



Contracts, Purchasing,
and Risk Management

**REQUEST FOR PROPOSAL
NUMBER P20GB004**

FOR

EVALUATION AND DATA MANAGEMENT SERVICES

DUE DATE AND TIME

March 23, 2020 AT 2:00 P.M., ARIZONA, LOCAL TIME

RFP SECTION INDEX

PROPOSAL ACKNOWLEDGEMENT RECEIPT	3
SECTION A REQUEST FOR PROPOSAL	4
SECTION B BACKGROUND INFORMATION	5
SECTION C INSTRUCTIONS TO OFFERORS	6
SECTION D OFFER FORMAT	10
SECTION E REQUIREMENTS	11
SECTION F TERMS AND CONDITIONS	21
SECTION G EVALUATION CRITERIA	33
SECTION H PRICING PROPOSAL	34
SECTION J VENDOR INFORMATION	35
SECTION K REQUEST FOR PROPOSAL CERTIFICATION	37
SECTION L LEGAL WORKER CERTIFICATION	38
SECTION M ANTI-LOBBYING CERTIFICATION	39
SECTION N FEDERAL DEBARRED LIST CERTIFICATION	41
SECTION O PARTICIPATION IN BOYCOTT OF ISRAEL	43
EXHIBIT A GRANT NARRATIVE	44

PROPOSAL ACKNOWLEDGEMENT RECEIPT

NAU NORTHERN ARIZONA UNIVERSITY Contracts, Purchasing, and Risk Management	Proposal Acknowledgement Receipt
CONTRACTS, PURCHASING, AND RISK MANAGEMENT SERVICES	

Request for Proposal number: P20GB004

Request for Proposal description: Evaluation and Data Management Services

Complete, sign, and submit this Proposal Acknowledgement Receipt to Contracts, Purchasing, and Risk Management. This completed and signed Proposal Acknowledgement Receipt may be emailed to nau-purchasing@nau.edu or delivered through any other method.

Name of Offeror		
Name of Contact		Title of Contact
Address 1		Address 2
City	State	Zip Code
		-
Telephone Number		
() -		
E-mail address, if available		
Print Name of Offeror's Authorized Agent		Signature of Offeror's Authorized Agent
Title of Authorized Agent		Date

SECTION A REQUEST FOR PROPOSAL

Northern Arizona University (the University) is requesting sealed Offers from qualified firms and/or individuals for Evaluation and Data Management Services.

Offers shall be received in the Office of the Associate Vice President of Procurement, Northern Arizona University, Building 98B, Box 4124, 545 E. Pine Knoll Drive., Flagstaff, AZ 86011-4124 until 2:00 P.M., Arizona Local Time, on March 23, 2020, at which time a representative of Contracts, Purchasing, and Risk Management shall publicly announce the names of those firms submitting Offers. No other public disclosure shall be made until after award of the Contract resulting from this Request for Proposal (RFP).

Any and all questions regarding this RFP shall be directed to Contracts, Purchasing, and Risk Management and to no other office or individual at the University. The University may answer informal questions orally. The University makes no warranty of any kind as to the correctness of any oral answers and uses this process solely to quickly provide minor clarifications. Oral statements or instructions shall not constitute an addendum to this RFP. Offeror shall not be entitled to rely on any verbal response from the University. Formal questions regarding any part of this RFP that may result in a material issue or a formal addendum must be submitted in writing. All correspondence regarding this RFP shall be directed to Contracts, Purchasing, and Risk Management, contact information is below:

Glenn Birkett
Senior Buyer
Telephone: 928-523-6094
E-Mail: glenn.birkett@nau.edu
nau-purchasing@nau.edu

SECTION B BACKGROUND INFORMATION

1. UNIVERSITY BACKGROUND

The University is governed by the Arizona Board of Regents (ABOR) and is a fully accredited institution of higher learning supported by the State of Arizona. Additional information on the University may be accessed from the following link:

<https://nau.edu/Institutional-Research/Quick-Facts/>

2. PROPOSAL BACKGROUND

2.1. RFP Process Overview

This RFP is part of a competitive negotiation process intended to allow the University to obtain goods and/or services as outlined herein in a manner which is most advantageous to the University and the State of Arizona. This RFP provides the University the flexibility to negotiate with Offerors, if desired, to arrive at a mutually agreeable relationship. Price may weigh heavily in the evaluation process but will not be the only factor under consideration and may not be the determining factor. All Offers will be considered public record and available for review, as allowed by law, during regular office hours after award by contacting the University's Associate Vice President of Procurement.

2.2. Term

The initial term of a resulting Contract shall be three (3) years, from date of award. At the end of the initial term, the University shall have the option, at its sole discretion, to renew the Contract for up to four (4) additional one-year terms. The University will give the Offeror written notice of its intent to exercise renewal options no later than ninety (90) days before the end of the Contract's then-current term. The University reserves the right to extend a contract term for a period of up to one-hundred-eighty (180) days in ninety (90) day-or-less increments.

2.3. Intent

2.3.1. It is the University's intent to select the Offer(s), which are most favorable in all respects, including scope, availability of services, quality of services, reputation and price. If not otherwise stated herein, multiple awards may be made, or an award(s) may be made partial, by part, by line item, or by any combination of parts if identified as being in the best interest of the University.

2.3.2. The successful Offeror(s) will be expected to work closely with the University's designated representative(s) to administer an effective and efficient program.

SECTION C

INSTRUCTIONS TO OFFERORS

1. No department, school, or office at the University has the authority to solicit official RFPs other than Contracts, Purchasing, and Risk Management. All solicitations shall be performed under the direct supervision of the Associate Vice President of Procurement and in accordance with University policies and procedures.
2. Offer shall be submitted in the format shown in Section D. Offers in any other format may be rejected. Conditional Offers shall not be considered. Submit Offer signed by an authorized individual. Offer that is not signed may be rejected.
3. Offers to be submitted as:
 - 3.1. One (1) complete Offer, printed and bound, clearly marked as original; and
 - 3.2. One (1) copy of the complete Offer on electronic storage devices. Limit individual files on each device to no more than three (3).
4. Submit Offer, sealed and marked on the outside as follows:

Offeror's Name
RFP Number
5. No telephonic, electronic, or facsimile Offer shall be considered. Offer received after the date and time set for opening will be rejected. The University reserves the right to extend the time and date set for opening.
6. If responding by United States Postal Services mail, allow additional time for on-campus delivery.
7. Any person, firm, corporation, and/or association submitting an Offer shall be deemed to have read and understood all the terms, conditions, and requirements specified herein.
8. Definitions:
 - 8.1. "5E" - shall refer to five designated (5) high schools selected from among forty-one (41) eligible schools (as well as the middle schools feeding those high schools).
 - 8.2. "ABOR" - shall refer to the Arizona Board of Regents.
 - 8.3. "AP" - shall refer to Advanced Placement.
 - 8.4. "APR" - Shall refer to a federal Annual Performance Report.
 - 8.5. "Arizona GEAR UP" - shall refer to the University's [Arizona GEAR UP](#) program.
 - 8.6. "CCREC" - shall refer to the College and Career Readiness Evaluation Consortium.
 - 8.7. "Contract" - shall mean the agreement entered into between the ABOR for and on behalf of Northern Arizona University and the successful Offeror as a result of this RFP.

- 8.8. "Ed.D." - shall refer to Doctor of Education; a professional doctoral degree focused in the field of education.
 - 8.9. "Evaluator" - shall refer to any person, firm, corporation, and/or association assigned to meet the minimum requirements for Evaluation Services as specified in this RFP.
 - 8.10. "Evaluation Plan" - shall refer to a plan provided by awarded Offeror for Evaluation Services.
 - 8.11. "FASFA" - shall refer to the Free Application for Federal Student Aid.
 - 8.12. "GEAR UP" - shall refer to the [Arizona GEAR UP program](#).
 - 8.13. "IHE" - shall refer to the Institute of Higher Education.
 - 8.14. "May" - indicates something that is not mandatory but permissible/desirable.
 - 8.15. "[National Student Clearinghouse](#)" - shall refer to a specific organization that serves education and workforce communities.
 - 8.16. "Offer" - shall mean the proposal from an individual or firm for the provision outlined in this RFP.
 - 8.17. "Offeror" - shall mean a person or firm submitting an Offer in response to this RFP.
 - 8.18. "Ph.D." - shall refer to Doctor of Philosophy; a professional doctoral degree.
 - 8.19. "SES" - shall refer to Socio-Economic Situation.
 - 8.20. "QED" - shall refer to Quasi-Experimental Design research studies.
 - 8.21. "SaaS" - shall refer to Software as a Service.
 - 8.22. "Shall", "Must", "Will" - indicates mandatory requirements. Failure to meet these mandatory requirements will result in rejection of Offer as non-responsive.
 - 8.23. "Should" - indicates something that is recommended but not mandatory. If the Offeror fails to provide recommended information, the University may, at its sole option, ask Offeror to provide the information or evaluate the Offer without the information.
9. Any information considered to be proprietary by the Offeror shall be placed in a separate envelope and marked "Proprietary Information". To the extent the Associate Vice President of Procurement concurs, this information shall be considered confidential and not public information. The Associate Vice President of Procurement shall be the final authority as to the extent of material, which will be considered confidential. Pricing information shall not be considered confidential.
10. Offer may be withdrawn at any time prior to the time and date set for opening.
11. Offer and accompanying documentation will become the property of the University at the time the Offer is opened.
12. The University reserves the right to cancel this solicitation, reject any or all Offers or any part thereof, or to accept any Offer or any part thereof and to waive or decline to waive irregularities in any Offer when it determines that it is in its best interest to do so. The University has the right to hold Offer for a period of ninety (90) days after the opening date, the right to accept an Offer not withdrawn before the date set for opening, to negotiate with any Offeror considered qualified, or make any award without written

discussion.

13. The University reserves the right to conduct discussions and negotiations with Offeror, to accept revisions of Offer, and to negotiate price changes. The University shall not disclose any information derived from Offers or from discussions with Offerors prior to issuance of a Notice of Intent to Award.
14. The University may request a presentation, demonstration or samples be given to a selection committee in the event the Offer is deemed to be among the most advantageous to the University. Contracts, Purchasing, and Risk Management will schedule all presentations and in the event a presentation is scheduled, evaluation criteria and scoring may be included in the presentation invitation.
15. Offeror may submit requests for changes or additions to the University terms and conditions set forth in Section F. Any such changes must be submitted with the Offer as required in Section D, or the Offeror will have waived the right to object or add to the University's terms and conditions. Additions may not be submitted as the Offeror's standard terms and conditions, license agreement or any other agreement, but rather as additional terms that do not conflict with the University's terms and that are necessary for the success of the Contract. An Offer contingent upon changes or additions to University terms and conditions may, if the University at its sole discretion determines not to accept the alternate terms and conditions, be rejected as non-responsive.
16. By submitting an Offer, the Offeror agrees that any information provided within the Offer and accepted by the University shall become a binding part of a resulting Contract.
17. The successful Offeror(s) will be expected to enter into a Contract with the University which shall be a summation of the RFP, addenda, the Offer, and negotiations. The order of precedence shall be the RFP, addenda, the Offer, and negotiations. The University's terms and conditions shall be incorporated into the resulting Contract between the University and the successful Offeror.
18. The University is committed to the development of Small Business and Small Disadvantaged Business (SB & SDB) suppliers. If subcontracting is necessary, the Offeror shall make every effort to use SB & SDB in the performance of the Contract.
19. Requests for clarification of information to be received no later than five (5) days prior to the time and date set for opening. If applicable, addenda shall be issued to each Offeror of record. Failure to request clarification within this timeframe will constitute a waiver of the right to object and shall not be grounds for a protest.
20. Any objections to alleged errors, irregularities, improprieties, specifications or content shall be made prior to the time and date set for opening. Failure to object prior to the time and date set for opening will constitute a waiver of the right to object and shall not be grounds for a protest.

21. Failure to receive an addendum shall give Offeror the option of:
 - 21.1. Accepting the resulting Contract, if offered, including all addenda, at the proposed price.
 - 21.2. Withdrawing its Offer without penalty.
22. Failure to receive addenda shall not constitute a basis for claim, protest, or reissuance of the RFP.
23. Unless specifically stated to the contrary, manufacturer's names, trade names, brand names, or catalog numbers used in the specifications of this RFP shall be for the purpose of describing and/or establishing the quality, design, and performance required. Such reference shall not be intended to limit or restrict an Offer. Any Offer, which proposes like quality, design, and/or performance, shall be considered.
24. The University will not guarantee any minimum purchase volumes of any kind from the resulting Contract.
25. The University shall not reimburse the Offeror the costs associated with responding to the RFP.
26. Offeror shall acquire and maintain all necessary permits and licenses and shall adhere strictly to all Federal, State, County, or City laws, codes, regulations, and ordinances as applicable.
27. Unless reasonable objection is made in writing as part of the Offer, the resulting award shall be for the use of all State of Arizona departments, agencies, commissions and boards. In addition, eligible municipalities, counties, universities, political subdivisions and nonprofit educational or public health institutions may participate at their discretion. In order to participate in any resultant Contract, applicable entities must have entered into a cooperative purchasing agreement with either the Arizona Board of Regents for and on behalf of Northern Arizona University or the State of Arizona pursuant to ARS 41-2632.
28. The University treats Offerors in a fair, honest, and consistent manner by conducting the RFP process in good faith and by granting all Offerors a comparable opportunity to win an award. In the event Offeror feels the process did not follow established policies and the Offeror qualifies as an interested party, Offeror may file a protest pursuant to the Arizona Board of Regents (ABOR) procurement policy, Section 3-809. The University takes protests seriously and expects Offerors to do so as well. Frivolous protests shall not result in gain for the Offeror and shall not be considered.

Protests shall be received in the Office of the Associate Vice President of Procurement, Becky McGaugh, Northern Arizona University, Building 98B, Box 4124, 545 E. Pine Knoll Drive., Flagstaff, AZ 86011-4124.

SECTION D OFFER FORMAT

In order to facilitate direct comparison, submit Offer using this format, listed in order, and index tabbed to match. Failure to follow instructions regarding format may result in rejection of Offer. Include the following with Offer:

1. Completed and signed RFP Certification.
2. Completed and signed Legal Worker Certification.
3. Completed and signed Anti-Lobbying Certification.
4. Completed and signed Federal Debarred List Certification.
5. Completed and signed Participation in Boycott of Israel.
6. Offeror's Qualifications, Project Resources and Client References.
7. A detailed technical Offer (refer to Section E.4. - E.15.).
8. Exceptions to the Terms and Conditions of the RFP.
9. Pricing Proposal.
10. Vendor Information.

SECTION E REQUIREMENTS

The data, specifications, and requirements outlined herein are intended to serve as a general guideline for the University's requirements. Submit a fully detailed Offer that adequately describes the advantages and benefits to the University.

Provide a detailed response to each requirement in Sections 1.-15. of Section E, individually numbered to match each requirement. At minimum, in such case where a detailed response is not applicable, indicate ability to comply with and/or agreement to the numbered requirement. Offeror is encouraged to provide any additional information that is not specifically identified in this RFP.

1. QUALIFICATIONS

- 1.1. Provide a corporate history/management summary and evidence that the Offeror and/or its officers have been engaged for a minimum of three (3) years in providing similar services as described herein. Describe Offeror's growth for the past three (3) years.
- 1.2. Describe any restructuring, mergers, and/or downsizing that has occurred over the past three (3) years or is anticipated in the next two (2) years, and if selected for negotiations, Offeror may be required to provide the last two (2) years of audited financial statements.
- 1.3. Describe the material issues of any current patent or copyright lawsuits or legal actions against Offeror including, but not limited to, parties of dispute, description of technology involved, equipment affected, jurisdiction, and date of legal complaint.
- 1.4. Detail experience with projects similar to the [Arizona GEAR UP](#) program.

2. PROJECT RESOURCES

- 2.1. Provide sufficient personnel, knowledge, and experience required to maintain an appropriate level of professionalism and coverage for performance of requirements outlined herein to include at minimum:
 - 2.1.1. The experience and qualifications of executive, managerial, legal, and professional personnel assigned to the project.
 - 2.1.2. Resumes of personnel assigned to the project citing experience with similar projects and the responsibilities assigned to them.
- 2.2. The University reserves the right to review Offeror personnel assignments for relevant qualifications and experience.
- 2.3. Offers may be submitted for:
 - 2.3.1. Evaluation Services only (Section E.8.).

- 2.3.2. Data Management Services only (Section E.9.).
- 2.3.3. Both Evaluation and Data Management Services (Sections E.8. and E.9.).
- 2.4. For Evaluation Services only, assign an Evaluator to the University meeting the following minimum requirements:
 - 2.4.1. A minimum of five (5) years' experience designing and conducting evaluations of higher education access programs
 - 2.4.2. Ph.D. or Ed.D. in education or social science with extensive preparation in quantitative and qualitative research methods and analytical procedures.
- 2.5. For Evaluation Services only, describe in detail the following qualifications of the Evaluator:
 - 2.5.1. Ph.D. or Ed.D.
 - 2.5.2. Experience designing and conducting evaluations of college access programs.
 - 2.5.3. Experience with experimental and/or quasi-experimental studies including carefully matched comparison groups to analyze program impact.
 - 2.5.4. Experience with programs serving K-12 schools, first-generation students, low-income families, and rural populations
 - 2.5.5. Experience creating, administering, and interpreting data collection instruments and tools, including but not limited to surveys, interviews and focus groups.
 - 2.5.6. Experience with hierarchical linear models.
 - 2.5.7. Experience with designing and conducting both formative and summative/impact evaluations.
 - 2.5.8. Experience with and commitment to participatory evaluation.
- 2.6. For Data Management services only, the minimum qualifications are five (5) years' experience managing and implementing a Data Management system with educational programs of a similar size and scope to the Arizona GEAR UP program. Describe in detail such experience.
- 2.7. Offeror shall not substitute key personnel assigned to the performance of this Contract without prior written approval by the University.
 - 2.7.1. Offeror shall notify the University of requested substitutions, and provide the names and references of recommended substitute personnel.
 - 2.7.2. The University will approve or disapprove requested substitutions in a timely manner.
 - 2.7.3. The University may, at its sole discretion, terminate the services of specific Offeror personnel under a resulting Contract. The University reserves the right upon such termination to request substitute personnel, or to discontinue the services provided by the terminated personnel.

- 2.8. Offeror will be required to conduct relevant and appropriate background checks and fingerprinting according to the [University's policies](#) on all assigned employees and new hires to ensure that it does not assign any employee or agent to the University who may reasonably be considered to pose a threat to the safety or welfare of the University community or its property. Offeror will share background check information and other supporting documentation including disciplinary action for any employee upon written request by the University.
- 2.9. Offeror may subcontract services with prior University authorization. List and describe any subcontractor's qualifications and relevant experience. Describe how Offeror guarantees subcontractor performance. Offeror shall remain solely responsible for the performance of a resulting Contract from this RFP. All University payments for goods and/or services shall be made directly to the Offeror.

Offeror shall require Offeror subcontractors to meet the same insurance requirements required of the Offeror as outlined in this RFP under the Terms and Conditions Section. Subcontractor certificates of insurance shall be submitted to the University for review and approval prior to subcontractor providing services to the University.

3. CLIENT REFERENCES

Provide at minimum three (3) references, not including Northern Arizona University, identifying firms for which Offeror has provided services of similar size and scope to that proposed herein. The University may contact these firms to determine that services provided are substantially similar in scope to those proposed herein, and regarding performance of the Offeror. Provide the name of the firm, contact person, email and the telephone number. The University reserves the right to contact additional references not provided by Offeror.

4. PREFERRED PAYMENT METHOD

The University prefers to pay for goods and/or services via the Corporate VISA liability card. Describe in detail Offeror's ability to accept this preferred method of payment and any additional fees. Describe how the University can utilize its Corporate Visa card to pay for goods and/or services.

5. GENERAL

- 5.1. The University is issuing this Request for Proposal (RFP) to solicit sealed Offers from professional firms and/or individuals to provide Evaluation and Data Management Services to the University's [U.S. Department of Education Gaining Early Awareness and Readiness of Undergraduate Program \(Arizona GEAR UP program\)](#) grant.
- 5.2. Offeror must possess a clear understanding of how to advance the Arizona GEAR UP program's mission through the services provided.

- 5.2.1. Arizona GEAR UP program mission: To significantly increase the number of students from low-income communities, who are prepared to enter and succeed in postsecondary education.

6. PROJECT BACKGROUND

- 6.1. Arizona GEAR UP 2019-26, is the fourth State GEAR UP grant awarded to the University since the year 2000. In collaboration with [Achieve60AZ](#), a statewide initiative to dramatically increase the number of Arizonans with postsecondary degrees, the 2019-26 grant addresses low expectations and attainment levels in forty-one (41) of the state's high-poverty high schools.
- 6.2. The design of Arizona GEAR UP, focused on the Five (5) *E*'s of equity; engage, empower, excel, elevate and enrich, comprises three broad efforts. The first effort serves all senior students in forty-one (41) high schools that show a graduation rate below the state average and that are not currently served by an Arizona GEAR UP partnership grant. These schools are the GEAR UP Achieve60 schools ("A60"), and the total number of seniors served averages eleven-thousand-six-hundred (11,600) per year. The second effort serves students in five (5) high schools selected from among the forty-one (41) eligible schools (as well as the middle schools that feed these selected schools); on average, six-thousand-one-hundred (6,100) students per year. These schools are the GEAR UP 5E ("5E") schools. Finally, the statewide component of the project reaches additional middle school and high school students through large-scale dissemination and strategic use of published student guides.
- 6.3. Arizona GEAR UP outlines a systematic evaluation and research plan both to serve students and to add to the knowledge base on Arizona GEAR UP goals. As a result, the graduation rate in Arizona GEAR UP schools will meet or exceed the state average and the percent of graduates who enroll and persist in postsecondary education will increase to target levels outlined in Achieve60AZ.

7. NATIONAL GEAR UP OBJECTIVES AND ARIZONA GEAR UP PROGRAM OBJECTIVES/PERFORMANCE MEASURES

- 7.1. Objective 1. Increase the academic performance and preparation for postsecondary education for students.
- 7.1.1. Students will pass pre-algebra or its equivalent with a grade of C or better by the end of 8th grade, increasing from the baseline by an average of three-percent (3%) annually for grant years two (2) and three (3) (federal performance measure 1).
- 7.1.2. Students will pass Algebra I with a grade of C or better by the end of 9th grade, increasing from the baseline twenty-percent (20%) by an average of three-percent (3%) annually for grant years two (2) through four (4) (federal performance measure 2).

- 7.1.3. The percent of junior-year students on-track for college admissions by enrolling in courses that meet the ABOR course requirements will increase from the baseline by an average of three-percent (3%) annually.
- 7.1.4. The demographics of juniors and seniors who complete one or more AP or dual credit courses will reflect the SES, race/ethnicity, and gender of the high school by year four (4).
- 7.2. Objective 2. Increase the rate of high school graduation and enrollment in postsecondary education for schools.
 - 7.2.1. The percent of seniors who complete one or more postsecondary applications will increase from the baseline by an average of two-percent (2%) annually.
 - 7.2.2. The high school graduation rate will increase from the baseline eighty-three-percent (83%) by two-percent (2%) annually (federal performance measure 3).
 - 7.2.3. Graduates who place into college level math and English without the need for remediation, will increase from the baseline by an average of three-percent (3%) annually beginning in grant year three (3) (federal performance measure 6).
 - 7.2.4. The postsecondary enrollment rate will increase from the baseline forty-six-percent (46%) by an average of three-percent (3%) annually (federal performance measure 5).
 - 7.2.5. Teacher postsecondary enrollment expectations will mirror student postsecondary enrollment aspirations by grant year seven (7).
 - 7.2.6. Students who enroll at an IHE and who persist to the second year of postsecondary education at the initial or a subsequent IHE will increase from the baseline by an average of three-percent (3%) annually (federal performance measure 7).
- 7.3. Objective 3. Increase students' and their families' knowledge of postsecondary education options, preparation and financing.
 - 7.3.1. Seniors who complete the FAFSA will increase two-percent (2%) annually from the baseline (federal performance measure 4).
 - 7.3.2. Parents will participate in at least two (2) activities each year associated with assisting students in financial aid or postsecondary preparation to a target of at least forty-percent (40%) by grant year seven (7). The percentage increase is a percent of the baseline not an overall percentage point increase.

8. EVALUATION SERVICES SCOPE

- 8.1. Provide ongoing consulting services (virtual and/or face-to-face) with Arizona GEAR UP program personnel in order to establish effective evaluation protocols and processes.

- 8.2. Assume the lead role in operationalizing a participatory evaluation and sustainability team to:
 - 8.2.1. Create and monitor an overall Evaluation Plan annually.
 - 8.2.2. Prepare and deliver evaluation reports detailing results from the annual plan.
 - 8.2.3. Meet with the Arizona GEAR UP program team on at minimum a quarterly basis to review/discuss results (pages 44-45 of Exhibit A Grant Narrative).
- 8.3. Provide objective measures of the grant's progress meeting program objectives in annual formative evaluation reports that summarize project success in reaching stated objectives (Table 6.1 of the grant narrative), including quarterly briefings of the Arizona GEAR UP program team on these findings.
- 8.4. Develop and implement biennial student, family and school staff surveys and perform at minimum the following associated services:
 - 8.4.1. Draft and pilot the surveys.
 - 8.4.2. Provide both online and paper-and-pencil versions of the surveys.
 - 8.4.3. Consult with participatory evaluation and sustainability teams on survey content.
 - 8.4.4. Administer, collect, and analyze results of the surveys.
 - 8.4.5. Produce written reports of survey findings.
- 8.5. Provide assistance to the Arizona GEAR UP program in meeting federally-mandated reporting requirements, and in completing federal annual and final performance reports required by the U.S. Department of Education.
- 8.6. Participate in Arizona GEAR UP program staff-led annual planning meetings with 5E Schools as requested by the University.
- 8.7. Write district-level formative evaluation reports of progress annually to include:
 - 8.7.1. An analysis of progress toward meeting Arizona GEAR UP program goals and objectives.
 - 8.7.2. Overall accomplishments and recommendations for improvement of the Arizona GEAR UP program.
- 8.8. As specified in the Arizona GEAR UP Evaluation Plan, design and implement research studies that utilize advanced statistical techniques such as hierarchical linear modeling to address important questions regarding the effectiveness of services that move students to enroll in and persist in postsecondary education. At times, Offeror may work with University faculty/doctoral students on research projects relevant to the Arizona GEAR UP program.
- 8.9. As specified in the Arizona GEAR UP Evaluation Plan, design and implement embedded Quasi-Experimental Design (QED) studies with closely matched

comparison groups to assess the:

- 8.9.1. Efficacy of and reactions to summer counseling.
- 8.9.2. Impact of mentoring.
- 8.9.3. Impact of services on postsecondary enrollment.

- 8.10. Supplement quantitative data analyses with qualitative data collected through biennial focus groups and open-ended questions on surveys.
- 8.11. Collaborate with Arizona GEAR UP Program staff and Data Manager (if not Offeror) to ensure that data required to implement QED studies with matched comparison groups and impact studies employing hierarchical modeling are included in the database.
- 8.12. Represent Arizona GEAR UP program in its participation in the national GEAR UP College and Career Readiness Evaluation Consortium (CCREC) by participating at minimum in two (2) one (1) day meetings held annually in February and July. Link [here](#) for more information on the CCREC evaluation consortium.
- 8.13. Collaborate with Arizona GEAR UP program staff and Data Management contractor on a comprehensive plan for data collection, storage, and analysis that will provide the data needed to achieve research and evaluation goals. Link [here](#) for more information on the CCREC evaluation consortium.
- 8.14. Describe in detail how maintaining the confidentiality of student data will be achieved.
- 8.15. All data provided by the Arizona GEAR UP program and collected for grant review, analysis and/or evaluation shall remain the property of Arizona GEAR UP.
- 8.16. Describe in detail how Offeror-provided Evaluation Services will benefit the Arizona GEAR UP program in achieving the objectives and performance measures outlined herein.

9. DATA MANAGEMENT SERVICES SCOPE

- 9.1. Provide, implement and maintain a database management and evaluation system that:
 - 9.1.1. Expedites data entry.
 - 9.1.2. Organizes program participant and organization data.
 - 9.1.3. Generates reports and queries.
- 9.2. Database management and evaluation system be either:
 - 9.2.1. SaaS hosted.

- 9.2.2. Licensed on a University server.
- 9.3. If applicable, provide a completed [Higher Education Cloud Vendor Assessment Tool](#) with Offer for SaaS Offered system.
- 9.4. Describe in detail the implementation:
 - 9.4.1. Process.
 - 9.4.2. Timeline.
- 9.5. Provide all maintenance services of database management and evaluation system. Describe in detail data management services provided.
- 9.6. Provide an initial on-site training session for end users in the first year of a resulting Contract. Describe in detail training services.
- 9.7. Provide ongoing technical support for Arizona GEAR UP program professional staff beginning in year one (1) and ending one (1) year after the conclusion of program services. Describe in detail support services and support resolution processes.
- 9.8. Collaborate with Arizona GEAR UP program staff and Evaluator to develop a comprehensive plan for data:
 - 9.8.1. Collection.
 - 9.8.2. Storage.
 - 9.8.3. Analysis to evaluate progress toward meeting objectives of the Evaluation Plan.
- 9.9. Collaborate with Arizona GEAR UP program staff and Evaluator (if not Offeror) to ensure that data required to implement embedded QED studies with matched comparison groups and impact studies employing hierarchical modeling are included in the database.
- 9.10. Collaborate with the Arizona GEAR UP program to develop a plan for the disposition of all collected data at the conclusion of the program.
- 9.11. Serve as the state resource contact for the Arizona GEAR UP program's participation in the National College and Career Readiness Consortium (CCREC). Link [here](#) for more information on the CCREC evaluation consortium.
- 9.12. Manage annual data submissions to the National Student Clearinghouse, on behalf of Arizona GEAR UP program's participation in the College and Career Readiness Evaluation Consortium (CCREC). Link [here](#) for more information on the CCREC evaluation consortium.

- 9.13. Data management system capabilities to include:
- 9.13.1. Student participation and outcomes.
 - 9.13.2. Student and school demographic data.
 - 9.13.3. Budgetary and cost share information.
 - 9.13.4. Survey results from students.
 - 9.13.5. Parents and school staff data.
 - 9.13.6. Qualitative data collected from focus groups or others.
- 9.14. Describe in detail the data management system Offered to include at minimum the following:
- 9.14.1. A central storage facility/location for data
 - 9.14.2. A backup storage facility/location for data.
 - 9.14.3. Security measures to guard against loss of data and access breaches.
 - 9.14.4. The ability to upload data for an individual participant.
 - 9.14.5. The ability to upload batch data from multiple participants and a variety of platforms.
- 9.15. Access to the information contained in the database will be limited to only those individuals granted access by the Arizona GEAR UP program and Offeror personnel required to perform the scope outlined herein.
- 9.16. Provide multiple levels of database access based upon user access roles. Describe in detail user access roles.
- 9.16.1. Provide Arizona GEAR UP program personnel access to queries and the ability to download raw data.
 - 9.16.2. Arizona GEAR UP program personnel at GEAR UP schools and partner sites shall have access to the database in order to:
 - 9.16.2.1. View data.
 - 9.16.2.2. Build customized data queries.
 - 9.16.2.3. Run reports.
 - 9.16.2.4. Conduct statistical analyses to evaluate Arizona GEAR UP program success.
- 9.17. Database to provide both pre-formatted and user-defined reports. Describe in detail the following:
- 9.17.1. Participation reports on program service usage.
 - 9.17.2. Mandatory data reports that auto-generate specified data required by state and federal agencies.
 - 9.17.3. Student-level demographic reports.
 - 9.17.4. College enrollment and persistence reports.
 - 9.17.5. Automated reporting of Annual Performance Report (APR) tables in Sections IV, V, and VI. Link [here](#) for information on the APR template.

9.17.6. Customized reports from standard queries in order to track participation and outcomes.

9.17.7. Export data functions.

9.18. Describe in detail how maintaining the confidentiality of student data will be achieved.

10. ACCESSIBILITY

10.1. Data Management system to adhere to Web Content Accessibility Guidelines (WCAG) 2.0 level AA.

10.2. Provide one or both of the following accessibility documents for the version of the Data Management system Offered. Third party documents by an appropriately skilled provider are preferred, but not required:

10.2.1. An Accessibility Conformance Report (ACR), which is a completed Voluntary Product Accessibility Template (VPAT).

10.2.2. A completed checklist for conformance to Web Content Accessibility Guidelines.

11. ADDITIONAL AGREEMENTS

Refer to Section C.15. Indicate if additional Contract agreements are required. If applicable, provide sample additional agreements with Offer.

12. WARRANTY

Provide warranty information to the University.

13. QUALITY ASSURANCE PLAN

Provide a quality assurance plan that details the methods by which the Offeror guarantees performance.

14. SUSTAINABILITY

Include information regarding Offeror's overall sustainable efforts.

15. ADDITIONAL SERVICES

Offeror may provide additional goods and/or services that are not addressed herein. The University shall determine which additional goods/service options are most beneficial from both a cost and service standpoint, and may further negotiate these options to include or omit dependent on University needs.

SECTION F TERMS AND CONDITIONS

Offeror may submit requests for changes or additions to the University terms and conditions set forth in this Section F. Any such changes must be submitted with the Offer or the Offeror will have waived the right to object or add to the University's terms and conditions. Additions may not be submitted as the Offeror's standard terms and conditions, license agreement or any other agreement, but rather as additional terms that do not conflict with the University's terms and that are necessary for the success of the Contract. An Offer contingent upon changes or additions to University terms and conditions may, if the University at its sole discretion determines not to accept the alternate terms and conditions, be rejected as non-responsive.

1. **Remedies and Applicable Law.** This Contract shall be governed by and construed in accordance with the laws of the State of Arizona. The University and Offeror shall have all remedies afforded by said law.
2. **Public Records.** The parties acknowledge that Northern Arizona University is a public entity subject to the provisions of the Arizona Public Records Laws, A.R.S. §§ 39-121 et. seq. In the event that a public records request is received by Northern Arizona University requesting records described as confidential, which Northern Arizona University determines must be disclosed, Northern Arizona University shall notify the other party prior to disclosure.
3. **Interpretation-Parol Evidence.** This writing shall be intended by the parties as a final expression of their Contract and shall be intended also as a complete and exclusive statement of the terms of their Contract. No course of prior dealings between the parties and no usage of the trade shall be relevant to supplement or explain any term used in this Contract. Acceptance or acquiescence in a course of performance rendered under this Contract shall not be relevant to determine the meaning of this Contract even though the accepting or acquiescing party has knowledge of the nature of the performance and opportunity for objection. Whenever a term defined by the Uniform Commercial Code is used in this Contract, the definition contained in the Code is to control.
4. **Dispute Resolution.** Except as otherwise provided herein, all Contract claims and controversies arising under this Contract shall be resolved pursuant to Arizona Board of Regents procurement policy, Section 3-809, in particular Section 3-809C.
5. **Equal Opportunity Clause.** Offeror and any subcontractor(s) shall abide by the requirements of 41 CFR §§ 60-1.4(a), 60-300.5(a) and 60-741.5(a). These regulations prohibit discrimination against qualified individuals based on their status as protected veterans or individuals with disabilities, and prohibit discrimination against all individuals based on their race, color, religion, sex, or national origin. Moreover, these regulations require that Offeror and any subcontractor(s) take affirmative action to employ and advance in employment individuals without regard to race, color, religion, sex, national origin, protected veteran status or disability.

6. **Non-Discrimination.** During the performance of this Contract, the Offeror agrees not to discriminate against any employee or applicant for employment because of race, color, sex, religion, or national origin, or because he or she has a disability, or because he or she is a qualified protected veteran. The aforesaid provision shall include, but not be limited to, the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training including apprenticeship. The parties agree to comply with Arizona Executive Order 99-4, prohibiting discrimination in employment by government Contractors, to the extent applicable to this Contract.
7. **Family Education Rights and Privacy Act.** To the extent Offeror will have access to student educational records, this paragraph will apply. Student educational records are protected by the federal Family Educational Rights and Privacy Act, 20 U.S.C. § 1232g. Offeror will comply with the Family Education Rights and Privacy Act and will not access or make any disclosures of the University's student educational records to third parties without prior notice to and consent from the University, or as otherwise provided by law.
8. **Health Insurance Portability and Accountability Act.** Offeror shall abide by all laws and regulations that protect the privacy of healthcare information to which Offeror obtains access under this Contract. Offeror and the University acknowledge that certain portions of the Administrative Simplification section of the Health Insurance Portability and Accountability Act of 1996, as codified at 42 U.S.C. § 1320d through d-8, and the federal privacy regulations as contained in 45 CFR Part 164 may apply to Offeror and the University, and their relationships and operation under this Contract. If necessary, Offeror and the University will enter into a standard Business Associate Agreement, and any other required Health Insurance Portability Accountability Act agreements. To the extent the terms thereof relate to Offeror's performance under this Contract, the provisions of such Business Associate Agreement shall control.
9. **Americans with Disabilities Act and Rehabilitation Act.** Offeror will comply with all applicable provisions of the Americans with Disabilities Act, the Rehabilitation Act, and all applicable federal regulations.

All electronic and information technology and products and services to be used by University faculty/staff, students, program participants, or other University constituencies must be compliant with the Americans with Disabilities Act as amended and the Rehabilitation Act. Compliance means that a disabled person can acquire the same information, engage in the same interactions, and enjoy the same services as a nondisabled person, in an equally effective and integrated manner, with substantially equivalent ease of use.

- 9.1. **Electronic and Information Technology.** Any acquisition considered electronic and information technology "EIT" as defined by the Access Board at 36 CFR 1194.4 and in the FAR at 2.101 must comply with Section 508 (36 CFR Part 1194) and requires the submission of a completed Voluntary Product Accessibility Template "VPAT" so that the University may ascertain conformance. Offers without a completed VPAT

may be disqualified from competition.

9.1.1. EIT is information technology “IT” and any equipment or interconnected system or subsystem of equipment that is used in the creation, conversion, or duplication of data or information. EIT includes, but is not limited to:

- 9.1.1.1. telecommunication products, such as telephones;
- 9.1.1.2. information kiosks and transaction machines;
- 9.1.1.3. World Wide Web sites;
- 9.1.1.4. software;
- 9.1.1.5. multimedia (including videotapes); and
- 9.1.1.6. office equipment, such as copiers and fax machines.

9.1.2. The University reserves the right to perform real-world testing of a product or service to validate Offeror’s claims regarding Section 508 conformance. To facilitate testing Offeror will, upon request, provide the University with access to the product being considered for purchase for a period of at least thirty (30) calendar days.

9.2. **Services and Products.** An accessible service or product is one that can be used by as many people as possible, taking into account their physical, cognitive, emotional, and sensory differences.

9.2.1. Services provided include, but are not limited to:

- 9.2.1.1. education and training;
- 9.2.1.2. cultural and athletic events;
- 9.2.1.3. vehicle rentals
- 9.2.1.4. event space and lodging; and
- 9.2.1.5. parking and transportation.

9.2.2. Products include, but are not limited to:

- 9.2.2.1. instructional materials;
- 9.2.2.2. office equipment;
- 9.2.2.3. office and classroom furniture; and
- 9.2.2.4. kiosks.

10. **Indemnification.** Offeror shall indemnify, defend, save and hold harmless the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees (hereinafter referred to as “Indemnatee”) from and against any and all claims, actions, liabilities, damages, losses, or expenses (including court costs, attorneys’ fees, and costs of claim processing, investigation and litigation) (hereinafter referred to as “Claims”) for bodily injury or personal injury (including death), or loss or damage to tangible or intangible property caused, or alleged to be caused, in whole or in part, by the negligent or willful acts or omissions of Offeror or any of its owners, officers, directors, agents, employees or subcontractors. This indemnity includes any claim or

amount arising out of or recovered under the Workers' Compensation Law or arising out of the failure of such Offeror to conform to any federal, state or local law, statute, ordinance, rule, regulation or court decree. It is the specific intention of the parties that the Indemnitee shall, in all instances, except for Claims arising solely from the negligent or willful acts or omissions of the Indemnitee, be indemnified by Offeror from and against any and all claims. It is agreed that Offeror shall be responsible for primary loss investigation, defense and judgment costs where this indemnification is applicable. In consideration of the award of this Contract, the Offeror agrees to waive all rights of subrogation against the State of Arizona, its officers, officials, agents and employees for losses arising from services performed by the Offeror for the State of Arizona.

11. **Labor Disputes.** Offeror shall give prompt notice to the University of any actual or potential labor dispute which delays or may delay performance of this Contract.
12. **Force Majeure.** Neither party shall be held responsible for any losses resulting if the fulfillment of any terms or provisions of this Contract are delayed or prevented by any cause not within the control of the party whose performance is interfered with, and which by the exercise of reasonable diligence, said party is unable to prevent.
13. **No Waiver.** No waiver by the University of any breach of the provisions of this Contract by the Offeror shall in any way be construed to be a waiver of any future breach or bar the University's right to insist on strict performance of the provisions of the Contract.
14. **Modifications.** This Contract shall be modified or rescinded only by a writing signed by both parties or their duly authorized agents.
15. **Assignment-Delegation.** No right or interest in this Contract shall be assigned or delegation of any obligation made by Offeror without the written permission of the University. Any attempted assignment or delegation by Offeror shall be wholly void and totally ineffective for all purposes unless made in conformity with this paragraph.
16. **Assignment of Anti-Trust Overcharge Claims.** The parties recognize that in actual economic practice overcharges resulting from anti-trust violations are in fact borne by the ultimate purchaser; therefore, Offeror hereby assigns to the Arizona Board of Regents any and all claims for such overcharges.
17. **Cancellation for Lack of Funding.** This Contract may be canceled without any further obligation on the part of the Arizona Board of Regents and Northern Arizona University in the event that sufficient appropriated funding is unavailable to assure full performance of the terms. The Offeror shall be notified in writing of such non-appropriation at the earliest opportunity.
18. **Cancellation of State Contract.** In accordance with A.R.S. §38-511, this Contract may be canceled without penalty or further obligation if any person significantly involved in initiating, negotiating, securing, drafting, or creating the Contract on behalf of the University shall, at anytime while the Contract or any extension of the Contract shall be in effect, be an employee of any other party to the Contract in any capacity or a consultant to

any other party of the Contract with respect to the subject matter of the Contract.

19. **Termination.** The University may by written notice, stating the extent and effective date, terminate this Contract for convenience in whole or in part, at any time. The University shall pay the Offeror as full compensation for performance until such termination: (1) the unit or pro rata Contract price for the delivered and accepted portion; and (2) a reasonable amount, not otherwise recoverable from other sources by the Offeror as approved by the University, with respect to the undelivered or unacceptable portion of this Contract, provided compensation hereunder shall in no event exceed the total Contract price.
20. **Termination for Default.** In the event that the Offeror shall fail to maintain or keep in force any of the terms and conditions of this Contract, the University may notify the Offeror in writing of such failure and demand that the same be remedied within ten (10) days. Should the Offeror fail to remedy the same within said period, the University shall then have the right to terminate this Contract.
21. **Insolvency.** The University shall have the right to terminate this Contract at any time in the event the Offeror files a petition in bankruptcy, or is adjudicated bankrupt; or if a petition in bankruptcy is filed against the Offeror and not discharged within thirty (30) days; or if the Offeror becomes insolvent or makes an assignment for the benefit of its creditors or an arrangement pursuant to any bankruptcy law; or if a receiver is appointed for the Offeror or its business.
22. **Anti-Kickback.** In compliance with FAR 52.203-7, the University has in place and follows procedures designed to prevent and detect violations of the Anti-Kickback Act of 1986 in its operation and direct business relationships.
23. **Gratuities.** The University may, by written notice to the Offeror, cancel this Contract if it is found by the University that gratuities, in the form of entertainment, gifts or otherwise, were offered or given by the Offeror, or any agent or representative of the Offeror, to any officer or employee of the State of Arizona with a view toward securing a Contract or securing favorable treatment with respect to the awarding or amending, or the making of any determinations with respect to the performing of such Contract. In the event this Contract is canceled by the University pursuant to this provision, the University shall be entitled, in addition to any other rights and remedies, to recover or withhold the amount of the cost incurred by Offeror in providing such gratuities.
24. **Byrd Anti-Lobbying Amendment (31 U.S.C. 1352).** Offerors who apply or bid for an award of \$100,000 or more shall file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant, or any other award covered by 31 U.S.C. 1352. Each tier shall also disclose any lobbying with non-Federal funds that takes place in connection with obtaining a Federal award. Such disclosures are forwarded from tier to tier up to the recipient.

25. **Inspection and Audit.** All books, accounts, reports, files, and other records relating to this Contract shall be subject at all reasonable times to inspection and audit by the Arizona Board of Regents, Northern Arizona University, or the Auditor General of the State of Arizona, or their agents for five (5) years after completion of this Contract. Such records shall be produced at Northern Arizona University, or such other location as designated by Northern Arizona University, upon reasonable notice to the contracting party.
26. **Insurance Requirements.** Offeror may be requested to provide the University with a Certificate of Insurance prior to the commencement of services/contract. Offeror and subcontractors, without limiting any liabilities or any other obligations, shall procure and maintain until all of their obligations have been discharged, including any warranty periods under this Contract, are satisfied, insurance against claims for injury to persons or damage to property which may arise from or in connection with the performance of the work hereunder by the Offeror, its agents, representatives, employees or subcontractors.

The insurance requirements herein are minimum requirements for this Contract and in no way limit the indemnity covenants contained in this Contract. The State of Arizona in no way warrants that the minimum limits contained herein are sufficient to protect the Offeror from liabilities that might arise out of the performance of the work under this Contract by the Offeror, its agents, representatives, employees or subcontractors, and Offeror is free to purchase additional insurance.

The University reserves the right to request and receive certified copies of any or all of the following listed policies and/or endorsements within ten (10) calendar days of Contract signature. Neither Offeror's failure to provide, nor University's failure to obtain proof of compliance shall act as a waiver of any term of this Contract.

The Certificate of Insurance shall be from an insurance carrier lawfully authorized to do business in the State of Arizona, or hold approved non-admitted status on the Arizona Department of Insurance List of Qualified Unauthorized Insurers and rated at least an A-, VII (7) in the current A.M. BEST RATINGS. The State of Arizona in no way warrants that the above required minimum insurer rating is sufficient to protect the Offeror from potential insurer insolvency. Coverage provided by the Offeror shall not be limited to the liability assumed under the indemnification provisions of this Contract. The Certificate shall include the following minimum insurance coverages:

Commercial General Liability of \$1,000,000 minimum combined single limit (CSL) each occurrence and \$2,000,000 general aggregate, to include the following: Policy shall include bodily injury, property damage, personal injury, advertising injury and broad form contractual liability coverage.

Each Occurrence	\$1,000,000
Damage to Rented Premises	\$ 50,000
Personal and Advertising Injury	\$1,000,000
General Aggregate	\$2,000,000
Products – Completed Operations Aggregate	\$1,000,000

Commercial Automobile Liability of \$1,000,000 minimum combined single limit (CSL) each occurrence, to include either “ANY AUTO” or “SCHEDULED, HIRED, OWNED, NON-OWNED AUTOS”.

Technology Errors and Omissions (for Data Management Services only) insurance with minimum limits of \$2,000,000 each claim (or each wrongful act) and \$2,000,000 annual aggregate.

Shall cover any, and all errors, omissions, or negligent acts in the delivery of products, services, and/or licensed programs under this Contract.

Shall include copyright infringement, infringement of trade dress, domain name, title or slogan.

In the event that the Technology Errors and Omissions insurance required by this Contract is written on a claims-made basis, Contractor warrants that any retroactive date under the policy shall precede the effective date of this Contract and, either continuous coverage will be maintained or an extended discovery period will be exercised for a period of two (2) years, beginning at the time work under this Contract is completed.

Network Security (Cyber) and Privacy Liability (for Data Management Services only) with minimum limits of \$2,000,000 each claim (or each wrongful act) and \$2,000,000 annual aggregate.

Shall include, but not be limited to, coverage for third party claims and losses with respect to network risks (such as data breaches, unauthorized access or use, ID theft, theft of data) and invasion of privacy regardless of the type of media involved in the loss of private information, crisis management and identity theft response costs. This should also include breach notification costs, credit remediation and credit monitoring, defense and claims expenses, regulatory defense costs plus fines and penalties, cyber extortion, computer program and electronic data restoration expenses coverage (data asset protection), network business interruption, computer fraud coverage, and funds transfer loss.

In the event that the Network Security (Cyber) and Privacy Liability insurance required by this Contract is written on a claims-made basis, Contractor warrants that any retroactive date under the policy shall precede the effective date of this Contract and, either continuous coverage will be maintained or an extended discovery period will be exercised for a period of two (2) years, beginning at the time work under this Contract is completed.

The policy shall be endorsed to include the State of Arizona, and its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees as additional insureds with respect to liability arising out of the activities performed by or on behalf of the Contractor. Such additional insured shall be covered to the full limits of liability purchased by the Contractor, even if those limits of liability are in excess of those required by this Contract.

The policy shall contain a waiver of subrogation in favor of the State of Arizona, and its

departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Contractor.

Workers' Compensation coverage for all employees which meets Arizona statutory benefits; including Employers Liability with minimum limits of \$1,000,000 each accident, \$1,000,000 each employee/disease, \$1,000,000 policy limit/disease. Additional insured is not required.

If designated as a Sole Proprietor/Independent Contractor with no employees, the State of Arizona (ARS §23-901, ARS §23-961M) requires submittal of a written Sole Proprietor Waiver or Independent Contractor Agreement. The documents can be found at: [Sole Proprietor Waiver/Independent Contractor Agreement](#)

Certificate Holder: The, State of Arizona, the Arizona Board of Regents and Northern Arizona University shall be named as the certificate holder.

Additional Insured: The certificate shall name The State of Arizona, The Arizona Board of Regents, Northern Arizona University, its departments, agencies, boards, commissions, officers, officials, agents and employees as additional insured on General and Automobile Liability, with respect to liability arising out of the activities performed by or on behalf of the Offeror. Such additional insured shall be covered to the full limits of liability purchased by the Offeror, even if those limits of liability are in excess of those required by this Contract.

Primary Coverage: The following statement shall be included - "the coverage afforded under this certificate shall be primary insurance with respect to all other available sources, except Workers Compensation insurance. Any self-insurance or other insurance carried by the State of Arizona, the Arizona Board of Regents, and Northern Arizona University, their officers, or employees, if any, shall be excess and not contributory to the insurance provided by the named insured.

Waiver of Subrogation: Policy shall contain a waiver of subrogation against the State of Arizona, its departments, agencies, boards, commissions, universities and its officers, officials, agents, and employees for losses arising from work performed by or on behalf of the Offeror. The waiver of subrogation applies to Commercial General Liability, Commercial Auto Liability, and Workers' Compensation.

The following statement shall be included: Coverage afforded under these policies will not be canceled, terminated, or materially altered until 30 days prior written notice has been given to Northern Arizona University, with the exception of a ten (10) day notice of cancellation for non-payment of premium, any changes material to compliance with this Contract.

Description of activity/property/contract at Northern Arizona University.

Material Breach: Failure on the part of Offeror to meet these requirements shall constitute a material breach upon which the State of Arizona, the Arizona Board of

Regents and the University may immediately terminate this Contract, or, at its discretion, procure or renew such insurance and pay any and all premiums in connection therewith, and all monies so paid by the State of Arizona and the University shall be repaid by Offeror to the University upon demand, or the State of Arizona and the University may offset the cost of the premiums against any monies due to Offeror.

Costs for coverage broader than those required or for limits in excess of those required shall not be charged to the State of Arizona and the University.

27. **Liens.** All goods delivered and labor performed under this Contract shall be free of all liens and, if the University requests, a formal release of all liens shall be delivered to the University.
28. **Sales and Use Tax.** The Offeror shall comply with and require all of his subcontractors to comply with all the provisions of the applicable state and sales excise tax law and compensation use tax law and all amendments to same. The Offeror further agrees to indemnify and save harmless the University, of and from any and all claims and demands made against it by virtue of the failure of the Offeror or any subcontractor to comply with the provisions of any or all said laws in amendments. The University is not exempt from state sales excise tax and compensation use tax.
29. **Changes.** Within the limits allowed by law, Offeror agrees that the University may order additional services, or make changes by altering, adding to, or deducting from the proposed services, the Contract sum being adjusted accordingly, and Offeror shall enter into a modification of the Contract to reflect said changes.
30. **Installment Payment Contract.** The University is precluded from entering into an installment Contract unless such Contract can be canceled for non-allocation of funds at the end of any fiscal year, at no penalty to the University. If funds shall not be allocated for this Contract for periodic payment in any future annual fiscal period, following the University's formal request for funds, the University shall not be obligated to pay the net remainder of agreed to consecutive periodic payments remaining unpaid beyond the end of the then current fiscal year. The University agrees to notify the Offeror of such non-allocation at the earliest possible time. No penalty shall accrue to the University in the event this provision shall be exercised. This provision shall not be construed so as to permit the University to terminate this Contract in order to acquire similar goods and/or services from another party.
31. **Price Adjustment.** Price changes shall only be considered at the end of one Contract period and the beginning of another. Price change requests shall be supported by evidence of increased costs to the Offeror. The University shall not approve price increases that shall merely increase the gross profitability of the Offeror at the expense of the University. Price change requests shall be a factor in the Contract extension review process. The University shall determine whether the requested price increase or an alternate option shall be in the best interest of the University.
32. **Fixed Escalation Clause.** Offeror shall certify a fixed maximum percentage of escalation of costs of goods and/or services for a period of five (5) years following expiration of

warranty. Cost shall not exceed five (5) % per year or Consumer Price Index (CPI), whichever is less.

33. **Payment.** Payment shall be subject to the provisions of Title 35 of Arizona Revised Statutes relating to time and manner of submission of claims. The University's obligation shall be payable only and solely from funds appropriated for the purpose of the Contract.
34. **Debarment and Suspension.** Recipients shall fully comply with the requirements stipulated in Subpart C of 45 CFR 620, entitled Responsibilities of Participants Regarding Transactions". The recipient is responsible for ensuring that any lower tier covered transaction, as described in Subpart B of 45 CFR 620, entitled "Covered Transactions", includes a term or condition requiring compliance with Subpart C. The recipient also is responsible for further requiring the inclusion of a similar term or condition in any subsequent lower tier covered transaction. The recipient acknowledges that failing to disclose the information required under 45 CFR 620.335 may result in the termination of the award, or pursuance of other available remedies, including suspension and debarment. Recipients may access the Excluded Parties List System at <https://www.sam.gov/index.html/#1>.
35. **Personnel.** Employees of the Offeror assigned to the project and identified by name in the Contract shall remain dedicated to this project. Personnel changes shall be permitted only with prior notification and approval of the University.
36. **Independent Contractor.** It shall be understood that Offeror shall operate as an Independent Contractor, not as an employee or agent of the University.
37. **Service Marks and Trademarks.** For purposes of this provision, the phrase "NAU Mark" means any trade name, trademark, service mark, logo, domain name, and any other distinctive brand feature owned or used by the University. Offeror agrees to comply with the University's trademark licensing program concerning any use or proposed use by Offeror of any of NAU Mark on goods, in relation to services, and in connection with advertisements or promotion of Offeror or its business. Except as expressly authorized in this Agreement, Offeror is not permitted to use any NAU Mark without prior written approval of the University. Prior to any use of an NAU Mark by Offeror or its affiliates or successors or assigns, Offeror will comply with NAU's Licensing Policy <http://nau.edu/licensing>.
38. **Advertising/Publishing.** Offeror shall not advertise or publish, without the University's prior consent, the fact that the University had entered into this Contract, except to the extent necessary to comply with proper request for information provided by appropriate statutes.
39. **Legal Workers.** Pursuant to ARS §41-4401 the University is prohibited after September 30, 2008 from awarding a Contract to any Offeror who fails, or whose subcontractors fail, to comply with ARS § 23-214-A. Offeror warrants that it complies fully with all federal immigration laws and regulations that relate to its employees, that it shall verify, through the U.S. Department of Homeland Security's E-Verify program, the employment

eligibility of each employee hired after December 31, 2007, and that it shall require its subcontractors and sub-subcontractors to provide the same warranties to the Offeror.

Offeror acknowledges that a breach of this warranty by Offeror or by any subcontractor or sub-subcontractor under this Contract shall be deemed a material breach of this Contract, and is grounds for penalties, including termination of this Contract, by the University. The University retains the right to inspect the records of any Offeror, subcontractor and sub-subcontractor employee who performs work under this Contract, and to conduct random verification of the employment records of the Offeror and any subcontractor and sub-subcontractor who works on this Contract, to ensure that the Offeror and each subcontractor and sub-subcontractor is complying with the warranties set forth above. The portion of this provision dealing with the Offeror's warranty is not applicable where the Offeror is a governmental entity nor is the Offeror required to pass this provision through to subcontractors and sub-subcontractors who are governmental entities.

40. **Data Ownership.** Northern Arizona University will own, or retain all of its rights in, all data and information that Northern Arizona University provides to Offeror, as well as all data managed by Offeror on behalf of Northern Arizona University, including all output, reports, analyses, and other materials relating to or generated by the services, even if generated by Offeror, as well as all data collected, extracted, or received through Northern Arizona University's or Offeror's use of the services or deliverables (collectively, the "Northern Arizona University Data"). The Northern Arizona University Data shall be considered Northern Arizona University's confidential information. Offeror shall not use, access, disclose, or license or provide to third parties, any Northern Arizona University Data, or any materials derived therefrom, except, in each case, as authorized in writing by Northern Arizona University. Without limiting the generality of the foregoing, Offeror may not use any Northern Arizona University Data, whether or not aggregated or de-identified, for product development, marketing, profiling, benchmarking, or product demonstrations, without, in each case, Northern Arizona University's prior written consent.
41. **Non Disclosure and Trade Secrets.** Offeror may receive (or has received) from the University and otherwise be exposed to confidential and proprietary information relating to the University's business practices, strategies and technologies, NAU Data as well as confidential information to the University necessary to perform the services and/or provide the deliverables (collectively, NAU Confidential Information). The University's confidential information may include, but not limited to, confidential and proprietary information supplied to the Offeror with the legend "NAU Confidential and Proprietary" or other designations of confidentiality. As between the Offeror and the University, the NAU Confidential Information is the sole, exclusive, and valuable property of the University. Accordingly, Offeror will not reproduce or otherwise use any of the NAU Confidential Information except in the performance of the Services or the provision of the Deliverables and will not disclose any of the NAU Confidential Information in any form to any third party, either during or after the Term, except with the University's prior written consent. Upon termination of the Contract, Offeror will cease using and will return to the University, all originals and all copies of the NAU Confidential Information, in all forms and media, in Offeror's possession or under Offeror's control. In addition,

Offeror will not disclose or otherwise make available to the University any confidential information of the Offeror or received by contractor from any third party.

Offeror will have no obligation to maintain as confidential any NAU Confidential Information (other than NAU Data) that Offeror can show: (i) was already lawfully in the possession of or known by Offeror before receipt from the University; (ii) is or becomes generally known in the industry through no violation of the contract or any other agreement between the parties; (iii) is lawfully received by the Offeror from a third party without restriction on disclosure or use; (iv) is required to be disclosed by court order following notice to the University sufficient to allow the University to contest such order; or (v) is approved in writing by the University for release or other use by Offeror.

42. **Weapons.** The University prohibits the use, possession, display, or storage of any weapon, explosive device, or fireworks on all land and buildings owned, leased, or under the control of the University or its affiliated or related entities, in all University residential facilities (whether managed by the University or another entity), in all University vehicles and at all University or University-affiliate sponsored events and activities, except as provided in §12-781 of the Arizona Revised Statutes or unless written permission is given by the NAU Police Department. Notification by Offerors to all persons or entities who are employees, officers, subcontractors, consultants, agents, guests, invitees, or licensees of Offeror “Offeror Parties” of this policy is a condition and requirement of the Contract. Offeror further agrees to enforce this contractual requirement against all Offeror Parties.
43. **Tobacco Free.** The University recognizes that tobacco use is a public health hazard and is dedicated to providing a healthy, comfortable and productive living, learning and working environment. Beginning July 1, 2016 the use of all tobacco products, including those not approved by the FDA for cessation is prohibited on university property, facilities, grounds, parking structures, university-owned vehicles and structures owned or leased by the University. This includes, but is not limited to, the use of cigarettes, e-cigarettes, hookah, e-hookah, chew, dip, snuff, cigars, pipes, vaporizers, etc. For additional information, go to <http://nau.edu/Tobacco-Free/Policy/>.
44. **Participation in Boycott of Israel.** Pursuant to A.R.S. §§ 35-393 and 35-393.01, Offeror certifies that it is not currently engaged in and agrees, for the duration of the Contract, to not engage in a Boycott of Israel. Unless and until the District Court's injunction in *Jordahl v. Brnovich et al.*, Case No. 3:17-cv-08263 (D. Ariz.) is stayed or lifted, the Anti-Israel Boycott Provision (A.R.S. 35-393.01 (A)) is unenforceable and the State will take no action to enforce it.
45. **Essence of Time.** Time shall be of the essence as to matters contemplated by a resulting Contract under this RFP.

SECTION G EVALUATION CRITERIA

It is the University's intent to make an award to Offeror(s) that, in the opinion of the University, present Offers that appear to be favorable to the University, based upon the scope, availability of services, quality of services, reputation, and price offered. The criteria for evaluation of responses will be based on the following point structure:

1. Offeror's Qualifications, Project Resources and Client References (refer to Section E.1.–E.3.).

10 Points

2. A detailed technical Offer including, but not limited to, clarity and reasonableness of proposed method of accomplishing the requirements and the ability to satisfy all components specified (refer to Section E.4.–E.15.).

20 Points

3. Exceptions to the Terms and Conditions of the RFP (refer to Section F). Points will not be assigned to this category, however Offers that are contingent upon changes to the University's terms and conditions may, if the University at its sole discretion determines not to accept the alternate terms and conditions, be considered non-responsive.

4. Price Proposal (refer to Section H).

10 Points

Responses to Section E.8. for Evaluation Services and to Section E.9. for Data Management Services will be evaluated and scored separately based on the criteria listed above.

SECTION H PRICING PROPOSAL


Proposed pricing shall constitute the total cost to the University for complete performance in accordance with the requirements and specifications contained herein, including all applicable handling charges, administrative and other similar or associated fees.

Pricing costs for Evaluation Services and/or Data Management Services, as applicable, shall be presented separately, and include:

- A defined annual period of performance for the initial three-year Contract term, as well as for subsequent years.
- Costs associated with defined tasks during each performance period of the Contract term.
- Detail and justification to inform and support the annual costs presented, including price-related assumptions, by task.

SECTION J

VENDOR INFORMATION

 Contracts, Purchasing, and Risk Management	NORTHERN ARIZONA UNIVERSITY SUBSTITUTE W-9 & VENDOR AUTHORIZATION FORM Contracts, Purchasing and Risk Management Services 928-523-4557			DO NOT SEND TO IRS RETURN TO NAU
Foreign individuals/business entities doing business within the U.S. should complete the Foreign Substitute W-9 available at http://nau.edu/Contracting-Purchasing-Services/Forms/ .				
1. Taxpayer Identification Number (TIN):			<input type="checkbox"/> Employer ID Number (EIN) <input type="checkbox"/> Social Security Number (SSN)	
2. LEGAL NAME: (must match TIN above)				
3. DUNS # (If applicable)				
4. LEGAL MAILING ADDRESS:	(Where check, tax information, and general correspondence is to be sent)			
DBA (Doing Business As):				
Address:				
Address Line 2:				
City:		State:	ZIP Code:	
5. Remit to Address:	<input type="checkbox"/> Same as Legal Mailing Address			
Address:				
Address Line 2:				
City:		State:	ZIP Code:	
6. Contact Name:				
Phone Number:				
Email Address:				
7. ENTITY TYPE				
<input type="checkbox"/> Individual (not a business)	<input type="checkbox"/> Sole proprietor (Individually owned business) or sole proprietor organized as LLC or PLLC	<input type="checkbox"/> Corporation (NOT providing health care, medical or legal services)	<input type="checkbox"/> Corporation (providing health care, medical or legal services)	
<input type="checkbox"/> The US or any of its political subdivisions or instrumentalities	<input type="checkbox"/> A state, a possession of the US, or any of their political subdivisions or instrumentalities	<input type="checkbox"/> Tax-exempt organizations under IRC §501	<input type="checkbox"/> Partnership, LLP or partnership organized as LLC or PLLC	
8. Business Purpose:				
<input type="checkbox"/> Medical	<input type="checkbox"/> Merchandise	<input type="checkbox"/> Legal	<input type="checkbox"/> Other, Specify:	
9. Product or Service Provided/ Purpose of Payment:				



Contracts, Purchasing,
and Risk Management

NORTHERN ARIZONA UNIVERSITY
SUBSTITUTE W-9 & VENDOR AUTHORIZATION FORM
Contracts, Purchasing and Risk Management Services
928-523-4557

DO NOT
SEND TO IRS
RETURN TO
NAU

10. FEDERAL INFORMATION – REQUIRED

What is the Federal classification type of your business? – see definitions on link below.
(S.B.A. Small Business definition FAR 19.001 and size standards FAR 19.102)

<http://www.sba.gov/size>

LARGE Business? YES ☐ NO ☐

SMALL Business? YES ☐ NO ☐

Please check all that apply to your business for Federal Supplier Type:

Service Disabled Veteran Owned (VD)

☐

Small Disadvantaged (SD)

☐

Women Owned (WO)

☐

Veteran Owned (VO)

☐

Minority Institution (MI)

☐

HUB Zone (HZ)

☐

Note: Supplier type will be verified through the System for Award Management

<https://www.sam.gov>

11. Residency (Select one):

☐ U.S. Person, Includes Resident Alien

☐ Nonresident Alien performing services outside the U.S.

12. CERTIFICATION

Under penalties of perjury, I certify that :

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me),
2. I am not subject to backup withholding.
3. I am a U.S. person (including a resident alien). Cross '3' if non-resident doing business outside the U.S.
4. I certify that the organization and its principals are not debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any federal department or agency from doing business with the federal government. See Federal Acquisition Regulation section [52.209-6](#) for more information regarding debarment.

The Internal Revenue Service does not require your consent to any provision of this document other than the certification required to avoid backup withholding.

Payment Term: Net 30 in accordance with A.R.S. [35-342](#)

PRINT NAME:

SIGNATURE:

Title:

Date:

NAU Contact Name and Phone/Email:

**AN AUTHORIZED AGENT OF THE OFFEROR
SHALL SIGN THE VENDOR INFORMATION**

Northern Arizona University is an Equal Opportunity/Affirmative Action Institution.

SECTION K REQUEST FOR PROPOSAL CERTIFICATION

Date:

Contracts, Purchasing, and Risk Management
Northern Arizona University

The undersigned certifies, pursuant to Arizona Revised Statute [38-503](#), that to the best of his/her knowledge (check one):

- ☐ There is no officer or employee of Northern Arizona University who has, or whose relative has, a substantial interest in any Contract award subsequent to this RFP.
- ☐ The names of any and all public officers or employees of Northern Arizona University who have, or whose relative has, a substantial interest in any Contract award subsequent to this RFP are identified by name as part of the submittal.

The undersigned further certifies, in accordance with Federal Acquisition Regulation 52.209-5, that Offeror (check one) ☐ **IS** or ☐ **IS NOT** currently debarred, suspended, or proposed for debarment by any federal entity. The undersigned agrees to notify the University of any change in this status, shall one occur, until such time as an award has been made under this procurement action. The debarred list (List of Parties Excluded from Federal Procurement and Non-Procurement Programs) can be found at: <https://www.sam.gov/portal/SAM/#1>.

In compliance with RFP Number: **P20GB004** and after carefully reviewing all the terms and conditions imposed therein, the undersigned agrees to furnish such goods and/or services in accordance with the specifications/scope of work according to the Offer submitted or as mutually agreed upon by subsequent negotiation.

Name of Offeror		
Name of Contact		Title of Contact
Address 1		Address 2
City	State	Zip Code
		-
Telephone Number		E-mail address
() -		
Print Name of Offeror's Authorized Agent		Signature of Offeror's Authorized Agent
Title of Offeror's Authorized Agent		Date
AN AUTHORIZED AGENT OF THE OFFEROR SHALL SIGN THE PROPOSAL CERTIFICATION		

SECTION L LEGAL WORKER CERTIFICATION

Pursuant to ARS §41-4401 the University is prohibited after September 30, 2008 from awarding a Contract to any Offeror who fails, or whose subcontractors fail, to comply with ARS § 23-214-A. Offeror warrants that it complies fully with all federal immigration laws and regulations that relate to its employees, that it shall verify, through the U.S. Department of Homeland Security's E-Verify program, the employment eligibility of each employee hired after December 31, 2007, and that it shall require its subcontractors and sub-subcontractors to provide the same warranties to the Offeror.

Offeror acknowledges that a breach of this warranty by Offeror or by any subcontractor or sub-subcontractor under this Contract shall be deemed a material breach of this Contract, and is grounds for penalties, including termination of this Contract, by the University. The University retains the right to inspect the records of any Offeror, subcontractor and sub-subcontractor employee who performs work under this Contract, and to conduct random verification of the employment records of the Offeror and any subcontractor and sub-subcontractor who works on this Contract, to ensure that the Offeror and each subcontractor and sub-subcontractor is complying with the warranties set forth above. The portion of this provision dealing with the Offeror's warranty is not applicable where the Offeror is a governmental entity nor is the Offeror required to pass this provision through to subcontractors and sub-subcontractors who are governmental entities.

Name of Offeror		
Name of Contact		Title of Contact
Address 1		Address 2
City	State	Zip Code
		-
Telephone Number		E-mail address
() -		
Print Name of Offeror's Authorized Agent		Signature of Offeror's Authorized Agent
Title of Offeror's Authorized Agent		Date
AN AUTHORIZED AGENT OF THE OFFEROR SHALL SIGN THE LEGAL WORKER CERTIFICATION		

SECTION M ANTI-LOBBYING CERTIFICATION

Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions (Sept 2007). In accordance with the Federal Acquisition Regulation, 52.203-11:

(a) The definitions and prohibitions contained in the clause, at FAR 52.203-12, Limitation on Payments to Influence Certain Federal Transactions, included in this solicitation, are hereby incorporated by reference in paragraph (b) of this certification.

(b) The Offeror, by signing its offer, hereby certifies to the best of his or her knowledge and belief that on or after December 23, 1989.

(1) No 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 on his or her behalf in connection with the awarding of this contract;

(2) If any funds other than Federal appropriated funds (including profit or fee received under a covered Federal transaction) 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 on his or her behalf in connection with this solicitation, the Offeror shall complete and submit, with its offer, OMB standard form LLL, Disclosure of Lobbying Activities, to the Contracting Officer; and

(3) He or she will include the language of this certification in all subcontract awards at any tier and require that all recipients of subcontract awards in excess of \$100,000 shall certify and disclose accordingly.

(c) Submission of this certification and disclosure is a prerequisite for making or entering into this contract imposed by Section 1352, Title 31, United States Code. Any person who makes an expenditure prohibited under this provision or who fails to file or amend the disclosure form to be filed or amended by this provision, shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure.

Name of Offeror		
Name of Contact		Title of Contact
Address 1		Address 2
City	State	Zip Code
		-

Telephone Number	E-mail address
() -	
Print Name of Offeror's Authorized Agent	Signature of Offeror's Authorized Agent
Title of Offeror's Authorized Agent	Date
AN AUTHORIZED AGENT OF THE OFFEROR SHALL SIGN THE ANTI-LOBBYING CERTIFICATION	

SECTION N FEDERAL DEBARRED LIST CERTIFICATION

Certification Regarding Debarment, Suspension, Proposed Debarment, and Other Responsibility Matters (Dec 2001)

In accordance with the Federal Acquisition Regulation, 52.209-5:

(a) (1) The Offeror certifies, to the best of its knowledge and belief, that—

(i) The Offeror and/or any of its Principals—

(A) (check one) Are () or are not () presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal agency; (The debarred list (List of Parties Excluded from Federal Procurement and Nonprocurement Programs) is at <http://epls.arnet.gov> on the Web.)

(B) (check one) Have () or have not (), within a three-year period preceding this offer, been convicted of or had a civil judgment rendered against them for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state, or local) contract or subcontract; violation of Federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, or receiving stolen property; and

(C) (check one) Are () or are not () presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in paragraph (a)(1)(i)(B) of this provision.

(ii) The Offeror (check one) has () or has not (), within a three-year period preceding this offer, had one or more contracts terminated for default by any Federal agency.

(2) “Principals,” for the purposes of this certification, means officers; directors; owners; partners; and, persons having primary management or supervisory responsibilities within a business entity (e.g., general manager; plant manager; head of a subsidiary, division, or business segment, and similar positions).

This Certification Concerns a Matter Within the Jurisdiction of an Agency of the United States and the Making of a False, Fictitious, or Fraudulent Certification May Render the Maker Subject to Prosecution Under Section 1001, Title 18, United States Code.

(b) The Offeror shall provide immediate written notice to the Contracting Officer if, at any time prior to contract award, the Offeror learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

(c) A certification that any of the items in paragraph (a) of this provision exists will not necessarily result in withholding of an award under this solicitation. However, the certification will be considered in connection with a determination of the Offeror’s responsibility. Failure of

the Offeror to furnish a certification or provide such additional information as requested by the Contracting Officer may render the Offeror nonresponsible.

(d) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by paragraph (a) of this provision. The knowledge and information of an Offeror is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

(e) The certification in paragraph (a) of this provision is a material representation of fact upon which reliance was placed when making award. If it is later determined that the Offeror knowingly rendered an erroneous certification, in addition to other remedies available to the Government, the Contracting Officer may terminate the contract resulting from this solicitation for default.

Name of Offeror		
Name of Contact		Title of Contact
Address 1		Address 2
City	State	Zip Code
		-
Telephone Number		E-mail address
() -		
Print Name of Offeror's Authorized Agent		Signature of Offeror's Authorized Agent
Title of Offeror's Authorized Agent		Date
<p align="center">AN AUTHORIZED AGENT OF THE OFFEROR SHALL SIGN THE FEDERAL DEBARRED LIST CERTIFICATION</p>		

SECTION O PARTICIPATION IN BOYCOTT OF ISRAEL

Legislation has been enacted to prohibit the University from contracting with firms currently engaged in a Boycott of Israel. To ensure compliance with A.R.S. §35-393 and §35-393.01 this form to be completed and returned with Offer.

By signing this form, Offeror certifies that it is not currently engaged in and agrees, for the duration of the Contract, to not engage in a Boycott of Israel.

Name of Offeror		
Name of Contact		Title of Contact
Address 1		Address 2
City	State	Zip Code
		-
Telephone Number		E-mail address
() -		
Print Name of Offeror's Authorized Agent		Signature of Offeror's Authorized Agent
Title of Offeror's Authorized Agent		Date
AN AUTHORIZED AGENT OF THE OFFEROR SHALL SIGN THE PARTICIPATION IN BOYCOTT OF ISRAEL		

Table of Contents

Arizona GEAR UP 2019-26

Arizona GEAR UP Invitational and Competitive Priority Overview.....	ii
Arizona GEAR UP Invitational Priority	iii
 <u>Arizona GEAR UP Competitive Preference Priority Responses</u>	
Competitive Preferences Priority 1	iv
Competitive Preferences Priority 2	vi
Competitive Preferences Priority 3	vii
 <u>Arizona GEAR UP Project Narrative</u>	
Need for the Project	1
Quality of Project Design	8
Quality of Project Services	19
Quality of the Management Plan	33
Quality of Project Evaluation	38
References	46
Appendix	51

Arizona GEAR UP

INVITATIONAL PRIORITY and COMPETITIVE PRIORITY

Table 1. Invitational and Priority Areas Addressed by Arizona GEAR UP State Grant

Invitational Priority	
Invitational Priority	The area in which the applicant proposes to serve individuals or otherwise provide services overlaps with a Qualified Opportunity Zone, as designated by the Secretary of the Treasury under section 1400Z-1 of the Internal Revenue Code, as amended by the Tax Cuts and Jobs Act (Pub. L. 115-97). An applicant must-- (i) Provide the census tract number of the Qualified Opportunity Zone(s) in which it proposes to serve individuals or otherwise provide services; and (ii) Describe how the applicant will serve individuals or otherwise provide services in the Qualified Opportunity Zone(s).
Census Tracts	
Blue- Where a target school neighbors an Opportunity Zone and serves students from the zone	04005942202, 04013050607, 04013050607, 04013104205, 04013108902, 04013116900, 04013109300, 04013109200, 04013115801, 04013050604, 04001970502, 04019001303, 04019004011, 04019002501, 04021001500, 04021001000
Green- Target school is located in the Opportunity Zone	04013061200, 04013071910, 04013112509, 04013218000, 04013112513, 04013082208, 04015953900, 04019004122, 04019004116, 04019001801, 04019002501, 04019004011
How Addressed	Students from these census tracts are identified as priority students and eligible to receive all services provided by AZGU
Where in Narrative	Page iii
Competitive Priority 1 (CPP1): Promoting Science, Technology, Engineering, or Math (STEM) Education, With a Particular Focus on Computer Science	
CPP1 Criteria	Projects designed to improve student achievement or other educational outcomes in science, technology, engineering, math, or computer science (as defined in this notice).
How Addressed	Arizona GEAR UP, in partnership with Arizona Business & Education Coalition (ABEC) and Center for the Future of Arizona's Pathway to Prosperity Program (APTP), will create and expand partnerships between feeder middle schools and AZ GEAR UP Schools and local educational agencies, State educational agencies, businesses, not-for-profit organizations, or institutions of higher education to give students access to work-based learning experiences in STEM fields, including computer science.
When Addressed	Grant Years 1-7
Where in Narrative	Page iv, 28, 29
Competitive Priority 2 (CPP2): Prior Experience carrying out a successful GEAR UP grant	
CPP2 Criteria	We give priority to an eligible applicant for a State GEAR UP grant that has: (a) carried out a successful State GEAR UP grant prior to August 14, 2008, determined on the basis of data (including outcomes data) submitted by the applicant as part of its annual and final performance reports from prior GEAR UP State grants administered by the applicant and the applicant's history of compliance with applicable statutory and regulatory requirements
How Addressed:	Narrative along with the submission of former Project Award Numbers
Where in Narrative	Page vi
Competitive Priority 3 (CPP3): Applications supported by evidence that meets the definition of "promising evidence"	
CPP3 Criteria	An applicant may submit one study or What Works Clearinghouse (WWC) publication that it believes supports the implementation of the proposed activity and that meets the promising evidence standard
How Addressed:	U.S. Department of Education Evidence Form
Where in Narrative	Pages vii, 22, 23, 24, 50

Invitational Priority

Spurring Investment in Qualified Opportunity Zones.

Under this priority, an applicant must demonstrate one or more of the following: (a) The area in which the applicant proposes to serve individuals or otherwise provide services overlaps with a Qualified Opportunity Zone, as designated by the Secretary of the Treasury under section 1400Z-1 of the Internal Revenue Code, as amended by the Tax Cuts and Jobs Act (Pub. L. 115-97). An applicant must--

- (i) Provide the census tract number of the Qualified Opportunity Zone(s) in which it proposes to serve individuals or otherwise provide services; and
- (ii) Describe how the applicant will serve individuals or otherwise provide services in the Qualified Opportunity Zone(s).

Arizona GEAR UP will serve target schools, 68% of which are located in an opportunity zone or are contiguous to an opportunity zone and serving students from those census tracts, through required and permissible GEAR UP services to students through a priority model.

Census tracts where a school is located in an opportunity zone include: 04013061200, 04013071910, 04013112509, 04013218000, 04013112513, 04013082208, 04015953900, 04019004122, 04019004116, 04019001801, 04019002501, 04019004011.

Census tracts where the school is contiguous to an opportunity zone and serves students include: 04013061200, 04013071910, 04013112509, 04013218000, 04013112513, 04013082208, 04015953900, 04019004122, 04019004116, 04019001801, 04019002501, 04019004011.

Competitive Preference Priority 1

Promoting STEM Education, With a Particular Focus on Computer Science

AZ GEAR UP (AZGU) will implement programs aimed at improving student achievement and engagement in core courses in science, technology, engineering, math, and increasing students' experiences and interest in pursuing careers in STEM, including computer science. AZGU, in partnership with Arizona Business & Education Coalition (ABEC) and Center for the Future of Arizona's Pathway to Prosperity Program (APTP), will create and expand partnerships in GUA60 Schools and local educational agencies, state educational agencies, businesses, not-for-profit organizations, or institutions of higher education to give students access to work-based learning experiences in STEM fields, including computer science.

ABEC Elementary/Middle School Career Exploration Project: This middle school program facilitates business and education partnerships to provide middle grade students opportunities to discover career aspirations, explore careers, participate in hands-on projects and real-world experiences from experts in fields such as information technology and innovation, aerospace, engineering & design, bioscience & health, among others. Middle schools allow time during the school day (such as an advisory class, or another regular class period) for business experts to engage with students in helping them learn about careers in specific fields, facilitate hands-on project learning experiences, and lead work-place visits and college visits.

Arizona Pathways to Prosperity: APTP creates **systems of career pathways** that span grades 7-14+ that enable students to transition smoothly through high school, into higher education, and on to family-supporting careers—particularly in high-demand sectors like information technology, energy, health care and advanced manufacturing. The career pathways utilize 3 key elements 1) career literacy and guidance, 2) integration of high school and

postsecondary education (earning at least 12 college credits while in high school), and 3) work-based learning opportunities.

Additionally, APTP facilitates collaboration among industry, community college faculty, and high schools to ensure that students have access to career connected pathways that result in aligned programs of study between K12 and postsecondary. These collaborative teams design and implement programs of study that lead to credentials and degrees desired by industry, including identifying the key dual enrollment courses that are delivered in the high school.

Through an information technologies sector strategy, Arizona industry and community college faculty collaborate to design and implement a Computer Science/Cybersecurity program of study that leads to the credentials and degrees desired by industry, including identifying the key dual enrollment courses to be delivered in the high school. As part of the Arizona Pathways to Prosperity work, high schools across Arizona will deliver these courses. The framework exists to expand the pathway to additional high schools as student demand increases. The APTP work expands industry connections and increases work-based learning opportunities for AZGU students, including developing and facilitating the first of its kind high-school apprenticeship in computer science/cybersecurity; providing 30+ teacher externships with high-tech companies like Raytheon, Arizona Public Service and Banner Healthcare; developing and delivering innovative industry-engagement experiences in computer science through a one-week “work-like” simulation experience with students and industry. APTP works closely with the Arizona Technology Council and the Greater Phoenix Chamber of Commerce to increase the number of industries actively engaged with students through providing student internships, student industry site visits, industry expertise in the classroom, and teacher externships.

v

Competitive Preference Priority 2

Please find our response to Competitive Preference Priority 2 in the Project Profile Form, which is part of this application.

Competitive Preference Priority 3

Evidence of Promise

Please also find detailed information on AZGU's evidence-based activities in the U.S. Department of Education Evidence Form, which is part of this application. The project design highlights critical points of transition in the K-12 pipeline—from middle grade to high school, and from high school to postsecondary—by including initiatives: one in the *Middle Grades* and the other in the *Senior Year*. The studies chosen to meet CPP3 were chosen because the components of mentoring and summer counseling show evidence to support these two important transitions in the pipeline from middle school to high school to postsecondary.

The first study, chosen for its fit in AZGU's middle school transition, by Philp (2015), which was reviewed by the What Works Clearinghouse (WWC), measured the effectiveness of the FLIGHT program and an outcome of college enrollment. Findings cited in WWC review of FLIGHT had a statistically significant positive effect on college enrollment. The mentoring component of FLIGHT will be used as an intervention/component to a virtually identical population of students as was used in the study. The population of students served by AZGU mirrors that of the study, including students eligible for free and reduced lunch and majority minority populations in rural and urban settings.

The second study, chosen again for its fit with AZGU's senior transition, by Castleman, Page, & Schooley (2014), reviewed by WWC, found statistically significant positive results characterized as **strong evidence** when counseling was provided to students the summer before enrolling in college to enhance college enrollment and retention. The study population was majority no-white in suburban and urban settings. AZGU will implement the component in majority non-white populations in rural and urban settings.

1. NEED FOR PROJECT

Many of Arizona's young people are facing an uneven playing field in terms of their education. Students, especially those from minority and high-poverty backgrounds, do not encounter the engaging and challenging school experience that leads to the successful life they deserve (The New Teacher Project, 2018). This affects their prospects for pursuing and succeeding in postsecondary education, and, ultimately, a fulfilling and meaningful career. As early as 2020, 68% of Arizona's jobs will require postsecondary degrees or certifications, but only 45% of Arizona adults currently hold such credentials (Expect More Arizona, 2019c). Achieving the state's attainment goal of 60% by 2030 is necessary for education and workforce alignment, and a thriving economy for future generations. In real numbers, attaining this goal would enhance the Arizona economy by an additional \$3.5 billion in income and taxes per year (Expect More Arizona, 2019b). However, Arizona's education system faces enormous challenges in preparing young people for jobs. Disparities in educational opportunities from the early years are exacerbated in high school, leading to a low college-going rate for Arizona's students (America's Promise Alliance, 2019), with **almost half (47.4%) of all Arizona students failing even to enroll in post-secondary education** (Arizona Board of Regents, 2018).

Arizona GEAR UP has made significant strides in addressing these issues in select schools and in building statewide awareness of the value of postsecondary education. For example, students in both the 2012 and 2018 Arizona GEAR UP cohorts graduated from high school at about ten percentage points above the state average, 83% vs. 73% in 2012 and 88% vs. 78% in 2018 (Arizona GU, 2019; Expect More Arizona, 2019c). In 2012, the latest year full data is available, GEAR UP graduates enrolled in higher education at more than 20 percentage points higher than the state average (72% vs. 51%); initial data for 2018 college-going show GEAR UP

graduates enrolled at a rate nearly 3% (52.3% vs. 49.7%) above comparison schools (Arizona GU, 2019). The success of previous GEAR UP programs is the foundation for the project as a model for benefitting the numerous Arizona schools and students still in need of assistance.

1.1 Magnitude and severity of the Arizona problem is immense.

According to the most recent data from *Education Week* (2019), Arizona ranks 51st in the nation for school funding. The same report indicates that Arizona ranks 43rd in the nation for “chances for success” for its youth, with a ranking of 37th for promoting the educational and work outcomes of young adults. The Kids Count Data Center ranks Arizona 45th in education in the United States (Casey Foundation, 2018). Arizona teacher pay ranks 49th in the nation for elementary and 48th for secondary teachers (Expect More Arizona, 2019a). Clearly, the state is in need of educational reform.

Other indicators reinforce the negative characterization of Arizona education. Despite registering small improvements on eighth-grade National Assessment of Educational Progress (NAEP) math and reading scores between 2011 and 2017, Arizona’s **high school graduation rate did not change, still the third lowest in the nation** (America’s Promise Alliance, 2019). In light of equity in education, the news is even worse. Arizona was one of a handful of states that saw a **decrease in the graduation rates for low-income students during this period**, with a consequent *increase in the gap* between them and their higher income peers (America’s Promise, Alliance, 2019). **Nearly a quarter of Arizona’s children live in homes where income falls below the poverty line** (US Census Bureau, 2017), making this gap particularly troubling.

College-going rates are low in Arizona. The *College Enrollment and Completion Report* from the Arizona Board of Regents (ABOR; 2018), drawing on data from 2017, indicates that **nearly half (47.4 %) of Arizona’s high school graduating class did not enroll in a two-**

or four-year college after graduation, a rate that has remained static over the past two years. Among the schools identified as eligible for participating in GU 2019-26, the rate of graduates enrolling in higher education ranged from 27% to 52.6% (Arizona Department of Education, 2019a), all below the state average. In Arizona, 14% of young people aged 16-24 are neither in school nor working, and **only 27.3% of the 2011 high school graduates had completed a two- or four-year degree six years after graduation** (ABOR, 2018). These data show that Arizona's education system is failing nearly 73% of all youth who earn a high school diploma, because they are not provided opportunities to develop the knowledge, skills or motivation to attain a higher education degree. While a majority of future jobs require associate and bachelor degrees (ABOR, 2018), Arizona's young people remain largely without these credentials. According to a report from Georgetown University (Carnevale, Strohl, Ridley & Gulish, 2018), only 20% of "good jobs," those that pay a reasonable salary, are available to workers who achieve no more than a high school diploma. In Arizona, schools are not fostering a thriving workforce; rather, they further perpetuate the cycle of poverty.

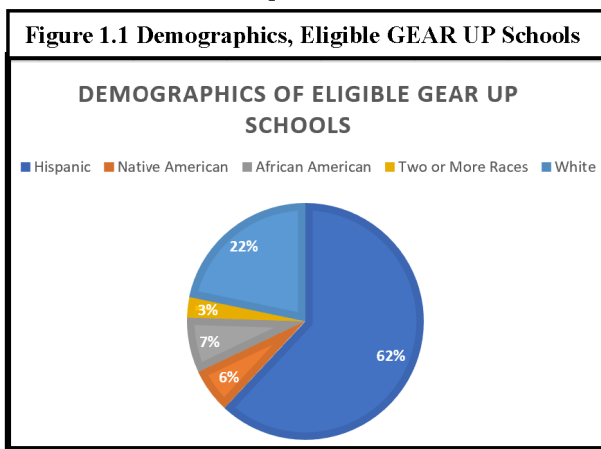
1.2 The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project

The **Five E's of Equity**, the core of Arizona's 2019-2026 GEAR UP proposal (hereafter referred to as AZGU), will target these educational disparities through a priority model approach focused on select eligible schools. The AZGU **Five E's of Equity** include: **Engage, Empower, Excel, Elevate** and **Enrich**. Through these five focus areas, AZGU will provide services to the students—as well as schools and communities—who have had the least equitable access to resources, enabling students and families to make informed decisions about the future.

Equity and gaps in achievement in Arizona: The data on graduation rates grow more troubling when considering issues of equity and the disparity among groups in Arizona vis-à-vis

educational attainment. For example, the high school **graduation rate for Hispanic students is fully 8 percentage points behind White rates** (ABOR, 2018). One of every two non-graduates from Arizona’s high schools is Hispanic (America’s Promise Alliance, 2019), and 85% of the 2019-26 GEAR UP eligible schools have Hispanic majorities; the remaining 15% are Native American majorities or serve rural communities (Arizona Department of Education, 2019a).

With fewer than half of Arizona’s high school graduates eligible for admission to Arizona’s universities, **this picture is worse for Arizona’s under-represented students**, the



focus of the AZGU proposal (Figure 1.1). In the 2014 Arizona High School Eligibility Study, high school graduates eligible for admission to public universities included 36.6% of African Americans, 33.6% of

American Indians, 37.3% of Pacific Islanders, 34.1% of Hispanics as compared to the substantially higher 69.6% of Asian Americans and 54.7% of Whites (ABOR, 2015). Without a focus on intentionally closing these gaps, students of color will continue falling further behind their peers—something that will only perpetuate the racial inequities in Arizona’s communities.

Equity and the challenges in educating Arizona’s rural students: Arizona has significant numbers of rural schools (48.8% of school districts, according to the National Center for Education Statistics, 2019), with quarter of the schools eligible for services under AZGU 2019-26, located in some of the most rural Arizona communities. A report published by the Rural

School and Community Trust (Showalter, Klein, Johnson & Hartman, 2017) ranks education in rural Arizona second in the nation as most in need of attention. Rural Arizona students tend to be children of color, from low-income backgrounds (70%), and more likely to be English Language Learners; scores on the NAEP assessments are lower for rural students and “Arizona is among the nation’s 10 lowest for its rural graduation rate, rural graduation rate among non-White students, and rural ACT/SAT participation” (Showalter, et al., 2017, p. 3).

Equity and the lack of rigor and academic readiness in Arizona: When looking at the average NAEP score comparison between Arizona and other states for 4th grade reading, only two states had a lower score than Arizona (NAEP, 2017), and 39% of Arizona’s fourth grade students score at ‘below basic level’ (Casey Foundation, 2018). This low achievement continues through the grades. According to the Institute of Education Sciences (2018), Arizona’s 8th-grade NAEP performance in math and reading illustrates significant gaps, more than a 20-point difference between low-income student performance and their higher income peers, as indicated in Table 1.1. The data indicate that students from high-poverty middle schools demonstrate weaker preparation for success in high school.

Table 1.1: AZ NAEP 8th-Grade Results, 2017

Table 1.1: AZ NAEP 8 th -Grade Results, 2017							
	White	Black	Hispanic	Asian	Am Ind/ AK native	Free Lunch	No free lunch
Average MATH Score	296	272	269	318	263	270	293
Average READING Score	274	254	254	278	254	254	272

Scores Scale - Math: 262 – Basic, 299 –Proficient, 333- Advanced; Reading: 243-Basic, 281-Proficient, 323-Advanced

Source: <https://nces.ed.gov/nationsreportcard/subject/publications/stt2017/pdf/2018038AZ8.pdf>

Equity and low expectations and limited family engagement in education in Arizona: The challenge of engaging families and providing accurate college-going information are exacerbated by Arizona’s low number of school counselors. **Arizona has the highest student to school**

counselor ratio in the nation, with almost twice as many students per counselor as the national average and nearly four times as many students per counselor than recommended by the American School Counselor Association (ASCA, 2019). According to their most recent data, Arizona counselors serve, on average, 905 students, while the national average is 455 and the recommended load is 250. Perhaps this explains the relatively low FAFSA completion rates in Arizona, at about 10 percentage points below the national average (43% vs. 52.8% in 2017; National College Access Network, 2019; Office of Education, 2019). Notably, the 2018 Arizona GU cohort had a 58% FAFSA completion rate in 2018 (Arizona GU, 2019).

Students in Arizona, through no fault of their own, face enormous challenges just to have a fair shot at learning and thriving in their communities. A student's race, parent's education level, zip code, access to qualified teachers and appropriately funded schools—all things these students do not control—put them at a disadvantage attaining a high-quality primary education that prepares them for postsecondary education, and eventually a degree. AZGU's Five *E*'s of Equity model aims to change this for Arizona's youth.

1.3 Through the Five *E*'s of Equity, AZGU recognizes opportunities for closing gaps and fulfilling the federal goals of GU.

In 2016, Arizona Governor Doug Ducey endorsed Achieve60AZ, a nonprofit, non-partisan alliance of over 75 members, including AZGU, that seeks to increase to **60% by 2030 the number of Arizonans with a degree, certification or license**; currently, 45% of Arizonans between 25 and 64 years old have completed some form of postsecondary education (Expect More Arizona, 2019a). In order to meet the governor's goal, the state must attend to low-income and under-represented students. AZGU will take a two-prong approach to address the issues facing the least advantaged students in Arizona and fulfilling the mission and federal goals of

GU to close the educational gap for under-represented students. First, the **Five E's of Equity**, through a priority model, draws from a network of 41 eligible high schools, serving some 62,000 students, and plans to deliver services to an annual average of 11,600 seniors from this network, constituting the *GUA60* schools. Second, AZGU will target an average of 4,100 students from a smaller number of the 41 schools and their feeder middle schools who will receive direct services, becoming the *GU5E* schools. All 41 schools, none currently served by GU partnership grants, report greater than 50% free or reduced lunch and have graduation and college-going rates below the state average; 90% of the schools have a majority of students from minority populations.

GUA60 schools: all seniors from 41 eligible high schools
GU5E schools: all 9-12 grade students from 3-5 high schools and feeder middle schools selected from the 41 schools

Federal Goal 1: *To increase the academic performance and preparation for postsecondary education of participating students.* As indicated above, students of color and from households in poverty achieve at lower levels throughout the system. One of every two non-graduates in the system is Hispanic. The **Five E's of Equity** will provide support for rigorous coursework and student achievement in disadvantaged schools.

Federal Goal 2: *To increase the rate of high school graduation and participation in postsecondary education of participating students.* Data listed above demonstrate a substantial disparity among groups when considering eligibility for and enrollment in higher education. Arizona's minority students leave high school with a rate of eligibility for enrolling in university at half the level of their white peers (ABOR, 2018). Moreover, half of Arizona's high schools—those serving poor and minority communities—produce only one-fifth of the students who enroll in Arizona universities (ABOR, 2018). The schools eligible for the **Five E's of Equity** all

demonstrate graduation and college-going rates below the state average, and the AZGU program specifically focuses on improving these rates.

Federal Goal 3: *To increase educational expectations for participating students and increase student and family knowledge of postsecondary education options, preparation, and financing.* AZGU has a long history of partnering with state organizations, such as Expect More Arizona, in raising awareness, expectations, and family engagement in education. As a state with relatively few institutions of higher education—and largely concentrated in a few urban areas—Arizona faces unique challenges in raising family expectations. The **Five E's of Equity** program systematically target such expectations through direct and statewide services.

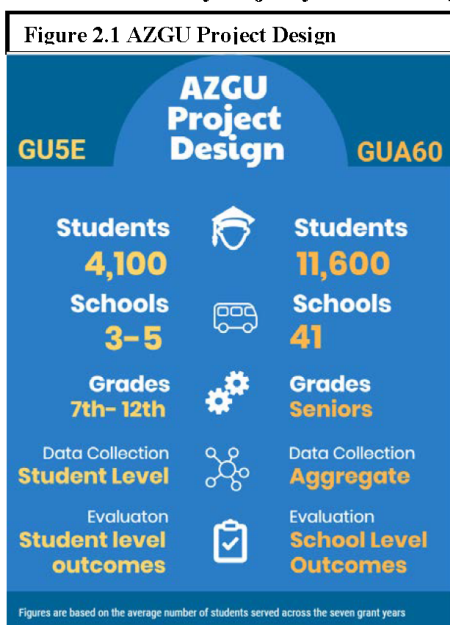
2. QUALITY OF PROJECT DESIGN

Northern Arizona University, identified by Arizona's governor as the GU applicant on behalf of the state, proposes a comprehensive and multifaceted program. This proposal builds on 20 years of experience, as well as research on best practices in college access to leverage an innovative design that makes it possible for an average of 15,731 students to benefit annually from program services. At the core of the AZGU project is broad-based support through a network of statewide partners committed to equity: identifying and serving the most under-resourced schools and students to establish parity with their higher-income peers in preparation for college and career.

Governor Ducey sees AZGU as a key component to improving the K-12 pipeline, ensuring that more students graduate and proceed to postsecondary enrollment to accomplish the Achieve60AZ goals. The governor's outreach to the Achieve60AZ community regarding the 2019 GU competition inspired the AZGU project design, which began by identifying all high-poverty high schools in the state whose students are not enrolling in postsecondary education

(PSE) at least at the average rate for the state as a whole (53%) and schools not served by a GU Partnership grant.¹ Target schools located in or neighboring an Opportunity Zone make up 68% of the total number of schools eligible for AZGU.

The population of the resulting schools is approximately 62,000 students. These schools constitute 7% of Arizona’s 556 high schools (see Appendix for listing of schools). Their students are **90% minority-majority and are not going on to college at acceptable rates**. AZGU will



serve students directly through a two-pronged **priority model**. The **first priority group** receiving direct services is made up of 11,600 seniors, on average, from the 41 schools, which we identify as GU Achieve60 Schools (GUA60). Through *the Senior Year Initiative*, AZGU addresses the critical transition from high school to postsecondary enrollment. AZGU will serve a **second set of priority students** from 3-5 of the 41 eligible schools and their feeder middle schools. These are the GU5E schools, they will serve an average of

4,100 students (in the first year, 3,800 high school, 2,500 middle school, 300 postsecondary).

GU5E schools will be selected using the following criteria: documented need for services,

¹ This process was determined by including the following: a) schools with a Free and Reduced Lunch rate greater than 50%; b) publicly-funded (non-alternative) schools for which the AZ Board Regents (ABOR) reported college-going rates below 53% (the state average); c) schools with more than 75 students in the senior class; and d) schools not served by a Partnership GU grant in Arizona (Arizona Department of Education, 2019b; see Appendix). <https://cms.azed.gov/home/GetDocumentFile?id=5a6f75cb3217e1041c0a48e2>

commitment to implementing AZGU, commitment to partnerships (including middle grades) and their plan to serve students traditionally under-represented in PSE.

Finally, to increase project-wide impact, AZGU will coordinate with a number of Achieve60AZ network organizations that have pledged to implement, expand and enhance

Table 2.1: AZGU Total Number of Priority Students Served by Grade

GRADE LEVEL	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	YEAR 7	AVERAGE per year of service
First Year IHE (5E Schools)	300	300	300	300	300	300	300	300
12 th (A60 schools)	10,000	10,500	11,025	11,576	12,155	12,763	13,401	11,631
12 th (5E schools)	800	800	800	800	800	800	800	800
11 th (5E schools)	900	900	900	900	900	900		900
10 th (5E schools)	1000	1000	1000	1000	1000			1000
9 th (5E schools)	1100	1100	1100	1100				1100
8 th (5E schools)	1200	1200	1200					1200
7 th (5E schools)	1300	1300						1300
Total Students Served	16,600	17,100	16,325	15,676	15,155	14,763	14,501	15,731

statewide services to students not otherwise reached by direct services in the 41 schools. This coordinated model will constitute AZGU's statewide services.

The **Five E's** approach follows the recommendation of Perna and Jones (2015) to enhance college readiness for traditionally underserved students by adopting a multifaceted approach delivered by a team of college access professionals. Perna (2015) reports that successful college access programs should adapt the delivery of services in response to the state, regional, and local contexts in which the programs are embedded. Additionally, the characteristics of state policies pertaining to high school graduation and assessment requirements especially influence success, as do the higher education options available in those contexts. Therefore, taking into account the specific needs of Arizona and the identified GUA60 schools, the **Five E's of Equity** design brings purposeful services that address the needs of students, families and schools to nurture and sustain a college going culture. We **engage** communities,

educators, students and their families through meaningful academic relationships and experiences so that they are **empowered** with the knowledge and tools to overcome systemic inequities. This allows them to **excel** in a rigorous learning environment and **elevate** expectations for high school graduation and college going. At the same time, we **enrich** the communities, schools and families for a strong, sustainable college-going culture.

2.1: The extent to which the goals, objectives, and outcomes to be achieved are clearly specified and measurable.

The AZGU design includes project measures aligned with GU objectives, Government Performance and Results Act (GPRA) performance measures, and project measures unique to AZGU, as outlined in Table 2.2. Measures include baseline data and will be tracked and reported annually to the U.S. Department of Education (ED) through the Annual Performance Report. When available, baseline data are included in the table below; missing data will be established in year one with the goal of incremental improvement beginning in year two. Also, where possible, the targets are aligned with the attainment targets in the Arizona Progress Meter associated with Achieve60AZ. Annual data will be collected and stored in a longitudinal database. The data sources are the participating schools' student information system (SIS), service data inputs stored in the database, surveys, and third-party postsecondary data from the National Student Clearinghouse (NSC).

Table 2.2: AZGU Objectives and Program Measures

Objective 1: Increase the academic performance and preparation for postsecondary education for students.	
1	Students will pass pre-algebra or its equivalent with a grade of C or better by the end of 8th grade, increasing from the baseline by an average of 3% annually for grant years 2 and 3 (Federal Performance Measure 1)
2	Students will pass Algebra I with a grade of C or better by the end of 9th grade, increasing from the baseline (20%) by an average of 3% annually for grant years 2-4 (Federal Performance Measure 2)
3	The percent of junior-year students on-track for college admissions by enrolling in courses that meet the ABOR course requirements will increase from the baseline by an average of 3% annually

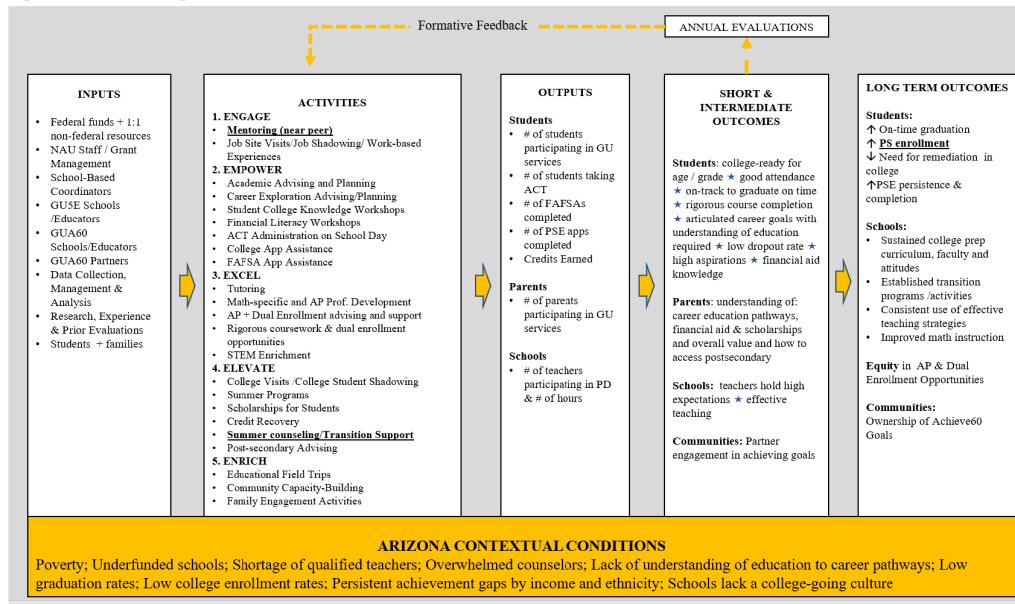
4	The demographics of juniors and seniors who complete one or more AP or dual credit courses will reflect the SES, race/ethnicity, and gender of the high school by year 4
Objective 2: Increase the rate of high school graduation and enrollment in postsecondary education for schools.	
5	The percent of seniors who complete one or more postsecondary applications will increase from the baseline by an average of 2% annually
6	The high school graduation rate will increase from the baseline (83%) by 2% annually (Federal Performance Measure 3)
7	Graduates who place into college level math and English without the need for remediation, will increase from the baseline by an average of 3% annually beginning in grant year 3 (Federal Performance Measure 6)
8	The postsecondary enrollment rate will increase from the baseline (46%) by an average of 3% annually (Federal Performance Measure 5)
9	Teacher postsecondary enrollment expectations will mirror student postsecondary enrollment aspirations by grant year 7
10	Students who enroll at an IHE and who persist to the second year of postsecondary education at the initial or a subsequent IHE will increase from the baseline by an average of 3% annually (Federal Performance Measure 7)
Objective 3: Increase students' and their families' knowledge of postsecondary education options, preparation, and financing.	
11	Seniors who complete the FAFSA will increase 2% annually from the baseline (Federal Performance Measure 4)
12	Parents will participate in at least 2 activities each year associated with assisting students in financial aid or postsecondary preparation to a target of at least 40% by grant year 7

*The percentage increase is a percent of the baseline not an overall percentage point increase

2.2: The extent to which the proposed project demonstrates a rationale.

The AZGU design, based on research-based evidence of effective practices, demonstrates a rationale and promise of success. The logic model (Figure 2.2) is a graphic illustration of the AZGU design, which demonstrates a rationale through two key project components which are informed by research or evaluation findings that suggest the project component is likely to improve relevant outcomes. These service interventions, coupled with other key required and permissible services, constitute the framework of the AZGU project design. As illustrated in the logic model, AZGU's theory of action includes inputs, activities, outputs, and outcomes, which will serve as a living framework to measure program effectiveness. Specifically, AZGU will demonstrate a rationale by implementing two project components that have been cited in the

Figure 2.2. AZGU Logic Model



WWC as showing evidence of effectiveness; the project components are **mentoring and summer counseling**, as key interventions to produce an increase in postsecondary enrollment. The components will be implemented and evaluated, replicating the studies cited to provide services known to have a positive impact, as well as add to the body of research for college access. These outcomes will be examined using a robust evaluation and proven data-analytic techniques. Both mentoring and summer counseling interventions have statistically significant results and are positively related to *postsecondary enrollment*. Mentoring and summer counseling were found to **demonstrate a rationale** and will be implemented as part of AZGU's portfolio of services to increase the **relevant outcome** of postsecondary enrollment.

The cited components/interventions along with the expected outcome are **in bold** and underlined in the logic model. The *Quality of Project Evaluation Section* (pp. 50-51) details how these interventions will be evaluated to add to the body of knowledge.

The **Five E's of Equity** are described below in relation to the project services and design. ***Engage-** we tap into the motivations and commitments of communities, educators, students and their families to foster meaningful academic relationships and experiences.* In addition to academic preparation and access to funding, comprehensive college access and success programs should ensure that students and families have sufficient understanding of college-related requirements and processes, make appropriate college-related choices, and can navigate the complex pathways associated with higher education institutions (Perna, 2015).

The project recognizes the need to implement multiple pathways to postsecondary education and careers while recognizing that an adaptable approach is key to success (Symonds, Schwartz & Ferguson, 2011). Research clearly demonstrates that a long-term relationship with an adult mentor or counselor has a positive impact on students' college aspirations and enrollment (Engle & Tinto, 2010). By engaging students in mentoring with the specific goal to

navigate the path to postsecondary education as well as explore career fields, AZGU will utilize the recent study by Philp (2015) published in WWC showing ‘Moderate Evidence.’ Based on findings that met WWC evidence standards, the effectiveness rating for the college access and enrollment outcome has potentially positive effects. In the FLIGHT study, the percentage of students enrolling in college in the fall following high school graduation was 97 for the FLIGHT group and 83 for the comparison group. This finding is based on 180 students (Philp, 2015).

The component replicated in the AZGU suite of services is mentoring for an identical population of students as was used in the cited research.

Key Assumptions and Supporting Research	
Key ASSUMPTION	SUPPORTING RESEARCH
Research indicates that low-income, first-generation students benefit from the support of a student advocate or mentor supporting them through process of applying to college	Philp, J. D. (2015, October). FLIGHT: Final Evaluation Report. Columbia, SC: The Evaluation Group. https://ies.ed.gov/ncee/wwc/Study/32026

***Empower**—we share information and resources with families, students and educators in order that they understand postsecondary education options, preparation, and financing.*

Many students living in Arizona who are the first in their family to be interested in a STEM career or possibly to attend college, have no access to guidance or student support services. John Gomperts, the CEO of America’s Promise Alliance, an organization started by Colin Powell and dedicated to helping create conditions for success for all young people, noted that for students whose parents did not go to college, the school counselor operates not just as an advisor but as a champion, advocate, guide, and even as an accountability officer (Murphy, 2016). Students whose parents went to college grow up with an in-house adviser. First-generation students need more guidance, but Arizona’s student-to-counselor ratio is against them.

Research demonstrates that school counselors through their involvement can have a tremendous impact in supporting the decisions of students related to postsecondary choices,

positively influencing low-income students' pathway to college and careers (Belasco, 2013).

School counselors' influence is important in supporting students' college predispositions and choice of college types, providing information on financial aid, increasing students' social capital, and broadening college access (Deslonde, 2018).

Students from low socioeconomic backgrounds face challenges that differ from those of their higher socioeconomic counterparts. For example, students from low socioeconomic backgrounds, with limited social capital in their families, need to seek information on postsecondary opportunities from non-familial sources (Martin, 2014). Through the **Five E's** *empower* services, AZGU will increase the availability of counseling services through site-based GU Coordinators and additional supports from partners.

Summer counseling services are delivered to *GU5E* participants during the months between high school graduation and college enrollment and involve outreach by college counselors. Castleman et al. (2014) reported, as confirmed by WWC, a statistically significant difference between the intervention group (receiving counseling) and the comparison group on fall college enrollment. Of particular interest in this study is the emphasis on low-income students, who with the support of a summer counseling component, enrolled in postsecondary education more often than their peers who did not receive summer counseling services.

Key Assumptions and Supporting Research	
ASSUMPTION	SUPPORTING RESEARCH
Providing counseling services to students increases their likelihood of enrolling in college and decreases summer melt (students who do not show up for college)	Castleman, B.L., Page, L. C., & Schooley, K. (2014). The forgotten summer: Does the offer of college counseling after high school mitigate summer melt among college-intending, low-income high school graduates? https://ies.ed.gov/ncee/wwc/study/79397

Excel—we provide special focus on meaningful experiences to enhance academic performance through rigorous curriculum.

According to Adelman, “the academic intensity of the student’s high school curriculum still counts more than anything else in precollegiate history in providing momentum toward completing a bachelor’s degree” (2006, p, xviii). More research, reported in *Connecting Research about Access to Higher Education to Practice* (American Institute of Research, 2010), notes that academic rigor of high school courses is the most significant variable in predicting college completion. Thus, AZGU will support increased rigorous coursework for GU5E schools.

In relation to the crucial subject of math, a focus of AZGU professional development for middle school math teachers, Trusty and Niles (2003) analyzed the National Education Longitudinal Study and found that completing a second algebra course more than doubled the odds of receiving a bachelor’s degree within eight years of high school. The key elements of a strong math program include: a) offering high level math courses and support; b) continually improving teachers’ skills and math content; and c) using student information, such as the pre-ACT results used in AZGU, to drive instruction (Huebner & Corbett, 2008). Supporting earlier interventions in math during middle school, Finkelstein, et al. (2012) found that performance in 7th grade math was predictive of high school math course enrollment by students. AZGU plans to enhance math performance by providing professional development to teachers from feeder middle schools to AZ5E schools.

Finally, regarding rigorous academic curriculum, a 2013 study found that participation in dual enrollment increases first-year GPA and decreases the need for remediation (An, 2013). As reported in the WWC, Struhl and Vargas (2012), based on a sample of 32,908 of students in 11th and 12th grades, identify dual enrollment as a strategy with statistically significant positive effects for improving enrollment in postsecondary education.

***Elevate**—we create expectations for high school graduation and postsecondary enrollment, with subsequent increases in the college-going rates.*

High expectations should be communicated in specific ways and what matters is the concrete, demanding but achievable goals that make it relevant for all students (Kannapel & Clements, 2005). Teachers' beliefs about student potential—either through high or low expectations—become a self-fulfilling prophecy, and this is especially influential for students from poor and under-represented families. As teachers demand high expectations from their students and engage them in tasks that interest and involve them, they will promote self-esteem and build students' confidence and academic performance (Brophy, 2008; 2010).

Leaders also make a difference, and the AZGU design provides leadership development. The first and strongest quality found in successful school leaders is that they believe in students' potential (Chenoweth & Theokas, 2013). The AZGU services, including supporting educators with a growth mindset, taking students to college campuses so they can see themselves as potential college students and providing scholarships, are all examples of elevating expectations of postsecondary enrollment.

***Enrich**—we strengthen the college-going culture of communities, schools and families to make lasting changes.*

A plethora of research has revealed that students whose parents participate in their education are more likely to have better grades, spend more time on homework, persist and complete high school, and enroll in college. Lower levels of parent involvement are associated with problem behaviors at school, lower social functioning, and lower academic achievement (Garbacz, Herman, Thompson & Reinke, 2017). Conversely, a high level of parental involvement “is associated with increased student achievement, social emotional health, and reduced dropout and substance use” (Thompson, Herman, Stormont, Reinke, & Webster-Stratton, 2017, p. 52).

Research also suggests that schools that communicate information and expectations about college going are more successful at matriculating graduating seniors to college (Bryan, Farmer-Hinton, Rawls, & Woods, 2017-2018). A large study from Chicago schools found that the single most consistent predictor of student behaviors that led to college enrollment was teachers' belief that their school had a strong college-going culture that communicated the expectation that students enroll in college and supported students' college-going plans (Roderick, et al., 2008). Through family engagement services and collaborating with schools to increase their capacity to practice a college-going culture, AZGU will enrich schools for lasting change.

3. Quality of Project Services

The quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

The project will comply with the U.S. Department of Education's *General Education Provisions Act* (GEPA), Section 427, which requires each federally funded project to ensure equitable access to all program beneficiaries, regardless of gender, race, national origin, color, disability or age. Northern Arizona University (NAU), the fiscal agent, is an affirmative action and equal opportunity employer. NAU does not discriminate in access to educational programs and activities on the basis of race, color, national origin, religion, creed, sex, gender identity and expression, political affiliation, age, disability, veteran status, or sexual orientation. NAU actively promotes diversity among employees and is committed to its affirmative action plan to deepen applicant pools by attracting interest from diverse, qualified individuals. The project will adhere to privacy requirements of the Family Educational Rights and Privacy Act (FERPA) as well as all federal, state, and local requirements regarding privacy.

AZGU meets students' needs with high quality, research-based services and effective and **culturally competent** strategies. It also ensures equal **access** and treatment for participants of

traditionally underrepresented groups. Strategies include the following: use of a family's native language(s) in communications, especially information on postsecondary options, preparation, and financial aid; preference in selection of site coordinators from or with deep understanding of underrepresented groups within the local community; professional staff development activities to cultivate and impart the belief that all students can learn and succeed academically.

The AZGU strategy for ensuring **equal treatment** also includes ongoing staff training on disability laws, implicit bias, accommodation for disabled students, and successful practices in working with underrepresented students.

3.1 Project services are highly likely to reduce the need for remedial education and improving the number of students who obtain a secondary school diploma along with completing applications for and enrolling in a program of postsecondary education.

The design of the **Five E's of Equity** is based on published research, using supporting evidence of practice for the selection of services informed by that research, to address the unique needs of Arizona students. Each service can be cross-referenced to an *Equity* indicator, and to required and permissible GU activities and GPRA Measures.

AZGU replicates prior success in achieving core GEAR UP outcomes through an approach that employs multiple, overlapping strategies, delivered by qualified providers in sufficient scale and quantity to create an increase in: a) student participation in rigorous courses, b) high school graduation rates, c) student and family knowledge of and access to financial assistance for PSE, and d) student applications for and enrollment in postsecondary education without a need for remediation. AZGU is intentionally designed to incorporate practices and strategies to ensure adequate breadth and duration of services for students and parents alike.

The experimental study conducted by Edmunds, et al., (2017) found that incorporating a number of the components of the AZGU services (described below)—courses required for college admission, dual enrollment, support for teachers on instructional strategies that foster the

thinking required in college, and instruction for students on college admission and financial aid issues—into an “early college” approach provided positive outcomes for students. In particular, under-represented students and those from high-poverty backgrounds experienced higher college course credit accumulation, higher rates of IHE enrollment and degree completion.

AZGU services will ensure students successfully complete high school. Many of the AZGU services are consistent with three of the four recommendations from a WWC practice guide (Rumberger, et al., 2017) on preventing dropout. Specifically, the report finds promising results for consistent monitoring of student attendance and progress (in AZGU, mentoring, absence intervention), intense support for students who have fallen off track (in AZGU, tutoring, credit recovery), and engaging students through curricula that connect school and careers/college (in AZGU, work-based experiences).

With coordinated, strategic support from partner organizations, AZGU makes it possible for students (and their families, as appropriate) in priority *GU5E* schools to receive direct services and participate in activities that lead to more students experiencing earlier success in math courses, clarity on their futures relative to the role of education and career, and meaningful engagement in a plethora of high school experiences that lead to better postsecondary outcomes. In addition, AZGU further ensures benefits in the senior year to thousands of students in 41 *GUA60* schools through services to seniors. To increase project-wide impact, partner organizations implement and deliver statewide services across all grades to students not otherwise reached by direct services in the 41 schools. Finally, in *GU5E* schools, professional development enhances instructional practice and leadership that, together and over time, lead to a sustaining college-going culture.

Under the **Five E's of Equity** framework, AZGU will include the following services:

Engage

Comprehensive Mentoring – (CPP3 Component) AZGU and partners provide age-appropriate mentoring services that include school-based GU site coordinators, academic mentors (see Tutoring), and **near-peer mentors** across multiple years of students' high school careers. A study by Schwartz and colleagues (2016), found that a long-term relationship with an adult mentor or counselor has a positive impact on students' college aspirations and enrollment. High school freshman will have multiple opportunities to connect with college students for **mentoring** and shadowing on campus. The Student Success Agency will provide mentoring to students and provide an opportunity to implement an embedded study for an evaluation of this component.

Other services associated with ***Engage*** include: Career and College Clubs, Job Site Visit, Job Shadowing, and Work-based experiences.

Empower

Academic Advising/PEPS – AZGU Site Coordinators at GU5E schools *build* lasting relationships with students and offer guidance while monitoring attendance, grades, transcripts, and career and college aspirations (through one-on-one *Postsecondary Education Planning Sessions*, 'PEPS') so that **students take rigorous courses** and receive the necessary support to ensure their success.

ECAP Implementation Services and Middle-grade Transition Support Services – HS

seniors and parents at all AZGU60 schools use the *AZGU Launch Guide* to navigate the steps required to implement their postsecondary Education and Career Action Plan (ECAP), with the help of teachers and counselors (trained by AZGU staff). The *Guide*, available in print and digital format, includes checklists, forms, and tracking tools to increase schools' capacity to

assist *every* student, including assistance with **college and scholarship applications and FAFSA completion.**

Eighth grade students, with the help of teachers and counselors, prepare for high school through the use of the *AZGU Discover Guide*—a workbook that explores ‘self’ in relationship to career interests, and facilitates development of an Education and Career Action Plan (ECAP).

Other services associated with *Empower* include workshops on college requirements, **financial literacy**, non-cognitive skills, and test-taking skills; career exploration and planning; **financial aid counseling and advising**; and middle grade transition support services for students in feeder middle schools to *GU5E* schools.

Excel

Rigorous Coursework/Dual Enrollment Opportunities – AZGU partners convene community colleges and industry to identify pathways to careers, and subsequently, offer college courses to high school students. High schools offer pre-AP and AP courses. AZGU site coordinators advise students at *GU5E* schools to enroll in appropriate rigorous courses and connect students to resources to succeed in those courses.

The research is clear: a key to preparing students for college is increasing access to and performance in rigorous academic coursework. Struhl and Vargas (2012) demonstrated gains in postsecondary enrollment for students who participated in dual degree coursework during high school and provides strong rationale for its inclusion in the project services.

Other services associated with *Excel* include STEM programming (CPP1), **computer science and coding** (CPP1); professional development; and tutoring.

Elevate

Summer Counseling and Postsecondary Transition Support (CPP3 Component) – In the summer following HS graduation, AZGU uses a targeted communication plan that includes text

messages and personal or phone-based counseling to support students in *GU5E* schools in completing college enrollment steps and FAFSA verification. Once enrolled, students receive ongoing academic planning and career advising by a near peer mentor and AZGU staff.

Building on the success of the Castleman study (2014), a summer counseling program has been designed to support low-income students attending postsecondary institutions and to decrease high rates of attrition during the summer after high school. The service includes a targeted communication plan to support students through text messages and personal or phone-based counseling. The evaluation also includes a study designed to replicate these findings.

Other services associated with *Elevate* include college campus visits; summer enrichment programs (including Space Camp and coding camp); scholarships; and credit recovery.

Enrich

Family Engagement Activities – Parents and families of AZGU students take part in informational workshops, advising sessions, college-visits, academic recognition, and other events with AZGU coordinators and school staff that aid them in supporting their child’s success academically and in college planning (see *College Visits, and Financial Literacy*). Research indicates that engaging families must be part of a well-planned series of events to help increase college-going rates and student achievement (Henderson, n.d.). There are many tools to assist in the planning and development of these activities that will be used by AZGU staff and site coordinators (United Way Worldwide, 2011).

Other services associated with *Enrich* include field trips and community capacity building.

Table 3.1 communicates the menu of services AZGU will offer to students, the grade each service will be offered and how services address each performance measure.

Table 3.1 AZ GU Project Services Aligned to Performance Measures and Grant Years

Project Services/Activities	Target students by grade						
	7	8	9	10	11	12	PSE
1. Students will pass pre-algebra or its equivalent with a grade of C or better by the end of 8th grade, increasing from the baseline by an average of 3% annually for grant years 2 and 3 (Federal Performance Measure 1)							
Professional Development for Math Teachers	•	•					
STEM Enrichment	•	•	•	•	•	•	
Middle-grade Transition Support Services		•	•				
2. Students will pass Algebra I with a grade of C or better by the end of 9th grade, increasing from the baseline (20%) by an average of 3% annually for grant years 2-4 (Federal Performance Measure 2)							
Tutoring			•	•	•	•	
Academic Mentoring			•	•	•	•	
STEM Enrichment	•	•	•	•	•	•	
Pre-ACT			•				
3. The percent of junior-year students on-track for college admissions by enrolling in courses that meet the ABOR course requirements will increase from the baseline by an average of 3% annually							
Academic Planning/Monitoring/Advising/PEPS			•	•	•	•	
Academic Interventions and Supports			•	•	•	•	
College Visits/College Student Shadowing			•	•	•	•	
4. The demographics of juniors and seniors who complete one or more AP or dual credit courses will reflect the SES, race/ethnicity, and gender of the high school by year 4							
Academic Advising			•	•	•	•	
Tutoring			•	•	•	•	
AP Trainings for Teachers			•	•	•	•	
Increased AP and Dual Enrollment Opportunities				•	•	•	
5. The percent of seniors who complete one or more postsecondary applications will increase from the baseline by an average of 2% annually							
College Application Assistance/School-wide Application Campaigns						•	
ECAP Implementation Services (Senior Guide)						•	
6. The high school graduation rate will increase from the baseline (83%) by 2% annually (Federal Performance Measure 3)							
Career Advising/Exploration/Planning	•	•	•	•	•	•	
College Visuals	•	•	•	•	•	•	
Academic Planning/Monitoring/Advising			•	•	•	•	
Educational Field Trips			•	•	•	•	
Absence Intervention			•	•	•	•	
Credit Recovery				•	•	•	

25

Project Services/Activities	Target students by grade						
	7	8	9	10	11	12	PSE
7. Graduates who place into college level math and English without the need for remediation, will increase from the baseline by an average of 3% annually beginning in grant year 3 (Federal Performance Measure 6)							
STEM Enrichment	•	•	•	•	•	•	
AVID Training for Educators			•	•	•	•	
Dual enrollment and AP Opportunities			•	•	•	•	
ACT/SAT Preparation					•	•	
8. The postsecondary enrollment rate will increase from the baseline (46%) by an average of 3% annually (Federal Performance Measure 5)							
Job Site Visit/Job Shadowing	•	•	•	•	•	•	
Career Advising/Exploration/Planning	•	•	•	•	•	•	
College Visits/College Student Shadowing			•	•	•	•	
Comprehensive Mentoring			•	•	•	•	
Student Workshops (college requirements leadership, non-cognitive skills)			•	•	•	•	
Career & College Clubs			•	•	•	•	
Summer Enrichment Programs			•	•			
ACT Administration during school day					•		
Scholarships for Students							•
9. Teacher postsecondary enrollment expectations will mirror student postsecondary enrollment aspirations by grant year 7							
Online Training: <i>College & Career Planning in the Middle Grades</i> for educators	•	•					
Professional Development/GEAR UP & Achieve60/AZ Conference			•	•	•	•	
Community Capacity-Building	•	•	•	•	•	•	•
10. Students who enroll at an IHE and who persist to the second year of postsecondary education at the initial or a subsequent IHE will increase from the baseline by an average of 3% annually (Federal Performance Measure 7)							
Post-Secondary Transition Support (summer advising & 1 st year PSE support)						•	•
Comprehensive Mentoring							•
Scholarships for Students							•
11. Seniors who complete the FAFSA will increase 2% annually from the baseline (Federal Performance Measure 4)							
Financial Aid Advising & Workshops			•	•	•	•	•
FAFSA Assistance, Workshops & Events					•	•	•
ECAP Implementation Services						•	
Scholarship Application Assistance						•	•
12. Parents will participate in at least 2 activities each year associated with assisting students in financial aid or postsecondary preparation to a target of at least 40% by grant year 7							
Family Workshops	•	•	•	•	•	•	
Parent Advising			•	•	•	•	
Family Events, Activities, and Communications	•	•	•	•	•	•	•

3.2 The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services.

AZGU partners include a comprehensive network of organizations committed to the core proposition of enhancing equity through the **Five E's**. This network is the result of NAU soliciting letters of interest from potential partners (Achieve60AZ members), early-on, and then meeting with representatives to ensure clarity on the goals, services and outcomes of AZGU. This network of AZGU partners will enhance the project's outreach by providing statewide services to AZGU priority schools, representing the largest college access effort in Arizona history. AZGU will coordinate efforts to collaborate with the partners listed below to provide direct and statewide services. Each partner's focus area is included in the description.

Arizona Business & Education Coalition (ABEC): Partner for CPP1- Through ABEC's Middle School Exploration of Careers project, middle school students are inspired and become their own best advocate as they explore career options through in-depth, business-led, hands-on activities and real-world experience from experts in the field, introduction to technical skills as well as soft skills (i.e., employability skills), job site presentations and field trips. ABEC'S business and education partnerships nurture career aspirations among middle school students and build a vital link between successes in coursework to success in the workforce.

Arizona Commission for Postsecondary Education (ACPE). ACPE, a state agency, has coordinated Arizona's statewide College Goal FAFSA effort since 1997 and has assisted with more than 65,000 FAFSA filings over the years. ACPE will share student-level FAFSA completion data with GU5E and GUA60 high schools. This data will be used by counselors to monitor seniors' FAFSA status, specifically steps that require action such as need for verification, missing signatures, and so on. In addition to sharing data and providing support for

schools on how to use the data, ACPE will also coordinate and host college application and FAFSA completion events at all 41 AZGU target schools.

Arizona K12 Center (AZ K12): The AZ K12 Center, housed within the College of Education at NAU, serves to improve teaching and learning in Arizona's schools through high quality professional development and teacher leadership. AZK12 will provide feeder middle school teachers with evidence-based high- quality professional development to enhance math instruction and student learning using collaborative and reflective processes. The professional development will include content related to school and classroom environment, content that has proven to be effective based on student needs, Arizona Academic Standards for Students, research, best practices, and program evaluation.

Be a Leader Foundation (BALF): The mission for BALF is to increase PSE enrollment and reduce the educational attainment gap for underrepresented students through mentorship and leadership development. BALF will specifically be involved in the transition from high school to postsecondary education through various strategies including increasing the capacity of school counselors to leverage data and employ a case management approach so students are provided individualized support through the college and financial aid application process with a strong focus on postsecondary enrollment.

Center for the Future of Arizona (CFA): Partner for CPP1- CFA is part of the national Pathways to Prosperity network, creating meaningful change in Arizona's workforce and educational systems. **Arizona Pathways to Prosperity (APTP)** brings together early career literacy, the integration of high school and postsecondary education, and work-based learning opportunities. One such area is Information Technologies (IT), including Cyber Security which meets the CPP1 priority. Specifically, CFA APTP will provide career exploration by expanding

career pathways in high schools that are aligned with high demand workforce needs in Arizona. Research studies have shown that students enrolled in career pathways experience increased high school graduation rates, academic performance, and acceleration through college-level, credit-bearing coursework compared to students not enrolled in such programs (Fink et al., 2017; Michalowski, 2007). Additionally, CFA will provide leadership training to AZGU schools through its **Beat the Odds (BTO)** Leadership Academy—a research-based executive leadership training offered in partnership with the National Institute for School Leadership for aspiring/current school leaders across Arizona. The nationally recognized curriculum draws on strong leadership development practices from education, business, and the military, helping to close student achievement gaps, and create a culture of high expectations.

National Council for Community and Education Partnerships (NCCEP) Career and College Clubs: NCCEP’s Career and College Clubs program, informed by the ACT® Holistic Framework™, is focused on increasing knowledge of postsecondary options, and preparation and financing for low-income students and their families through facilitated activities and peer mentoring at *GUA60* schools including *GU5E* schools.

College Success Arizona (CSA): CSA will help build the capacity of eligible schools to support and promote postsecondary planning, including ACT/SAT tests, college applications, FAFSA completion, parental involvement, exploring postsecondary options and financial literacy by providing College Access Professional training to educators across the state and advising and support to students who enroll in a university in Arizona.

Expect More Arizona (EMA): Through a statewide communications campaign and outreach strategies, EMA is committed to raising awareness of the goals of AZGU. By convening statewide partners, EMA plans to bring diverse communities together to deepen the college-

going culture that supports the success of students and helps to increase postsecondary enrollment and completion in Arizona.

Global Pathways Institute (GPI): GPI will provide high quality career development opportunities for high school students through career advising and mentoring. Their service is supported by research that demonstrates that career development has enormous potential for improving the efficiency, effectiveness, and equity of education systems.

Helios Education Foundation: The Helios Education Foundation is dedicated to enriching the lives of individuals in Arizona by creating opportunities for students to succeed in postsecondary education through a variety of partnerships and initiatives. Helios will make it possible for every senior in GU5E and GUA60 schools to receive a copy of the *Senior Launch Guide* – a tool that facilitates the entire college application process.

Student Success Agency (SSA): SSA plans to provide students in AZGU schools with on-demand access to various support services through the vehicle of digital mentorship. Supports and services include social/emotional development, comprehensive mentoring, financial aid support, and postsecondary advising. Short and middle-term outcomes related to SSA services include increased academic performance, attendance rate, and knowledge related to college finances. Long-term outcomes seek to increase high-school graduation and PSE understanding, enrollment and persistence.

Universities: The three public four-year universities in Arizona (Arizona State University, Northern Arizona University and University of Arizona) will provide need and merit-based scholarships to eligible GU students who attend their respective institutions. As stated in the Governor’s letter designating NAU for the 2019 competition, the Arizona Board of Regents policies provide for all three universities to set aside 14% of tuition revenues for need-based

financial aid. Current practice includes 17% set aside for this purpose and over \$140 million is awarded yearly for need-based aid and another \$20 million per year is disbursed through state appropriations into the Arizona Financial Aid Trust. More than 41,000 full-time degree-seeking undergraduate resident students receive some type of need-based and gift aid each year averaging approximately \$9,100 per student per year.

The following is a description of partner organizations that *GU5E* schools may choose to work with directly and, if they do, *AZGU* will support the partnership in conjunction with schools' annual *GU* plans and budgets. Schools will have the opportunity to consider the services these partners offer, and select services to help meet shared goals based on their needs.

Advancement Via Individual Determination (AVID): AVID will provide a suite of services targeted at high school students and educators, which includes summer institutes, coaching, professional development, and tutoring. Students will thus have expanded access to challenging coursework are better prepared to enter and succeed in postsecondary education. Professional development for educators will use proven strategies to serve the learning needs of all students with methodologies designed to promote students' access to rigorous college prep curriculum.

EduGuide: EduGuide, a well-researched program built on six studies cited through the WWC, offers students the opportunity to increase students' interest and capacity in STEM related fields and meets the CPP1 priority (Walton & Cohen, 2011). Students learn a success skill weekly and work with teachers and *GU* staff and coaches to overcome obstacles and increase persistence towards their college-going goals.

iTutor: *AZGU* will leverage the iTutor platform to support ACT/SAT performance for *AZGU* students, as well as small group tutoring to meet the academic needs of students. iTutor's research finds significant academic gains by students who receive 12-18 hours of tutoring.

Texas Instruments (TI): TI places technology in the hands of students and educators to support academic outcomes in math and computer science through intense early math intervention. TI will focus on STEM programming and professional development that includes technology-embedded instruction for high school students.

The specific method of implementation and the scope of services offered at each school by AZGU or a partner will be decided in a collaborative planning process with each school annually, as described in the Management Plan in Section 5, page 39.

5. QUALITY OF THE MANAGEMENT PLAN

5.1 The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.

NAU has nearly two decades of successful GU grant management experience to draw from in implementing a strong management plan that is adequate to achieve the grant objectives on time and within budget. As described in the personnel section, the AZGU organizational structure is designed so that GU staff have a **defined area of responsibility** (see Table 4.1, pp. 37-38) to promote coordination and collaboration. Assigned AZGU staff will communicate regularly with school-based and partner contacts to ensure the project is accomplishing the desired outcomes. The following processes will serve to ensure schools and partners are successfully implementing the program.

Work Plans and Budgets. An annual work plan is developed by each GU5E and GU460 school to address overall program objectives and to identify services that will most effectively meet those objectives and address the specific needs of students and the school (see Section 2). Each school partner, through an established GU Task Force, develops a work plan annually, as guided by AZGU staff (described in Section 3). The GU School Task Force includes the principal, content area teacher leaders, school counselors, parent liaisons, and district leaders who oversee data sharing and fiscal management, to ensure *a wide variety of perspectives are reflected in implementing the project.*

Training – The AZGU State Office staff provides training for AZGU site coordinators, fiscal and data liaisons, and school-based staff involved in implementing AZGU services. The training encompasses a review of expected project outcomes, agreed-upon work plans and established strategies and timelines, as well as sharing of best practices among AZGU Site Coordinators and

service providers. Training also includes highly-evolved standards on service-delivery to ensure site coordinators, across all sites, are meeting minimum standards to maximize program effectiveness. The training provided by AZGU staff, **incorporates partners and field experts outside of GU, to increase quality and inclusion of a variety of perspectives.**

Project Monitoring- On a regular basis, AZGU staff monitor progress toward meeting GU objectives, work plan implementation, and compliance with state and federal regulations. Staff visit GU5E school sites *quarterly*, and GUA60 schools, as strategically scheduled in collaboration with partners also serving these schools. GU5E school visits include meetings with GU School Task Forces to discuss work plan progress and resolve any barriers impeding progress. These visits are followed by written reports from AZGU staff that serve to support school partners in meeting objectives and progressing on agreed-upon next steps. In-between school visits, and on a *monthly* basis, coordinators at GU5E schools submit **Event Notification Forms** that detail the services planned for the upcoming month – and on a *weekly* basis, submit **service logs** that include student-level service participation data. AZGU staff review these forms and logs, as well as receiving and reviewing financial reports from school partners, *monthly*.

Data Collection/Management- GU5E site coordinators collect and report student-level academic and participation data from their schools to a central database on a weekly basis. GUA60 schools submit aggregate participation data semi-annually. The AZGU leadership team analyzes the data regularly to ensure that **milestones for accomplishing project tasks are progressing as agreed upon in the annual work plan.** AZGU staff engage with partners to provide support and resources if objectives are not being met.

Coordination of Statewide Services/Partners- The Communications Director promotes strategic coordination of services provided by Achieve60AZ project partners in order to maximize impact, avoid duplication of services, and lead to **continuous improvement efforts** at

the 41 GU eligible schools. This includes enlisting partners' knowledge, training on, and use of the *Discover* Guide in middle grades by partners providing services in those grades, and similarly, enlisting partners' knowledge, training on, and use of the *Launch* Guide in high schools by partners providing services to seniors in GU schools. The Communications Director accomplishes this coordination of efforts, in part, through an annual convening of partners that serves to increase awareness of individual and collective efforts.

Financial Monitoring- School partners submit **monthly financial reports** that detail federal expenditures and cost share contributions. To ensure compliance with federal guidelines, the Fiscal Operations Manager coordinates review of schools' financial records. The Associate Director collaborates with the Fiscal Operations Manager to align expenditures to program services and activities.

In addition to the processes described above, the first year of the project is guided by a plan with specific tasks to ensure success from the start, as outlined in Table 5.1 below.

Table 5.1: First Year Implementation Plan

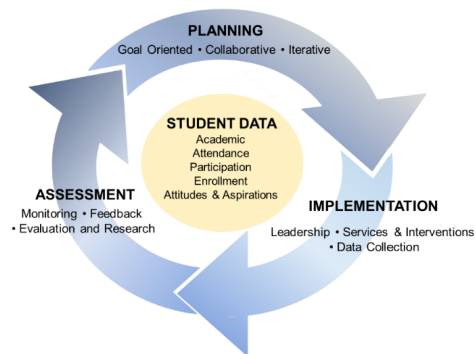
Timeline	Task	Responsible Personnel
Aug – Sept	Advertise, recruit and conduct interviews for open staff positions Initiate Request for Proposal process for external evaluator and data management provider	Co-PIs
Sept	Collaborate with partners to communicate GU services available to 41 eligible schools and to invite applications for <i>GU5E</i> selection based on maximizing services from GU and partners to all eligible schools	Executive Director (ED), Associate Director (AD)
Early Oct	Finalize hiring decisions immediately upon award notification	CO-PIs, Directors, and ED and AD
Oct	Host project kick-off meeting to convene the 41 eligible schools and partners and begin service coordination	CO-PIs, Directors, and ED and AD
Nov	Select <i>GU5E</i> school partners; ongoing outreach to <i>GUA60</i> schools and solidify participation in <i>AZGU</i> activities	CO-PIs, Directors, and ED and AD
Dec	Execute <i>GU5E</i> and <i>GUA60</i> school partnership and data sharing agreements	Directors, and ED and AD

Dec	Schedule and conduct meetings with GUA60 schools and GU5E school teams to provide guidance on policies and procedures and Year 1 work plans and budgets	Co-PIs, ED, AD, Fiscal Operations Manager (FOM), Communications Director [CD], High School Director [HSD]
Dec	Recruit, conduct interviews, hire GU coordinator and assistant positions at GU5E Schools	HSD, School personnel
Jan	Site coordinator training	AD & HSD
Jan	Direct services begin at GU5E Schools	Site Coordinators (SC), school personnel
Jan	Direct Services begin for GUA60 schools	AZGU Staff and Partners
Jan	Statewide Services	Eligible High Schools and partners
Mar/ Apr	Annual work plans and budget for Year 2 Developed	ED, AD, HSD, CD, FOM, SM, GUA60 teams, including SC
Jun	Host Summer Programs	ED, AD, HSD, CD, FOM, SM, and staff.

5.2 The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed.

The processes established and described in Section 5.1 make it possible for AZGU to use a continuous improvement system to ensure accountable, successful service delivery to students and their families. The system is iterative, in that certain actions and processes ensue annually, as

Figure 5.1 – Continuous Improvement System



well as throughout the year, yielding outcomes successively closer to a desired, seven-year result. The system creates procedures for ensuring feedback and promotes continuous improvement (Figure 5.1).

Throughout the program, student and service data are collected to inform

program effectiveness. In addition to student level data, GU5E site coordinators collect service and event evaluations at student and parent events to solicit feedback on service delivery and needs that AZGU can address in future services. Event evaluations ensure that the **perspectives of students and parents are included** in assessing the effectiveness of program services. Through the solicitation of feedback, annual planning, training and monitoring, AZGU staff facilitate opportunities to assess needs, analyze data, and engage school and community partners in discussions and processes that promote opportunities to provide **feedback from diverse perspectives and participate in continuous improvement efforts**. The involvement of partners, GU staff and school teams focuses the program on data, with a student-centered and strategic perspective. The project evaluation (Section 6) will also be critical for assessing the project's effectiveness and areas for improvement.

5.3 The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

AZGU has established clear areas of responsibility in its management structure to promote efficient and effective administration of the project. The AZGU staffing structure ensures *sufficient time commitment to the project* by key personnel that includes the Executive, Associate, Communications, High School, and Fiscal Directors dedicating 100% of their time to meeting project objectives *on time and within budget*, as well as, high-level leadership of Co-PI's dedicating 5%, and 25% of their time, respectively. The Co-PI's participate in personnel hiring decisions, -meet or confer with the Executive Director weekly, participate in strategic leadership team meetings and speak at partner events: they review plans for professional development, review financial reports, and sign-off on the GU Annual Performance Report. The Executive Director leads the day-to-day operations of the State GU Office, executing a management structure that uses several tools and processes to ensure success, including work

plans and budgets, training, project and financial monitoring and support, data collection and management, and statewide partner coordination.

5.4 How the applicant will ensure that a diversity of perspectives are brought to bear in the operation of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, recipients or beneficiaries of services, or others, as appropriate.

AZGU values the perspectives of multiple stakeholders in ensuring the effectiveness of the overall project. For this reason, multiple structures and procedures are established to provide opportunities for input. First, each school task force, consisting of school staff (including the principal, content area teacher leaders, school counselors, parent liaisons, and district leaders who oversee data sharing and fiscal management) creates a work plan appropriate to the circumstances and needs of each school, in consultation with AZGU staff. Second, annual reports of progress are shared with the Task Force, partners and through parent communication so that constituents can offer suggestions for improvement. Program training is provided by AZGU staff and outside experts in order to draw on diverse perspectives. GEAR UP events include evaluations from participants to ensure that student, parent, and staff perspectives are used to inform and revise practices. The continuous improvement model relies on feedback and input from participants at every level.

6. QUALITY OF PROJECT EVALUATION

AZGU offers a unique evaluation opportunity for partner school districts, the state of AZ, and the U.S. Department of Education to better understand research outcomes related to postsecondary enrollment. The evaluation plan includes two *components* that *demonstrate a rationale* and includes rigorous research and evaluation, formative and summative evaluation, quantitative and qualitative analytics, an embedded quasi-experimental research study, and participation in a multi-grant evaluation.

AZGU will collect longitudinal data using a data system to track individual students, their academic performance, postsecondary enrollment, and GEAR UP services. AZGU will comply with all federal and state regulations in the procurement of external evaluation services, to objectively examine the project effectiveness in achieving intended outcomes. Additionally, evaluation efforts will adhere to *The Program Evaluation Standard: A Guide for Evaluators and Evaluation Users* (Yarbrough, Shulha, Hopson & Caruthers, 2014) and will follow the updated WWC guidelines along with all Institutional Review Board (IRB) processes.

6.1 The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.

AZGU will use a variety of methods for collecting objective and identifiable student level data to determine project effectiveness. Student academic and standardized assessment scores will be obtained for all students served by the AZGU project from partner LEA's and schools, along with the Arizona Department of Education as needed. Professional, parent, and student service data will be collected in accordance with the definitions and service types established by the College and Career Readiness Evaluation Consortium (CCREC) each time a service activity is delivered. Services will be audited monthly to ensure all activities have been entered accurately to maintain consistency and accurate data tracking for project evaluation.

All student level data, including service data and academic and performance data will be organized and stored in a relational database with a web interface application for ease of service data entry, while also ensuring fidelity across multiple schools and districts. Several data collection systems are available, and AZGU will evaluate these systems, in accordance with NAU policy, to contract with the best fit application for AZGU.

Student and family surveys will be administered every other year to all *GU5E* students and their families to obtain information about their expectations regarding current experiences

within GU, the students' future academic goals, knowledge of postsecondary options, preparation and financing, and where the students are on their path toward achieving their postsecondary goals. A school staff survey will be administered to gauge perceptions regarding the teacher's role in supporting students' postsecondary educational goals, their expectations of all students' ability to enroll in postsecondary education and each school's college-going culture. Formal embedded research studies will further assess the efficacy of and reactions to summer counseling, impact of mentoring, and the impact of services on postsecondary enrollment.

The AZGU evaluation follows the logic model in Figure 2.2 (page 13) and uses a two-phased approach for formative and summative evaluation. Phase 1 utilizes the timely collection of longitudinal identifiable student level performance data to determine yearly progress toward project performance objectives and to provide feedback for ongoing service delivery. Simply stated, Phase 1 determines *what* has been accomplished. Phase 2 examines *how* specific activities and interventions are contributing to change in the desired program outcomes utilizing inferential statistics and embedded research studies to program outcomes.

The primary focus of Phase 1 of the evaluation will be on GPRA measures and how well the project performs in relation to the grant's stated project objectives. For example, the evaluation will produce objective measures of AZGU program impact on student course enrollment, performance in the classroom and on standardized tests, FAFSA completion, and postsecondary enrollment. Annual reports will be provided to school districts on progress towards performance measures. Year one data collection will establish baseline measures to then assess growth beginning in year two.

Table 6.1 Performance Indicator and Associated Data

Performance Indicator	Measurable Output	Data Collection Timeline	Data Source
Students will pass pre-algebra or its equivalent with a grade of C or better by the end of 8th grade, increasing from the baseline by an average of 3% annually for grant years 2 and 3	# of student passing Pre-Algebra	Academic Year	Schools
Students will pass Algebra I with a grade of C or better by the end of 9th grade, increasing from the baseline (20%) by an average of 3% annually for grant years 2-4	# of students passing Algebra	Academic Year	Schools
The percent of junior-year students on-track for college admissions by enrolling in courses that meet the ABOR course requirements will increase from the baseline by an average of 3% annually	Student course taking	Academic Year	Schools
The demographics of juniors and seniors who complete one or more AP or dual credit courses will reflect the SES, race/ethnicity, and gender of the high school by year 4	Demographic and enrollment data for students by AP/Dual Credit course	Academic Year	Schools
The percent of seniors who complete one or more postsecondary applications will increase from the baseline by an average of 2% annually	# of seniors and the # of applications per senior	Academic Year	Survey, IHE
The high school graduation rate will increase from the baseline (83%) by 2% annually	# of students graduating	Academic Year	Schools, Arizona Department of Education
Graduates who place into college level math and English without the need for remediation, will increase from the baseline by an average of 3% annually beginning in grant year	PSE Student Academic Record	Academic Year	Placement Test, IHE
The postsecondary enrollment rate will increase from the baseline (46%) by an average of 3% annually	# of student enrolled in postsecondary education or certificate program in the fall immediately following HS graduation	Academic Year	National Student Clearinghouse
Teacher postsecondary enrollment expectations will mirror student postsecondary enrollment aspirations by grant year 7	Correlation between teachers' expectations and students' expectations regarding postsecondary enrollment	Academic Year	Survey
Students who enroll at an IHE and who persist to the second year of postsecondary education at the initial or a subsequent IHE will increase from the baseline by an average of 3% annually	# of student enrolling at an IHE immediately following HS graduation and also persisting to the second year.	November and April of each year	National Student Clearinghouse
Seniors who complete the FAFSA will increase 2% annually from the baseline	# of completed FAFSA's	Academic Year	ACPE
Parents will participate in at least 2 activities each year associated with assisting students in financial aid or postsecondary preparation to a target of at least 40% by grant year 7	# of parents participating in at least 2 parent activities	Monthly	Service tracking

The AZGU design (GU5E schools and GUA60 schools with different levels of service)

offers a unique research and evaluation opportunity for partner school districts, the state of Arizona, and the U.S. Department of Education to **answer important questions regarding the**

effectiveness of services that move students to enroll and persist in postsecondary education. Research studies will follow from the primary and secondary evaluation foci, generating additional project research questions.

Research Questions:

1. What is the relationship between teacher expectations and student postsecondary enrollment?
2. To what extent do services (e.g. mentoring and summer counseling) that have previously shown evidence of promise show similar promise within the context of AZGU?
3. What is the relationship between a college going culture and student postsecondary enrollment and retention?
4. What is the impact of the Senior Guide on postsecondary enrollment? In particular, does postsecondary enrollment level vary by level of services (i.e., comparison between *GU5E* and *GU460* students)?

Quantitative data will be examined using descriptive analytics in the form of frequency charts and graphs; measures of central tendency and measures of dispersion will be used to evaluate and track the progress of the study's outcomes. More advanced statistical and analytic techniques will be used to examine the relationships between service delivery and the project's outcomes. The hierarchical structure of the quantitative data (e.g., students nested within schools) will be accounted for in the analyses using either a fixed- or random-effects (i.e., hierarchical linear or linear mixed modeling) modeling. Employing hierarchical linear modeling will allow the evaluation to provide statistical control for student-level characteristics (e.g., gender, race/ethnicity, first-generation) and school-level factors (e.g., percentage of free and reduced-price lunch, cohort graduation rate, percentage of fully licensed teachers).

Specific studies within the scope of the evaluation of *GU5E* schools:

1. Embedded QED (GU vs. Non-GU): Students in the previous grades preceding the priority students will provide a comparison group for analysis. Propensity score matching (PSM) will be used to statistically control for differences and reduce selection bias. By analyzing GU services received by students in relation to their academic performance, college enrollment and success, school districts will be well-positioned to make policy and programming decisions based on quantitative, longitudinal data.

2. QED and Focus Group (Summer Counseling Component) CPP3: Castleman et al. (2014) showed the effectiveness of communication through text, phone, and face-to-face interactions during the summer. The AZGU study of the component summer counseling between high school graduation and postsecondary enrollment, as cited in competitive priority three, will replicate and extend those findings in three ways. First, a QED will be performed to examine the overall impact of the service on postsecondary persistence using block PSM to establish a comparison group by school and compared postsecondary enrollment and persistence using a generalized linear mixed model (GLMM) with a logit link. Second, the relationship between frequency and duration of communication through text, phone, and face-to-face interactions (i.e., dosage) and postsecondary enrollment and persistence will be examined using GLMM with a logit link with statistical controls to help address the potential issue of selection bias. Third, focus groups with students who did and did not participate in the program will be conducted to elicit an in-depth understanding of what factors influenced students' decision to participate or not and the effectiveness of counseling.

3. Embedded QED (students receiving mentoring services vs. students not receiving services, mentoring component) CPP3: Students in the previous grades preceding the priority students along with students receiving statewide services but not mentoring will provide a comparison group for analysis. By analyzing mentoring services received by students in relation

to college enrollment and success, AZGU will be well-positioned to make policy and programming decisions that help expand the reach of limited school counselors, so all students get the information and support they need to enroll in postsecondary education. This study is using the mentoring component from the cited research (Philp, 2017) and replicating it with a similar student population.

Qualitative data will also be collected through focus groups and using open-ended comments on surveys. *NVivo* will be used to manually code and analyze data to identify common themes in unstructured text. When a large volume of text is collected, such as in open-ended survey questions, text mining using tidy data principles (Wickham, 2014) and supervised scaling machine learning (Grimmer & Stewart, 2013) or a Latent Dirichlet allocation topic modeling in R (Silge & Robinson, 2017) will be used to identify common themes. Focus groups will be guided by widely accepted design principles and the application of sound manual and analytic coding techniques to produce valuable insights and actionable results (Liamputtong, 2011).

6.2 The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

Periodic assessment is predicated on routine access to student performance data. Collecting student academic, absence and testing data once a year is not adequate for formative evaluation and feedback. AZGU will collect student academic data, absence, discipline, and testing at a minimum of twice a year, and more frequently when available, to enable mid-year program course corrections as needed. This is a unique and crucial piece of the AZGU proposal and is imperative in assessing progress of individual students and program outcomes through the life of the project.

A participatory evaluation and sustainability team will work to provide yearly assessment to ensure the project meets objectives and performance measures. The team will consist of at least one of the Co-Principal Investigators, the AZGU Executive and Associate

Directors, district and school stakeholders (including students and teachers), experts in the field (not necessarily connected to the project), and the selected evaluator for the project and university graduate students. The strength of the team is not only the level of expertise they bring, but also the incorporation of stakeholders to ensure the team is providing relevant and meaningful feedback to staff and schools for ongoing implementation.

The participatory evaluation and sustainability team will work collaboratively to create an overall evaluation plan for each grant year and monitor it. Through this process the team will deliver performance feedback and periodic assessment of progress toward the goals and associated measures. While the team will be in regular communication, they will meet quarterly to discuss and review evaluation results. Evaluation reports and summaries detailing the results from the yearly evaluation plan will be distributed to the participatory evaluation and sustainability team as they are completed throughout the year. Finally, as previously stated, AZGU will provide members of the team interactive access to reports and data visualizations that will provide up-to-date information on the progress toward the GU objectives for the overall project and individual schools.

AZGU program staff will be briefed on formative evaluation findings four times a year. This intentional feedback to AZGU program staff will help ensure findings can be used to impact the delivery of services and student interventions that are showing success. AZGU program staff and schools will also receive more robust annual reports gauging overall accomplishments related to objectives and performance indicators. The external evaluator will be available for trainings with schools to connect the development of annual plans to the AZGU performance indicators to maximize effort of program staff, schools and partners.

6.3 The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.

Though the design of AZGU project services is based on published research, replication of results will increase their generalizability and improve future service implementation. AZGU will present the research and evaluation findings with partners and stakeholders and at various national conferences. AZGU will submit findings to the WWC repository and peer-reviewed journals. In addition to our local evaluation plan, AZGU is committed to strengthening evaluation in the broader GU community by participating in the national GU College and Career Readiness Evaluation Consortium (CCREC), a learning community comprising multiple GU State and Partnership grantees and national education organizations. To date, CCREC has created a data infrastructure and collected data on over 90,000 students, data which will be analyzed to evaluate the impact of GU activities on select secondary and postsecondary outcomes. In 2019, CCREC is expanding to include new members to build capacity to utilize evaluation for continuous improvement, to demonstrate the impact of GU across local, state, and national levels of implementation, and to further advance a culture of evidence-based decision-making within the GU community.

AZGU will make substantial investments in evaluation and research both to increase the body of evidence for all college access programs and to enhance the effectiveness of AZGU schools in serving their students.

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APPENDIX

AZGU 19-26 grant – 41 Eligible Schools Free/Reduced Lunch Rate and College-Going Rate

Data Source: <https://cms.azed.gov/home/GetDocumentFile?id=5a6f75cb3217e1041c0a48e2>

District/LEA	School Name	FRLR (2018-2019) per ADE	College Going Rate Class of 2017 from ABOR/ADE/NSC
Ganado Unified School District	Ganado High School	88%	39.4%
Page Unified District	Page High School	52%	40.3%
Agua Fria Union High School District	Agua Fria High School	57%	52.6%
Buckeye Union High School District	Youngker High School	60%	34.5%
Buckeye Union High School District	Buckeye Union High School	60%	32.4%
Dysart Unified District	Dysart High School	63%	41.8%
Glendale Union High School District	Cortez High School	75%	49.5%
Mesa Unified District	Dobson High School	57%	46.0%
Mesa Unified District	Skyline High School	52%	44.0%
Paradise Valley Unified District	North Canyon High School	58%	43.4%
Peoria Unified School District	Peoria High School	59%	52.2%
Phoenix Union High School District	Carl Hayden High School	93%	45.5%
Phoenix Union High School District	Central High School	92%	45.8%
Phoenix Union High School District	Metro Tech High School	90%	48.1%
Phoenix Union High School District	Maryvale High School	89%	44.0%
Phoenix Union High School District	Trevor Browne High School	88%	41.8%
Phoenix Union High School District	Camelback High School	86%	49.9%
Phoenix Union High School District	Alhambra High School	86%	37.7%
Phoenix Union High School District	South Mountain High School	84%	40.6%
Phoenix Union High School District	Cesar Chavez High School	62%	47.9%
Saddle Mountain Unified School District	Tonopah Valley High School	61%	37.5%
Scottsdale Unified District	Coronado High School	65%	43.2%
Tolleson Union High School District	Sierra Linda High School	73%	44.3%
Tolleson Union High School District	La Joya Community High School	66%	45.2%
Kingman Unified School District	Kingman High School	65%	48.2%
Kayenta Unified School District #27	Monument Valley High School	80%	47.3%
Pinon Unified District	Pinon High School	>98%	33.8%
Whiteriver Unified District	Alchesay High School	98%	47.8%
Amphitheater Unified District	Amphitheater High School	80%	35.6%
Sunnyside Unified District	Sunnyside High School	76%	39.0%
Sunnyside Unified District	Desert View High School	75%	36.7%
Tucson Unified District	Catalina High Magnet School	72%	48.6%
Tucson Unified District	Santa Rita High School	67%	27.0%
Tucson Unified District	Pueblo High Magnet School	63%	37.4%
Tucson Unified District	Cholla High Magnet School	61%	41.3%
Tucson Unified District	Palo Verde High Magnet School	61%	39.6%

District/LEA	School Name	FRLR (2018-2019) per ADE	College Going Rate Class of 2017 from ABOR/ADE/NSC
Casa Grande Union High School District	Vista Grande High School	61%	47.3%
Casa Grande Union High School District	Casa Grande Union High School	52%	50.3%
Coolidge Unified District	Coolidge High School	66%	39.8%
Florence Unified School District	San Tan Foothills High School	53%	32.5%
Florence Unified School District	Poston Butte High School	50%	49.5%