adopted on Delaware's QRIS (see Setodji, Le, and Schaack, in press).

To improve upon the first analysis, which is subject to the known selection biases of higher performing children into higher-rated providers, the second set of analysis will focus on comparing the gains children make from fall 2014 to spring 2015 with an estimated counterfactual outcome. That is, our comparison will focus on children in the higher-rated programs and address the question "What would have happened to these children if they had been in unrated or lower-rated programs?"

We will use a three-step process to predict the counterfactual. In the first step, we will use the available explanatory variables found on the parental questionnaire to build a logistic model of the propensity of each student to be in a higher-rated program (Little and Ruben, 2002). We will weight the comparison group (i.e., those in unrated or lower-rated programs) so that they look as similar to the higher-rated children as possible on the available measures. Then we will examine the covariate balance through statistical tests. We will consider both logistic and non-parametric models for the propensity for children to be in higher-rated programs and select the model that yields the best balance between children in higher-rated programs and the propensity-weighted control group across the available covariates.

In the second step, we will fit a weighted generalized linear regression model where the children's gains on the cognitive or social/behavioral measures will serve as the dependent variable, and all the available covariates served as the explanatory variables, along with an indicator variable denoting participation in a higher-rated program. When the analysis involves multiple regression or logistic regression, this approach of including the covariates in both the propensity weighting models and the regression models, is known as conducting doubly robust models. Doubly robust models produce a consistent estimate of the treatment effect if either the propensity or regression model is properly specified, thus minimizing the potential for mis-specification.

In the third and final step, we will use the fitted weighted regression model to predict the outcomes of children in the higher-rated programs had they not been enrolled in the program, thus producing the counterfactual outcome estimates. This three-step process will be repeated for each of the outcomes.

It should be noted that the above approach capitalizes on the entirety of the data, and therefore allows for greater sample sizes to detect effects than traditional propensity score matching methods, which rely on finding individual "matches" for each child in the higher-rated program.

Like Task 6, Task 7 will be led by Schwartz, with contributions from Karoly, Le, and Zellman. The RAND SRG will have primary responsibility for the fall 2014 and spring 2015 data collection planning and execution, following procedures discussed above for Task 6, including prefield preparation, piloting, training, and data collection. These details are found in the budget narrative included in the separate Business Proposal. Once the data are collected, Le will have responsibility for developing and executing the statistical models, first using the fall 2014 data and later the combined fall 2014-spring 2015 data. The other project team members will also contribute to the data analysis plan and interpretation of findings.

Task 8. Communicate with OEL and Prepare Project Reports

This task incorporates both routine communication between RAND and OEL and the dissemination of study results through a series of study reports.

Throughout the project, RAND will hold monthly status meetings with OEL at a mutually agreed upon time and provide written status reports. The meetings will either be held in person or by telephone upon mutual agreement. The first monthly meeting will provide an opportunity for a project kickoff meeting where the RAND team can confer with OEL regarding any revisions to the timing of the interactions with the Advisory Group, and the timing and composition of the study reports. We have planned for a minimum of three in-person meetings, the first to coincide with the Advisory Group meeting, and the second and third meetings to coincide with the Task 6 and 7 data collection activities.

We propose to document the results of Task 2 to 7 in a series of reports. Tasks 2 and 3 will initially be documented in a publicly-available working paper, so that results can be disseminated advance of the Year 1 report. The first year report would be delivered at the end of 2013 and will provide the results from Tasks 2, 3, 4, and 5. The second report will be delivered in early 2015 after the conclusion of the fall 2014 data collection and will incorporate the Task 6 and Task 7 analyses possible with the first wave of data collected for the Provider and Child Samples. The final report will be delivered by the project end date and will incorporate findings from all of the study tasks, including the Task 6 and Task 7 analyses possible with the combined fall 2014-spring 2015 Provider and Child Sample data. This final study report will provide the opportunity to fully address the set of study questions listed in Exhibit IV.1.

Each report will include a summary intended for non-technical audiences that can be distributed separately). The body of the report will fully document the methods and findings for the tasks that are covered. The reports will be written in clear, nontechnical language, with any required technical material provided in one or more appendixes. For each report, a draft document will be provided to OEL for review and comment. Each draft report will also be provided to members of the Advisory Group. This will allow OEL and the Advisory Group members to review and comment on the draft at the same time that the RAND peer review process takes place. The final document will incorporate revisions in response to the comments from OEL, the Advisory Group, and the peer reviewers. Each report will undergo professional editing and production before delivery to OEL.

Karoly and Schwartz will participate in the monthly status calls and attend the three planned in-person meetings, while Zellman will also attend the first in-person meeting with the Advisory Group. Karoly will be available to attend other in-person meetings as required, including meetings to present interim or final study findings. Karoly will have overall responsibility for the preparation of the reports, although all members of the research team will contribute to the various reports based on their involvement with the tasks to be incorporated.

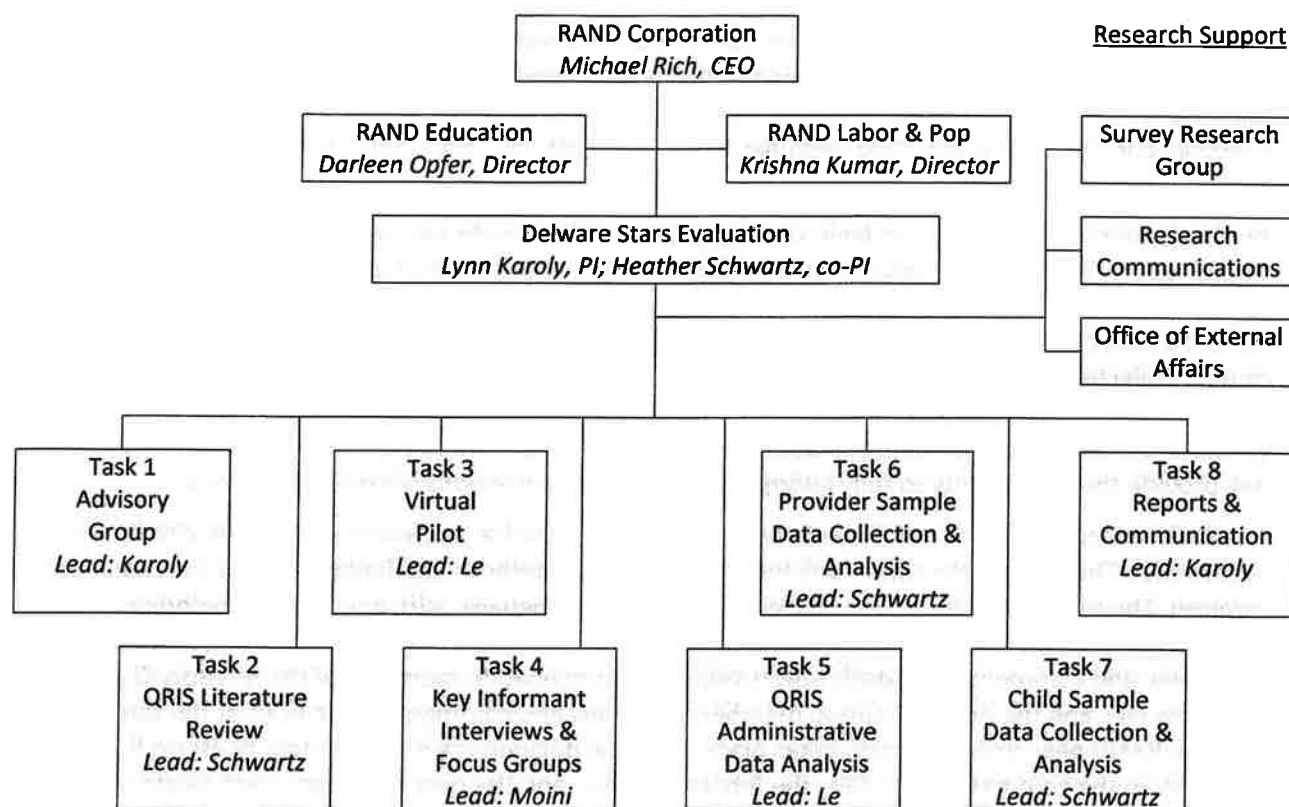
C. Project Management Plan and Staff Qualifications

Successful completion of the work under this contract will require strong, flexible leadership; effective integration of effort across project tasks; and an experienced, interdisciplinary research team that can address the full spectrum of questions and issues that will arise. In this section we describe the organizational structure of the project team and outline the key responsibilities of each team member, describe staff loading in hours by task, and discuss communication among project staff. The expertise of the key research personnel are detailed further in the biographical narratives that follow.

C.1. Organizational Chart and Key Responsibilities

Exhibit V.7 shows the organizational chart for this project, with supporting RAND functions listed on the right side of the figure. The project will be housed in RAND Education and RAND Labor and Population, two of RAND's research units.

Exhibit V.7. Project Organizational Chart



This project will be led by Drs. Lynn Karoly and Heather Schwartz. Other key personnel include Drs. Joie Acosta, Vi Nhuan-Le, and Gail Zellman. All proposed staff are available during the study period to provide the budgeted time. As described in the biographical sketches below, the proposed team brings extensive experience with the topics and methods required to carry out the proposed work, including research across the span of preschool education to early elementary education, QRIS validation studies, program formative and summative evaluation, and qualitative and quantitative primary data collection and analysis.

Exhibit V.8 details our proposed staffing plan, with staff time allocations in hours by task. This plan reflects the following division of responsibilities (also reflected in Exhibit V.6):

- **Dr. Lynn Karoly**, serve as Principal Investigator (PI). Karoly will be responsible for planning, organizing, and directing the design, implementation, and operations of the project. She will serve as the primary point of contact for the OEL. She will monitor all of the tasks and will supervise and direct all of the deliverables. Specifically, she will lead Task 1 (Advisory Group), oversee Task 4 (key informant interviews, led by Acosta), and lead Task 8 (study reports and communication with OEL).

- **Dr. Heather Schwartz**, serve as co-Principal Investigator (co-PI). Schwartz will share the responsibility with Karoly for project execution. She will oversee the day-to-day management of the project and ensure activities are completed on time and within budget. She will lead Task 2 (QRIS literature review), oversee Tasks 3 (virtual pilot, led by Le) and Task 5 (QRIS administrative data analysis, led by Le), and lead Task 6 (Provider Sample data collection and analysis) and Task 7 (Child Sample data collection and analysis).
- **Dr. Joie Acosta**, conduct interviews and site visits. Acosta will lead Task 4 (key informant interviews) and visit sites during data collection as part of Task 6. She will draft the interview protocol and analyze the notes from those interviews. She will write the sections of the first year and third year reports summarizing our interview analyses.
- **Dr. Vi-Nhuan Le**, lead statistical analyses. Le will lead the statistical analyses for Task 3 (virtual pilot) and Task 5 (QRIS administrative data analysis). She will also be responsible for the statistical analysis of the classroom observation data we collect for the Provider Sample in Task 6 and the child assessments collected for the Child Sample in Task 7. She will oversee the work of the programmer, and she will write the quantitative analysis sections of the study reports.
- **Dr. Gail Zellman**, provide expertise on ECE and QRIS. Zellman will contribute her extensive knowledge of ECE and QRIS evaluation on several tasks. She will advise Karoly and Schwartz on the selection of Advisory Group members as part of Task 1; provide input for the QRIS literature review in Task 2; assist with the design of the interview protocols for Task 4 and analysis of QRIS administrative data for Task 5; advise on the selection of instruments for the provider observations and child assessments as part of Tasks 6 and 7; and review and comment on the three study reports.
- **Research programmer**, assist with statistical analyses. Working under Dr. Le, the programmer will be responsible for cleaning and coding secondary and primary data files for Task 3 (virtual pilot), Task 5 (QRIS administrative data), Task 6 (Provider Sample analysis), and Task 7 (Child Sample analysis).
- **Research assistant (RA)**, assist with literature review, other research support, and report writing. The RA will provide support to the two co-PIs by helping to organize the advisory group meetings for Task 1, conducting the QRIS literature review for Task 2, taking notes during key informant interviews for Task 4, assisting Dr. Schwartz in tracking data collection for Tasks 6 and 7, and drafting sections of the study reports for Task 8.

The team will also be supported by an administrative assistant (AA) for several tasks. As part of RAND's peer-review process, the staffing plan (not shown) also includes time for two senior research reviewers to provide technical reviews of the three study reports produced as part of Task 8.

In addition to the research and support personnel listed in Exhibit V.8, RAND's Survey Research Group (SRG) staff will contribute to the design of the data collection for the Provider Sample and Child Samples as part of Tasks 6 and 7. They will also recruit and train the field staff who will conduct the director interviews, observe classroom quality, and collect child developmental assessments. Additional detail about the SRG activities is provided in the budget narrative included in the separate Business Proposal.

Exhibit V.8. Staff Loading Chart by Task (in hours)

Project Staff	Task 1	Task 2	Task 3	Task 4	Task 5	Task 6	Task 7	Task 8	Total
Dr. Lynn Karoly, PI	16	16	32	32	16	144	144	328	728
Dr. Heather Schwartz, co-PI	24	8	16	32	16	176	176	240	688
Dr. Joie Acosta	0	0	0	40	0	56	0	224	320
Dr. Vi Nhuan Le	0	0	40	0	80	144	136	120	520
Dr. Gail Zellman	20	4	0	12	8	16	16	72	148
Research programmer	0	0	40	0	80	160	160	0	440
Research assistant	24	32	0	40	0	56	56	200	408
Administrative assistant	16	0	0	0	0	16	0	96	128
Total	100	60	128	156	200	768	688	1280	3,380

NOTE: Table does not include RAND Survey Research Group staff.

C.2. Staff Qualifications

The RAND team proposed for this project possesses the capabilities, experience, and resources to conduct the proposed research. Reflecting the multidisciplinary nature of RAND staff overall, staff for this project bring expertise from a broad spectrum of disciplines including child development, education, economics, psychology, and policy analysis. The proposed research staff also bring substantive experience with ECE programs, QRIS design and evaluation, data-driven decisionmaking, and continuous quality improvement. In addition, the staff have methodological expertise with conducting systematic literature reviews, developing logic models, designing and implementing evaluation studies, quantitative and qualitative methods, primary data collection, administrative data analysis, and secondary data analysis. Finally, the project team brings strong management and organizational skills to ensure that the project is implemented in an efficient and effective manner.

Lynn A. Karoly (Ph.D., Economics, Yale University) is a RAND senior economist who has led numerous projects during her 24-year research career related to child and family well-being, human capital investments, economic disparities, social welfare policy, and labor market behavior. Much of her recent research has focused on early care and education (ECE) programs. Among current projects, Karoly is leading a study that is collecting survey and interview data from Early Head Start and Head Start health managers to address the characteristics and role of health managers and how health managers prioritize, implement, monitor, evaluate, and sustain health initiatives and the community and policy context within which they operate. She recently completed a multi-faceted study of preschool education in California, in collaboration with Zellman among others, documented in a series of peer-reviewed RAND reports and a synthesis monograph. As part of that effort, she designed and fielded the California Preschool Study which collected data on early care and education from a representative sample of California families with preschool-age children and their care providers, including onsite observational assessments using the CLASS and other tools. Another component of the study examined the ECE workforce development system in California. Her ECE work has also included providing analytic support, together with Zellman, to California's effort to develop QRIS, documented in two published studies, and through an ongoing project on local quality improvement systems in collaboration with AIR and funded by the California Department of Education. Their joint work also includes a current study that is investigating the variation in quality within and between center-based ECE programs in California and Colorado. In related work, Karoly has examined the costs of home- and center-based ECE programs in Minnesota (together with Schwartz), ECE programs and immigrant

children, and the benefits and costs of a range of early childhood programs and interventions. While Karoly's research primarily relies on quantitative statistical and econometric methods using primary data she designed and collected or secondary data (including administrative data), she has incorporated qualitative methods as well, such as case studies and focus groups.

Heather L. Schwartz (Ph.D., Education policy, Columbia University) is a Full Policy Researcher at the RAND Corporation in New Orleans, Louisiana. Dr. Schwartz researches education and housing policies intended to reduce the negative effects of poverty on children. She has conducted several studies of preschool programs. In addition to her 2013 publication regarding international comparisons of preschool program costs, she co-led with Karoly a project in 2011 to collect and analyze the costs of a preschool voucher program in St. Paul, Minnesota. Prior to working at RAND, she helped to conduct a cost-benefit study of the Abbott preschool program in New Jersey. She currently researches the effects of summer learning on narrowing the economic achievement gap among elementary-aged children. She is helping to field a RCT of summer programs in five school districts, leading the collection of secondary data and primary data including administering assessments to over 5,000 fourth graders and surveying teachers, principals, parents, and students. She is the principal investigator of two ongoing studies of the effects of economic integration on low-income children and their schooling. Her methodological skills include quantitative analysis of large secondary data sets, causal analysis, and collecting focus group and interview data.

Joie Acosta (Ph.D., Community and cultural psychology, University of Hawaii) is a Full Behavioral Scientist at the RAND Corporation in Arlington, Virginia. Dr. Acosta specializes in community-based research focused on the implementation and evaluation of prevention and health promotion programs in the areas of public health, positive youth development, substance abuse, and mental health. She has twelve years of experience developing and conducting multi-site community and school-based research and providing technical assistance to build evaluation capacity for a variety of clients, including schools and academic institutions. Over the past year, Dr. Acosta has served as the co-PI of a large RCT involving 32 Boys and Girls Club sites in the states of Georgia and Alabama that is funded by NICHD. Dr. Acosta currently serves as the Deputy Director of RAND's Institute on Early Child Education and Development and as a board member of Hopkins House, an early childhood care center based in Northern Virginia.

Vi Nhuan Le (Ph.D., Educational psychology, Stanford University) is a Behavioral Scientist with RAND. Her work focuses on early childhood education and educational measurement. She is currently evaluating a college outreach program on participants' college matriculation and examining the cognitive demands of nationally- and internationally-administered achievement tests. She has considerable experience validating quality measures within childcare contexts, including examining the reliability and validity of the various quality components included within Colorado's QRIS. Her previous projects have included developing and validating innovative measures to assess child-staff ratios, examining the factor structure of the ERS measures, and examining the relationships between temporary classroom transitions in childcare and children's attachment relationships. She has also conducted research on New York's social promotion policy, including examining the effects of the policy on retained students' socio-emotional outcomes. Her quantitative skills include non-parametric and logistic regression methods and her qualitative skills include focus groups and interviews of program staff and directors.

Gail L. Zellman (Ph.D., Psychology, UCLA) is a social and clinical psychologist with years of experience conducting and leading research on child and youth education and policy at RAND. Her child care work focuses on policy levers to improve quality of care in out-of-home settings. Currently, she is co-leading a study for the California Department of Education on Quality Improvement Systems in the state and she is working with Karoly to investigate variation in quality within and between center-based

ECE programs in California and Colorado. She helped the State of California design a child care QRIS, conducting research to examine the likely effects of different cutpoints and other rating decisions. She has evaluated an early QRIS, Colorado Qualistar, designed to improve child care quality by analyzing its component measures and conducting a series of validation studies. She analyzed the development and implementation of quality rating systems in five pioneer states and developed recommendations for designing and revising these systems. She has also led numerous studies of the military child care system, and is currently evaluating a P-3 Initiative being implemented in Hawaii. In earlier work, Zellman evaluated principal leadership, teen pregnancy programs, and other interventions in school districts across the country. Zellman's research integrates qualitative methods such as focus groups and case studies with quantitative statistical methods.

D. Timeline and Deliverables

The proposed deliverables schedule is summarized in Exhibit V.9. The proposed project tasks and timeline are shown in Exhibit V.10. The project start date is June 15, 2013 and the work continues through December 31, 2015. The task structure, task timeline, deliverables structure, and deliverables schedule will be finalized with OEL at the start of the project.

Exhibit V.9. Deliverables and Schedule

Deliverable	Expected Deliverable Date
Monthly phone calls or in-person meetings and progress reports	To be scheduled monthly
Advisory group meetings (in person)	October 2013 and April 2014
Literature review draft (D) and final working paper (W)	August 15, 2013 (D) September 15, 2013 (R)
Virtual pilot draft (D) and final working paper (W)	August 31 (D) September 30, 2013 (R)
First year draft report (D) and final report (R)	November (D), December (R) 2013
Second year draft report (D) and final report (R)	January (D), February (R) 2015
Third year draft report (D) and final report (R)	October (D), December (R) 2015

As shown in Exhibit V.10, we propose that the Advisory Group will meet in person in Delaware in October 2013 and April 2014 as part of Task 1. They will also review our final report in October 2015. The meetings and interactions with the Advisory Group are timed to allow the members to provide the RAND team with their expert guidance regarding the research design, data collection instruments, and reports.

Task 2 to 5 constitute a set of activities to be conducted in 2013 and documented through two working papers and in the first year report. We propose to update our QRIS literature review in June and July 2013 (Task 2), conduct the virtual pilot of the Delaware Stars system from June to August 2013 using ECLS-B data (Task 3), conduct interviews with key state and local stakeholders in August and September 2013 (Task 4), and analyze the Delaware Stars administrative data provided by OEL in the fall of 2013 (Task 5).

The primary data collection for Tasks 6 and 7 require a lengthy period for planning and pilot activities prior to beginning site recruitment and data collection. The prefield activities such as instrument selection, materials purchases, human subjects review, and other planning activities will begin in October 2013. Later in the planning process, we will pilot the provider and child data collection

protocols. The selection, hiring, and training of field data collectors will take place at the latter end of the planning period. Active recruitment of sites and parents will begin in June 2014. The first wave of visits to sampled ECE providers to conduct director interviews, classroom observations, and child assessments will take place in October-November 2014 (fall 2014 data collection). The second wave of provider and child data collection will take place in April – May 2015 (spring 2015 data collection). Following the first wave of data collection, we will conduct cross-sectional analyses that can be incorporated into the Year 2 report, while the analysis of both waves of data will be included in the Year 3 report.

Throughout the project, we propose in Task 8 to hold monthly status meetings with OEL by phone or in person and provide written status reports as requested. As indicated in Exhibit V.10, we have also budgeted in Task 8 to provide three reports to OEL following a schedule that aligns with the project tasks. Specifically, the first year report would be delivered in December 2013. The second report would follow approximately 14 months later in February 2015. The final study report would be delivered in December 2015. For each report, we will provide OEL with a draft document approximately 6 to 8 weeks prior to the final report deliverable date. In addition to the three study reports, Tasks 2 and 3 will also be documented in a working paper, with results incorporated into the Year 1 report.

Exhibit V.10. Project Tasks and Timeline

Task	Jun '13	Jul '13	Aug '13	Sep '13	Oct '13	Nov '13	Dec '13	Jan '14	Feb '14	Mar '14	Apr '14	May '14	Jun '14	Jul '14	Aug '14	Sep '14	Oct '14	Nov '14	Dec '14	Jan '15	Feb '15	Mar '15	Apr '15	May '15	Jun '15	Jul '15	Aug '15	Sep '15	Oct '15	Nov '15	Dec '15
1. Advisory Group	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33
2. QRIS Literature Review		D	W								AG																				
3. Virtual Pilot			D	W																											
4. Interviews & Focus Groups			X	X																											
5. QRIS Administrative Data Analysis																															
6. Provider Sample Data Collection & Analysis													S	S	S	S	X	X					X	X							
7. Child Sample Data Collection & Analysis																	X	X					X	X							
8. Communications & Reports	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	R

NOTE: Abbreviations: AG = advisory group meeting; S = site recruitment period; X = primary data collection period; M = monthly project status meetings and reports; P = in-person meetings with OEL; D = draft working paper or study report; R = study report; W = working paper.

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RAND BUDGET NARRATIVE
DELAWARE STARS FOR EARLY SUCCESS EVALUATION
Lynn A. Karoly, Principal Investigator
Heather L. Schwartz, co-Principal Investigator

A. Personnel

Tables A.1 and A.2 indicate project staff time allocation in hours by period (Year 1 to Year 3) and by task, respectively. We provide a project organization chart and describe our project staffing in our Statement of Work, Section V, Implementation Plan. The Implementation Plan also details the scope of each task. Biographical narratives for key research personnel are included in the narrative proposal and their curriculum vitae are included in Appendix A.

RAND personnel are budgeted on the basis of 260 working days per year. Fringe benefits are calculated at 49% and include such costs as health, dental, and vision insurance, retirement benefits, sick leave and vacation time. Fringe benefits are uniformly provided to all RAND employees. Personnel costs are escalated at 4% annually with the exception of Program Director/Management.

Based on the time allocated for the project staff shown in Tables A.1 and A.2, the project staff will perform the following duties:

- **Dr. Lynn Karoly**, serve as Principal Investigator (PI) (16% in year 1, 13% in year 2, 13% in year 3). Karoly will be responsible for planning, organizing, and directing the design, implementation, and operations of the project. She will serve as the primary point of contact for the Delaware Office of Early Learning (OEL). She will monitor all of the tasks and will supervise and direct all of the deliverables. Specifically, she will lead Task 1 (Advisory Group), oversee Task 4 (key informant interviews, led by Acosta), and lead Task 8 (study reports and communication with OEL).
- **Dr. Heather Schwartz**, serve as co-Principal Investigator (co-PI) (15% in year 1, 16% in year 2, 9% in year 3). Schwartz will share the responsibility with Karoly for project execution. She will oversee the day-to-day management of the project and ensure activities are completed on time and within budget. She will lead Task 2 (QRIS literature review), oversee Tasks 3 (virtual pilot, led by Le) and Task 5 (QRIS administrative data analysis, led by Le), and lead Task 6 (Provider Sample data collection and analysis) and Task 7 (Child Sample data collection and analysis).
- **Dr. Joie Acosta**, conduct interviews and site visits (11% in year 1, 6% in year 2, 4% in year 3). Acosta will lead Task 4 (key informant interviews) and visit sites during data collection as part of Task 6. She will draft the interview protocol and analyze the notes from those interviews. She will write the sections of the first year and third year reports summarizing our interview analyses.
- **Dr. Vi-Nhuan Le**, lead statistical analyses (14% in year 1, 10% in year 2, 8% in year 3). Le will lead the statistical analyses for Task 3 (virtual pilot) and Task 5 (QRIS administrative data analysis). She will also be responsible for the statistical analysis of the classroom observation data we collect for the Provider Sample in Task 6 and the child assessments collected for the Child Sample in Task 7. She will oversee the work of the programmer, and she will write the quantitative analysis sections of the study reports.
- **Dr. Gail Zellman**, provide expertise on early care and education (ECE) and QRIS (4% in year 1, 3% in year 2, 2% in year 3). Zellman will contribute her extensive knowledge of ECE and QRIS

evaluation on several tasks. She will advise Karoly and Schwartz on the selection of Advisory Group members as part of Task 1; provide input for the QRIS literature review in Task 2; assist with the design of the interview protocols for Task 4 and analysis of QRIS administrative data for Task 5; advise on the selection of instruments for the provider observations and child assessments as part of Tasks 6 and 7; and review and comment on the three study reports.

Table A.1 Staff Loading Chart by Budget Period (in hours)

Project Staff	Period 1	Period 2	Period 3	Total
	6/15/13 to 12/31/13	1/1/14 to 12/31/14	1/1/15 to 12/13/15	
Dr. Lynn Karoly, PI	184	272	272	728
Dr. Heather Schwartz, co-PI	168	328	192	688
Dr. Joie Acosta	120	120	80	320
Dr. Vi Nhuan Le	160	200	160	520
Dr. Gail Zellman	48	52	48	148
Research programmer	120	160	160	440
Research assistant	152	176	80	408
Administrative assistant	32	56	40	128
Total	984	1,364	1,032	3,380

NOTE: Table does not include RAND Survey Research Group staff.

Table A.2 Staff Loading Chart by Task (in hours)

Project Staff	Task 1	Task 2	Task 3	Task 4	Task 5	Task 6	Task 7	Task 8	Total
Dr. Lynn Karoly, PI	16	16	32	32	16	144	144	328	728
Dr. Heather Schwartz, co-PI	24	8	16	32	16	176	176	240	688
Dr. Joie Acosta	0	0	0	40	0	56	0	224	320
Dr. Vi Nhuan Le	0	0	40	0	80	144	136	120	520
Dr. Gail Zellman	20	4	0	12	8	16	16	72	148
Research programmer	0	0	40	0	80	160	160	0	440
Research assistant	24	32	0	40	0	56	56	200	408
Administrative assistant	16	0	0	0	0	16	0	96	128
Total	100	60	128	156	200	768	688	1280	3,380

NOTE: Table does not include RAND Survey Research Group staff.

- **Research programmer**, assist with statistical analyses (9% in year 1, 8% in year 2, 8% in year 3). Working under Dr. Le, the programmer will be responsible for cleaning and coding secondary and primary data files for Task 3 (virtual pilot), Task 5 (QRIS administrative data), Task 6 (Provider Sample analysis), and Task 7 (Child Sample analysis).
- **Research assistant (RA)**, assist with literature review, other research support, and report writing (11% in year 1, 8% in year 2, 4% in year 3). The RA will provide support to the two co-PIs by helping to organize the advisory group meetings for Task 1, conducting the QRIS literature review

for Task 2, taking notes during key informant interviews for Task 4, assisting Dr. Schwartz in tracking data collection for Tasks 6 and 7, and drafting sections of the study reports for Task 8.

- **Administrative assistant (AA)**, assist with administration (2% in year 1, 3% in year 2, 2% in year 3). The project AA will aid with the logistics of the Task 1 Advisory Group meeting, book project-related travel and schedule interview appointments as part of Task 6, and assist with the preparation of the project reports and other communications as part of Task 8.

In addition to the research and support personnel listed in Tables A.1 and A.2, RAND's Survey Research Group (SRG) staff will contribute to the design of the data collection for the Provider Sample and Child Samples as part of Tasks 6 and 7. They will also recruit and train the field staff who will conduct the director interviews, observe classroom quality, and collect child developmental assessments. The budget for the SRG activities is discussed below in Section C, Program and Operating Costs as they are a cost center at RAND. As such, they are classified as an Other Direct Cost in RAND's general ledger.

B. Travel (inflated by 2.5% annually)

The travel costs incurred by RAND personnel (excluding Survey Research Group and Advisory Group) while in project travel status include airfare, transportation, reasonable lodging, per diem, taxis, and other directly associated expenses. Projected Lodging Daily Cost is the maximum reimbursable rate for a specific locality, as prescribed by Federal Travel Regulations. Projected Meal and Incidental Expenses Daily Cost is a fixed amount for specific locality, as prescribed by Federal Travel Regulations. Projected Other Expenses Daily Cost is the fixed amount established by RAND for reimbursement of lodging taxes, ground transportation (taxi fares, car rental charges, mileage, gasoline, toll fees, parking), communications, and other reimbursable miscellaneous expenses.

The budget includes travel funds in four tasks. It is assumed that RAND project staff traveling by air require a rental car for local transportation.

- **Task 1.** The travel costs for Karoly and Schwartz to attend the Year 1 Advisory Group meeting in Delaware are included in Task 8 below. Likewise, the travel costs the Advisory Group members to attend the meeting are included in the Program and Operating costs, section C.1 below. For this task, we have budgeted for Zellman (traveling from Santa Monica by air) to attend the Advisory Group meeting. The Advisory Group meeting in Year 2 will be a conference call and thus will not require travel.
- **Task 4.** We have budgeted for a two-day trip for Acosta (traveling from Washington, DC by car) to travel to Delaware to conduct in-person interviews in a rural and an urban location to be determined.
- **Task 6.** We have budgeted for two two-day trips for Acosta to travel to Delaware to conduct site director interviews.
- **Task 8.** We have budgeted for one trip each in each of the three project years for Karoly and Schwartz to travel to Delaware for in-person meetings with OEL and any other key stakeholders. Specifically, in Year 1, we have budgeted for one two-day trip for Karoly (traveling from Philadelphia by car) and for one three-day trip for Schwartz (traveling from New Orleans by air). This trip is assumed to coincide with the Advisory Group meeting, as noted above. In each of Years 2 and 3, we have budgeted for a one-day (no overnight) trip for Karoly and a three-day trip for Schwartz (who will also visit sites during data collection ongoing under Tasks 6 and 7).

C. Program and Operating

C.1. Advisory Group Honoraria and Travel

A total of \$54,000 is budgeted for Advisory Group Honoraria and related travel (\$16,000, Year 1; \$30,000, Year 2; and \$8,000 Year 3).

The budget includes funds for honoraria and their related travel expenses for the eight Advisory Group members as part of Task 1. We have budgeted to provide a \$2,000 honorarium (approximately \$1,000 per day) for each member to cover the time associated with attending the in-person meeting in Year 1, participating in the conference call in Year 2, and reading and commenting on the final study report in Year 3. We have also budgeted an average cost of \$1,000 per advisory group member to cover their airfare, hotel, and ground transportation to travel to Delaware in Year 1 for a day-long Advisory Group meeting. The average travel cost anticipates that some Advisory Group members will be located on the East Coast and will therefore have lower travel costs than those members who are traveling from other parts of the country, including the West coast.

C.2. Data Collection Costs – RAND Survey Research Group (SRG)

A total of \$981,742 is budgeted for the RAND Survey Research Group (\$71,979, Year 1; \$573,307, Year 2; and \$336,456, Year 3).

The budget includes funds to support the SRG data collection activities required for Tasks 6 (Provider Sample) and Task 7 (Child Sample). SRG will be responsible for recruiting and collecting data from 300 sites in Task 6 and assessing up to 1,800 children in Task 7. The SRG has over 40 staff with extensive experience and expertise fielding large surveys across diverse populations. Specifically, they will recruit sites, administer incentives to participating sites, obtain active parental consents, conduct director interviews at the sites, administer parent raffles, schedule child assessments, conduct child assessments, and provide data to the research team. They will hire and train observers and child assessors.

In the remainder of this section, we provide detail on the data collection activities and parameters, the associated labor costs, and other nonlabor costs.

C.2.1 Data Collection Activities and Parameters

The data collection activities involve the six tasks: prefield and pilot activities to test the survey procedures on a small sample of providers; site and parent recruitment; training for fall 2014 data collection; fall 2014 data collection; training for spring 2015 data collection; and spring 2014 data collection. A summary of the key activities and parameters that determine the budget is as follows:

Prefield and Pilot Activities (October 1, 2013 to June 1, 2014)

- Develop RAND human subjects protection committee (HSPC) materials, RAND data safeguarding plan and complete review process; implement data safeguarding plan
- Develop and program record management system (RMS)
- Develop and program data entry systems for in-field data entry
- Recruit 9 ECE programs to participate requiring 20 initial letters; follow-up calls (5 maximum); site payments of \$100 for up to 12 programs; and a parent raffle of \$25 for 9 programs
- Print and mail parent permission form packets to 12 programs, available in English and Spanish; receive and log parent permission forms; load child roster into RMS
- Recruitment and training of 2 field staff; development of training materials; conduct onsite training

- Pilot Fall 2014 and Spring 2015 data collection activities with 9 programs (18 children)
 - Conduct 9 director interviews (Fall and Spring) – 45 minutes each
 - Conduct 9 classroom observations (Fall and Spring) – 3 hours each
 - Conduct child assessments (18 children in Fall and 12 in Spring) – 30 minutes each

Site and Parent Recruitment (June 1, 2014 to October 1, 2014)

- Recruit 300 ECE programs to participate; initial letters to 583 programs; follow-up calls (5 maximum); site payments of \$100 for up to 350 programs; and a parent raffle of \$25 for 300 programs
- Print and mail parent permission form packets to 350 programs, available in English and Spanish; second bulk mailing of permission forms; receive and log parent permission forms (n=1922 forms received); load child roster into RMS

Training for Fall 2014 (October 1, 2014 to October 15, 2014)

- Recruit and train 32 field staff
- Conduct onsite training (8 hours by phone, 32 hours in-person; travel for 3 SRG staff)

Data Collection for Fall 2014 (October 15, 2014 to November 26, 2014)

- Fall data collection activities with 300 ECE programs (1800 children), with 2 field staff visiting a program and completing data collection in one day
 - Conduct 300 director interviews (Fall and Spring) – 45 minutes each
 - Conduct 426 classroom observations (Fall and Spring) – 3 hours each
 - Conduct child assessments (1800 children in Fall) – 30 minutes each
- Data entry by field staff onto laptop computers
- Create final data file and documentation

Training for Spring 2015 (April 1, 2015 to April 15, 2015)

- Refresher training for 32 field staff
- Conduct onsite training (4 hours by phone, 16 hours in-person; travel for 3 SRG staff)

Data Collection for Spring 2015 (April 15, 2015 to May 26, 2015)

- Fall data collection activities with 300 ECE programs (1200 children), with 2 field staff visiting a program and completing data collection in one day
 - Conduct 300 director interviews (Fall and Spring) – 45 minutes each
 - Conduct 426 classroom observations (Fall and Spring) – 3 hours each
 - Conduct child assessments (1200 children in Spring) – 30 minutes each
- Data entry by field staff onto laptop computers
- Create final data file and documentation

C.2.2 Data Collection Labor Costs

In this section we provide a summary of each SRG staff member's role. The level of staff effort is shown in hours in Table A.3.

The **Survey Director** will be responsible for directing and monitoring all aspects of the planning and implementation of data collection. She will develop the detailed schedule for the project. She will be responsible for the RAND HSPC submission. She will plan and participate in the recruitment and training of the test administrators and proctors. She will design the status reports and conduct regular status meetings with the project co-PI. She will be responsible for monitoring costs, oversight of

programming tasks, production and quality of data collection, and will assure timely submission of deliverables. She will produce the final methods report. She will directly supervise the Survey Coordinator.

Table A.3 SRG Staff Loading Chart (in hours)

SRG Project Staff	Hours
Management Staff	
Survey Director	424
Survey Coordinator	1,000
RMS Programmer	352
CATI/CAPI Programmer	936
Translation Specialist	16
Survey Assistant	936
Administrative Assistant	248
Operations Staff	
Data Reduction Specialist	136
Editor/Coders	120
Mail Clerks	176
General Clerical	24
Total	14,048

The **Survey Coordinator** will have primary responsibility for SRG's data collection activities. She will be the liaison with ECE programs and directors and will make sure all appropriate procedures have been reviewed with staff so that data collection efforts can run smoothly. She will oversee recruitment and training of the data collection staff, train central office staff; and provide direct oversight and monitoring of SRG's data collection activities at the sites.

The **RMS programmers** will set-up and monitor the record management system (RMS), and program the report templates. In addition, the RMS programmers will make the required modifications to the sample status tracking component of the RMS to provide the reporting of data collection by wave. He will provide technical support during the field period.

A **CATI/CAPI programmer** will program the data collection forms for data entry by data collection staff in the field, provide support during training, and provide technical support during the field period. She will also clean and merge data to create the final data file and produce the data documentation.

An **SRG translation specialist** will complete and review the Spanish language translations of the parent permission form and letter.

The **Survey Assistant** will work closely with the survey coordinator and the data collection staff. Her responsibilities include contacting ECE programs for recruitment and participation in data collection staff recruitment and training. She will also travel to sites to support data collection activities.

An **administrative assistant** will provide support to SRG staff.

A **data reduction specialist** will enter the initial roster data received into the RMS system. The data reduction specialist will provide oversight of mail clerks who prepare advance letters to programs, parent permission form packets to the programs, and data collection administration packets to be sent

to the field staff. He will also provide direct oversight and quality control of editor/coders who enter in parent permission form data, including verification of 10% of entries.

Editors/coders will enter in in parent permission form data. **Mail clerks** will assemble advance letters to ECE programs, prepare parent permission form packets, prepare bulk mailings of data collection materials to the training site, prepare mailings to the field staff, and process returned parent permission forms. Additional **general clerical** time is budgeted to provide clerical support in the preparation for the mailing.

C.2.3 Data Collection Nonlabor Costs

In this section, we provide a description of the nonlabor costs we have estimated for this project.

- **Postage** includes the cost of mailing 912 letters first class outgoing postage at a rate of \$.45, 1941 business reply envelopes with parent permission forms at a rate of \$.46, bulk mailing of testing supplies to the sites at \$1000, and 724 FedEx boxes with permission forms to ECE programs at \$4.45 per box. It also includes 76 FedEx mailings of to field staff at \$4.45 each.
- **Telephone** costs includes recruitment calls to programs at 20 minutes per case and 145 calls to directory assistance at \$1.50 each.
- **Parent raffle payments** have been budgeted assuming a raffle for payment of \$25 at each of 309 ECE programs.
- **Site incentive payments** assume a respondent payment of \$100 per site for a maximum of 362 sites.
- **Printing** of materials is budgeted to include up to 21,000 parent permission forms (1-page) and 21,000 business reply envelopes, training materials for data collection staff, and 912 letters to programs.
- **Payroll services for data collection staff** are budgeted for a total of 1,756 days. RAND uses the services of agency with experience in hiring field staff for a fee of \$26.98/hour. The budgeted time includes training time, administration of data collection at the site, waiting time, and meetings.
- **Recruitment ads** are included for additional recruitment costs for data collection staff.
- **Translation** fees cover the cost of two Spanish-language forward translations of parent permission form materials.
- **Options for fieldwork** are budgeted to cover costs for laptops for data collection administration. Also included is mileage reimbursement for data collection staff, which is estimated at a total of 40 miles for each staff member per site.
- **Facility rental** costs have been budgeted for the on-site training in Delaware. This includes costs associated with rental of a local conference room. Food for training includes the cost for food for data collection staff and trainers during in-person trainings.
- **Travel** costs have been budgeted for SRG staff. This reflects seven round-trips to Delaware for SRG staff members. All trips originate in Los Angeles. Travel funds are included in the budget for Santa Monica based staff to attend training and provide management oversight of the data collection.

C.3. Publications Cost

A total of \$21,658 is budgeted for publications (\$7,056, Year 1; \$4,107, Year 2; and \$10,495 Year 3). RAND publications have a high standard and produce professional quality books and reports. The production includes editing, typesetting, and proofreading by publication specialists. Figures and other artwork are prepared and polished by RAND's professional art staff. Costs also include print and distribution of the final report to key stakeholders. RAND's web team prepares a pdf version of the report which is made available for free electronic download from RAND's website.

We have budgeted to provide a study report at the end of Years 1, 2, and 3. We have assumed that the reports in Years 1 and 2, each approximately 50 pages, will be provided as internal documents for OEL, to provide mid-project updates on progress and findings. These reports may be produced as publicly available documents and posted on RAND's website to ensure broad dissemination. The results from all tasks will be documented in a final study report published at the end of Year 3. The budget for the Year 3 report includes funds for standard editing, design, formatting, and production of a 100-page report in pdf format suitable for web posting.

C.4. Other Program/Operating Costs

The budget includes overhead costs related to a wide array of staff and research management who assist projects with regular and routine project review. They also aid staff with methodology development, problem solving and suggest redirection when needed. Other reviews are focused on the appropriateness of the process, its quality, relevance and policy impact. Financial aspects of the project require constant attention from budget monitors, grant administrators, and accountants. Assistance from Human Resources staff is not unusual.

A fee of 7.05% is applied to total project costs.

C.5. Computing Services and Technology Services Allocation (included in the Software Line Item)

A total of \$17,939 is budgeted for computing services and technology services allocation costs (\$5,066, Year 1; \$2,142, Year 2; and \$5,583, Year 3). The budget includes funds for computers for a pro-rated share of RAND project staff time. The computing costs also cover regular back-ups of all project hard disks, a RAND provided on-site hardware maintenance contract, and a basic "help desk" support contract. The budget also includes funds for technology (network) services that are allocated by staff hours through a head tax. The services covered include telephone, conference calling, fax, printing, and copying. Computing services are estimated, based on a flat rate per day of staff time.

RAND's costs are accumulated in accordance with our Cost Accounting Disclosure Statement submitted to the Defense Contract Audit Agency (DCAA). Computing costs are considered a direct cost to the project in accordance with our disclosure statement and the way we present and track our costs per job. Notwithstanding RAND's status as a nonprofit institution, it is explicitly exempted from OMB Circular A-122, "Cost Principles for Nonprofit Organizations" and is required to apply the cost principles of the FAR Part 31. All of our Federal contracts and grants are administered in accordance with the FAR cost principles and the applicable agency supplements and audited by DCAA.

PERSONNEL & FRINGE BENEFITS WORKSHEET

[illegible]

TOTALS

TOTALS	\$	9,451.27	\$	61,433.24	\$	4,631.12	\$	30,102.29	\$	91,535.53
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RAND Corporation
Delaware Stars for Early Success Evaluation
Year 1 - June 15, 2013 - December 31, 2013

Appendix B

	Monthly Costs	# of Months	Total Contract Cost
I. PERSONNEL			
Salaries	\$ 9,451.27		\$ 61,433.24
Fringe Benefits	\$ 4,631.12		\$ 30,102.29
TOTAL PERSONNEL	\$ 14,082.39		\$ 91,535.53
II. TRAVEL			
Lodging	\$ 83.08	6.5	\$ 540.00
Meals	\$ 77.85	6.5	\$ 506.00
Mileage	\$ 16.92	6.5	\$ 110.00
Transportation	\$ 352.46	6.5	\$ 2,291.00
Other Travel**	\$ 73.54	6.5	\$ 478.00
TOTAL TRAVEL	\$ 603.85		\$ 3,925.00
III. PROGRAM/OPERATING			
Advertising/Marketing	\$ -	6.5	\$ -
Cell Phone(s)	\$ -	6.5	\$ -
Food	\$ -	6.5	\$ -
Internet Service	\$ -	6.5	\$ -
Meeting Expenses	\$ -	6.5	\$ -
Office Space	\$ -	6.5	\$ -
Office Supplies	\$ -	6.5	\$ -
Postage/Freight	\$ -	6.5	\$ -
Printing/Copy Services	\$ -	6.5	\$ -
Professional Development	\$ -	6.5	\$ -
Professional Services	\$ 1,846.15	6.5	\$ 12,000.00
Software	\$ 779.38	6.5	\$ 5,066.00
Telephone Services	\$ -	6.5	\$ -
Training Supplies	\$ -	6.5	\$ -
Other Program/Operating**	\$ 29,151.08	6.5	\$ 189,482.00
TOTAL PROGRAM/OPERATING	\$ 31,776.62		\$ 206,548.00
IV. EQUIPMENT			
Computers	\$ -	0	\$ -
Printers/Copiers/Faxes	\$ -	0	\$ -
Other Equipment**	\$ -	0	\$ -
TOTAL EQUIPMENT	\$ -		\$ -
TOTAL BUDGET	\$ 46,462.85		\$ 302,008.53

****Additional information is required in the budget narrative.**

RAND Corporation Delaware Stars for Early Success Evaluation Year 1 - June 15, 2013 - December 31, 2013		
Budget Categories		Totals
Personnel	\$	61,433
Fringe Benefits	\$	30,102
Travel	\$	3,925
Operating	\$	206,548
Equipment	\$	-
TOTAL Contract Costs	\$	302,009

PERSONNEL & FRINGE BENEFITS WORKSHEET

[illegible]

TOTALS

TOTALS	\$ 7,428.98	\$ 89,147.74	\$ 3,640.20	\$ 43,682.39	\$ 132,830.13
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RAND Corporation
Delaware Stars for Early Success Evaluation
Year 2 - January 1, 2014 - December 31, 2014

Appendix B

	Monthly Costs	# of Months	Total Contract Cost
I. PERSONNEL			
Salaries	\$ 7,428.98		\$ 89,147.74
Fringe Benefits	\$ 3,640.20		\$ 43,682.39
TOTAL PERSONNEL	\$ 11,069.18		\$ 132,830.13
II. TRAVEL			
Lodging	\$ 30.00	12	\$ 360.00
Meals	\$ 30.67	12	\$ 368.00
Mileage	\$ 25.67	12	\$ 308.00
Transportation	\$ 54.17	12	\$ 650.00
Other Travel**	\$ 38.00	12	\$ 456.00
TOTAL TRAVEL	\$ 178.50		\$ 2,142.00
III. PROGRAM/OPERATING			
Advertising/Marketing	\$ -	12	\$ -
Cell Phone(s)	\$ -	12	\$ -
Food	\$ -	12	\$ -
Internet Service	\$ -	12	\$ -
Meeting Expenses	\$ -	12	\$ -
Office Space	\$ -	12	\$ -
Office Supplies	\$ -	12	\$ -
Postage/Freight	\$ -	12	\$ -
Printing/Copy Services	\$ -	12	\$ -
Professional Development	\$ -	12	\$ -
Professional Services	\$ 3,500.00	12	\$ 42,000.00
Software	\$ 607.50	12	\$ 7,290.00
Telephone Services	\$ -	12	\$ -
Training Supplies	\$ -	12	\$ -
Other Program/Operating**	\$ 65,651.50	12	\$ 787,818.00
TOTAL PROGRAM/OPERATING	\$ 69,759.00		\$ 837,108.00
IV. EQUIPMENT			
Computers	\$ -	0	\$ -
Printers/Copiers/Faxes	\$ -	0	\$ -
Other Equipment**	\$ -	0	\$ -
TOTAL EQUIPMENT	\$ -		\$ -
TOTAL BUDGET	\$ 81,006.68		\$ 972,080.13

**Additional information is required in the budget narrative.

RAND Corporation Delaware Stars for Early Success Evaluation Year 2 - January 1, 2014 - December 31, 2014		
Budget Categories		Totals
Personnel	\$	89,148
Fringe Benefits	\$	43,682
Travel	\$	2,142
Operating	\$	837,108
Equipment	\$	-
TOTAL Contract Costs	\$	972,080

RAND Corporation
Delaware Stars for Early Success Evaluation
Year 3 - January 1, 2015 - December 31, 2015

Appendix B

	Monthly Costs	# of Months	Total Contract Cost
I. PERSONNEL			
Salaries	\$ 6,292.21		\$ 75,506.51
Fringe Benefits	\$ 3,083.18		\$ 36,998.19
TOTAL PERSONNEL	\$ 9,375.39		\$ 112,504.70
II. TRAVEL			
Lodging	\$ 15.00	12	\$ 180.00
Meals	\$ 15.33	12	\$ 184.00
Mileage	\$ 7.33	12	\$ 88.00
Transportation	\$ 54.17	12	\$ 650.00
Other Travel**	\$ 22.00	12	\$ 264.00
TOTAL TRAVEL	\$ 113.83		\$ 1,366.00
III. PROGRAM/OPERATING			
Advertising/Marketing	\$ -	12	\$ -
Cell Phone(s)	\$ -	12	\$ -
Food	\$ -	12	\$ -
Internet Service	\$ -	12	\$ -
Meeting Expenses	\$ -	12	\$ -
Office Space	\$ -	12	\$ -
Office Supplies	\$ -	12	\$ -
Postage/Freight	\$ -	12	\$ -
Printing/Copy Services	\$ -	12	\$ -
Professional Development	\$ -	12	\$ -
Professional Services		12	\$ -
Software	\$ 465.25	12	\$ 5,583.00
Telephone Services	\$ -	12	\$ -
Training Supplies	\$ -	12	\$ -
Other Program/Operating**	\$ 42,204.75	12	\$ 506,457.00
TOTAL PROGRAM/OPERATING	\$ 42,670.00		\$ 512,040.00
IV. EQUIPMENT			
Computers	\$ -	0	\$ -
Printers/Copiers/Faxes	\$ -	0	\$ -
Other Equipment**	\$ -	0	\$ -
TOTAL EQUIPMENT	\$ -		\$ -
TOTAL BUDGET	\$ 52,159.22		\$ 625,910.70

****Additional information is required in the budget narrative.**

RAND Corporation Delaware Stars for Early Success Evaluation Year 3 - January 1, 2015 - December 31, 2015		
Budget Categories		Totals
Personnel	\$	75,507
Fringe Benefits	\$	36,998
Travel	\$	1,366
Operating	\$	512,040
Equipment	\$	-
TOTAL Contract Costs	\$	625,911

PERSONNEL & FRINGE BENEFITS WORKSHEET

[illegible]**TOTALS**

\$ 17,291.67

\$ 207,500.00

\$	4,556.35	\$	54,676.25	\$	262,176.25
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Enter data in the areas shaded in blue. The remaining columns will calculate automatically.

Program and Financial Reporting

Office of Early Learning

Program Report: A monthly narrative report is required, due on the 10th of the month for the previous month. Using the Work Plan outlined in Appendix A, and specifically the Implementation Plan, provide an update of progress, with an explanation of and plan to address any areas that are not on track.

In addition, provide a narrative responding to these questions.

1. What are your greatest points of progress to date?
2. What are the challenges you are experiencing? What are the strategies you are implementing to overcome these challenges?
3. What do you need to support your work from the Office of Early Learning?
4. Please provide a concrete case story that is appropriate for us to use in communicating about the work you are doing and its impact to date.

Financial Report and Payment: Financial report is due on the 10th of the month for the previous month.

Payment is rendered based on submission of both the program and financial report and satisfactory progress on implementation.

Submit the program and financial report electronically to:

- Jason A Gardner, Manager, Finance and Administration, at Jason.Gardner@state.de.us

August 2012

Enter the month and year you are reporting for.

Category	Current Expenses	Previously Billed Expenses	Total Expenses	Approved Contract Budget	Remaining Budget
I. PERSONNEL					
Salaries	\$ 10,000.00	\$ -	\$ 10,000.00	\$ 100,000.00	\$ 90,000.00
Fringe Benefits	\$ 3,000.00	\$ -	\$ 3,000.00	\$ 30,000.00	\$ 27,000.00
TOTAL PERSONNEL	\$ 13,000.00	\$ -	\$ 13,000.00	\$ 130,000.00	\$ 117,000.00
II. TRAVEL					
Lodging	\$ -	\$ -	\$ -	\$ -	\$ -
Meals	\$ -	\$ -	\$ -	\$ -	\$ -
Mileage	\$ 100.00	\$ -	\$ 100.00	\$ 1,000.00	\$ 900.00
Transportation	\$ -	\$ -	\$ -	\$ -	\$ -
Other Travel**	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL TRAVEL	\$ 100.00	\$ -	\$ 100.00	\$ 1,000.00	\$ 900.00
III. PROGRAM/OPERATING					
Advertising/Marketing	\$ 500.00	\$ -	\$ 500.00	\$ 5,000.00	\$ 4,500.00
Cell Phone(s)	\$ 100.00	\$ -	\$ 100.00	\$ 1,200.00	\$ 1,100.00
Food	\$ -	\$ -	\$ -	\$ -	\$ -
Internet Service	\$ -	\$ -	\$ -	\$ -	\$ -
Meeting Expenses	\$ -	\$ -	\$ -	\$ -	\$ -
Office Space	\$ -	\$ -	\$ -	\$ -	\$ -
Office Supplies	\$ 100.00	\$ -	\$ 100.00	\$ 1,200.00	\$ 1,100.00
Postage/Freight	\$ -	\$ -	\$ -	\$ -	\$ -
Printing/Copy Services	\$ -	\$ -	\$ -	\$ -	\$ -
Professional Development	\$ -	\$ -	\$ -	\$ -	\$ -
Professional Services	\$ -	\$ -	\$ -	\$ -	\$ -
Software	\$ -	\$ -	\$ -	\$ -	\$ -
Telephone Services	\$ 100.00	\$ -	\$ 100.00	\$ 1,200.00	\$ 1,100.00
Training Supplies	\$ -	\$ -	\$ -	\$ -	\$ -
Other Program/Operating**	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL PROGRAM/OPERATING	\$ 800.00	\$ -	\$ 800.00	\$ 8,600.00	\$ 7,800.00
IV. EQUIPMENT					
Computers	\$ 250.00	\$ -	\$ 250.00	\$ 3,000.00	\$ 2,750.00
Printers/Copiers/Faxes	\$ -	\$ -	\$ -	\$ -	\$ -
Other Equipment**	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL EQUIPMENT	\$ 250.00	\$ -	\$ 250.00	\$ 3,000.00	\$ 2,750.00
TOTAL BUDGET	\$ 14,150.00	\$ -	\$ 14,150.00	\$ 142,600.00	\$ 128,450.00

Enter data in the areas shaded in blue. The remaining columns will calculate automatically.

Monthly Report of Expenditures

Appendix C

Month Year										
Category	Current Expenses		Previously Billed Expenses		Total Expenses		Approved Contract Budget		Remaining Budget	
I. PERSONNEL										
Salaries	\$	-	\$	-	\$	-	\$	-	\$	-
Fringe Benefits	\$	-	\$	-	\$	-	\$	-	\$	-
TOTAL PERSONNEL	\$	-	\$	-	\$	-	\$	-	\$	-
II. TRAVEL										
Lodging	\$	-	\$	-	\$	-	\$	-	\$	-
Meals	\$	-	\$	-	\$	-	\$	-	\$	-
Mileage	\$	-	\$	-	\$	-	\$	-	\$	-
Transportation	\$	-	\$	-	\$	-	\$	-	\$	-
Other Travel**	\$	-	\$	-	\$	-	\$	-	\$	-
TOTAL TRAVEL	\$	-	\$	-	\$	-	\$	-	\$	-
III. PROGRAM/OPERATING										
Advertising/Marketing	\$	-	\$	-	\$	-	\$	-	\$	-
Cell Phone(s)	\$	-	\$	-	\$	-	\$	-	\$	-
Food	\$	-	\$	-	\$	-	\$	-	\$	-
Internet Service	\$	-	\$	-	\$	-	\$	-	\$	-
Meeting Expenses	\$	-	\$	-	\$	-	\$	-	\$	-
Office Space	\$	-	\$	-	\$	-	\$	-	\$	-
Office Supplies	\$	-	\$	-	\$	-	\$	-	\$	-
Postage/Freight	\$	-	\$	-	\$	-	\$	-	\$	-
Printing/Copy Services	\$	-	\$	-	\$	-	\$	-	\$	-
Professional Development	\$	-	\$	-	\$	-	\$	-	\$	-
Professional Services	\$	-	\$	-	\$	-	\$	-	\$	-
Software	\$	-	\$	-	\$	-	\$	-	\$	-
Telephone Services	\$	-	\$	-	\$	-	\$	-	\$	-
Training Supplies	\$	-	\$	-	\$	-	\$	-	\$	-
Other Program/Operating**	\$	-	\$	-	\$	-	\$	-	\$	-
TOTAL PROGRAM/OPERATING	\$	-	\$	-	\$	-	\$	-	\$	-
IV. EQUIPMENT										
Computers	\$	-	\$	-	\$	-	\$	-	\$	-
Printers/Copiers/Faxes	\$	-	\$	-	\$	-	\$	-	\$	-
Other Equipment**	\$	-	\$	-	\$	-	\$	-	\$	-
TOTAL EQUIPMENT	\$	-	\$	-	\$	-	\$	-	\$	-
TOTAL BUDGET	\$	-	\$	-	\$	-	\$	-	\$	-

Monthly Report of Expenditures

Month Year

Category	Current Expenses	Previously Billed Expenses	Total Expenses	Approved Contract Budget	Remaining Budget
I. PERSONNEL					
Salaries	\$ -	\$ -	\$ -	\$ -	\$ -
Fringe Benefits	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL PERSONNEL	\$ -	\$ -	\$ -	\$ -	\$ -
II. TRAVEL					
Lodging	\$ -	\$ -	\$ -	\$ -	\$ -
Meals	\$ -	\$ -	\$ -	\$ -	\$ -
Mileage	\$ -	\$ -	\$ -	\$ -	\$ -
Transportation	\$ -	\$ -	\$ -	\$ -	\$ -
Other Travel**	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL TRAVEL	\$ -	\$ -	\$ -	\$ -	\$ -
III. PROGRAM/OPERATING					
Advertising/Marketing	\$ -	\$ -	\$ -	\$ -	\$ -
Cell Phone(s)	\$ -	\$ -	\$ -	\$ -	\$ -
Food	\$ -	\$ -	\$ -	\$ -	\$ -
Internet Service	\$ -	\$ -	\$ -	\$ -	\$ -
Meeting Expenses	\$ -	\$ -	\$ -	\$ -	\$ -
Office Space	\$ -	\$ -	\$ -	\$ -	\$ -
Office Supplies	\$ -	\$ -	\$ -	\$ -	\$ -
Postage/Freight	\$ -	\$ -	\$ -	\$ -	\$ -
Printing/Copy Services	\$ -	\$ -	\$ -	\$ -	\$ -
Professional Development	\$ -	\$ -	\$ -	\$ -	\$ -
Professional Services	\$ -	\$ -	\$ -	\$ -	\$ -
Software	\$ -	\$ -	\$ -	\$ -	\$ -
Telephone Services	\$ -	\$ -	\$ -	\$ -	\$ -
Training Supplies	\$ -	\$ -	\$ -	\$ -	\$ -
Other Program/Operating**	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL PROGRAM/OPERATING	\$ -	\$ -	\$ -	\$ -	\$ -
IV. EQUIPMENT					
Computers	\$ -	\$ -	\$ -	\$ -	\$ -
Printers/Copiers/Faxes	\$ -	\$ -	\$ -	\$ -	\$ -
Other Equipment**	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL EQUIPMENT	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL BUDGET	\$ -	\$ -	\$ -	\$ -	\$ -

Monthly Report of Expenditures

Month Year

Category	Current Expenses	Previously Billed Expenses	Total Expenses	Approved Contract Budget	Remaining Budget
I. PERSONNEL					
Salaries	\$ -	\$ -	\$ -	\$ -	\$ -
Fringe Benefits	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL PERSONNEL	\$ -	\$ -	\$ -	\$ -	\$ -
II. TRAVEL					
Lodging	\$ -	\$ -	\$ -	\$ -	\$ -
Meals	\$ -	\$ -	\$ -	\$ -	\$ -
Mileage	\$ -	\$ -	\$ -	\$ -	\$ -
Transportation	\$ -	\$ -	\$ -	\$ -	\$ -
Other Travel**	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL TRAVEL	\$ -	\$ -	\$ -	\$ -	\$ -
III. PROGRAM/OPERATING					
Advertising/Marketing	\$ -	\$ -	\$ -	\$ -	\$ -
Cell Phone(s)	\$ -	\$ -	\$ -	\$ -	\$ -
Food	\$ -	\$ -	\$ -	\$ -	\$ -
Internet Service	\$ -	\$ -	\$ -	\$ -	\$ -
Meeting Expenses	\$ -	\$ -	\$ -	\$ -	\$ -
Office Space	\$ -	\$ -	\$ -	\$ -	\$ -
Office Supplies	\$ -	\$ -	\$ -	\$ -	\$ -
Postage/Freight	\$ -	\$ -	\$ -	\$ -	\$ -
Printing/Copy Services	\$ -	\$ -	\$ -	\$ -	\$ -
Professional Development	\$ -	\$ -	\$ -	\$ -	\$ -
Professional Services	\$ -	\$ -	\$ -	\$ -	\$ -
Software	\$ -	\$ -	\$ -	\$ -	\$ -
Telephone Services	\$ -	\$ -	\$ -	\$ -	\$ -
Training Supplies	\$ -	\$ -	\$ -	\$ -	\$ -
Other Program/Operating**	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL PROGRAM/OPERATING	\$ -	\$ -	\$ -	\$ -	\$ -
IV. EQUIPMENT					
Computers	\$ -	\$ -	\$ -	\$ -	\$ -
Printers/Copiers/Faxes	\$ -	\$ -	\$ -	\$ -	\$ -
Other Equipment**	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL EQUIPMENT	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL BUDGET	\$ -	\$ -	\$ -	\$ -	\$ -

Contract Assurances**Office of Early Learning
Race to the Top – Early Learning Challenge Grant****I. Use of Funds****A. Fiscal Control**

The Contractor shall establish and maintain fiscal control in accordance with Generally Accepted Accounting Principles (GAAP). The Contractor must expend and account for grant funds in accordance with State laws and procedures and provide fiscal control and accounting procedures sufficient to permit the tracing of grant funds to a level of expenditures adequate to establish that such funds have been used for allowable costs. The Contractor must be able to provide sufficient evidence that all costs incurred are necessary and reasonable.

B. Fund Accounting

The Contractor shall establish and maintain fund accounting procedures in accordance with Generally Accepted Accounting Principles (GAAP). The Contractor will not commingle Grant funds with other funds under control of the Contractor, even if such other funds are used for similar purposes.

C. Laws and Regulations

Programs and projects funded in total or in part through this grant will operate in compliance with all applicable State and federal laws and regulations, including but not limited to the Code of Federal Regulations (CFR) and the Education Department General Administrative Regulations (EDGAR).

D. Programmatic Changes

The Contractor must receive prior written approval from the Office of Early Learning before implementing any programmatic changes with respect to the purposes for which the contract was awarded.

E. Supplantation

Funds made available under a RTTT-ELC grant must be used to supplement, not supplant, any Federal, State, or local funds that, in the absence of the funds awarded under this grant, would be available for increasing access to and improving the quality of Early Learning and Development Programs. The Contractor certifies that any Federal funds to be used under this Contract do not replace or supplant Federal, State of Delaware, or local funds for already-existing services. The Contractor warrants that any costs incurred pursuant to this Contract will not be allocable to or included as a cost of any other federally financed program in the current, a prior, or a subsequent period.

F. Construction/Renovation

The Contractor is prohibited from spending funds from the grant on construction, major renovations, or minor remodeling.

G. Health Services

The Contractor is prohibited from spending funds from the grant on the direct delivery of health services.

H. Conferences and Meetings

The Contractor may only use funds for conferences and meetings that are integral to the execution of the Contractor's goals and work plan. Funds cannot be used to pay for alcoholic beverages or entertainment, which includes costs for amusement, diversion and social activities. Costs for food for meetings and conferences must be necessary to accomplish a legitimate business purpose.

II. Reporting Requirements

A. Program Reports

The Contractor shall submit narrative reports based on the approved Implementation Plan which provide an update of progress, and where applicable, an explanation and next steps for areas that are not on track. The Contractor may be asked to provide additional reports if such updates are needed to satisfy Federal reporting requirements or other immediate needs as determined by the Office of Early Learning. See Appendix C for additional information.

B. Financial Reports

The Contractor shall submit monthly financial reports that support the amounts billed on monthly invoices. The Contractor may be asked to provide additional reports or data as needed to satisfy Federal reporting requirements or other immediate needs as determined by the Office of Early Learning. See Appendix C for additional information.

C. Grant-funded Salaries

The Contractor shall submit a Personnel Activity Certification for Federally Funded Salaries for each employee in compliance with Federal OMB directives in accordance with Circular A-87 (see Attachment D-1). The Time/Effort Report shall be submitted with the monthly invoice request for payment as applicable for each employee.

D. Federal Funding Accountability and Transparency Act (FFATA)

The Contractor shall submit the FFATA Data Collection Form for Subcontractors / Vendors (see Attachment D-2) as part of the contract execution process.

E. Lobbying

No part of any funds under this contract shall be used to pay the salary or expenses of any contractor or agent acting for the contractor, to engage in any activity (lobbying) designed to influence legislation or appropriations pending before Congress. The Contractor shall submit the Certification Regarding Lobbying form (see Attachment D-3) as part of the contract execution process.

F. Association of Community Organizations for Reform Now (ACORN)

The Contractor shall notify the Office of Early Learning and provide a reasonable period of time for the Office to respond, before it can agree to provide any portion of the funding under this contract to the Association of Community Organizations for Reform Now (ACORN) or its subsidiaries. This condition takes into account Division B, Title I, Section 1104, of the Department of Defense and Full-Year Continuing Appropriations Act, 2011 (P. Law No. 112-10), which incorporates the conditions specified in Division E, Section 511 of the Consolidated Appropriations Act, 2010 (P. Law. No. 111-117), and pending litigation on related matters.

III. Records & Audits

A. Audit Requirements

Contractors receiving Federal funds must comply with all the requirements of the Federal Office of Management and Budget (OMB) Circular A-133, Audits of State, Local Governments, and Non-profit Organizations. Entities receiving \$500,000 or more federal funds are required to have an annual financial and compliance audit in accordance with OMB Circular A-133.

B. Maintenance

The Contractor shall maintain books, records, documents, and other evidence pertaining to this Contract to the extent and in such detail as shall adequately document the provision of reimbursed services for purposes of programmatic or financial audit. The Contractor must maintain its financial and program records and agrees to preserve and, upon request, make available to the Office of Early Learning such records for a period of five (5) years from the date services were rendered by the Contractor. Records involving matters in litigation shall be retained for five years or one (1) year following the termination of such litigation (whichever is later).

C. Availability for Audits and Program Review

The Contractor agrees to make such records available for inspection, audit, or reproduction to any official State of Delaware representative in the performance of his/her duties under this Contract. The Contractor agrees that an on-site program review, including, but not limited to, review of financial records including all related backup documentation, service records, service policy, and procedural issuances may be conducted at any reasonable time, with or without notice, by the Office of Early Learning when it is concerned with or about the services performed hereunder. Failure by the Contractor to accord the Office of Early Learning reasonable and timely access for on or off-site fiscal or program review or to necessary records for financial, programmatic, or organizational audit may, at the Office of Early Learning's discretion, be deemed a material breach of this Contract and good cause for immediate termination of the this Contract, and the Office of Early Learning shall not be liable for any services provided after the date of such termination.

D. Costs Owing

The cost of any Contract audit disallowances resulting from the examination of the Contractor's financial records will be borne by the Contractor. Reimbursement to the Office of Early Learning for disallowances shall be drawn from the Contractor's own resources and not charged to the Contract costs or cost pools indirectly charging Contract costs.

E. Contract Termination

The Contractor shall maintain program records for a period of five (5) years from the date services were rendered by the Contractor and shall make these records available on request by the Department, notwithstanding any termination of this Contract.

IV. Participation in Federal Activities

A. Evaluations

The Contractor must comply with the requirements of any evaluation sponsored by the U.S. Department of Education or the U.S. Department of Health and Human Services of any of the Contractor's activities carried out with the grant.

B. Cross-state Initiatives

In conjunction with the State of Delaware, the Contractor must comply with the requirements of any cross-State evaluation—as part of a consortium of States – of any of the State’s proposed reforms, if that evaluation is coordinated or funded by the U.S. Department of Education or the U.S. Department of Health and Human Services, including by using common measures and data collection instruments and collecting data necessary to the evaluation.

C. Work product

Unless otherwise protected as proprietary information by Federal or State law or a specific written agreement, the Contractor must make any work (e.g., materials, tools, processes, systems) developed under the grant freely available to the public, including by posting the work on a website identified or sponsored by the U.S. Department of Education or the U.S. Department of Health and Human Services. Any websites developed under this grant must meet government or industry-recognized standards for accessibility.

V. Other Compliance Requirements

A. Eligibility

If the amount of this contract exceeds \$25,000, the Contractor certifies that the Firm and/or its Principals, along with its subcontractors and assignees under this agreement, are not currently subject to either suspension or debarment from Procurement and Non-Procurement activities by the Federal Government.

B. Conflicts of Interest

The Contractor, including its parent company and its subsidiaries, and any subcontractor, including its parent company and subsidiaries, agree to comply with the provisions of 29 Del. Code, Chapter 58: “Laws Regulating the Conduct of Officers and Employees of the State,” and in particular with Section 5805 (d): “Post Employment Restrictions.”

C. Anti-Discrimination

i. Equal Employment Opportunity Practices

The Contractor agrees to comply with all the terms, provisions, and requirements of Title VII of the Civil Rights Act of 1964, Executive Order 11246, entitled “Equal Employment Opportunity,” as amended by Executive Order 11375, and as supplemented in the U.S. Department of Labor regulations and any other applicable Federal, state, local, or other equal employment opportunity act, law, statute, regulation and policy, along with all amendments and revisions of these laws, in the performance of this Contract.

ii. Non-Discrimination Provisions and Requirements

The Contractor agrees to comply with all the terms, requirements, and provisions of the Civil Rights Act of 1964, the Rehabilitation Act of 1973, and any other applicable Federal, state, local or other anti-discriminatory act, law, statute, regulation, or policy, along with all amendments and revisions of these laws, in the performance of this Contract, and will not discriminate against any applicant, employee, or service recipient because of race, creed, religion, age, sex, color, national or ethnic origin, disability, status as a person in a marriage versus a person in a civil union, veteran’s status or any other unlawful discriminatory basis or criteria.

D. Privacy Laws

The Contractor must comply with the requirements of all applicable Federal, State, and local privacy laws, including the requirements of the Family Educational Rights and Privacy Act (FERPA), the Health Insurance Portability Accountability Act (HIPAA), and the privacy requirements in the Individuals with Disabilities Education Act (IDEA), and their applicable regulations.

VI. Cooperation with Office of Early Learning

A. Overall

The Contractor agrees to cooperate with the Office of Early Learning.

B. Meetings and Communication

The Contractor agrees to timely participation in regular and periodic meetings, conferences, phone calls, etc. organized by the Office of Early Learning to in support of monitoring and accountability, program development and implementation, and quality improvement. The Contractor agrees to be responsive to requests for additional written information beyond the reports required through this contract as part of the commitment to further the overall purpose of the contract.

C. Branding

The Contractor agrees to use branding materials and guidelines as provided by the Office of Early Learning in its identification and promotion of the work supported through this contract.

**Office of Early Learning
Contractor Personnel Activity Certification
For Federally Funded Salaries**

The federal government requires a certain level of accounting of employee time when any portion of the salary for that employee is paid for with federal funds. OMB Circular A-87 outlines how the time of such an employee is to be reported. This applies only to cost reimbursable contracts where salaries are included in the budget and are potentially paid for with federal funds.

Whenever salaries are specifically included in a contract which the Office of Early Learning is funding in any proportion with federal funds the Contractor is required to "certify" the activity of personnel compensated via that contract. This report shall be submitted with the monthly invoice request for payment as applicable for *each* employee.

In accordance with OMB Circular A-87, Attachment B, Section 8 (h), I certify as follows for the time period indicated below:

For the Month(s) of: _____
Month Year

Employee Name: _____

Please check the box that applies:

- ☐ I spent 100% of my time and effort on activities related to contract number _____
- ☐ My time and effort was divided between the following activities as follows:

CONTRACT #	% of Activity on Contract	% of Activity on Non-Contract

Employee's Signature

Office of Early Learning
FFATA Data Collection Form for Subcontractors / Vendors

The Federal Funding Accountability and Transparency Act (FFATA), passed in 2006 and amended in 2008, requires entities receiving financial assistance through Federal awards (including contracts, sub-contracts, grants, and sub-grants) to report selected information to be published on usaspending.gov. As a prime awardee, the Office of Early Learning is required to file FFATA reports on a monthly basis. To ensure reports are filed accurately and timely, all awarded sub-contractors/vendors are required to complete the form below during the contract execution process. Failure to furnish this required information will delay the signing and execution of said contract.

Title of Federal Award Project:	Race to the Top – Early Learning Challenge
Prime Federal Award ID:	S412A120006
Federal Sponsor:	Department of Education
Subcontract Amount:	

Subcontractor/Vendor: Please provide the following information as it appears in your Central Contractor Registration (CCR) profile.

Name/DBA: RAND Corporation

DUNS Number: 00-691-4071

Address: 1776 Main St.
 Street

Santa Monica CA 90407
 City State Zip

Place of Performance: _____
 (If different than above) Street

 City State Zip

In the preceding completed fiscal year, did your business or organization (the legal entity to which the DUNS number you provided belongs) receive:

- 80% or more of its annual gross revenues in U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements ☒ Yes
☐ No
- \$25,000,000 or more in annual gross revenues from U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements? ☒ Yes
☐ No

If either of the above questions are answered "No," then please proceed to the "Prepared By" section on Page 2. If both questions are answered "Yes," then please continue to the next question at the top of Page 2.

Office of Early Learning
FFATA Data Collection Form for Subcontractors / Vendors

Does the public have access to information about the compensation of the five most highly compensated executives in your business or organization (the legal entity to which the DUNS number you provided belongs) through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986?

☒ Yes ☐ No

If answered yes, then no additional information is required. If answered no, please list the names and total compensation of your business/organization's five most highly compensated officers:

Name	Total Compensation

Please provide contact information for the person completing this form so they may be contacted if any information provided on this form is unclear or incomplete. Please note that incomplete or missing information may delay the contract execution process.

PREPARED BY:	
Name:	Olivia Cao
Title:	Contract Administrator, Team Lead
Phone Number:	(310) 393-0411 ext: 7123
Email:	cao@rand.org

CERTIFICATION REGARDING LOBBYING

Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

Contract Number: 2012-13

Applicant's Organization: RAND Corporation

Name of Authorized Representative: Dennis Flieder

Title of Authorized Representative: Director, Contract and Grant Services

Original on File

Signature

Date

6/11/13

Office of Early Learning Logo Usage and Guidelines (May 2013)

For contracts funded, in full or in part, through the Early Learning Challenge grant, the Office of Early Learning has these expectations of contractors:

- 1) Where the contractor acknowledges funders and/or partners in any document that is public, specifically including websites, brochures, etc. promoting the service or program funded, it is expected that the Office of Early Learning will be acknowledged and that its logo will appear along with the names of other funders/partners and their logos.
- 2) The Office of Early Learning encourages recipients of Early Learning Challenge funding to promote the partnership between the organization funded and the Office of Early Learning and others who are participating in the State's effort to create a strong, high quality early childhood system of services and supports to improve the outcomes of children, better preparing them for school and life.



Contractors are expected to adhere to the following guidelines with regard to use of the Office of Early Learning logo:

Do:

- Always use the electronic or hard copy reproduction art provided to reproduce the Delaware Office of Early Learning logo.
- Keep all elements of the logo together.
- Always position the logo in a clear area free from other text and graphics.
- Use only the official colors when reproducing the logo in more than one color.
- Enlarge or reduce the full logo proportionately. For example, do not change the size of the type in relation to the start, or vice versa.
- Use the logo along with your own unique branding where the Office of Early Learning is a funder or implementation partner.
- Include the logo on your website if you are a partner or promoting the Delaware Office of Early Learning.
- Include the logo on promotional materials for your service program.

Do not:

- Alter the logo in any way.
- Add any new elements.
- Change the logo in any way.