



Department of
Job and Family Services

Mike DeWine, Governor
Kimberly Hall, Director

February 24, 2020

This letter is to announce the re-release of the Ohio Department of Job and Family Services (ODJFS) Request for Proposal (RFP) number JFSR2021178175R on behalf of the Ohio Children's Trust Fund (OCTF) for the purpose of obtaining a vendor to provide evaluation services for a pilot project entitled, 'Developing a Community-Based Prevention Model; Enhancing Safety and Well-Being for Ohio's Children and Families'. This project is funded by the federal Administration for Children and Families (ACF) through the *Community Collaborations to Strengthen and Preserve Families* grant and will be piloted in Columbiana, Mahoning, and Trumbull counties. This project is a five (5) year project, renewable annually. The OCTF is seeking one (1) qualified vendor experienced in performing in-depth program research, evaluation, and statistical analyses, specializing in social science evaluation, and with demonstrated previous experience working on evaluation projects of similar scope and size. Proposals must clearly demonstrate the vendor's capability of providing services as described in this RFP. The vendor must also be able to travel to Columbiana, Mahoning, and Trumbull Counties, as needed, to implement and complete evaluation services.

If your organization is interested in submitting a response for this important project, please obtain the RFP through the State Procurement website at <https://procure.ohio.gov/proc/index.asp> and the ODJFS website at <http://www.jfs.ohio.gov/ftp/>. If you do not have Internet access to this document or experience problems opening the above referenced ODJFS URL, please contact the Office of Contracts and Acquisitions at (614) 728-5693.

Responses must be prepared and submitted in strict accordance with the requirements and timeframes given in the RFP. Thank you for your attention to this request.

Sincerely,

A handwritten signature in blue ink, appearing to read "Eric D. Glenn, Sr.", written over a light blue horizontal line.

Eric D. Glenn, Sr.
Deputy Director
Contracts and Acquisitions

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Columbus, OH 43215
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**EVALUATOR FOR COMMUNITY-BASED PREVENTION MODEL
ENHANCING SAFETY AND WELL-BEING FOR OHIO'S
CHILDREN AND FAMILIES REPOST**

RFP # JFSR2021068175R

Issued By:

**The Ohio Department of Job and Family Services
on behalf of the Ohio Children's Trust Fund**

Request for Proposals (RFP)
Evaluator for Community-Based Prevention Model Enhancing Safety and Well-Being for
Ohio's Children and Families Repost
RFP #: JFSR2021068175R

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REQUEST FOR PROPOSALS (RFP):
Evaluator for Community-Based Prevention Model Enhancing Safety and Well-Being for Ohio's
Children and Families Repost

RFP #: JFSR2021068175R

SECTION I. GENERAL PURPOSE

1.1 Purpose

The Ohio Department of Job and Family Services (ODJFS) releases this Request for Proposals (RFP) on behalf of the Ohio Children's Trust Fund (OCTF) for the purpose of obtaining a vendor to provide evaluation services for a pilot project entitled, 'Developing a Community-Based Prevention Model; Enhancing Safety and Well-Being for Ohio's Children and Families'. This project is funded by the federal Administration for Children and Families (ACF) through the *Community Collaborations to Strengthen and Preserve Families* grant and will be piloted in Columbiana, Mahoning, and Trumbull counties. This project is a five (5) year project, renewable annually. The OCTF is seeking one (1) qualified vendor experienced in performing in-depth program research, evaluation, and statistical analyses, specializing in social science evaluation, and with demonstrated previous experience working on evaluation projects of similar scope and size. Proposals must clearly demonstrate the vendor's capability of providing services as described in this RFP. The vendor must also be able to travel to Columbiana, Mahoning, and Trumbull Counties, as needed, to implement and complete evaluation services.

The Community-Based Prevention Model Evaluator (Evaluator) will conduct a process, performance, and outcome evaluation of the project. The Evaluator will collaborate with all partners identified by the OCTF, including the county and state implementation teams, to produce all necessary assessments and reports.

For the purpose of this RFP, the term "vendor" shall be defined as a business, university, firm, organization, or individual interested in this opportunity. The terms "response" and "proposal" may be used interchangeably to indicate materials submitted to ODJFS by a vendor in order to be considered for award of a contract for services described in this RFP. The terms "contractor" and "selected vendor" may be used interchangeably in reference to a vendor selected by ODJFS through this RFP for contract award.

1.2 Background

The OCTF is Ohio's sole public funding source dedicated to child abuse and child neglect prevention, through implementation of programs and prevention activities throughout the state. From establishing guidelines for evidence-based program development to accessing innovative prevention curricula; producing educational and public awareness materials; and impacting social service policy legislation, the OCTF provides expertise and resources for legislators, the media, state agencies, and the public. The mission of the OCTF is to prevent child abuse and child neglect through investing in strong communities, healthy families and safe children.

Since its creation in 1984, the OCTF has funded primary and secondary prevention strategies conducted at the local level, in addition to initiatives and projects of statewide significance, which are all designed to strengthen families and prevent child abuse and child neglect. Primary prevention is defined as services and programs that promote the general welfare of all children and families before abuse or neglect occurs. Primary prevention

programs are accessible to everyone in the community or target populations at risk for abuse and neglect. Secondary prevention programs are activities and services that are provided to a specific population identified as having risk factors for child abuse and child neglect and are designed to intervene at the earliest warning signs of child abuse or child neglect, or whenever a child can be identified as being at risk for abuse or neglect.

In September 2019, the Department of Health and Human Services, Administration for Children and Families selected the OCTF's Development of a Community-Based Prevention Model; Enhancing Safety and Well-Being for Ohio's Children and Families (Model) application for its Community Collaborations to Strengthen and Preserve Families grant opportunity. The Model is a pilot program providing a unified, comprehensive, community-based approach to enhance the delivery of primary child abuse and neglect prevention services available within Columbiana, Mahoning, and Trumbull counties to families and children at risk of becoming involved with the child welfare system.

1.3 Overview of the Project

The Development of a Community-Based Prevention Model; Enhancing Safety and Well-Being for Ohio's Children and Families (Model) is a renewable five (5) year pilot program that includes selecting and contracting with a local, well-respected entity within each county that is responsible for employing a staff-person as a Family Coach, who will deliver services through the Model's multi-tiered approach. The Model also includes selecting and contracting with a local, well respected entity within the three (3) county area to employ a Program Consultant who is responsible for overseeing the Family Coaches, providing support, coordinating services, and serving as a liaison between the OCTF and the Family Coaches, as well as between the Family Coaches and the Community-Based Prevention Model Evaluator (Evaluator).

The key components of this project are outlined in the table below:

Key Component	Description
Core Training	<p>A Program Consultant and Family Coaches will all receive the same core trainings, providing a foundational knowledge base for working with at risk families and children.</p> <ul style="list-style-type: none"> • Strengthening Families Protective Factors Framework • OCTF Keeping Children Safe Curriculum • Ohio's Practice Profiles • Motivational Interviewing
Centralized Referral System	<p>A single, centralized referral line for families and referral sources. Long-term this would be a central number for each county, similar to a centralized child welfare reporting hotline for each county. For the purposes of the pilot project a program consultant will 'float' between all 3 pilot counties. This person will have a cell phone with the centralized referral number and will be responsible for initial referrals as well as Tier I and Tier II service delivery.</p>
Universal Screenings	<p>Universal screens to assess trauma, substance use, and mental health will be offered through Tier II and Tier III of this program.</p> <ul style="list-style-type: none"> • Adverse Childhood Experiences Survey (ACES) • Childhood Trauma Assessment Checklist (CTAC) • Used, Neglected, Cut-down, Objected, Pre-occupied, and Emotional Discomfort (UNCOPE) • Mental Health Assessment TBD

Key Component	Description
Multi-Tiered Service Delivery	<p>Tier I: One-time, 60 to 90-minute consultation. All families referred to the program begin with a Tier I consultation. Program consultant engages families from a strength-based approach to understand their unique needs, provide information and referrals, explain tenets of the program, and collaboratively assesses the families' need for and willingness to engage in Tier II or Tier III services.</p> <p>Tier II: Ongoing supportive consultations and case management services provided to the family virtually through a combination of phone calls, emails, skype, and in person meetings. Universal screenings will be offered and voluntarily administered to all Tier II families. In person meetings are not required at this service level but can be provided at the families' request either in the home or in neutral settings such as a restaurant, park, or library. Families engaging in Tier II services may elect to voluntarily transition to Tier III services at any time during the program.</p> <p>Tier III: Short-term, intensive services delivered to the family by specially trained family coaches within the comfort of their own home. Through a series of 1 to 2 home visits each month, families engaged in Tier III services will have access to the complete array of services offered by the program. Family coaches will work with the family to develop a prevention services plan outlining the families' goals and will utilize the strengthening families' framework to deliver agreed upon family-strengthening services that will enhance the families' protective factors and increase family stability.</p>
Service Array	<p>Family Coaching: Solution-focused coaching sessions designed to elicit change talk and engage families in moving towards behavioral change through the use of motivational interviewing.</p> <p>Parenting: General parenting skills offered through family coaching sessions; Triple P Positive Parenting Program level 3 and level 4 services delivered directly by the family coach, who has been dually trained in Triple P.</p> <p>Basic Life Skills: Life skills such as grocery shopping, cooking, cleaning, accessing community resources, resume writing, interviewing, educational planning, and interpersonal communication are delivered directly by the family coach.</p> <p>Financial Literacy: Delivered directly by a family coach who is trained in a money management curriculum for adults or referred to a money management/financial literacy training in the community.</p> <p>Concrete Supports: Items such as diapers, wipes, formula, and non-perishables will be available to participating families that need them. Families who participate in a financial assessment and money management course will be eligible to receive one-time financial assistance for items such as past due utility bills.</p> <p>Information and Referrals: Families in need of more specialized services such as substance abuse treatment or mental health services will be referred to community providers that are better equipped to meet the families need.</p>
Prevention Services Plan	<p>Families engaging in Tier III services will work with their assigned family coach to develop a <i>Prevention Services Plan</i> outlining the family's objectives (i.e. behaviorally specific areas the family wishes to improve) and planned steps (i.e. services and activities) that the family will take to meet those objectives. The prevention services plan will be reviewed and updated regularly during home visits.</p>
Concrete Supports	<p>'Concrete supports' is one of the six pillars of services offered through the program. It is also called out as a key component of the program because, as illustrated in the <i>Synopsis of Literature Review</i> section, similar programs have assessed the availability of concrete supports to be instrumental in voluntarily engaging families to access services.</p>
Evidence-Based Practices	<p>A significant body of research exists that demonstrates practices that have been proven successful in achieving desired outcomes with families and children. Through the integration of evidence-based practices the likelihood for achieving desired outcomes with the implementation of this community-based prevention services model is increased.</p>

The Evaluator will serve as a research partner responsible for the completion of evaluation services during the planning and implementation phases of the grant. The Evaluator will conduct a process evaluation, examining the extent to which activities outlined above were implemented as intended and to describe the characteristics of clients served and address the elements of the grant, as required by the OCTF and the federal grant partners. Additionally, the Evaluator will conduct a performance evaluation monitoring ongoing processes and progress toward outcomes and devise organizational structures to ensure the information is employed for continuous quality improvement. The Evaluator will also conduct an outcome evaluation, inclusive of receiving Institutional Review Board (IRB) approval, to examine the extent to which the program meets its five goals, which are to: 1.) increase the awareness of the community pertaining to prevention services; 2.) reduce family risk factors to prevent child maltreatment; 3.) reduce new referrals to the child welfare agency as well as entry into foster care for children in kinship care; 4.) increase family's protective factors; and 5.) improve safety and well-being for children and families. In addition, the Evaluator is responsible for leading the Implementation Team in the development and identification of all assessments, reports, and evaluation tools required to ensure a thorough evaluation, which must include a comparison group for completion of pre and post-test measures.

The project includes a ten-month implementation planning phase for the OCTF (September 30, 2019 - July 31, 2020), which includes convening county and state Implementation Teams. An implementation science framework will be applied by the Implementation Teams to guide the planning and implementation of this grant project. The OCTF will convene county implementation teams within Columbiana, Mahoning, and Trumbull Counties which are each responsible for providing guidance and input regarding the implementation of the Model within their local communities. County implementation teams will be comprised of traditional family serving agencies, parents and youth with lived experience, representatives from the legal and judicial community, community services and family assistance agencies, public health agencies, and public housing agencies. A state implementation team will also convene to provide direction and guidance regarding service delivery, assist with identifying and leveraging existing funds and services, and communicating information such as impact of services, changes in community resources, and data and evaluation plans. The Evaluator is required to participate in the state implementation team meetings, as well as county implementation team meetings on an as-needed basis. Additionally, the Evaluator is required to participate in monthly Technical Assistance calls with the Children's Bureau and other Administration on Children and Families (ACF) evaluation related activities such as Community of Practice Calls.

During the planning phase, the Evaluator will, (1) review and update existing target area needs assessment data for the three target counties, (2) with the exception of any unanticipated delays in the procurement process, participate in three site visits with similar community-based programs, (3) determine an appropriate evaluation design inclusive of a data collection plan, (4) enter into a data sharing agreement with the Ohio Department of Job and Family Services (ODJFS) for the purposes of determining whether or not families participating in the pilot project subsequently come to the attention of children services, and (5) revise the logic model and theory of change. Family Coaches and the Program Consultant will receive training in several evidence-based programs and approaches, including but not limited to Triple P: Positive Parenting Program Levels 3 and 4, Motivational Interviewing, and the Strengthening Families Protective Factors Framework. The Evaluator will identify all appropriate assessments, some of which may be required for fidelity of the program, for evidence-based programs and all other services provided by this grant, in coordination with the OCTF. The Evaluator will provide technical assistance to the grant staff (Family Coaches, Program Consultant, OCTF, etc.) and partners, as needed, including conducting a training on administering the required assessments to be delivered by Family Coaches and the Program Consultant. The Evaluator will also adapt the OCTF intake form and develop reports to be utilized by grant staff and will train staff on the implementation of these forms and reports. The Evaluator will also prepare data and provide any evaluation updates for reports required by the Children's Bureau on behalf

of and in coordination with the OCTF Project Director. These include semi-annual and annual reports, as well as any reports required by the OCTF. Reports will contain all necessary information to assess the progress of the Model, as well as any additional required information.

Following the ten-month planning phase, the Family Coaches and Program Consultant are responsible for implementing services to families in Columbiana, Mahoning, and Trumbull Counties. Implementation is anticipated to occur in years two through five of the OCTF's grant with the Children's Bureau, and these services must be thoroughly evaluated in order to determine areas for improvement and to accurately reflect the effectiveness of the model through the first year of implementation. The Evaluator will continue to provide reports, evaluation, and technical assistance services throughout the OCTF's project life cycle to grant staff and identified grant partners as part of the evaluation services procured through this RFP.

On an annual basis, the Evaluator is required to attend a two-day grantee meeting in Washington, D.C. with other key project staff. Additionally, the Evaluator should anticipate participating in a national cross-site evaluation for all selected grant recipients and their evaluation partners.

1.4 Objectives of the Project

Through this RFP process, the OCTF seeks a vendor to perform all evaluation services and functions for the Development of a Community-Based Prevention Model; Enhancing Safety and Well-Being of Ohio's Children and Families (Model) pilot. Evaluation Services include reviewing the Northeast Ohio Regional Needs Assessment to inform the Evaluator's target area needs assessment for Columbiana, Mahoning, and Trumbull counties, conducting process and performance evaluations, as well as receiving Internal Review Board approval to conduct an outcome evaluation of the Model, developing and implementing assessments, evaluations, and reports, providing ongoing technical assistance and guidance to grant staff and grant partners, collaborating with the OCTF Project Director and other OCTF staff in developing and completing all reports required by the Children's Bureau and any other required reports, and ensuring proper evaluation of the independent and added effects of community and family coaching services provided by the grant.

SECTION II.

PROCUREMENT PROCESS INFORMATION

2.1 Anticipated Procurement Timetable

DATE	EVENT/ACTIVITY
February 24, 2020	ODJFS releases RFP on OCTF, ODJFS, and DAS websites - RFP becomes active; vendors may submit inquiries for RFP clarification.
March 6, 2020	Vendor Q & A Period closes, 9 a.m. EST - No further inquiries for RFP clarification will be accepted.
March 30, 2020	Deadline for vendors to submit proposals to ODJFS (3 p.m.) - Late proposals will not be considered. No exceptions will be made.
April 13, 2020	ODJFS issues Contract Award Notification Letters - Vendors that submitted proposals in response to this RFP will be sent notification of award recommendation. This is an estimated date.

May 1, 2020	Implementation* - ODJFS contracts are not valid and effective until the issuance of a fully executed contract.
September 29, 2020	Year 1 Project Completion – All work must be completed and approved by the OCTF Project Director.
09/30/2020 through 09/29/2021	Contract renewal periods**Federal Fiscal Years 2021, 2022, 2023, 2024. The potential exists for four annual renewals at the option of ODJFS/OCTF.
09/30/2021 through 09/29/2022	
09/30/2022 through 09/29/2023	
09/30/2023 through 09/29/2024	

ODJFS reserves the right to revise this schedule in the best interest of ODJFS and/or to comply with federal and State of Ohio procurement procedures and regulations.

* According to requirements of Ohio Revised Code (ORC) 126.07, ODJFS contracts are not valid and enforceable until the Office of Budget and Management (OBM) certifies the availability of appropriate funding, as indicated by the issuance of an approved State of Ohio Purchase Order (PO). The selected vendor may neither perform work nor submit an invoice for payment for work performed for this project for any time period prior to the PO approval date. The ODJFS Contract Manager will notify the contractor when the requirements of ORC Section 126.07 have been met.

** Subject to approval by the Controlling Board, the contract period is expected to run from approximately May 1, 2020 through September 29, 2020, with the possibility for a renewal contract that would be in effect from September 30, 2020 through September 29, 2024, contingent upon satisfactory performance, continued availability of funding, and all required approvals. Renewal may be subject to approval by the Controlling Board.

2.2 Internet Question and Answer (Q & A) Period; RFP Clarification Opportunity

Vendors or other parties may ask clarifying questions regarding this RFP via the internet during the Q & A Period as outlined in Section 2.1, Anticipated Procurement Timetable. To ask a question, vendors must use the following internet process:

- * Access the ODJFS Web Page at <http://jfs.ohio.gov>;
- * Select “Doing Business with ODJFS” from the bottom of the page;
- * Select “RFP’s” from the left side column;
- * Select RFP Number *JFSR2021068175R* from the list of competitive opportunities;
- * Follow the link to the dedicated web page;
- * Select “Submit Inquiry” near the bottom of the web page;
- * Follow instructions there for submitting questions; or, to view posted questions and answers;

*** Select “View Q and A” near the bottom of the web page.**

Questions regarding this RFP must reference the relevant section of this document, the heading for the provision under question, and the page number where the provision can be found. The name of a representative of the vendor (or other party), the company name, phone number, and e-mail address must be provided to submit an inquiry. ODJFS may, at its option, disregard any questions which do not appropriately reference an RFP provision or location within the RFP, or which do not include identification of the originator of the question. ODJFS is under no obligation to acknowledge questions submitted through the Q & A process if those questions are not in accordance with these instructions. Questions submitted after 9:00 a.m. EST on the date the Q & A period closes will not be answered.

ODJFS’ responses to all questions asked via the internet will be posted on the webpage dedicated to this RFP, for public reference by any party. ODJFS will not provide answers directly to the vendors (or any party) that submitted the question.

Questions submitted may be no more than 4,000 characters in length, but there is no limit on the number of questions that may be submitted. ODJFS strongly encourages vendors to ask questions early in the Q & A period so that answers can be posted with sufficient time for any possible follow-up questions.

Proposals in response to this RFP are to take into account any information communicated by ODJFS in the Q & A process for the RFP. It is the responsibility of all vendors to check this site on a regular basis for responses to all questions, as well as for any amendments, alerts, or other pertinent information regarding this RFP. ODJFS is not responsible for the accuracy of any information regarding this RFP that was obtained or gathered through a source other than from the Q & A process described in this RFGA.

Requests for copies of any previous solicitations (RFPs, RLBS, RFGAs, etc.) or for past vendor proposals, score sheets, or contracts for this or similar past projects, are Public Records Requests (PRRs), and are not clarification questions regarding the present RFP. ODJFS will only answer those questions which pertain to issues of RFP clarity, and which are not requests for public records.

Should vendors experience technical difficulties accessing the ODJFS webpage dedicated to this RFP, they may contact the ODJFS Office of Contracts and Acquisitions (OCA) at (614) 728-5693 for guidance.

2.3 Communication Prohibitions

From the release date of this RFP until a contract is awarded, there may be no communications concerning the RFP between any vendor which expects to submit a proposal and any employee of ODJFS in the issuing office, or any other ODJFS or OCTF employee, or any other individual regardless of their employment status, who is in any way involved in the development of the RFP or the selection of the contractor.

The only exceptions to this prohibition are as follows:

- A. Communications conducted pursuant to Section 2.2 Internet Question & Answer (Q & A) Period; RFP Clarification Opportunity;
- B. As necessary in any pre-existing or on-going business relationship between ODJFS, OCTF and any vendor which could submit a proposal in response to this RFP;

- C. As part of any vendor interview process or proposal clarification process initiated by ODJFS, which ODJFS, on behalf of the OCTF, deems necessary in order to make a final selection;
- D. If it becomes necessary to revise any part of this RFP, ODJFS will post revisions, amendments, etc. to the webpage dedicated to this RFP; and
- E. Any Public Records Request (PRR) made to the ODJFS Office of Legal Acquisition Services (OLAS).

If a vendor has a need to communicate regarding this RFP, they must contact ODJFS using one of the mechanisms provided for in this section. Vendors are cautioned that communication attempts which do not comply with these instructions will not be answered. Any attempts at prohibited communications by a vendor may result in the disqualification of that proposal.

2.4 Program Resource Library

Interested vendors should utilize this library of documents, reports, or other information.

- A. Federal Policy for the Protection of Human Research Subjects:
<https://www.hhs.gov/ohrp/regulations-and-policy/regulations/common-rule/index.html>
- B. ODJFS Personal Confidentiality Statement (Attachment E)

Additionally, a wide variety of information on the OCTF and its programs which vendors may find useful is available to the public via the OCTF website at <http://octf.ohio.gov>.

SECTION III. VENDOR EXPERIENCE AND QUALIFICATIONS

Proposals must address all the following mandatory qualifications as well as organizational and staff experience and capabilities:

3.1 Mandatory Vendor Qualifications

In order to be considered for the contract expected to result from this RFP, ODJFS requires that vendors must meet, at minimum, all the following qualification requirements:

- A. The vendor must be a college, university, or research and program evaluation consulting firm.
- B. The vendor's proposal must identify a Lead Researcher (Principle Investigator (PI)) who possesses an advanced degree in Social Work, Social/Behavioral Science, Social Research, Public Administration, or a related discipline and a minimum of five (5) years' experience evaluating projects with child welfare populations, and similar experience in collecting and analyzing child welfare data, where the Lead Researcher served as the PI for the project(s).
- C. If the institution plans to collaborate with subcontractors, the staff qualifications specified above are applicable to all subcontract staff based on their respective roles in the project.

- D. The vendor must provide evidence of prior experience conducting data analysis with Statewide Automated Child Welfare Information System (SACWIS) data sets, or experience utilizing other complex data systems relevant to evaluating social/behavioral science projects.
- E. The vendor must demonstrate prior experience of receiving Institutional Review Board approval for projects of a similar size and scope.

Vendors which do not meet all the above qualifications will be disqualified from further consideration.

3.2 Organizational Experience and Capabilities

As part of the evaluation process, vendors are to provide the following information to be scored by OCTF:

- A. Capacity and prior experience carrying out similar evaluations in size and scope within the last five (5) years:
 - 1. Describe the vendor's experience in successfully conducting the type of evaluation proposed for this project (process, performance, **AND** outcome). The response should include separate examples for each of the types of evaluation – process, performance, and outcome;
 - 2. Describe the vendor's experience in working on evaluation studies of comparable size and scope, such as managing measurements over multiple time periods and multiple locations using rigorous statistical methods. Include a description of data collection and analysis tools created or utilized in these previous studies; and,
 - 3. Describe the vendor's experience in prevention related evaluation efforts. Include a description of previous prevention related evaluation project, the project being evaluated, and evaluation methods used to evaluate outputs and outcomes.
- B. Demonstration of the vendor's ability to create or modify a baseline needs assessment in a social science project and how those needs were utilized in continuing quality improvement efforts.
- C. At least three (3) years' experience working with a social/behavioral Institutional Review Board (IRB), which is an independent committee responsible for approval, monitoring, and review of research projects that involve human subjects. Such experience may include: preparing evaluation plans for submission to an IRB, responding to IRB requests and recommendations, revising evaluation study plans as necessary, ensuring informed consent of participants, etc. The vendor, at minimum, shall:
 - 1. Indicate if the vendor either has an IRB in-house or if it has hired an IRB in the past. Identify the IRB and specify whether the IRB is a social/behavioral IRB; and,
 - 2. Describe how an effective relationship with the IRB has been established and maintained through an evaluation study, such as indicating how the corrective action plans were developed, implemented, and evaluated to ameliorate study concerns raised by an IRB.

Note: Preference will be given to vendors with an in-house social/behavioral IRB.

- D. At least five (5) years' experience in effectively safeguarding personally identifiable information—including, but not limited to—maintenance and use of statistical processing software and information processing technology with the capacity to securely collect, transfer, store, and maintain data files in compliance with state and federal standards, as outlined in the documents listed below (links are in the Reference Library, Section 2.4).
 - 1. Federal Policy for the Protection of Human Research Subjects.
 - 2. The ODJFS Personal Confidentiality Statement
- E. At least five (5) years' experience in grant management practices to complete grant activities with high quality results and within in the specified period of performance;
- F. At least five (5) years' experience in disseminating evaluation results from similar studies; and,
- G. At least two (2), but no more than three (3), letters of reference, within the submitted proposal (NOT submitted separately). These references must relate to work conducted within the past seven (7) years. Proposals may include evidence of multiple projects, or re-hire with the same organization.

Note: Preference will be given to references for successful program evaluation services/projects in child welfare or child abuse and neglect prevention.

The information provided for all of the above topics should include summary descriptions of all successfully completed projects, any notable accomplishments and outcomes, and contact information for customers that received the services provided—if not already included as a reference.

3.3 Staff Experience and Capabilities

Proposals are to demonstrate significant expertise by identifying leadership and key staff for this project. The vendor is to, at minimum:

- A. Identify a Lead Researcher with an advanced degree in Social Work, Social/Behavioral Science, Social Research, Public Administration, or a related discipline and a minimum of five (5) years' experience evaluating projects with child welfare populations, and similar experience in collecting and analyzing child welfare data;
- B. Identify all key staff (at minimum, a project manager) who must have, at minimum, a bachelor's degree in social work, social/behavioral science, social research, public administration or a related discipline with a minimum of five (5) years' experience in the social services field. Individuals with previous experience evaluating child welfare projects are preferred; and,
- C. Identify all prior experience working on projects of similar scope and size, as well as which key staff were responsible for executing the project deliverables. Vendors should identify the sponsor and funding source of the project, as well as the length of time spent on the project(s).

NOTE: It is the affirmative responsibility of the vendor to remove all personal confidential information (such as home addresses and social security numbers) of vendor staff and/or of any subcontractor and subcontractor staff from resumes or any other part of the proposal package. Following submission, proposals may become part of the public record.

SECTION IV. SCOPE OF WORK & SPECIFICATIONS OF DELIVERABLES

Proposals submitted in response to this RFP must reflect the vendor's understanding of, and commitment to perform this Scope of Work fully. The contractor will be responsible for the deliverable as described below in the Specification of Deliverables, including all preparatory and intervening steps, whether or not ODJFS/OCTF has explicitly specified or delineated them in this RFP, as well as in compliance with all elements of the Child Welfare Community Collaborations (CWCC) cooperative agreement, including, but not limited to, participating in activities and efforts as requested by Children's Bureau's national evaluator.

4.1 Proposed Scope of Work and Specification of Deliverables

OCTF is seeking a vendor to evaluate the Development of a Community-Based Prevention Model; Enhancing the Well-Being and Safety of Ohio's Children and Families pilot project. The selected vendor for the project will work with OCTF and identified project partners to complete Attachment F and implement an evaluation. Specifically, the vendor will complete the following:

- A. **Evaluation Design Report** – The selected vendor will be required to produce an Evaluation Design Report (EDR) that will provide the framework that identifies the evaluation study's various elements (e.g., participant population, units of analysis, type and rigor of the evaluation design, validity and potential threats, expected outcomes, data definitions and sources, data measurement and collection strategy) and describes the methods of analysis. The EDR will also include a refined logic model and theory of change. A description of the software and data systems that will be used in the performance of the evaluation study must also be included. Submission of the final EDR (with full response to OCTF, Children's Bureau (CB), and IRB comments, as well as completion of a data sharing agreement with the Ohio Department of Job and Family Services to link participant data to SACWS data) must be no later than June 30, 2020, with the goal to have an approved EDR by July 31, 2020, in order for implementation to begin in early August 2020, subject to Children's Bureau submission requirements.)

The selected vendor will communicate with OCTF, identified Children's Bureau staff, community and state implementation team members, and partners as needed during EDR development to ensure the design and data gathering processes are developed in consideration of system capabilities and confidentiality requirements and restrictions under all applicable federal and state laws and regulations.

The EDR must include the following components:

1. **Independent Literature Review** – A review that identifies research-based evidence on similar models, strategies or interventions; explains what the evidence demonstrates; and identifies any unanswered questions relevant to the Community-Based Prevention Model. It is recommended that the selected vendor explore literature or evidence reviews from other research and evaluation projects. The review shall:

- a. Include a summary of the findings of each study with a description of how it relates to the Community-Based Prevention Model and the evaluation plan. It should also include a description of study methods relevant to the overall design, types of data, methods for data collection and analysis, as well as the overall level of rigor of the design, implementation, and findings;
- b. Utilize the existing body of evaluation work to determine: the research questions that should be asked; the evaluation design and methods to employ; which program outcomes are appropriate; and how best to measure them; and,
- c. Describe how the evaluation will build upon the existing evidence; contribute additional information to the current base of evidence; and enhance the broader workforce system or contribute to the workforce evaluation literature.

2. **Evaluability Assessment** – A qualitative investigation that:

- a. Utilizes existing, preliminary OCTF grant documents (i.e. objectives, logic model, theory of change, etc.) to inform the activities of the project. A final refined logic model and theory of change should be developed, which should:
 - (1) Reflect the literature review findings and support the research questions selected for the evaluation; and,
 - (2) Appropriately and accurately depict the goals, assumptions, objectives, inputs, activities, outputs and outcomes for the proposed program.
 - b. Establishes appropriate methodology and resource requirements for the evaluation;
 - c. Addresses the likelihood of the project achieving its anticipated outcomes; and,
 - d. Describes the methods to measure whether expected results are achieved.
3. **Data Security Plan** – The Evaluator must include a plan for protecting participant privacy and for data security. The data security plan must adhere to all applicable ODJFS/OCTF requirements, including Attachment E, in addition to all Children’s Bureau requirements. The plan must be in compliance with all state and federal laws.

4. **Target Area Needs Assessment** – The EDR must include a target area needs assessment of Columbiana, Mahoning, and Trumbull Counties that examines and reviews all previously collected data sources necessary to inform an effective evaluation of the Community-Based Prevention Model and presents them in a report that will serve as a baseline for the target population, services and evaluation. The needs assessment data sources must inform the development of the project, including information directly related to child maltreatment and child maltreatment prevention. The Target Area Needs Assessment must include:

- a. A quantitative analysis which reviews relevant data sources related to implementation of the Community-Based Prevention Model and child maltreatment and well-being within Columbiana, Mahoning, and Trumbull Counties, including those already collected by the Northeast Ohio Regional Comprehensive Baseline Needs Assessment, any data being collected by state and local agencies and courts, as well as occasional one-time original data collection efforts.
- b. Conduct an environmental scan to identify significant trends, issues, and developments in the area of child well-being, identifying current strategies and gaps of service throughout the area. This includes conducting a service array of available child and family serving programs within each county, the eligibility requirements of each service, a description of the services available, the entity providing the services, and the number of participants utilizing each service. This will be utilized to reassess the barriers and challenges to community-based and integrated family support services that are specific to the geographical area(s) to be targeted, including legal barriers.
- c. Gather qualitative data to inform the evaluation design and appropriate services resulting from attending and participating in County and State Implementation Teams that include parents and youth with lived experiences, agencies, coalitions, stakeholders, local providers, etc. The Evaluator should plan to attend at minimum at least two County Implementation Team meetings for each county. State Implementation Team meetings will occur at minimum quarterly. More may be conducted if possible or necessary.
- d. Include any additional quantitative or qualitative data that will inform the Community-Based Prevention Model service delivery, including any data that assists in identifying community partners, service providers, and stakeholders who will be integral to implementing services effectively.
- e. Prepare and submit a final target area needs assessment report to the OCTF and to the County and State Implementation Teams no later than **June 15, 2020**.

5.

Assessment and Evaluation Toolkit – The Evaluator will work with the state and county implementation teams, community stakeholders, service providers, program developers, and OCTF, and any other identified partners to develop and/or identify assessments and evaluations that will be utilized during the implementation of the Community-Based Prevention Model. The assessments will include:

- a. Assessments and evaluations required for program fidelity;
- b. Assessments developed by the Evaluator to determine the efficacy of a program to be implemented through the Model;

- c. Consent forms, subject to approval by OCTF, IRB, and CB, for program participants to be included in the evaluation study.
- d. Intake form development to collect all necessary information for families served through the grant. The Evaluator should utilize the OCTF intake form and make revisions as needed;
- e. Report development to be utilized by all involved staff to be submitted to the OCTF and the Children's Bureau;
- f. Activity Logs to be utilized by family coaches in each county to record the nature of their interaction with clients. For parenting education programs, such information would include the location, duration, content, and number of participants for each session. For I/R, financial literacy services, concrete supports, and family coaching and consultation, the staff will record each contact with clients, the types of support, information, and services provided. These efforts will address the core components of the community-based project that were implemented and how they were delivered to families and communities, whether they were implemented as intended, and to what extent the services integrated within the existing systems of these targeted counties; and

- g. Intervention Observation to be utilized by the Evaluator to ensure that evidence-based programs are implemented with fidelity. The Evaluator will be tasked with developing a report to record the observations of the project consultant and family coaches in each county as they administer each of the six pillars of service categories proposed in the Community-Based Prevention Model. (Refer back to the table in Section 1.3, specifically referencing the six categories outlined in the Service Array, (1) Family Coaching, (2) Parenting Skills, (3) Basic Life Skills, (4) Financial Literacy, (5) Concrete Supports, and (6) Information and Referrals).

The Evaluation must also provide information and reports needed for the semi-annual and annual reports due to the Children's Bureau, as well as any other reports required by the OCTF. An Assessment and Evaluation Toolkit will be developed, which will include detailed Evaluation Administration instructions for each evaluation tool as well as a roadmap describing the tools and intended outcomes measured, which must be submitted to the OCTF for approval no later than **June 30, 2020**.

- B. **Process Evaluation** – Upon implementation, which begins August 1, 2020 through September 29, 2024, a process evaluation will be conducted that explores and explains the extent to which activities were implemented as intended and to describe the characteristics of the clients served through the Community-Based Prevention Model. The process evaluation should provide context and information that make evaluation results more useful and informative for future program development or replication and should be performed in consideration of the following:

- 1. The selected vendor must design the process study plan and submit the plan to OCTF by **June 30, 2020**. The actual work of the process study will be performed upon OCTF's approval of the study plan, estimated at August 1, 2020;

2. The process study plan must identify specific and relevant research questions (See Appendix C), instruments, data sources, and data collection methods appropriate for the study. Process evaluations often involve gathering data from participant/stakeholder interviews, observations, and other methods;
3. The process evaluation should include a process to track the fidelity of implementation and determine whether the Community-Based Prevention Model was implemented as designed. Additionally, the process evaluation should include project data on participation and completion rates; and,
4. The process evaluation should include a report, semi-annually (April and October) that describes the events/activities that transpire during the Project implementation period, the components that worked well and those that were problematic, as well as solutions to improve the process during future periods.

C.

Performance Evaluation - The performance evaluation, which begins August 1, 2020 through September 29, 2024, will involve regular examination of ongoing processes and progress toward outcomes as well as devising organizational structures that will ensure the information we learn from the process evaluation is employed for continuous quality improvement. There are three specific objectives to this performance evaluation. The performance evaluation requires the Evaluator to:

1. Design the performance evaluation plan and submit the plan to OCTF by **June 30, 2020**. The actual work of the performance evaluation will occur upon OCTF's approval of the plan, estimated at August 1, 2020;
2. **Provide ongoing feedback to family coaches and service providers on the extent to which the program is being implemented as planned.** To meet this goal, the process evaluation data will be assessed quarterly to understand whether the program is adhering to the processes and protocols set forth before program implementation. The evaluator will provide quarterly quality assurance reports to the program providers on the identified metrics in the process evaluation. Providing this information regularly will allow for identifying issues early and making any necessary modifications. The evaluators will meet quarterly (either in-person or remotely) with family coaches, the program consultant, providers, and stakeholders.
3. **Provide regular feedback to program providers on the extent to which the program is meeting its predetermined goals.** During the planning phase of the OCTF's project with the CB (October 2019 through July 2020), the relevant stakeholders involved in the pilot project, led by the evaluator (once procured), will identify quarterly achievement goals for the outcome evaluation. During implementation, (August 2020 through September 2024) the evaluator will assess the extent to which the programs are meeting these quarterly targets and will report findings quarterly on progress and gaps.
4. **Make recommendations related to adjustments to program delivery.** First, at the time of the outcomes post-test, participant will be asked about their satisfaction with services,

including whether they feel that they have made positive changes in their life based on their goals. Second, qualitative surveys will be provided to program staff annually to understand barriers to implementation. Third, in the quarterly meetings with program providers and stakeholders, where the evaluators provide the quality assurance information, providers will be asked to report their perceptions for any targets not met.

The information generated from these sources will be examined through two defined organizational structures: 1) project staff across all activities and programs within each county; and 2) at the regional prevention council level. Each of these groups will meet quarterly to review and discuss data from the performance evaluation and refer suggestions to the project partners. This information will also be utilized to develop a plan to support the continuation of the services beyond the life of the current project period.

D. **Outcome Evaluation** – An outcome evaluation based on the data gathered and analyzed during the Project implementation period of August 1, 2020 through September 29, 2024 will be conducted. This evaluation will occur within a larger, cross-site evaluation conducted amongst all *Community Collaborations* recipients. The outcome evaluation will examine the immediate, intermediate, and final results of the Project in comparison to the findings included in the Target Area Needs Assessment and subsequent points of measurement. The aggregated results will be included in the Final Evaluation Report. The selected vendor must design the outcome evaluation plan and submit the plan to OCTF by **June 30, 2020**. The actual work of the outcome evaluation will occur upon OCTF's approval of the plan, estimated at August 1, 2020. The selected vendor will conduct the outcome evaluation to comprehensively examine the impact of the program on strengthening families and increasing the capacity of the community, evaluating at minimum the following goals:

1. To increase the awareness of the community pertaining to prevention services;
2. To examine the effects of the community-based model to reduce family risk factors such as lack of knowledge of child development and parenting skills, homelessness, or transient household members, substance abuse or mental health problems, poverty, and unemployment, social isolation, family violence, and poor or negative parent-child interactions;
3. To examine the effects of the program on reducing new referrals to the child welfare agency as well as entry into foster care for children in kinship care;
4. To increase families' protective factors, inclusive of caregiver resiliency, social connections, knowledge of parenting and child development, concrete support in times of need, and social and emotional competence of children; and
5. To improve safety and well-being for children and families involved in the program.

Vendors must submit a plan to demonstrate how they will use a comparison group between those families served and a control group, possibly from families on a waitlist or comparable families similarly situated from a nearby county, for completion of pre-test and post-test measure. The evaluator is responsible for obtaining IRB approval.

Vendors must provide a plan to collect outcome measures according to a plan to be developed by the Administration for Children and Families (ACF) to ensure common measurement collection across Child Welfare Community Collaborations grantees. The Evaluator must clean and submit that data to CB's identified national evaluator.

The selected evaluator will assess the independent and added effects of these community and family coaching services.

The primary data source for Goal (2) (reduced referrals to the public child welfare agency and entry into foster care) of the outcome evaluation is Ohio's Statewide Automated Child Welfare Information System (SACWIS), which is a statewide comprehensive case management computer system designed to document case information, manage services, and maintain data for decision making. SACWIS stores comprehensive case information that will allow examination of new referrals made to CPS, re-referrals for child maltreatment investigations, entry into foster care, and length of stay in foster care placement. The OCTF is the lead grant applicant; its administrative agent is the Ohio Department of Job and Family Services (ODJFS), which administers SACWIS. The Evaluator will establish a data sharing agreement with ODJFS, as well as the organizations employing the Family Coaches and Program Consultant, to provide evaluators with access to the child welfare data every three, six, 12 and 24 months during the study. The Evaluator will ensure that all necessary data sharing agreements are in place by August 1, 2020.

A series of caregiver and child measures will be constructed to assess whether participation in the community-based program is related to changes in parenting behavior as measured by the Protective Factors Survey (Goal 4) at minimum.

Individual evidence-based program evaluation surveys will also be administered to address additional changes in parenting behavior, as well as reductions in family risk factors (Goal 2 and Goal 4).

Information will also be collected on caregivers' adverse childhood experiences (ACEs), as well as their screening assessment pertaining to substance misuse or mental health concerns via the UNCOPE (Goal 5). Trauma symptoms are measured by the Trauma Symptoms Checklist for Young Children and the Trauma Symptoms Checklist (Goal 5).

Caregivers will also be surveyed regarding the success of the program in helping them access needed resources, in addition to improvement in their financial stability. The surveys will be administered primarily through a secure online data collection platform, e.g. Qualtrics, hosted on a secure server by the evaluator. Family coaches will be responsible for assisting the families in completing the various programmatic surveys and screening tools and will enter the results in the proposed system if the family does not feel comfortable entering the data themselves.

For Goal 3, we will use SACWIS data to assess referrals to the child welfare agency and entry into foster care – two primary aspects of child maltreatment. Referrals to a child welfare agency will be assessed using data on reports made to CPS for child abuse and neglect (e.g., number of allegation reports), and investigation outcomes (substantiated vs. unsubstantiated).

For Goal 1, we will track referral sources and how individuals accessed services in the three pilot counties to determine over time whether there is an increase in agencies referring families to community-based serves, and additionally, whether families are utilizing word of mouth to self-refer into services.

Outcomes	Construct & Measure	Description	Source
Goal 1 Increase community awareness	Awareness of Prevention Services <i>Referral source on intake form</i>	Agency referral source with addition of self-referral or word of mouth	Intake Forms
Goal 2 Reduce family risk factors	Risk factors ACEs CTAC UNCOPE <i>Other Screenings Identified During the Planning Phase</i>	Various screening tools ranging in length to assess past childhood trauma, mental health and substance misuse	Screening Assessment
Goal 3 Reduced new referrals & entry into CPS and foster care	Child maltreatment <i>CPS case records</i>	<ul style="list-style-type: none"> • Referrals to the child welfare system • CPS investigation outcome • Foster care placement • Length of stay in foster care 	SACWIS
Goal 4 Increased protective factors	Protective factors <i>The Protective Factors Survey (PFS)</i>	<ul style="list-style-type: none"> • 20-item, self-report measure 	Surveys
Goal 5 Improved child and family health and safety	Family Health and Stability TSCYC TSCC <i>Family Support Program Outcomes Survey</i>	<ul style="list-style-type: none"> • 54-item, self-report measure (trauma related survey) • 15-item, self-report measure (family support outcomes survey) 	Surveys

E. **Evaluation Timeline** – The selected vendor must submit a timeline that reflects sufficient time and resources to effectively implement the evaluation study in accordance with the timelines outlined in Appendix D. The timeline should:

1. Clearly show that the evaluation plan is feasible and appropriately aligned with the program components and schedule;
2. Include all relevant evaluation activities, such as: time for planning and design of the evaluation study; meetings with pilot areas and partner agencies, OCTF, ODJFS, CB; obtaining IRB approval; participant enrollment; baseline data collection; administrative data collection; quality control activities; analysis of data; cleaning data of personally identifiable information; reporting (interim and final); and distribution; and,
3. Identify the individual(s), pilots and/or partner(s) responsible for evaluation activities.

- F. **Evaluation Budget** – The selected vendor will develop a budget for evaluation study costs. This should include all costs to conduct the evaluation activities outlined in this scope of work and deliverables. The submitted evaluation budget should include estimated costs to support the following required travel activities:

1. Travel to attend an annual two-day grantee meeting in Washington D.C., to occur each Federal Fiscal Year.
2. With the exception of any unanticipated delays in the procurement process, travel to attend, three (3) site visits, to other jurisdictions within the United States to learn about promising community-based, prevention-focused programs that are focusing on similar needs for similar populations, to be determined in collaboration with the OCTF and the Children’s Bureau.
3. Travel to attend the County Implementation Team meetings, estimating at minimum, two (2) per each county during the planning phase of October 2019 – July 2020.
4. Travel to attend the State Implementation Team meetings, estimating at minimum one quarterly meeting throughout the duration of the grant.
5. Travel for any other subsequent meetings the Evaluator deems necessary to develop all required components as outlined in the Scope of Work.

**Please note – all travel costs must adhere to the State of Ohio rates, where applicable.

Should the selected Evaluator, in the course of developing the EDR and the plans for process, performance, and outcome evaluation, determine that the amounts per state fiscal year and/or the overall total in the Cost Proposal do not accurately reflect the costs that are entailed with the evaluation study, the selected vendor must develop a revised budget and a narrative that explains the proposed increased costs and the justification for them. The budget will be subject to OCTF’s approval prior to submission to the Children’s Bureau. If approved by all three parties, a contract amendment will be required before ODJFS may be billed under the revised budget.

- G. **Dissemination** – The Project includes a Dissemination Plan that describes the methods OCTF will use to share information on the Community-Based Prevention Project with child and family serving agencies and professionals on the local, state, and national levels. The quarterly, semi-annual, annual, and final reports will be included among the information shared, but OCTF may request the selected vendor assist in planning and preparation of materials for presentations or webinars or may request participation in such activities.

Data collected through the local evaluation must be made available to the OCTF, Children’s Bureau (CB), and the CB’s national evaluator, with appropriate privacy safeguards in place.

- H. **Final Evaluation Report** – Comprehensive report of the evaluation study results that will include aggregated outcomes, best and most promising practices, and lessons learned. The specific components required for the final evaluation report will be developed by the selected vendor

following and during the EDR process and with consultation from the OCTF and the Children's Bureau.

- I. **Administration** – Additionally, to be considered for award, the selected Evaluator must demonstrate its ability to effectively manage the evaluation study from design to completion and to effectively coordinate and collaborate with OCTF, the implementation teams, the IRB, ODJFS, the Children's Bureau, and all other identified partners and stakeholders. The selected vendor will cooperate with OCTF as necessary for purposes relevant to oversight and monitoring.

- J. **Technical Assistance** – Provide reporting and technical assistance throughout the duration of the five-year grant period. Specifically, the selected Evaluator will be required to:

1. Collect and analyze data for reports, including mandated federal reports, reports to the County and State Implementation Teams and/or the Children's Bureau and National Cross-Site evaluators, as well as semi-annual and annual progress and final reports, etc.;
2. Provide technical assistance to selected service providers throughout the grant funding period. This may include, but not be limited to, providing training on administering the Evaluator developed and program required assessment tools, as well as training project staff on completing required forms and reports;

In addition to providing technical assistance to service providers, the Evaluator is required to participate in monthly Technical Assistance (TA) calls with the Children's Bureau, as well as any other required evaluation TA calls and meetings.

4.2 Number of Participants

The OCTF estimates that approximately 600 unique families across the three counties will participate in the Model over the course of the project. It is anticipated that the total number of individuals served, including caregivers and children, might range from 1,800 to 2,400 individuals. This sample size assumes that each family coach would have a caseload of up to 20 families at a time, with a maximum possible length of service per family up to 180 days. Given this, after the planning period, we anticipate approximately 150 families will be referred quarterly between the three intervention counties, and that this sample size will be able to detect significant improvements in the project's desired outcomes.

4.3 Administrative Structures—Proposed Work Plan

Vendors are to include, at minimum, the following administrative structures and technical approach for the proposed work plan. The vendor shall:

- A. State the key objectives of the proposed project. Vendors are advised to refrain from simply restating the objectives as identified in Section 1.4 of this RFP;
- B. Provide a technical approach and work plan to be implemented. This includes a proposed timeline for the project;

- C. Provide a status reporting procedure for reporting work completed, and resolution of unanticipated problems;
- D. Provide a timeline for each component of the scope of work and the project overall including the staff hours for personnel involved. Include a Table of Organization (including any subcontractors) and a chart showing the number of hours devoted to the project by vendor or subcontractor staff. Specify the key management and administrative personnel who will be assigned to this project. The vendor must provide the percentage of time each key management person will devote to the project.

4.4 Selected Vendor Compensation Structure

Vendors are to propose their firm, fixed, all-inclusive cost. The minimum required amount of funds to be expended on evaluation services is approximately \$54,325.00 for each federal fiscal year and the OCTF is able to expend up to \$100,000. Please use your business expertise to budget for this project within the funding parameters provided. Vendors are to use their expertise in pricing the work described in this RFP, taking into consideration any intervening steps or activities that must be performed in order to complete the work, even if OCTF does not explicitly identify those intervening costs in this RFP, and offer their Cost Proposals accordingly. Costs are expected to be broken down by each activity within each deliverable. No separate travel expenses or any other type of expenses will be paid under the contract to result from this RFP.

Indirect Costs: The maximum indirect rate for OCTF cannot exceed 10% of program and/or project costs.

SECTION V. CONDITIONS AND OTHER REQUIREMENTS

5.1 State Contracts

Vendors must list any current contracts held with State of Ohio agencies. The list must indicate the purpose of the contract, the amount of the contract, the time period covered by the contract, and the percentage of the project completed. Vendors must report this information in the Required Vendor Information and Certifications Document (Attachment A.) and include the completed document in the proposal as specified in Section 6.2, A. of this RFP.

5.2 Interview

Vendors may be requested to participate in an in-depth interview as part of the evaluation process. The interview, if necessary, will include participants from the [Ohio Children's Trust Fund and State and/or County Implementation Teams](#). ODJFS reserves the right to select responding vendors for interviews and may not interview all vendors. The vendor shall bear all costs of any scheduled interview.

5.3 Start Work Date

The selected vendor must be able to begin work no later than seven (7) business days after the time funds are encumbered and approved by the Office of Budget and Management. The selected vendor will be notified by the ODJFS Contract Manager when work may begin.

5.4 Proposal Costs

Costs incurred in the preparation of this proposal are the responsibility of the vendor; ODJFS will not contribute in any way to the costs of the preparation.

5.5 Trade Secrets Prohibition; Public Information Disclaimer

Vendors are prohibited from including any trade secret information as defined in ORC 1333.61 in their proposals in response to any ODJFS procurement effort. ODJFS shall consider all proposals or similar responses voluntarily submitted to any ODJFS procurement document to be free of trade secrets, and such proposals if opened by ODJFS will, in their entirety, be made a part of the public record.

Any proposals submitted in response to any ODJFS procurement efforts which make claims of trade secret information shall be disqualified from consideration immediately upon the discovery of such unallowable claim.

All proposals and any other documents submitted to ODJFS in response to any procurement effort shall become the property of ODJFS. This RFP and, after the selection of a vendor for award, any proposals received in response to solicitation that have been opened, reviewed and considered by ODJFS are deemed to be public records pursuant to ORC 149.43. For purposes of this section, the term “proposal” shall mean both the Technical Proposal and the Cost Proposal submitted by a vendor, and, if opened, any attachments, addenda, appendices, or sample products.

5.6 Contractual Requirements

- A. Any contract resulting from the issuance of this RFP is subject to the terms and conditions as provided in the model contract, which is included as Attachment B. of this RFP;
- B. Many of the terms and conditions contained in the model contract (Attachment B.) are required by state and/or federal law; however, the vendor may propose changes to the model contract by annotating the model. Any changes are subject to ODJFS review and approval;
- C. Payments for any and all services provided pursuant to the contract are contingent upon the availability of state and federal funds;
- D. All aspects of the contract apply equally to work performed by any and all subcontractors;
- E. As a condition of receiving a contract from ODJFS, the contractor, and any subcontractor(s), shall certify compliance with any court order for the withholding of child support which is issued pursuant to Section 3119, 3121, 3123, and 3125 of ORC. The contractor, and any subcontractor(s), must also agree to cooperate with ODJFS and any Ohio Child Support Enforcement Agency in ensuring that the contractor or employees of the contractor meet child support obligations established under state law; and
- F. By signing a contract with ODJFS, a vendor agrees that all necessary insurance is in effect.

5.7 Travel Reimbursement

Travel should be included in the overhead, per diem, or the hourly rates which are built into the cost of the deliverables. Travel is not to be listed separately unless otherwise specified in Section 6.2, B., Cost Proposal, of this RFP.

5.8 Minority Business Enterprise

The State of Ohio and ODJFS are committed to making more contracts and opportunities available to Ohio-certified Minority Business Enterprises (MBEs), as defined by ORC Section 122.71 and certified by the Department of Administrative Services (DAS). ODJFS is required by Section 125.081(B) and 123.151 of ORC to award a minimum of fifteen percent (15%) of its total procurements to vendors certified as MBEs. If the proposal is not submitted by an Ohio-certified MBE, the vendor is strongly encouraged to subcontract a minimum of fifteen percent (15%) of the total contract price to one or more Ohio-certified MBEs through a competitive selection process. The contractors shall make a good faith effort to seek MBE subcontractors throughout the life of the contract.

The proposal must clearly indicate the name of the proposed Ohio-certified MBE vendor(s), if known at the time of proposal submission, and the exact nature of the work to be performed under the proposed subcontract. The proposal must include a letter from the proposed MBE, signed by a person authorized to legally bind the subcontractor, indicating the following:

- A. The subcontractor's legal status, federal tax ID number, and principle business address;
- B. The name, phone number, and e-mail address of a person who is authorized to legally bind the subcontractor to contractual obligations;
- C. A complete description of the work the subcontractor will do;
- D. A commitment to do the work, if the vendor is selected;
- E. A statement that the subcontractor has read and understands the RFP, the nature of the work, and the requirements of the RFP; and
- F. A copy of the Ohio MBE certificate.

NOTE: There may be no dollar amounts of any kind included with the MBE information; inclusion of dollar amounts will result in the disqualification of the vendor's entire proposal.

A listing of Ohio certified MBEs can be accessed through the Ohio Department of Administrative Services (DAS) Web Site at: <https://eodreporting.oit.ohio.gov/mbe-certification>.

While ODJFS strongly encourages the use of MBE subcontractors, the vendor's use of an MBE subcontractor will have no effect on vendors' technical scores or on final contractor selection for this RFP, unless Section VII, Criteria for Proposal Evaluation and Selection of this RFP, and/or the Technical Proposal Score Sheet for this RFP, affirmatively establish an MBE participation criterion.

5.9 Subcontractor Identification and Participation Information

Any vendors proposing to use a subcontractor for any part of the work described in this RFP must clearly identify the subcontractor(s) and their tasks in their proposals. The proposal must include a letter from the proposed subcontractor(s), signed by a person authorized to legally bind the subcontractor, indicating the following:

- A. The subcontractor's legal status, federal tax ID number, and principle business address;
- B. The name, phone number, and e-mail address of a person who is authorized to legally bind the subcontractor to contractual obligations;
- C. A complete description of the work the subcontractor will do;
- D. A commitment to do the work, if the vendor is selected; and
- E. A statement that the subcontractor has read and understands the RFP, the nature of the work, and the requirements of the RFP.

NOTE: There may be no dollar amounts of any kind included with subcontractor information; inclusion of dollar amounts will result in the disqualification of the vendor's entire proposal.

5.10 Public Release of Evaluations and/or Reports

Public release of any evaluation or monitoring reports funded under the contract resulting from this RFP will be made only by ODJFS. Prior to public release of such reports, ODJFS must have at least a thirty (30) day period for review and comment.

5.11 Confidentiality

All contracts will require that the contractor and any subcontractor(s) maintain the confidentiality of information and records which state and federal laws, rules, and regulations require to be kept confidential other than to fulfill the contractual duties of specified in this RFP. The contractor, and any subcontractors, agree to be bound by the same standards of confidentiality that apply to the employees of ODJFS and the State of Ohio. Any violation of confidentiality will result in an immediate termination of the contract, and may result in legal action.

5.12 Key Personnel

ODJFS may require a clause in the resulting contract regarding key personnel in that any person identified as critical to the success of the project may not be removed without reasonable notice to ODJFS, and replacements will not be made without ODJFS approval.

5.13 Ethical & Conflict of Interest Requirements

- A. No contractor or individual, company or organization seeking a contract shall promise or give to any ODJFS employee anything of value that is of such character as to manifest a substantial and improper influence upon the employee with respect to his or her duties;

- B. No contractor or individual, company or organization seeking a contract shall solicit any ODJFS employee to violate any of the conduct requirements for employees;
- C. Any contractor acting on behalf of ODJFS shall refrain from activities which could result in violations of ethics and/or conflicts of interest. Any vendor or contractor who violates the requirements and prohibitions defined here or of Section 102.04 of ORC is subject to termination of the contract or refusal by ODJFS to enter into a contract; and
- D. ODJFS employees and contractors who violate Sections 102.03, 102.04 2921.42 or 2921.43 of ORC may be prosecuted for criminal violations.

5.14 Health Insurance Portability & Accessibility Act (HIPAA) Requirements

As a condition of receiving a contract from ODJFS, the contractor, and any subcontractor(s), will be required to comply with 42 U.S.C. Sections 1320d through 1320d-8, and the implementing regulations found at 45 CFR Section 164.502 (e) and Sections 164.504 (e) regarding disclosure of protected health information under the Health Insurance Portability and Accountability Act (HIPAA) of 1996. Protected Health Information (PHI) is information received by the contractor from or on behalf of ODJFS that meets the definition of PHI as defined by HIPAA and the regulations promulgated by the United States Department of Health & Human Services, specifically 45 CFR 160.103 and any amendments thereto. The selected vendor can reasonably anticipate HIPAA language in the contract that results from this RFP.

In the event of a material breach of contractor obligations under this section, ODJFS may at its option terminate the contract according to provisions within the contract for termination.

5.15 Waiver of Minor Proposal Errors

ODJFS may, at its sole discretion, waive minor errors or omissions in vendors' Technical and/or Cost Proposals or forms when those errors do not unreasonably obscure the meaning of the content.

5.16 Proposal Clarifications

ODJFS reserves the right to request clarifications from vendors of any information in their Technical and/or Cost Proposals or forms, and may request such clarification as it deems necessary at any point in the proposal review process.

5.17 Contractual Requirements and Prevailing Wage Requirements

Any contract resulting from the issuance of this solicitation is subject to the terms and conditions as provided in the model contract, which is provided as Attachment B. to this RFP. Additionally, the contractor will be required to comply with prevailing wage standards, as established in ORC 4115.03-4115.16.

5.18 Unresolved Findings for Recovery (ORC 9.24)

ORC Section 9.24 prohibits ODJFS from awarding a contract to any entity against whom the Auditor of State has issued a finding for recovery, if the finding for recovery is "unresolved" at the time of award. By submitting a proposal, the vendor warrants that it is not now, and will not become, subject to an "unresolved" finding for

recovery under ORC 9.24 prior to the award of any contract arising out of this RFP, without notifying ODJFS of such finding. ODJFS will review the Auditor of State's website prior to completion of evaluations of proposals submitted pursuant to this RFP. ODJFS will not evaluate a proposal from any vendor whose name, or the name of any of the subcontractors proposed by the vendor, appears on the website of the Auditor of the State of Ohio as having an "unresolved" finding for recovery.

5.19 Mandatory Contract Performance Disclosure

Each proposal must disclose whether the vendor's performance, or the performance of any of the proposed subcontractor(s), under contracts for the provision of services that are the same or similar to those to be provided for the project which is the subject of this RFP has resulted in any "formal claims" for breach of those contracts. For purposes of this disclosure, "formal claims" means any claims for breach that have been filed as a lawsuit in any court, submitted for arbitration (whether voluntary or involuntary, binding or not), or assigned to mediation. If any such claims are disclosed, vendor shall fully explain the details of those claims, including the allegations regarding all alleged breaches, any written or legal action resulting from those allegations, and the results of any litigation, arbitration or mediation regarding those claims, including terms of any settlement. While disclosure of any formal claims in response to this section will not automatically disqualify a vendor from consideration, at the sole discretion of ODJFS, such claims and a review of the background details may result in the disqualification of a vendor proposal. ODJFS will make this decision based on its determination of the seriousness of the claims, the potential impact that the behavior that led to the claims could have on the vendor's performance of the work, and the best interests of ODJFS.

5.20 Mandatory Disclosures of Governmental Investigations

Each proposal must indicate whether the vendor and any of the proposed subcontractor(s) have been the subject of any adverse regulatory or adverse administrative governmental action (federal, state, or local) with respect to vendor's performance of services similar to those described in this RFP. If any such instances are disclosed, the vendor must fully explain, in detail, the nature of the governmental action, the allegations that led to the governmental action, and the results of the governmental action including any legal action that was taken against vendor by the governmental agency. While disclosure of any governmental action in response to this section will not automatically disqualify a vendor from consideration, at the sole discretion of ODJFS, such governmental action and a review of the background details may result in a disqualification of the vendor proposal. The decision by ODJFS on this issue will be based on a determination of the seriousness of the matter, the matter's potential impact on the vendor's performance of the work, and the best interests of ODJFS.

5.21 Mandatory Disclosures of Work Location

Proposals must explicitly state the location(s) (city, county, state) where work described in this RFP would be performed, whether by the vendor or by any subcontractors.

5.22 Vendor Selection Restriction

Any vendor deemed not responsible, or who has submitted a proposal deemed not to be responsive to the terms of this RFP, shall not be awarded the resulting contract.

5.23 Prohibition Against Services Performed Outside the United States

Pursuant to Governor’s Executive Order 2011-12K, no public funds shall be spent on services provided offshore. All vendors seeking an award of an ODJFS contract must attest that no funds provided by ODJFS would be used to purchase services provided outside the United States or to contract with a subcontractor who will use the funds to purchase services provided outside the United States. This required attestation is identified as the “Location of Business Form” included in the “Required Vendor Information & Certifications Documents,” provided as Attachment A. The entire form must be printed, completed, and signed by the interested vendor’s authorized representative, and returned to ODJFS as a component of the vendor Technical Proposal. Failure to properly complete and sign Attachment A. will result in the disqualification of the proposal from consideration.

5.24 Combating Trafficking In Persons

Any contractor doing business with ODJFS must be in compliance with the Federal Acquisition Regulation (FAR) for Combating Trafficking in Persons, 48 CFR Subpart 22.17, in which “the United States Government has adopted a zero-tolerance policy regarding trafficking in persons.” The provisions found in 48 CFR Subpart 52.2, specifically Subpart 52.222-50, will be incorporated into the resulting ODJFS contract by reference.

Additional information on identifying Human Trafficking may be found at:
<http://powerhost.powerstream.net/008/00153/HumanTrafficking.wmv>.

SECTION VI. PROPOSAL FORMAT & SUBMISSION

6.1 Proposal Submission

The proposal must be prepared and submitted in accordance with instructions found in this section and must be received by ODJFS, OCA no later than 3:00pm E.S.T. on March 30, 2020. Proposals received after this date and time will not be reviewed. Material mailed or submitted separately from the proposal packet will not be accepted or added to the proposal by staff of ODJFS. Faxed applications will not be accepted. Applications must be addressed to:

Office of Contracts & Acquisitions
Ohio Department of Job and Family Services
30 East Broad Street, 31st Floor
Columbus, OH 43215

For hand delivery on the due date, vendors must allow sufficient time for traffic incidents, downtown parking considerations, and for security procedures in the lobby of the Rhodes Office Tower (address above) and again on the 31st Floor. OCA will accept proposals at any time during normal ODJFS business hours prior to the posted submission deadline.

All proposals must be received by mail or hand delivery by the above date and time. Materials received after the submission deadline will not be included in previous submissions nor be considered. No confirmations of mailed applications received will be sent. ODJFS is not responsible for proposals incorrectly addressed or for proposals delivered to any ODJFS location other than the address specified above.

Submission of a proposal indicates acceptance by the vendor of the conditions contained in this RFP and model contract (Attachment B), unless clearly and specifically noted in the proposal submitted and confirmed in the contract between ODJFS and the selected vendor.

The entire Technical Proposal should be submitted in a sealed envelope/package labeled “**TECHNICAL PROPOSAL ENCLOSED FOR RFP JFSR2021068175R, RFP TITLE, SUBMITTED BY [VENDOR’S NAME].**” The Technical Proposal is defined as any part of the proposal, either as required by ODJFS or sent at vendor’s discretion, such as work plan, resumes, letters of recommendation, letters of cooperation from any subcontractors, etc., which is not specifically identified by ODJFS as a required component of the separate, sealed Cost Proposal.

ODJFS requires proposal submissions in both paper and electronic format. The requested CD-ROMs would be used for storage and archiving purposes only; and not for purposes of application evaluation. Compliance with this request is a mandatory requirement for all ODJFS RFP for contract awards, as the agency lessens its dependence upon paper records.

Along with the Technical Proposal, the vendor must submit the Cost Proposal in a separate, sealed envelope labeled: “**DO NOT OPEN. COST PROPOSAL ENCLOSED FOR RFP JFSR2021068175R, RFP TITLE, SUBMITTED BY [VENDOR’S NAME].**” A CD-ROM copy of the Cost Proposal must include all Cost Proposal components, including any required or voluntary attachments. The CD-ROM containing the Cost Proposal must be submitted in the sealed envelope containing the hardcopy Cost Proposal. Both CD-ROMs must be labeled with the vendor’s name, the RFP number, and the proposal submission date or proposal due date, at minimum.

The proposal must be prepared and submitted in accordance with instructions found in this section. The proposal submission must be comprised of:

- A. Five (5) paper copies (one [1] signed original and four [4] copies) and one (1) CD-ROM copy of the Technical Proposal;
- B. Three (3) paper copies (one [1] signed original and two [2] copies) and one (1) CD-ROM copy of the Cost Proposal, in a sealed, separate envelope.

The entire Technical Proposal should be converted into one single secure .pdf document saved to the Technical Proposal CD-ROM submitted to ODJFS. If the proposal’s size necessitates more than a single .pdf document, vendors should use the fewest separate .pdf documents possible.

NOTE: It is the vendor’s affirmative responsibility to ensure that all copies and all formats of the proposal are identical. Any pages or documents omitted from any or all copies can negatively affect the vendor’s score and possibly result in the vendor’s disqualification. In the event of any discrepancies or variations between copies, ODJFS is under no obligation to resolve the inconsistencies and may make its scoring and vendor selection decisions accordingly, including the decision to disqualify the vendor.

6.2 Format for Organization of the Proposal

In developing their proposals, vendors must fully and appropriately plan and price their proposed projects (cost information must be restricted to the Cost Proposal only), including all necessary preparatory and intervening steps, regardless of whether those steps are delineated in this RFP. The vendor’s Technical Proposal must

contain the following components, at minimum. It is mandatory that proposals be organized in the following order and that wherever appropriate, sections of the proposal should make reference by section number to those RFP requirements to which they correspond.

A copy of the Technical Proposal Score Sheet is provided as Attachment C. of this RFP. Vendors are strongly encouraged to use the score sheet to check their proposals for quality, compliance, and completeness prior to submission.

A. Proposal Organization

The vendor's Technical Proposal must contain the following components, organized in primary tabs and divided into sub-tabs, as described below. Any other information thought to be relevant, but not applicable to a specific RFP section may be included in the proposal and so marked as an additional tab. ODJFS reserves the right not to review submitted appendices which include information or materials not required in the RFP. All pages beyond Tab 1 shall be sequentially numbered.

Vendors must organize their Technical Proposals in the following order:

Tab 1 Required Vendor Information and Certifications Document

Attachment A, Section I. – Required Vendor Information & Certifications Document In this section, the vendor is required to provide required information and certifications of eligibility for state awards, as described in Attachment A, Section I. to this RFP. Vendors may, at their discretion, either print Attachment A, Section I., complete and sign it, and return it as the content of their proposal Tab 1; or they may provide all the required information and certifications (each fully re-stated from Attachment A.) on their own letterhead, properly signed, and include that replication in their proposal Tab 1. Vendors who fail to provide all information and certifications as described in Attachment A, Section I. in their proposal Tab 1 will be disqualified.

Attachment A, Section II. – Standard Affirmation and Disclosure Form Banning the Expenditure of Public Funds on Offshore Services This form must be completed and signed by every vendor seeking to do business with ODJFS. This must be submitted as part of the response to any solicitation. Failure by any vendor to complete, sign, and return the Affirmation and Disclosure Form with its application will result in rejection of the proposal as being non-responsive and disqualified from further consideration.

The signed originals of the above referenced forms (Attachment A, Sections I. and II.) are to be provided in the vendor's original proposal. Photocopies of the completed and signed forms must also be provided with each of the required copies. The above referenced forms must also be included in the Technical Proposal CD-ROM.

In the event that the vendor proposes the use of any subcontractor(s), information on the subcontractor(s) and letters of commitment as required by Section 5.8, Minority Business Enterprise or 5.9, Subcontractor Identification and Participation Information should also be provided in Tab 1.

If applicable: In order to be acknowledged as a vendor with an Ohio presence (as described in Section 5.23, Ohio Presence Consideration) for additional scoring consideration, the vendor must demonstrate in this Tab1 section of its proposal either that it currently has a physical presence in Ohio or has concrete plans for establishing a physical presence. Information to be presented includes the actual or proposed location of the vendor's presence, a description of the work to be performed at that location, and the number of its personnel to operate from the Ohio location. If the Ohio location is planned but not yet operational, an estimated implementation schedule should be provided.

Tab 2 Vendor Experience and Qualifications

Sub-Tab 2a. Mandatory Vendor Qualifications (Section 3.1, A through E)

The vendor must include information to demonstrate how the vendor meets the mandatory qualifications as described in the corresponding section of this RFP.

Sub-Tab 2b. Organizational Experience and Capabilities (Section 3.2, A through G)
In this section, the vendor is to include their response to the organization experience and capabilities requirements (including any subcontractors) as described in the corresponding section of this RFP.

Sub-Tab 2c. Staff Experience and Capabilities (Section 3.3, A through C)
In this section, the vendor is to include their response to the staff experience and capabilities requirements (including any subcontractors) as described in the corresponding section of this RFP.

Tab 3 Administrative Structures – Proposed Work Plan

Sub-Tab 3b. Administrative Structures – Proposed Work Plan (Section 4.3, A through D)

This section should describe in detail (in the order as outlined) the vendor's administrative structures as specified in Section IV of this RFP.

Tab 4 Scope of Work and Specifications of Deliverables (Section 4.1, A through J)

Sub-Tab 4a. Deliverable A

Sub-Tab 4b. Deliverable B

Sub-Tab 4c. Deliverable C (etc.)

This section should describe in detail how the vendor proposes to successfully achieve each of the deliverables specified in Section 4.1, Scope of Work and Specifications of Deliverables, of this RFP. The responses must address each element separately. Vendors should place their responses for each deliverable identified in Section 4.1 behind separate sub-tabs as described above.

Tab 5 Vendor Attachments or Appendices (as necessary)**B. Cost Proposal**

Vendors are to complete the Cost Proposal Form, provided as Attachment D. to this RFP, according to instructions, sign it, and submit it fully completed as the separate sealed Cost Proposal. The Cost Proposal Form requires vendors to provide a group of individual prices for those services defined in Section 4.1, Scope of Work and Specifications of Deliverables. Vendors are to use their professional comprehension of the effort required to perform those services and to offer to ODJFS its flat, all-inclusive fee for performing each. The prices offered in the vendor's Cost Proposal will be the prices in effect throughout the contract period, including any renewal contracts. The Cost Proposal must include a statement that the prices quoted are firm.

At the vendor's discretion, additional documentation may also be included with the completed Attachment D. as explanatory information, but when making the vendor selections and when executing the contract, ODJFS will consider only the dollar amounts displayed on the Cost Proposal Form. In calculating their total proposed cost, vendors must consider cost resulting from each deliverable listed in Section 4.1 of this RFP, as well as all program costs, primary and incidental, necessary to complete all program activities, whether explicitly identified by ODJFS in this RFP or not.

C. IMPORTANT – VENDOR DISQUALIFIERS FOR PROPOSAL ERRORS:

1. Any vendor's Technical Proposal found to contain any prohibited cost information shall be disqualified from consideration. Prohibited cost information is defined as any dollar amounts which might be deemed to be indicative of the relative cost or economy of the proposed project. Information on the assets, value, or historical business volume of the vendor is not considered to be such prohibited cost information, and may be included in any vendor's Technical Proposal as information on business capacity and stability. All prohibited cost information must be submitted within the separate, sealed Cost Proposal. Should a vendor include any documents which contain such cost information, the cost information in the Technical Proposal must be made unreadable by the vendor before submission of the proposal to ODJFS. Failure to follow these instructions will result in disqualification.
2. Any trade secret or proprietary information (as defined in Section 5.5 of this RFP) found anywhere in a proposal shall result in immediate disqualification of that proposal.

SECTION VII. CRITERIA FOR PROPOSAL EVALUATION & SELECTION**7.1 Scoring of Proposals**

ODJFS will contract with the [vendor/vendor\(s\)](#) that best demonstrates the ability to meet requirements as specified in this RFP. Vendors submitting a response will be evaluated based on the capacity and experience demonstrated in their Technical and Cost Proposal. All qualifying proposals will be reviewed and scored by a Proposal Review Team (PRT), comprised of staff from ODJFS, Ohio Children's Trust Fund (OCTF) and their

designees. Vendors should not assume that the review team members are familiar with any current or past work activities with ODJFS. Proposals containing assumptions, lack of sufficient detail, poor organization, lack of proofreading and unnecessary use of self-promotional claims will be evaluated accordingly. PRT members will be required to sign disclosure forms to establish that they have no personal or financial interest in the outcome of the proposal review and contractor selection process.

Selection of the [vendor/vendor\(s\)](#) will be based upon the criteria described in this RFP. The PRT reserves the right to reject any and all proposals, in whole or in part, received in response to this request. The PRT may waive minor defects that are not material when the intent is not unreasonably obscured. In scoring the proposals, ODJFS will score in three (3) phases:

A. Phase I. Review—Initial Qualifying Criteria:

In order to be fully reviewed and scored, proposals submitted must pass Phase I. Review as required in the Technical Proposal Score Sheet. Any “no” for the listed Phase I. criteria will eliminate a proposal from further consideration. Please refer to Attachment C., Technical Proposal Score Sheet for a complete listing of initial disqualifiers.

B. Phase II. Review—Criteria for Scoring the Technical Proposal:

The PRT will then score those qualifying Technical Proposals, not eliminated in Phase I. Review, by assessing how well the vendor meets the requirements as specified in the RFP. Using the Technical Proposal Score Sheet, the PRT will read, review, discuss and reach consensus on the final technical score for each qualifying Technical Proposal.

Any proposal which does not meet the minimum required Technical Proposal score as defined in Attachment C. will be disqualified from any further consideration and its Cost Proposal will neither be opened nor considered.

C. Phase III. Review—Criteria for Considering the Cost Proposal

The PRT will review the Cost Proposals for those qualifying Technical Proposals, not eliminated in Phase II Review. The grand total of each technically qualified Cost Proposal is divided by that vendor’s final Technical Proposal score. This compares the cost with the quality of the Technical Proposal which will provide an average cost-per-quality point earned on the Technical Proposal.

ODJFS may, at its sole discretion, negotiate with all technically qualifying vendors for a revised Cost Proposal. Vendors may then submit one last and best offer, or may request that ODJFS view its original Cost Proposal as its last and best offer, or may withdraw from further consideration, and shall indicate its choice according to directions provided by ODJFS at that time. Upon receipt of all last and best offers, ODJFS will then consider those vendors’ revised Cost Proposals which are within the budget according to the process described in this section above, and in the Technical Proposal Score Sheet, Attachment C., for vendor selection purposes.

7.2 Review Process Caveats

ODJFS may, at its sole discretion, waive minor errors or omissions in vendors' Technical and/or Cost Proposals or related forms when those errors do not unreasonably obscure the meaning of the content.

ODJFS reserves the right to request clarifications from vendors to any information in their Technical and/or Cost Proposals or related forms, and may request such clarification as it deems necessary at any point in the proposal review process. Any such requests for proposal clarification when initiated by ODJFS, and vendors' verbal or written response to those requests, shall not be considered a violation of the communication prohibitions contained in Section 2.3 of this RFP. Such communications are expressly permitted when initiated by ODJFS, and are at the sole discretion of ODJFS.

Should ODJFS determine a need for interviewing vendors prior to making a final selection, responses to interview questions shall be scored in a manner similar to the process described in Section 7.1, Scoring of Proposals, above. Such scored results may be either added to those vendors' proposal scores, or will replace certain criteria scores, at the discretion of ODJFS. The standards for scoring the interviews and the method used for considering the results of the interviews shall be applied consistently for all vendors participating in the interview process for the RFP.

Vendors may request changes to the model contract, but any such requested changes must be approved by ODJFS either as requested or following a process of negotiation. While requested changes to the model contract may have no effect on a vendor's proposal score, any proposed changes to the ODJFS model contract that cannot be accepted or negotiated without causing undue delay (as defined by ODJFS) in the execution of a contract may, at the sole discretion of ODJFS, result in the disqualification of the vendor and its proposal. See also Section 5.17, Contractual Requirements and Prevailing Wage Requirements of the RFP.

ODJFS reserves the right to negotiate with vendors for adjustments to their proposals should ODJFS determine, for any reason, to adjust the scope of the project for which this RFP is released. Such communications are not violations of any communications prohibition, and are expressly permitted when initiated by ODJFS, and are at the sole discretion of ODJFS.

Any vendor deemed not responsible, or any submitting a proposal deemed not to be responsive to the terms of this RFP, shall not be awarded the contract.

7.3 Final Vendor Recommendation

The PRT will recommend to the Director of OCTF (or the Director's designee) the technically qualified vendor offering the proposal most advantageous to the OCTF, as determined by the processes and requirements established in this RFP.

7.4 Tie Breaker

In the event that two (2) or more of the proposals have a score which is tied after final calculation of both the Technical Proposal and the Cost Proposal scores, the proposal with the higher score in the Technical Proposal will prevail.

SECTION VIII. PROTEST PROCEDURE

8.1 Protests

Any vendor objecting to the award of a contract resulting from the issuance of this RFP may file a protest of the award of the contract, or any other matter relating to the process of soliciting the proposals. Such a protest must comply with the following guidelines:

- A. A protest may be filed by a prospective or actual vendor objecting to the award of a contract resulting from this RFP. The protest shall be in writing and shall contain the following information:
 - 1. The name, address, telephone number, and e-mail address of the protestor;
 - 2. The name and number of the RFP being protested;
 - 3. A detailed statement of the legal and factual grounds for the protest, including copies of any relevant documents;
 - 4. A request for a ruling by ODJFS;
 - 5. A statement as to the form of relief requested from ODJFS; and
 - 6. Any other information the protestor believes to be essential to the determination of the factual and legal questions at issue in the written protest.
- B. A timely protest shall be considered by ODJFS, if it is received by ODJFS OCA, within the following periods:

- 1. A protest based on alleged improprieties in the issuance of the RFP or any other event preceding the closing date for receipt of proposals which are apparent or should be apparent prior to the closing date for receipt of proposals shall be filed no later than 3:00 p.m. the closing date for receipt of proposals, as specified in Section 2.1, Anticipated Procurement Timetable, of this RFP.
- 2. If the protest relates to the announced intent to award a contract, the protest shall be filed no later than 3:00 p.m. of the seventh (7th) calendar day after the issuance of formal letters sent to all responding vendors regarding ODJFS' intent to make the award. The date on these ODJFS letters to responding vendors is the date used to determine if a protest regarding the intent to award is submitted by the end of the protest period.

- C. An untimely protest may be considered by ODJFS if ODJFS determines that the protest raises issues significant to the department's procurement system. An untimely protest is one received by ODJFS OCA after the time periods set forth in Item B. of this section.

- D. All protests must be filed at the following location:

Deputy Director
ODJFS Office of Contracts and Acquisitions
30 East Broad Street, 31st Floor
Columbus, Ohio 43215

- E. When a timely protest is filed, a contract award shall not proceed until a decision on the protest is issued or the matter is otherwise resolved, unless the Director of ODJFS determines that a delay will severely disadvantage the Department. The vendor selected for award shall be notified of the receipt of the protest.

- F. ODJFS OCA shall issue written decisions on all timely protests and shall notify any vendor who filed an untimely protest as to whether or not the protest will be considered.

8.2 Caveats

ODJFS is under no obligation to issue a contract as a result of this or any solicitation if, in the opinion of ODJFS and the PRT, none of the proposals are responsive to the objectives and needs of the Department. ODJFS reserves the right to not select any vendor should ODJFS decide not to proceed. Changes in this RFP of a material nature will be provided via the webpage dedicated to this solicitation. All vendors are responsible for obtaining any such changes without further notice by ODJFS. After issuance of an award letter, ODJFS reserves the right to rescind the award and choose the next most responsive and responsible vendor, if ODJFS and the recommended vendor are unable to come to a mutually acceptable contractual agreement.

SECTION IX. ATTACHMENTS AND THEIR USES (DO NOT CHANGE THE ORDER)

- A. **Required Vendor Information and Certifications** (*To be submitted in proposal packet as specified in Sec. 6.2, A.*)
- B. **ODJFS Model Contract** (*For vendor reference purposes.*)
- C. **Technical Proposal Score Sheet** (*For vendor reference purposes. Do not submit*)
- D. **Cost Proposal Form** (*To be completed & included in Cost Proposal packet as specified in Sec. 6.2, B.*)

SECTION X. APPENDICES AND THEIR USES (*To be deleted if no appendices are needed specifically for this project.*)

- A. **Theory of Change**
- B. **Logic Model**
- C. **Process Evaluation Research Questions**
- D. **Project Planning and Implementation Timeline**
- E. **ODJFS Personal Confidentiality Statement** (*To be completed & included in Cost Proposal packet as specified in Sec. 6.2, B.*)
- F. **OMB Control No. 0970-0531 Evaluation Plan Template** (*For vendor reference purposes. Do not submit*)

Thank you for your interest in this project.

Attachment A

Attachment A consists of 2 distinct and different sections. Both sections must be completed and included in Tab 1 of the proposal.

Section I – Required Grantee Information

Section II - Location of Business Form

Attachment A—Section I

REQUIRED GRANTEE INFORMATION and CERTIFICATIONS

Purpose: The Ohio Department of Job and Family Services (ODJFS) requires the following information on applicants who submit proposals or applications in response to any ODJFS Requests for Grant Applications (RFGAs), in order to facilitate the development of the grant with the selected applicant. ODJFS reserves the right to reject your application if you fail to provide this information fully, accurately, and by the deadline set by ODJFS. Further, some of this information (as identified below) **must** be provided in order for ODJFS to accept and consider your application. **Failure to provide such required information will result in your application's immediate disqualification.**

Instructions: Provide the following information regarding the applicant organization submitting the application. Applicants may either print this attachment, complete and sign it, or may provide the required information and certifications (each fully re-stated from this attachment) on their letterhead as the opening pages of their applications. It is mandatory that the information provided is certified with an original signature (in blue ink, please) from a person with authority to represent the applicant. Applicants are to provide the completed and signed information and certifications as the cover pages of their original proposal submitted to ODJFS.

IMPORTANT: If the RFGA specified a maximum page limit for applicant proposals, the attachment of any required certifications, other documents, or additional pages needed to fully provide the information requested here will **NOT** be counted against that page limit.

Applicants must provide all information

1. ODJFS RFGA #:	2. Application Due Date:
3. Name: (legal name of the grantee – person or organization – to whom grant payments would be made)	
3a. Grantee's Ohio Administrative Knowledge System (OAKS) ID#: [Vendors may apply for an OAKS vendor ID# at: http://ohiosharedservices.ohio.gov/Vendors.aspx . The necessary forms to be completed and remitted to Ohio Shared Services are the Vendor Information Form (OBM-5657) and the IRS Form W-9. Completion and/or submission of these forms to Ohio Shared Services <u>does not</u> assume a vendor/applicant award of any ODJFS contract/grant.]	
4. Grantee Corporate Address:	5. Grantee Remittance Address: (or "same" if same as Item # 4)
6. Print or type information on the grantee representative/contact person <u>authorized to answer questions on the application</u> :	
Grantee Representative NAME and TITLE:	
Address:	
E-Mail Address:	
Phone #: _____	
Fax #: _____	
7. <u>Print or type the name of the grantee representative authorized to address contractual issues, including the authority to execute a contract on behalf of the vendor, and to whom legal notices regarding contract termination or breach, should be sent</u> (if not the same individual as in #6, provide the following information on each such representative and specify their function):	
Grantee Representative NAME and TITLE:	
Address:	
E-Mail Address:	
Phone #: _____	
Fax #: _____	

8. **Is this grantee an Ohio certified MBE?** Yes ☐ No ☐ **If yes, attach a copy of current certification to proposal\bid. (If**
ODJFS has specified the RFGA document as an opportunity open exclusively to Ohio Certified MBEs, then failure to attach a
copy of current certification WILL RESULT IN DISQUALIFICATION.)

9. Mandatory Grantee Certifications:

ODJFS may not enter into agreements with/make purchases from any organizations that have been found to be ineligible for state contracts under specific federal or Ohio statutes or regulations. Organizations responding to any ODJFS RFGA opportunity MUST certify that they are NOT INELIGIBLE by signing each of the three statements below. **Failure to provide proper affirming signature on any of these statements will result in the disqualification of your application.**

I _____ (signature of representative shown in Item # 7, above) hereby certify and affirm that

(name of the vendor shown in Item # 3, above), has not been debarred, suspended,
proposed for debarment, declared ineligible, or voluntarily excluded from participation in transactions by the United States Department of Labor, the United States Department of Health and Human Services, or any other federal department or agency as set forth in 29 CFR Part 98, or 45 CFR Part 76, or other applicable statutes.

I _____ (signature of representative shown in Item #7, above) hereby certify and affirm that

(name of the vendor shown in Item # 3, above), is not on the list established by the Ohio Secretary of State, pursuant to ORC Section 121.23, which identifies persons and businesses with more than one unfair labor practice contempt of court finding against them.

AND
I _____ (signature of representative shown in Item #7, above) hereby certify and affirm that

(name of the vendor shown in Item # 3, above), either is not subject to a finding for recovery under ORC Section 9.24, or has taken appropriate remedial steps required under that statute, or otherwise qualifies under that section to enter into contracts with the State of Ohio.

10. Equal Employment Opportunity Information on the Grantee and any Sub-grantee(s)

A. Provide vendor employee data both nationwide (including Ohio staff), and Ohio office employees separately:

	Nationwide	Ohio Offices
Total Number of Employees:	_____	_____
% of those who are Women:	_____	_____
% of those who are Minorities:	_____	_____

B. If you are the selected vendor, will you subcontract any part of the work?

☐ NO -or- ☐ YES, but for less than 50% of the work -or- ☐ YES, for 50% or more of the work

If yes, provide the following information on each subcontractor (additional pages may be added as needed):

Subcontractor Name: _____
Address: _____

Work To Be _____
Performed: _____

(a brief description) _____

Subcontractor's Estimated Percentage of Total Project (in % of work, not % of dollars): _____

If 50% or more of the work will be subcontracted, then ALSO provide the following information on ALL proposed sub-grantees:

	Nationwide	Ohio Offices
Total Number of Employees:	_____	_____
% of those who are Women:	_____	_____
% of those who are Minorities:	_____	_____

C. Identify all state grants which the grantee has since the beginning of the last fiscal year (i.e., since July 01, 2012) through this fiscal year to date. Also include grants approved for ODJFS or institutions of higher education:

Total number of grants: _____

For each state grant, list the state agency and provide the following information:

State Agency/Educational Institution: _____
Grant Dollar Amount: _____

State Agency/Educational Institution: _____
Grant Dollar Amount: _____

State Agency/Educational Institution: _____
Grant Dollar Amount: _____

Attach additional pages if needed

11. Grantee Ethics Certification

As a grantee receiving grants from the State of Ohio, I certify on behalf of _____ (name of vendor or grantee):

(1) I have reviewed and understand Ohio ethics and conflict of interests' laws, as found in Chapter 102. and Sections 2921.42 and 2921.43 of the Ohio Revised Code.

(2) I acknowledge that failure to comply with this certification is, by itself, grounds for termination of this contract or grant with the State of Ohio.

Signature of authorized agent _____ Date _____

12. I have read the ODJFS Model Grant attached to the RFGA, and if awarded a grant, I will not _____ (or) I will _____ request changes to the standard language, and have marked the requested changes and returned the model document with this proposal for consideration by ODJFS. (If so, ODJFS will review those requested changes if you are the selected grantee. All requested changes to model contract language are subject to ODJFS approval.)

13. I _____, (grantee representative in Item # 7) hereby affirm that this proposal accurately represents the capabilities and qualifications of _____ (grantee's name), and I hereby affirm that the cost(s) bid to

ODJFS for the performance of services and/or provision of goods covered in this application in response to this ODJFS RFGA is a firm fixed price, inclusive of all incidental as well as primary costs. (Failure to provide the proper affirming signature on this item may result in the disqualification of your proposal bid.)

14. **Location of Business Declaration:** Vendors responding to any ODJFS RFP/RLB/RFGA (etc.) must certify that no public funds shall be spent on services provided/performed offshore by completing, signing, and returning the "Location of Business Form," which is the final section of this attachment. **FAILURE TO PROPERLY COMPLETE, SIGN AND RETURN THIS FORM, INCLUDING THE "LOCATION OF BUSINESS FORM," WILL RESULT IN DISQUALIFICATION OF THE VENDOR FROM CONSIDERATION FOR AWARD OF AN ODJFS CONTRACT.**

Attachment A —Section II.

Location of Business Form

Pursuant to Governor’s Executive Order 2011-12K (www.governor.ohio.gov), no public funds shall be spent on services provided offshore. This form serves as a certification of compliance with this policy and required disclosures. Please answer the following questions about the project or service you are seeking to perform for or the funding for which you are applying from the Ohio Department of Job and Family Services:

1. Principal location of business of Grantee:

(City, State, Zip)

Name/Principal location of business of sub-grantee(s):

(Address, City, State, Zip)

(Address, City, State, Zip)

2. Location where services will be performed by Grantee:

(City, State, Zip)

Name/Location where services will be performed by sub-grantee(s):

(Address, City, State, Zip)

(Address, City, State, Zip)

3. Location where state data will be stored, accessed, tested, maintained or backed-up, by Grantee:

(Address, City, State, Zip)

Name/Location(s) where state data will be stored, accessed, tested, maintained or backed-up by sub-grantee(s):

(Address, City, State, Zip)

(Address, City, State, Zip)

(Address, City, State, Zip)

4. Location where services to be performed will be changed or shifted by Grantee

(Address) (Address, City, State, Zip)

Name/Location(s) where services will be changed or shifted to be performed by sub-grantee(s):

(Name) (Address, City, State, Zip)

(Name) (Address, City, State, Zip)

(Name) (Address, City, State, Zip)

By signing below, I hereby certify and affirm that I have reviewed, understand, and will abide by the Governor’s Executive Order 2011-12K. I attest that no funds provided by ODJFS for this grant or any other agreement will be used to purchase services provided outside the United States or to contract with a sub-grantee(s) who will use the funds to purchase services provided outside the United States. I will promptly notify ODJFS if there is a change in the location where any of the services relating to this project will be performed. If I am signing this on behalf of a company, business, or organization, I hereby acknowledge that I have the authority to make this certification on behalf of that entity.

Signature Date

Entity Name Address (Principal place of business)

Printed name of individual authorized to sign on behalf of entity City, State, Zip

OHIO DEPARTMENT OF JOB AND FAMILY SERVICES CONTRACT FOR SERVICES

C-2021-00-0000

RECITALS:

This Contract is entered into between the Ohio Department of Job and Family Services (ODJFS) and **Vendor Name** (CONTRACTOR).

- A. ODJFS issued a Request for Proposals (RFP) titled _____, numbered _____, and dated [DATE], which is hereby incorporated by reference.
- B. The ODJFS proposal review team recommended for award the Proposal of CONTRACTOR, submitted by CONTRACTOR on [Date] which is hereby incorporated by reference.
- C. In the event of any inconsistency or ambiguity between the provisions of the RFP, the Proposal, or this Contract, the provisions of this Contract will determine the obligations of the parties. In the event that this Contract fails to clarify any inconsistency or ambiguity between the RFP and the Proposal, the RFP will determine the obligations of the parties. In the event of a disputed issue that is not addressed in any of the aforementioned documents, the parties hereby agree to make every reasonable effort to resolve the dispute in keeping with the objectives of this Contract and the budgetary and statutory constraints of ODJFS.
- D. Key personnel that are identified by the CONTRACTOR as critical to the success of the Contract may not be removed without a reasonable notice to ODJFS, and replacements will not be made without ODJFS approval.

ARTICLE I. PURPOSE; DELIVERABLES

- A. CONTRACTOR will perform its responsibilities (Deliverables) under this Contract as follows: **OR** CONTRACTOR will perform its responsibilities (Deliverables) under this Contract in accordance with the RFP and the Proposal. The Deliverables are summarized as follows:
- B. The ODJFS Contract Manager is **Name**, or successor.
- C. The ODJFS Contract Manager may periodically communicate specific requests and instructions to CONTRACTOR concerning the performance of the Deliverables described in this Contract. CONTRACTOR agrees to comply with any requests or instructions to the satisfaction of ODJFS within 10 business days after CONTRACTOR's receipt of the requests or instructions. ODJFS and CONTRACTOR expressly understand that any requests or instructions will be strictly to ensure the successful completion of the Deliverables described in this Contract, and are not intended to amend or alter this Contract in any way. If CONTRACTOR believes that any requests or instructions would materially alter the terms and conditions of this Contract or the compensation stated hereunder, CONTRACTOR will immediately notify ODJFS pursuant to the notice provisions of this Contract. CONTRACTOR agrees to consult with the ODJFS Contract Manager as necessary to ensure understanding of the Deliverables and the successful completion thereof.

- D. **Ownership of Deliverables.**

- 1. All Deliverables provided by CONTRACTOR under this Contract or with funds hereunder, including any documents, data, photographs and negatives, electronic reports/records, or other media, are the property of ODJFS, which has an unrestricted right to reproduce, distribute, modify, maintain, and use the Deliverables. CONTRACTOR will not obtain copyright, patent, or other proprietary protection for the Deliverables. CONTRACTOR will not include in any Deliverable any copyrighted material, unless the copyright owner gives prior written approval for ODJFS and CONTRACTOR to use such copyrighted material in the manner provided herein. CONTRACTOR agrees that all

Deliverables will be made freely available to the public unless ODJFS determines that, pursuant to state or federal law, such materials are confidential or otherwise exempted from disclosure.

2. All Deliverables provided or produced pursuant to this Contract will be considered “works made for hire” within the meaning of copyright laws of the United States and the State of Ohio. ODJFS is and will be deemed sole author of the Deliverables and sole owner of all rights therein. If any portion of the Deliverables is deemed not a “work made for hire,” or if there are any rights in the Deliverables not conveyed to ODJFS, CONTRACTOR agrees to, and by executing this Contract does, assign ODJFS all worldwide rights, title, and interest in and to the Deliverables. ODJFS acknowledges that its sole ownership of the Deliverables under this Contract does not affect CONTRACTOR’s right to use general concepts, algorithms, programming techniques, methodologies, or technology that CONTRACTOR developed prior to or as a result of this Contract or that are generally known and available.

3. CONTRACTOR understands that it must submit a written request to ODJFS and receive express written permission from ODJFS to include any of its own pre-existing, proprietary materials in any of the Deliverables under this Contract. ODJFS’s approval of the inclusion of pre-existing, proprietary materials is predicated on CONTRACTOR granting to ODJFS and the State of Ohio a worldwide, non-exclusive, perpetual, royalty-free license to use, modify, sell, and otherwise distribute all such materials that are included in the Deliverables under this Contract. Upon request by CONTRACTOR, ODJFS will incorporate into any future copies of the Deliverables under this Contract any proprietary notice(s) CONTRACTOR may reasonably require for any pre-existing, proprietary materials included in the Deliverables of this Contract. Any proprietary notices will be the minimum required by law so as not to be seen as an endorsement by ODJFS or an advertisement for CONTRACTOR.

- D. [UNIVERSITY RESEARCH] The Deliverables produced by CONTRACTOR under this Contract may be copyrighted in the name of CONTRACTOR. However, CONTRACTOR is required to obtain prior approval from ODJFS for release of any results, including preliminary and/or final results, related to funded projects or funded data under this Contract, and any documents, reports, data, photographs (including negatives), electronic reports and records, and other media under this Contract. CONTRACTOR hereby grants to ODJFS a perpetual, royalty free, non-exclusive, and irrevocable license to use, reproduce, publish, modify, and distribute any Deliverable either in whole or in part, and to produce derivative works. CONTRACTOR will assure that all products contain appropriate copyright attribution and ODJFS will treat Deliverable products as the intellectual property of CONTRACTOR for purposes of ORC 149.43. CONTRACTOR further reserves the right to use the Deliverables produced under this Contract for research and academic purposes, including the right to publish the work in scholarly journals or other academic publications.

ARTICLE II. EFFECTIVE DATE OF THE CONTRACT

- A. This Contract is in effect from _____ or the date of issuance of an approved State of Ohio purchase order, whichever is later, through _____, unless this Contract is suspended or terminated prior to the expiration date.

- B. It is expressly understood by both ODJFS and CONTRACTOR that this Contract will not be valid and enforceable until the Director of the Ohio Office of Budget and Management, first certifies, pursuant to Section 126.07 of the Ohio Revised Code (ORC), that there is a balance in the appropriation not already allocated to pay existing obligations. The ODJFS Contract Manager will notify CONTRACTOR when this certification is given.

ARTICLE III. COMPENSATION

- A. The total amount payable under this Contract is **TOTAL AMT and 00/100 Dollars (\$TOTAL)**. ODJFS will pay an amount up to **SFY1 AMT and 00/100 Dollars (\$SFY 1)** for State Fiscal Year (SFY) 2020, and up to **SFY2 AMT and 00/100 Dollars (\$SFY2) for SFY 2021**, expressly for the completion of the Deliverables. CONTRACTOR understands that the terms of this Contract do not provide for compensation in excess of the total amount listed in this section. CONTRACTOR hereby waives the interest provisions of ORC 126.30.

B. It is further agreed that reimbursement of travel expenditures shall not exceed [SFY1 Travel Dollar Amount] and 00/100 Dollars (\$SFY1 Travel) for SFY [SFY1] and [SFY2 Travel Dollar Amount] and 00/100 Dollars (\$SFY2) for SFY [SFY2], which amount (s) is/are included in the total compensation figures above. Expense reimbursement authorized by this section is limited to actual and necessary expenses subject to the limits as established pursuant to ORC 126.31, which are set forth in OAC 126-1-02, as well as any other laws, regulations, or Governor's Executive Orders limiting travel expenses. CONTRACTOR expressly agrees not to submit claims for expenses which do not meet the requirements of this Section and further agrees to submit all claims to the ODJFS Contract Manager for approval prior to submitting a claim for reimbursement.

C. With the exception of travel expenses, line item expenses listed in the budget may be reallocated upon the written approval of the ODJFS Contract Manager as long as the total amounts per SFY and the total overall Contract amount remains unchanged. Any changes to the travel costs will require a written amendment to this Contract.

D. Compensation will be paid upon completion of the Deliverables pursuant to CONTRACTOR's accepted budget [or cost proposal] as incorporated below [or as attached].

E. CONTRACTOR will submit a detailed invoice(s) on a one-time, monthly, quarterly, annual basis to the ODJFS, Contract Manager, Office, Office Address OR Bureau of Accounts Payable at 30 East Broad Street, 37th Floor, Columbus, Ohio 43215. CONTRACTOR agrees to use an invoice instrument to be prescribed by ODJFS and will include in each invoice:

1. CONTRACTOR's name, complete address, and federal tax identification number;
2. Contract number and dates;
3. Purchase order number;
4. Amount and purpose of the invoice, including such detail as required per the compensation section of this Contract; Deliverables completed, description of services rendered, hourly rates and number of hours (if applicable), amount of monthly fee (if applicable), and itemized travel and other expenses if permitted by this Contract;
5. Description of Deliverables performed during the billing period; and
6. Other documentation requested by the ODJFS Contract Manager.

F. CONTRACTOR expressly understands that ODJFS will not compensate CONTRACTOR for any work performed prior to CONTRACTOR's receipt of notice from the ODJFS Contract Manager that the provisions of ORC 126.07 have been met as set forth in ARTICLE II, nor for work performed after the ending date of this Contract.

G. CONTRACTOR expressly understands that ODJFS does not have the ability to compensate CONTRACTOR for invoices submitted after the State of Ohio purchase order has been closed. State of Ohio purchase orders are issued per SFY. CONTRACTOR must submit final invoices for payment for each SFY no later than 90 calendar days after the end date of each SFY, or if earlier, the end date of this Contract. Failure to do so will be deemed a forfeiture of the remaining compensation due hereunder.

H. CONTRACTOR understands that availability of funds is contingent on appropriations made by the Ohio General Assembly or by funding sources external to the State of Ohio, such as federal funding. If the Ohio General Assembly or the external funding source fails at any time to continue funding ODJFS for the payments due under this Contract, this Contract will be terminated as of the date funding expires without further obligation of ODJFS or the State of Ohio.

I. CONTRACTOR and ODJFS understand that the terms of this Contract, when combined with any other payments made to or open encumbrances with CONTRACTOR during the same SFY, cannot establish compensation in excess of Fifty Thousand and 00/100 Dollars (\$50,000.00) aggregate without prior approval from the State Controlling Board in accordance with ORC 127.16.

ARTICLE IV. SUSPENSION AND TERMINATION, BREACH AND DEFAULT

- A. This Contract will automatically terminate upon expiration of the time period in ARTICLE II, or upon completion of all Deliverables, or once all compensation has been paid.
- B. Notwithstanding other provisions in this ARTICLE, either party may terminate this Contract at will by giving 30 calendar days written notice to the other party. Upon written notice to CONTRACTOR, ODJFS may immediately suspend this Contract at ODJFS's sole discretion.
- C. Notwithstanding the provisions of Sections A or B, above, ODJFS may suspend or terminate this Contract immediately upon delivery of a written notice to CONTRACTOR if:
1. ODJFS loses funding as described in ARTICLE III;
 2. ODJFS discovers any illegal conduct by CONTRACTOR; or
 3. CONTRACTOR has violated any provision of ARTICLE VIII.
- Suspension or termination under this provision shall not entitle CONTRACTOR to any rights or remedies described in Section F of this ARTICLE.
- D. Unless otherwise provided for in this ARTICLE, CONTRACTOR will have 30 calendar days within which to cure any breach that is curable after receipt of written notice from ODJFS that CONTRACTOR is in breach of any of its obligations under this Contract. If CONTRACTOR fails to cure the breach within the 30 calendar days after written notice or if the breach is not curable, ODJFS may immediately suspend or terminate this Contract. ODJFS may also suspend or terminate this Contract when breaches are persistent, regardless of whether they are cured within 30 calendar days. For purposes of this Section, "persistent" means that ODJFS has notified CONTRACTOR 2 times in writing of CONTRACTOR's failure to meet any of its contractual obligations. The 2 notices do not have to relate to the same obligation or type of failure. After the second notice, ODJFS may suspend or terminate this Contract without a cure period if CONTRACTOR again fails to meet any contractual obligation. At the sole discretion of ODJFS, certain instances of breach may require a shorter cure period than the 30 calendar days generally applicable in this Section. In such instances, ODJFS will include in its notice of breach the shorter cure period deemed appropriate. If ODJFS does not give timely notice of a breach to CONTRACTOR, ODJFS has not waived any of its rights or remedies concerning the breach.
- E. CONTRACTOR, upon receiving notice of suspension or termination, will:
1. Cease performance of the suspended or terminated Deliverables;
 2. Take all necessary steps to limit disbursements and minimize costs including, but not limited to, suspending or terminating all contracts and subgrants related to suspended or terminated Deliverables and refusing any additional orders;
 3. Prepare and furnish a report to ODJFS, as of the date the notice of termination or suspension was received, that describes the status and percentage of completion of all Deliverables, including the results accomplished and the conclusions reached through Deliverables;
 4. Deliver all records in their native format relating to cost, work performed, supporting documentation for invoices submitted to ODJFS, and deliver any and all materials or work produced under or pertaining to this Contract whether completed or not; and
 5. Perform any other tasks ODJFS requires.
- F. In the event of suspension or termination under this ARTICLE, ODJFS will, upon receipt of a proper invoice from CONTRACTOR, determine the amount of any unpaid Contract funds due to CONTRACTOR for Deliverables performed before CONTRACTOR received notice of termination or suspension. In order to determine the amount due to CONTRACTOR, ODJFS will base its calculations on the payment method described in ARTICLE III and any funds previously paid by or on behalf of ODJFS. ODJFS will not be liable for any further claims submitted by CONTRACTOR.

- G. If ODJFS terminates this Contract for any reason provided in this ARTICLE, except for termination at will pursuant to Section B or termination for loss of funding pursuant to Section C, ODJFS will be entitled to utilize another contractor to complete the Deliverables of this Contract on any commercially reasonable terms as ODJFS and the covering contractor may agree. In this event, CONTRACTOR will be liable to ODJFS for all costs related to covering the project to the extent that such costs, when combined with payments already made to CONTRACTOR prior to termination, exceed the costs that ODJFS would have incurred under this Contract. CONTRACTOR's liability under this Section is in addition to any other remedies available to ODJFS pursuant to this Contract.

- H. Upon CONTRACTOR's breach or default of provisions, obligations, or duties embodied in this Contract or any term of an award, a federal statute or regulation, an assurance, a State plan or application, a notice of award, or other applicable rule, ODJFS reserves the right to exercise any administrative, contractual, equitable, or legal remedies available without limitation. Any waiver by ODJFS of an occurrence of breach or default is not a waiver of subsequent occurrences. If ODJFS or CONTRACTOR fails to perform any obligation under this Contract and the other party subsequently waives the failure, the waiver will be limited to that particular occurrence of a failure and will not be deemed to waive other failures that may occur. Waiver by ODJFS will not be effective unless it is in writing signed by the ODJFS Director.

ARTICLE V. NOTICES

- A. ODJFS and CONTRACTOR agree that communication regarding Deliverables, scope of work, invoice or billing questions, or other routine instructions will be between CONTRACTOR and the identified ODJFS Contract Manager.
- B. Notices to ODJFS from CONTRACTOR that concern changes to CONTRACTOR's principal place of operation, billing address, legal name, federal tax identification number, mergers or acquisitions, corporate form, excusable delay, termination, bankruptcy, assignment, any notice pursuant to ARTICLE VIII, and/or any other formal notice regarding this Contract will be sent to the ODJFS Deputy Director of Contracts and Acquisitions at 30 East Broad Street, 31st Floor, Columbus, Ohio 43215.
- C. Notices to CONTRACTOR from ODJFS concerning termination, suspension, option to renew, breach, default, or other formal notices regarding this Contract will be sent to CONTRACTOR's representative at the address appearing on the signature page of this Contract.
- D. All notices will be in writing and will be deemed given when received. All notices must be sent using a delivery method that documents actual delivery to the appropriate address herein indicated (e.g., registered or certified mail, postage prepaid).

ARTICLE VI. RECORDS, DOCUMENTS AND INFORMATION

CONTRACTOR agrees that all records, documents, writings, and other information, created or used pursuant to this Contract will be treated according to the following terms, and that the terms will be included in any subcontract agreements executed for the performance of the Deliverables under this Contract:

- A. CONTRACTOR agrees that any media produced pursuant to this Contract or acquired with Contract funds will become the property of ODJFS. This includes all documents, reports, data, photographs (including negatives), and electronic reports and records. ODJFS will maintain the unrestricted right to reproduce, distribute, modify, maintain, and use the media in any way ODJFS deems appropriate. CONTRACTOR further agrees not to seek or obtain copyright, patent or other proprietary protection for any materials or items produced under this Contract. CONTRACTOR understands that all materials and items produced under this Contract will be made freely available to the public unless ODJFS determines that certain materials are confidential under federal or state law.

- A. [UNIVERSITY] ODJFS agrees that any media (including documents, reports, data, photographs, negatives, electronic reports and records) produced pursuant to this Contract or acquired with Contract funds will become the property of CONTRACTOR; however, CONTRACTOR hereby grants to ODJFS a perpetual, royalty free, non-exclusive, and irrevocable license to use, reproduce, publish, modify, and distribute any such media. CONTRACTOR will assure that all products contain appropriate copyright attribution and

ODJFS will treat Deliverable products that contain appropriate copyright attribution as the intellectual property of CONTRACTOR for purposes of ORC 149.43.

- B. All ODJFS information that is classified as public or private under Ohio law will be treated as such by CONTRACTOR. Should the nature of any information be in question, ODJFS will determine whether the information is public or private. CONTRACTOR will restrict the use of any information, systems, or records ODJFS provides to the specific Deliverables of this Contract. CONTRACTOR and its employees agree to be bound by the same standards and rules of confidentiality that apply to employees of ODJFS and the State of Ohio. CONTRACTOR agrees that the terms of this section will be included in any subcontract executed by CONTRACTOR for work under this Contract.
- C. CONTRACTOR information that is proprietary and has been specifically identified by CONTRACTOR as proprietary will be held as confidential by ODJFS. Proprietary information is information that would put CONTRACTOR at a competitive disadvantage in CONTRACTOR's market place and trade if it were made public. ODJFS reserves the right to require reasonable evidence of CONTRACTOR's assertion of the proprietary nature of any information. The provisions of this ARTICLE are not self-executing. CONTRACTOR must demonstrate that any information claimed as proprietary meets the definition of "trade secret" found at ORC 1333.61. CONTRACTOR will defend such a claim.
- D. For Audit Purposes Only: All records relating to cost, work performed, supporting documentation for invoices submitted to ODJFS, and copies of all materials produced under or pertaining to this Contract will be retained by CONTRACTOR and will be made available for audit by state and federal government entities that include but are not limited to, ODJFS, the Ohio Auditor of State, the Ohio Inspector General and all duly authorized law enforcement officials. The records and materials will be retained and made available for a minimum of 3 years after CONTRACTOR receives the last payment pursuant to this Contract. If an audit, litigation or similar action is initiated during this time period, CONTRACTOR will retain the records until the action is concluded and all issues are resolved, or until the end of the 3 year period if the action is resolved prior to the end of the 3 year period. If applicable, CONTRACTOR must meet the requirements of the federal Office of Management and Budget (OMB) Omni-Circular, Title 2 of the Code of Federal Regulations (CFR) Part 200. CONTRACTOR acknowledges, in accordance with ORC 149.43, that financial records related to the performance of services under this Contract are presumptively deemed public records.
- E. All records relating to cost, work performed, supporting documentation for invoices submitted to ODJFS, and copies of all materials produced under or pertaining to this Contract will be retained by CONTRACTOR in accordance to the appropriate records retention schedule. The appropriate records retention schedule for this Contract is **INSERT RECORDS SCHEDULE [Must be minimum of 3 years, 2 CFR 200.333]**. If any records are destroyed prior to the date as determined by the appropriate records retention schedule, CONTRACTOR agrees to pay all costs associated with any cause, action or litigation arising from such destruction.
- F. CONTRACTOR agrees to retain all records in accordance with any litigation holds that are provided to them by ODJFS, and actively participate in the discovery process if required to do so, at no additional charge. Litigation holds may require CONTRACTOR to keep the records longer than the approved records retention schedule. CONTRACTOR will be notified by ODJFS when the litigation hold ends and retention can resume based on the approved records retention schedule. If CONTRACTOR fails to retain the pertinent records after receiving a litigation hold from ODJFS, CONTRACTOR agrees to pay all costs, damages and expenses associated with any cause, action or litigation arising from such destruction.
- G. If applicable, CONTRACTOR hereby agrees to current and ongoing compliance with Title 42, Sections 1320d through 1320d-8 of the United States Code (42 USC 1320d-1320d-8) and the implementing regulations found at 45 CFR 164.502(e) and 164.504(e) regarding disclosure of Protected Health Information under the Health Insurance Portability and Accountability Act of 1996 (HIPAA). If applicable, CONTRACTOR further agrees to include the terms of this section in any subcontracts that may be executed pursuant to this Contract.

ARTICLE VII. AMENDMENT AND ASSIGNMENT

- A. This writing constitutes the entire agreement between ODJFS and CONTRACTOR with respect to all matters herein. Only a writing signed by both parties may amend this Contract. However, ODJFS and

CONTRACTOR agree that any amendments to any laws or regulations cited herein will result in the correlative modification of this Contract without the necessity for executing written amendments. **It is agreed that line item budget modifications may be made, in writing, upon approval by the ODJFS Contract Manager without a written amendment pursuant to ARTICLE III.** Any written amendment to this Contract will be prospective in nature.

- B. CONTRACTOR agrees not to assign any interest in this Contract nor transfer any interest in the Contract without the prior written approval of ODJFS. CONTRACTOR will submit any requests for approval of assignments and transfers to the ODJFS Contract Manager at least 10 business days prior to the desired effective date. CONTRACTOR understands that any assignments and transfers will be subject to any conditions ODJFS deems necessary and that no approval by ODJFS will be deemed to provide for any ODJFS obligation that exceeds the Contract amount specified in ARTICLE III of this Contract.

ARTICLE VIII. CONTRACTOR CERTIFICATION OF COMPLIANCE WITH SPECIAL CONDITIONS

By accepting this Contract and by executing this Contract, CONTRACTOR hereby affirms current and continued compliance with each condition listed in this ARTICLE. CONTRACTOR's certification of compliance with each of these conditions is considered a material representation of fact upon which ODJFS relied in entering into this Contract:

- A. If at any time, CONTRACTOR is not in compliance with the conditions affirmed in this Section, ODJFS will consider this Contract *void ab initio* and will deliver written notice to CONTRACTOR. Any funds the State of Ohio paid CONTRACTOR for work performed before CONTRACTOR received notice that the Contract is *void ab initio* will be immediately repaid or the State of Ohio may commence an action for recovery against CONTRACTOR.
1. **Federal Debarment Requirements.** CONTRACTOR affirms that neither CONTRACTOR nor any of its principals or subcontractors, is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in transactions by any federal agency. CONTRACTOR also affirms that within 3 years preceding this Contract neither CONTRACTOR nor any of its principals:
- a. Have been convicted of, or had a civil judgment rendered against them for commission of fraud or other criminal offense in connection with obtaining, attempting to obtain, or performing a federal, state, or local public transaction or contract under a public transaction; for violation of federal or state antitrust statutes; for commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements; or for receiving stolen property; or
- b. Are presently indicted or otherwise criminally or civilly charged by a government entity (Federal, State, or local) for the commission of any of the offenses listed in this paragraph and have not had any federal, state, or local, public transactions terminated for cause or default.

2. **Qualifications to Conduct Business.** CONTRACTOR affirms that it has all of the approvals, licenses, or other qualifications needed to conduct business in Ohio and all are current. If at any time during the Contract period CONTRACTOR, for any reason, becomes disqualified from conducting business in the State of Ohio, CONTRACTOR will immediately notify ODJFS in writing and will immediately cease performance of all Deliverables.

3. **Unfair Labor Practices.** CONTRACTOR affirms that neither CONTRACTOR nor its principals are on the most recent list established by the Ohio Secretary of State, pursuant to ORC 121.23, which would identify CONTRACTOR as having more than one unfair labor practice contempt of court finding.

4. **Finding for Recovery.** CONTRACTOR affirms that neither CONTRACTOR nor its principals or subcontractors, is subject to a finding for recovery under ORC 9.24, or it has taken the appropriate remedial steps required, or otherwise qualifies under ORC 9.24 to contract with the State of Ohio.

- B. If at any time CONTRACTOR is not in compliance with the conditions affirmed in this Section, ODJFS may immediately suspend or terminate this Contract and will deliver written notice to CONTRACTOR. CONTRACTOR will be entitled to compensation, upon submission of a proper invoice per ARTICLE III, only for work performed during the time CONTRACTOR was in compliance with the provisions of this Section. Any funds paid by the State of Ohio for work performed during a period when CONTRACTOR was not in compliance with this Section will be immediately repaid or the State of Ohio may commence an action for recovery against CONTRACTOR.

1. **Americans with Disabilities.** CONTRACTOR, its officers, employees, members, and subcontractors hereby affirm current and ongoing compliance with all statutes and regulations pertaining to The Americans with Disabilities Act of 1990 and Section 504 of the Rehabilitation Act of 1973.

2. **Fair Labor Standards and Employment Practices.**

- a. CONTRACTOR certifies that it is in compliance with all applicable federal and state laws, rules, and regulations governing fair labor and employment practices, including ORC 125.111 and all related Executive Orders.
- b. In carrying out this Contract, CONTRACTOR will not discriminate against any employee or applicant for employment because of race, color, religion, gender, national origin, ancestry, military status, disability, age, genetic information, or sexual orientation, in making any of the following employment decisions: hiring, layoff, termination, transfer, promotion, demotion, rate of compensation, and eligibility for in-service training programs.
- c. CONTRACTOR agrees to post notices affirming compliance with all applicable federal and state non-discrimination laws in conspicuous places accessible to all employees and applicants for employment.
- d. If applicable, CONTRACTOR agrees to comply with the provisions of Equal Employment Opportunity Clause (41 CFR Part 60), the Davis-Bacon Act (40 USC 3141-3148), the Copeland Act (40 USC 3145), and the Contract Work Hours and Safety Standards Act (40 USC Chapter 37), regarding labor standards for federally assisted construction contracts. If applicable, CONTRACTOR agrees to comply with ORC Chapter 4115 and corresponding Ohio Administrative Code rules.
- e. CONTRACTOR will incorporate the foregoing requirements of this Paragraph 2 in all of its subgrants or subcontracts for any of the work prescribed herein.

3. **Ethics and Conflicts of Interest Laws.**

- a. CONTRACTOR certifies that by executing this Contract, it has reviewed, knows and understands the State of Ohio's ethics and conflict of interest laws. CONTRACTOR further agrees that it will not engage in any action(s) inconsistent with Ohio ethics laws or any Executive Orders.
- b. CONTRACTOR certifies, by executing this Contract, that no party who holds a position listed or described in ORC 3517.13 (I) or (J), has made, while in his/her current position, 1 or more personal monetary contributions in excess of One Thousand and 00/100 Dollars (\$1,000.00) to the current Governor or to the Governor's campaign committee when he was a candidate for office, within the previous 2 calendar years.
- c. CONTRACTOR agrees to refrain from promising or giving to any ODJFS employee anything of value that could be construed as having a substantial and improper influence upon the employee with respect to the employee's duties. CONTRACTOR further agrees that it will not solicit any ODJFS employee to violate ORC 102.03, 2921.42, or 2921.43.
- d. CONTRACTOR agrees that CONTRACTOR, its officers, employees, and members have not nor will they acquire any interest, whether personal, business, direct or indirect, that is incompatible, in conflict with, or would compromise the discharge and fulfillment of

CONTRACTOR's functions and responsibilities under this Contract. If CONTRACTOR, its officers, employees, or members acquire any incompatible, conflicting, or compromising interest, CONTRACTOR agrees it will immediately disclose the interest in writing to the ODJFS Chief Legal Counsel at 30 East Broad Street, 31st Floor, Columbus, Ohio 43215. CONTRACTOR further agrees that the person with the conflicting interest will not participate in any Deliverables until ODJFS determines that participation would not be contrary to public interest.

4. **Lobbying Restrictions.**

a. CONTRACTOR affirms that no federal funds paid to CONTRACTOR by ODJFS through this Contract or any other agreement have been or will be used to lobby Congress or any federal agency in connection with a particular contract, grant, cooperative agreement or loan. CONTRACTOR further affirms compliance with all federal lobbying restrictions, including 31 USC 1352. If this Contract exceeds One Hundred Thousand and 00/100 Dollars (\$100,000.00), CONTRACTOR affirms that it has executed and filed the Disclosure of Lobbying Activities standard form LLL, if required by federal regulations, and is in compliance with 31 USC 1352 the Byrd anti-lobbying amendment.

b. CONTRACTOR certifies compliance with the Ohio executive agency lobbying restrictions contained in ORC 121.60 to 121.69.

5. **Child Support Enforcement.** CONTRACTOR agrees to cooperate with ODJFS and any child support enforcement agency in ensuring that CONTRACTOR and its employees meet child support obligations established by state and federal law including present and future compliance with any court or valid administrative order for the withholding of support issued pursuant to the applicable sections of ORC Chapters 3119, 3121, 3123, and 3125.

6. **Pro-Child Act.** If any Deliverables call for services to minors, CONTRACTOR agrees to comply with the Pro-Children Act of 1994; Public Law 103-277, Part C – Environment Tobacco Smoke that requires smoking to be banned in any portion of any indoor facility owned, leased, or contracted by an entity that will routinely or regularly use the facility for the provision of health care services, day care, library services, or education to children under the age of 18.

7. **Drug-Free Workplace.** CONTRACTOR, its officers, employees, members, any subcontractors and/or any independent contractors (including all field staff) associated with this Contract agree to comply with all applicable state and federal laws, including, but not limited to, 41 USC Chapter 10 and 2 CFR 182, regarding a drug-free workplace. CONTRACTOR will make a good faith effort to ensure that none of CONTRACTOR's officers, employees, members, or subgrantees will purchase, transfer, use, or possess illegal drugs or alcohol or abuse prescription drugs in any way while working or while on public property.

8. **Work Programs.** CONTRACTOR agrees not to discriminate against individuals who have or are participating in any work program administered by any county department of Job and Family Services under ORC Chapter 5101 or 5107.

9. **MBE/EDGE.** Pursuant to the Governor's Executive Order 2008-13S, CONTRACTOR agrees to purchase goods and services under this Contract from certified Minority Business Enterprise (MBE) and Encouraging Diversity, Growth, and Equity (EDGE) vendors whenever possible. CONTRACTOR agrees to encourage any of its subgrantees or subcontractors to purchase goods and services from certified MBE and EDGE vendors. In accordance with 2 CFR 200.321, CONTRACTOR agrees to take affirmative steps to assure that minority businesses, women's business enterprises and labor surplus area firms are used when possible.

10. **Expenditure of Public Funds for Offshore Services—Executive Order Requirements.**

[PUBLIC UNIVERSITY] CONTRACTOR, a public university, certifies that by executing this Contract, it has reviewed and understands ODJFS's obligation under Governor's Executive Order 2019-12D, and will perform no services required under this Contract outside of the United States. [delete a-d]

- a. CONTRACTOR certifies that by executing this Contract, it has reviewed, understands, and will abide by the Governor's Executive Order 2019-12D and shall abide by those requirements in the performance of this Contract, and shall perform no services required under this Contract outside of the United States.
 - b. Prior to performing any services, and when there is a change in the location of any services provided under this Contract, CONTRACTOR must disclose:
 - (1) The location(s) where all services will be performed by CONTRACTOR or any subcontractor;
 - (2) The location(s) where any state data associated with any of the services through this Contract will be accessed, tested, maintained, backed-up, or stored; and
 - (3) The principal location of business for the contractor and all subcontractors.
 - c. CONTRACTOR also affirms, understands, and agrees to immediately notify ODJFS of any change or shift in the location(s) of services performed by CONTRACTOR or its subcontractors under this Contract, and no services shall be changed or shifted to a location outside of the United States.
 - d. Termination, Sanction, Damages: ODJFS is not obligated and shall not pay for any services provided under this Contract that CONTRACTOR or any of its subcontractors performed outside of the United States. If services are performed outside of the United States, this will be treated as a material breach of the Contract, and CONTRACTOR shall immediately return to ODJFS all funds paid for those services.
- In addition, if CONTRACTOR or any of its subcontractors perform any such services outside of the United States, ODJFS may, at any time after the breach, terminate this Contract for such breach, upon written notice to CONTRACTOR. If ODJFS terminates the Contract, ODJFS may buy substitute services from a third party, and may recover the additional costs associated with acquiring the substitute services.

11. **[PRIVATE ENTITY] Combating Trafficking in Persons.**

- a. CONTRACTOR agrees that it is in compliance with the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 USC 7104), see 2 CFR Part 175 and the Federal Acquisition Regulation (FAR) for Combating Trafficking in Persons, 48 CFR Subpart 22.17. The provisions found in 48 CFR Subpart 52.222-50 are hereby incorporated into this Contract by reference.
- b. CONTRACTOR, its employees, its subcontractors, or subcontractor's employees are prohibited from: engaging in severe forms of trafficking in persons during the period of performance of the Contract; procuring commercial sex acts during the period of performance of the Contract; or using forced labor in the performance of the Contract.
- c. CONTRACTOR agrees that it shall notify its employees, and require all of its subcontractors to notify their employees, of the prohibited activities described in the preceding paragraph.
- d. ODJFS has the right to immediately and unilaterally terminate this Contract if any provision in this Section is violated and ODJFS may implement section 106(g) of the TVPA, see 2 CFR 175.10.

11. **[PUBLIC UNIVERSITY/PUBLIC ENTITY] Combating Trafficking in Persons.** Pursuant to 22 USC 7104(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 USC 7104), see 2 CFR Part 175, this Contract may be terminated without penalty if CONTRACTOR or any subcontractor paid with Contract funds:

- a. Engages in severe forms of trafficking in persons or has procured a commercial sex act during the period of time this Contract or any subcontracts or subagreements are in effect; or
 - b. Uses forced labor in the performance of activities under this Contract or under any subcontracts or subagreements.
 - c. CONTRACTOR agrees that it shall notify, and require all of its subcontractors to notify, its employees of the prohibited activities described in the preceding paragraph.
 - d. ODJFS has the right to immediately and unilaterally terminate this Contract if any provision in this Section is violated and ODJFS may implement section 106(g) of the TVPA, see 2 CFR 175.10.
12. **Civil Rights Assurance.** The CONTRACTOR hereby agrees that it will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d et seq.) and the Age Discrimination Act of 1975 (42 U.S.C. § 6101 et seq.).
13. **Clean Air Act and Federal Water Pollution Control Act.** CONTRACTOR agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401-7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251-1387). Violations must be reported to the Regional Office of the United States Environmental Protection Agency (USEPA) and ODJFS.
14. **Procuring Recovered Materials.** CONTRACTOR agrees to comply with section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act. The requirements of Section 6002 include procuring only items designated in guidelines of the USEPA at 40 CFR Part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, where the purchase price of the item exceeds \$10,000 or the value of the quantity acquired during the preceding federal fiscal year exceeds \$10,000; procuring solid waste management services in a manner that maximizes energy and resource recovery; and establishing an affirmative procurement program for procurement of recovered materials identified in the USEPA guidelines.
15. **Rights to Inventions.** If applicable, if any products or services under this Contract meet the definition of "funding agreement" under 37 CFR 401.2(a), and CONTRACTOR enters into a subcontract or subgrant with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of experimental, developmental, or research work under that funding agreement, the Contractor must comply with the requirements of 37 CFR Part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements," and any applicable federal and state regulations.
16. **Boycotting.** Pursuant to Division B of ORC 9.76, the CONTRACTOR warrants that it is not boycotting any jurisdiction with whom the State of Ohio can enjoy open trade, including Israel, and will not do so during the contract period.
17. **Certification of Compliance.** CONTRACTOR certifies that it is in compliance with all other applicable federal and state, local laws, regulations, rules, and Executive Orders and will require the same certification from its subgrantees or subcontractors.

ARTICLE IX - CONFIDENTIALITY OF INFORMATION AND SECURITY PROCEDURES

- A. **XXXXXX** agrees that it shall not use any information, systems, or records made available to it for any purpose other than to fulfill the obligations specified herein. **XXXXXX** specifically agrees to comply with state and federal confidentiality and information disclosure laws, rules, and regulations applicable to programs under which this Agreement exists, including, but not limited to:

1. For Children Services Programs:
 - a. United States Code, 42 USC 5106a;

- b. Code of Federal Regulations, 45 CFR 205.50;
- c. Ohio Revised Code, ORC 149.43, 5101.27, 5101.29, and ORC 5101.13 through 5101.134; and
- d. Corresponding Ohio Administrative Code rules, including, but not limited to: OAC 5101:2-33-70 (related to SACWIS) and OAC 5101:2-33-21 (Confidentiality and dissemination of child welfare information).

B. ~~XXXXXX~~ understands SACWIS information is confidential and unauthorized release or failure to take safeguards, whether intentional or unintentional, to protect SACWIS data may result in applicable civil and criminal sanctions and penalties, including but not limited to, those stipulated in ORC 5101.99(C) and/or ORC 2151.99(A). Only individuals who are authorized to do so may access the information contained within SACWIS. No person shall access, use or disclose information contained in SACWIS other than in accordance with state law and ODJFS rule.

C. Records obtained from ODJFS must be maintained in a separate database and be clearly identifiable as the records of ODJFS. XXX will retain any identifiable records received from ODJFS only for the period of time required for any processing related to the activities under this Agreement. XXXXX agrees that any data made available to XXXXX by ODJFS shall be returned to ODJFS or destroyed not later than 90 calendar days following termination of this Agreement and shall certify that no copies of source data were retained by XXXXX. XXXXX will notify the ODJFS Agreement Manager in writing that the records have been returned or destroyed.

D. **XXXXXX** shall implement administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the electronic protected personal data that it creates, receives, maintains, or transmits on behalf of ODJFS against use or disclosure not provided for by this Agreement. ODJFS shall review any research prior to dissemination or publication to ensure the research is void of any names or data by which any individual could be identified or deductively inferred. **[USE IF RESEARCH IS BEING CONDUCTED].**

E. XXXXXX will provide ODJFS with a listing of officials with authority (by Position) to request information authorized by this Agreement. XXXXXX agrees that access to the records and data provided by ODJFS and described in ARTICLE II will be restricted to only those authorized employees, officials, subcontractors, and other persons who need it to perform duties related to this Agreement. XXXXXX agrees to provide the ODJFS Agreement Manager with a complete listing of any and all persons who shall have access to the above referenced records and/or data. XXXXXX must also submit a completed and signed ODJFS Personal Confidentiality Statement for each person who may access the information. The ODJFS Personal Confidentiality Statement is attached hereto as Attachment A and is incorporated herein. If applicable, the ODJFS Agreement Manager will provide XXX with the ODJFS 07078 Code of Responsibility Form to be completed by XXX's staff members who will have access to SACWIS. The ODJFS Personal Confidentiality Statement and the 07078 Code of Responsibility, if applicable, must be completed by XXX staff members before they may access SACWIS. ODJFS Internal Policy and Procedure 3922 states the requirements of the ODJFS 07078 form and should be read by any individual who signs the form. [Remove if certain no access to SACWIS is being granted]

F. **XXXXXX** agrees that the above records and/or data and any records, reports, databases, and/or other derivative documents created from the information provided under this Agreement shall be stored in an area that is physically safe from access by unauthorized persons during duty and non-duty hours. Information provided under this Agreement shall be protected electronically to prevent unauthorized access by computer, remote access, or any other means. No records will be accessed, tested, maintained, backed up or stored outside of the United States.

G. ~~XXXXXX~~ shall assure that all persons who have access to the above referenced information shall be fully apprised as to the confidential nature of the information, the safeguards required to protect the information, and the applicable civil and criminal sanctions and penalties associated with any intentional or non-intentional disclosure. No subcontractor shall receive any information without a written agreement with ~~XXXXXX~~ incorporating these assurances. ~~XXXXXX~~ shall provide appropriate training to all staff that work with ODIJS records in regards to all confidentiality and security measures needed.

H. ~~XXXXXX~~ shall not disclose any information provided by ODJFS to any third party without the specific written authorization of the Director of ODJFS.

- I. **XXXXXX** shall permit onsite inspection by the State of Ohio (including but not limited to ODJFS, the Auditor of the State of Ohio, the Inspector General of Ohio, or any duly authorized law enforcement officials) and by agencies of the United States government to ensure the requirements of state and federal law, regulations, and this Agreement are met.
- J. ODJFS will prepare data pursuant to the security and encryption standards found in Ohio Administrative Policy IT-13, Data Classification; Ohio IT Standard ITS-SEC-01, Data Encryption and Cryptography; Ohio Administrative Policy IT-14, Data encryption and securing sensitive data; and NIST Special Publication 800-53, **Revision 4**. **XXXXXX** shall retain this encryption while the data is in a portable format (e.g. tape, laptop, flash/USB drive).
- K. **XXXXXX** will immediately notify the ODJFS Agreement Manager of any suspected or actual violation of the terms of this Agreement.
- L. **XXXXXX**, if responsible for a breach of ODJFS data security, shall act in compliance with Ohio law at the time of the breach. **XXXXXX** will notify the ODJFS Agreement Manager within 24 hours of a data breach.
- M. **XXXXXX** agree(s) and acknowledge(s) that the information provided by ODJFS may be considered confidential or proprietary under the laws of the State of Ohio or under federal law. If **XXXXXX**, as a public entity, receives a public records request for information related to this Agreement, **XXXXXX** will promptly notify ODJFS of the request. If ODJFS believes there is information that is confidential or proprietary and should not be released, **XXXXXX** will provide a reasonable period of time for ODJFS to seek to have the confidential or proprietary information withheld from the document prior to releasing the document. [public university/agency]
- M. **XXXXXX** agrees and acknowledges that the information provided by either party may be considered confidential or proprietary under the laws of the State of Ohio or under federal law. If ODJFS, as a public entity, receives a public records request for information related to this Agreement, it will promptly notify **XXXXXX** of the request. If **XXXXXX** believes there is information that is confidential or proprietary and should not be released, ODJFS will provide a reasonable period of time for **XXXXXX** to seek to have the confidential or proprietary information withheld from the document prior to releasing the document. [private entity/private university]
- N. The terms of this Article shall be included in all subcontracts executed by **XXXXXX** for any and all work under this Agreement.

ARTICLE X. MISCELLANEOUS PROVISIONS

- A. **Independent Contractor.** CONTRACTOR agrees that no agency, employment, joint venture, or partnership has been or will be created between ODJFS and CONTRACTOR. CONTRACTOR further agrees that as an independent contractor, it assumes all responsibility for any federal, state, municipal or other tax liabilities along with workers compensation, unemployment compensation and insurance premiums that may accrue as a result of funds received pursuant to this Contract. CONTRACTOR agrees that it is an independent contractor for all purposes including, but not limited to, the application of the Fair Labor Standards Act, the Social Security Act, the Federal Unemployment Tax Act, the Federal Insurance Contribution Act, provisions of the Internal Revenue Code, Ohio tax law, Workers Compensation law, and Unemployment Insurance law. CONTRACTOR acknowledges and agrees any individual providing personal services under this Contract is not a public employee for the purposes of Chapter 145 of the Revised Code. Pursuant to ORC 145.038, ODJFS is required to provide individuals and business entities with fewer than 5 employees the Independent Contractor Acknowledgment (Form PEDACKN), please see Attachment A. This form requires CONTRACTOR to acknowledge that ODJFS has notified CONTRACTOR that he or she has not been classified as a public employee and no OPERS contributions will be made on his or her behalf for these services. If CONTRACTOR is a business entity with fewer than 5 employees, please have each employee complete the PEDACKN form, the first two pages of Attachment A. If CONTRACTOR is not an individual or a business entity with fewer than 5 employees, please complete page 3 of Attachment A.

- B. **Liability.** To the extent allowable by law, CONTRACTOR agrees to hold ODJFS harmless in any and all claims for personal injury, property damage, infringement resulting, and/or any other claims arising from the

performance of the Deliverables. CONTRACTOR's sole and exclusive remedy for any ODJFS failure to perform under this Contract will be an action in the Ohio Court of Claims pursuant to ORC Chapter 2743 that will be subject to the limitations set forth in this ARTICLE. In no event will ODJFS be liable for any indirect or consequential damages, including loss of profits, even if ODJFS knew or should have known of the possibility of such damages. To the extent that ODJFS is a party to any litigation arising out of or relating in any way to this Contract or the performance thereunder, such an action shall be brought only in a court of competent jurisdiction in Franklin County, Ohio.

- B. [PUBLIC UNIVERSITY/PUBLIC ENTITY] Limitation of Liability.** Each party agrees to be responsible for any of its own negligent acts or omissions or those of its agent, employees, or subcontractors. Each party further agrees to be responsible for its own defense and any judgments and costs that may arise from such negligent acts or omissions. Nothing in this Contract will impute or transfer any such liability or responsibility from one party to the other. To the maximum extent permitted by law, the parties' liability for damages, whether in contract or in tort, may not exceed the total amount of compensation payable to CONTRACTOR under ARTICLE III or the actual amount of direct damages incurred by any party whichever is less. CONTRACTOR's sole and exclusive remedy for ODJFS's failure to perform under this Contract is an action in the Ohio Court of Claims, pursuant to ORC Chapter 2743, and subject to the limitations set forth in this ARTICLE. In no event will either party be liable for any indirect or consequential damages, including loss of profits, even if a party knew or should have known of the possibility of such damages.

- C. Infringement of Patent or Copyright.** To the extent allowable by law and subject to ORC 109.02, CONTRACTOR agrees to defend any suit or proceeding brought against ODJFS, any official or employee of ODJFS acting in his or her official capacity, or the State of Ohio due to any alleged infringement of patent or copyright arising out of the performance of this Contract, including all work, services, materials, reports, studies, and computer programs provided by CONTRACTOR. ODJFS will provide prompt notification in writing of such suit or proceeding; full right, authorization, and opportunity to conduct the defense thereof; and full disclosure of information along with all reasonable cooperation for the defense of the suit. ODJFS may participate in the defense of any such action. CONTRACTOR agrees to pay all damages and costs awarded against ODJFS, any official or employee of ODJFS in his or her official capacity, or the State of Ohio as a result of any suit or proceeding referred to in this Section C. If any information and/or assistance is furnished by ODJFS at CONTRACTOR's written request, it is at CONTRACTOR's expense. If any of the materials, reports, or studies provided by CONTRACTOR are found to be infringing items and the use or publication thereof is enjoined, CONTRACTOR agrees to, at its own expense and at its option, either procure the right to publish or continue use of such infringing materials, reports, or studies; replace them with non-infringing items of equivalent value; or modify them so that they are no longer infringing. The obligations of CONTRACTOR under this Section survive the termination of this Contract, without limitation.

- C. [PUBLIC UNIVERSITY/PUBLIC ENTITY Infringement of Patent or Copyright.** To the extent permitted by law, if any of the materials, reports, or studies provided by CONTRACTOR are found to be infringing items and the use or publication thereof is enjoined, CONTRACTOR agrees to, at its own expense and at its option, either procure the right to publish or continue use of such infringing materials, reports, or studies; replace them with non-infringing items of equivalent value; or modify them so that they are no longer infringing. The obligations of CONTRACTOR under this Section survive the termination of this Contract, without limitation.

- D. Liens.** CONTRACTOR will not permit any lien or claim to be filed or prosecuted against ODJFS or the State of Ohio because of any labor, services, or materials furnished. If CONTRACTOR fails, neglects, or refuses to make prompt payment of any claims for labor, services, or materials furnished to CONTRACTOR in connection with this Contract, ODJFS or the State of Ohio may, but is not obligated to, pay those claims and charge the amount of payment against the funds due or to become due to CONTRACTOR under this Contract.

- E. Delay.** Neither party will be liable for any delay in its performance that arises from causes beyond its control and without its negligence or fault. The delaying party will notify the other promptly of any material delay in performance and will specify in writing the proposed revised performance date as soon as practicable after notice of delay. The delaying party must also describe the cause of the delay and its proposal to remove or mitigate the delay. Notices will be sent pursuant to ARTICLE V. In the event of excusable delay, the date of performance or delivery of products may be extended by amendment, if applicable, for a time period equal to that lost due to the excusable delay. Reliance on a claim of excusable

delay may only be asserted if the delaying party has taken commercially reasonable steps to mitigate or avoid the delay. Items that are controllable by CONTRACTOR's subcontractor(s) will be considered controllable by CONTRACTOR, except for third-party manufacturers supplying commercial items and over whom CONTRACTOR has no legal control. The final determination of whether an instance of delay is excusable lies with ODJFS in its discretion.

F. **Insurance.** If applicable, CONTRACTOR agrees to maintain, at its own cost, automobile, fleet, and commercial general liability insurance.

G. **Attachments.** Attachments and documents referenced in this Contract are made a part hereof, and are incorporated as terms and conditions of this Contract. In the event a conflict of terms, the terms and conditions of this Contract shall take precedence over any conflicting terms.

H. **Counterpart.** This Contract may be executed in one, or more than one counterpart and each executed counterpart shall be considered an original, provided that such counterpart is delivered to the other party by facsimile, mail courier or electronic mail, all of which together shall constitute one and the same agreement.

ARTICLE XI. CONSTRUCTION

This Contract will be governed, construed, and enforced in accordance with the laws of the State of Ohio. Should any portion of this Contract be found unenforceable by operation of statute or by administrative or judicial decision, the remaining portions of this Contract will not be affected as long as the absence of the illegal or unenforceable provision does not render the performance of the remainder of the Contract impossible.

Signature Page Follows:

Remainder of page intentionally left blank

**OHIO DEPARTMENT OF JOB AND FAMILY SERVICES
CONTRACT FOR SERVICES**

SIGNATURE PAGE

C-2021-00-0000

THE PARTIES HAVE EXECUTED THIS CONTRACT AGREEMENT AS OF THE DATE OF THE SIGNATURE OF THE DIRECTOR OF THE OHIO DEPARTMENT OF JOB AND FAMILY SERVICES.

Vendor Name

Ohio Department of Job and Family Services

Authorized Signature (Blue Ink Please)

Kimberly Hall, Director

Printed Name

Date

Date

**Address
City, State, Zip**

30 East Broad Street, 32nd Floor
Columbus, Ohio 43215

ATTACHMENT C

RFP JFSR2021068175 Technical Proposal Score Sheet

PHASE I: Initial Qualifying Criteria

The proposal must meet all of the following Phase I proposal acceptance criteria in order to be considered for further evaluation. Any proposal receiving a “no” response to any of the following qualifying criteria shall be disqualified from consideration.

ITEM #	PROPOSAL ACCEPTANCE CRITERIA	RFP Sec. Reference	YES	NO
1	Was the vendor’s proposal received by the deadline as specified in the RFP?	2.1, 6.1		
2	Did the vendor submit a proposal comprised of a Technical Proposal and, in a separate, appropriately labeled, sealed envelope, a Cost Proposal?	6.1 6.2, B.		
3	Does the vendor’s proposal include all required affirmative statements and certifications, signed (in all required parts) by the vendor’s responsible representative, as described in Attachment A to the RFP?	6.2, A.		
4	Is the vendor free from being prohibited to enter into a contract with ODJFS, due to restrictions related to the federal debarment list, unfair labor findings, or as established in ORC 9.24?	5.18 / 5.19 5.20		
5	Is the vendor a college, university, or research and program evaluation consulting firm?	3.1, A.		
6	Did the vendor’s proposal identify a Lead Researcher (Principle Investigator (PI) who possesses an advanced degree in Social Work, Social/Behavioral Science, Social Research, Public Administration, or a related discipline and a minimum of five (5) years’ experience evaluating projects with child welfare population, and similar experience in collecting and analyzing child welfare data, where the Lead Researcher served as the PI for the project(s))?	3.1, B.		
7	Does the vendor plan to collaborate with subcontractors? If so, does the subcontractor staff qualifications meet the qualifications specified above, which are applicable to all subcontract staff based on their respective roles in the project?	3.1, C.		
8	Did the vendor provide evidence of prior experience conducting data analysis with Statewide Automated Child Welfare Information System (SACWIS) data sets, or experience utilizing other complex data systems relevant to evaluating social/behavioral science projects?	3.1, D.		
9	Did the vendor demonstrate prior experience of receiving Institutional Review Board (IRB) approval for projects of a similar size and scope?	3.1, E.		
10	Did the review team (in its initial/cursory review of the vendor’s proposal) determine that the proposal was free of trade secret/proprietary information as specified/restricted in the RFP?	5.5.		

Has the vendor proposed any changes to the ODJFS model contract/ grant agreement attached to this competitive document for use in the event of its selection for this project?	Yes; changes proposed?	No changes proposed?
Requested changes to the model agreement have no effect on a vendor’s proposal score. However, any such requested changes must be approved by ODJFS either as requested or following a process of negotiation. At the sole discretion of ODJFS, any proposed changes to the ODJFS model agreement that cannot be accepted or negotiated without causing undue delay (as defined by ODJFS) in the execution of a contract may result in the disqualification of the vendor and its proposal. See Section 6.2, Review Process Caveats, and Section 8.6, Contractual Requirements of the RFP for more details on this situation.		
If changes were proposed by this vendor are those changes such that ODJFS disqualifies the vendor?	Disqualified	NOT Disqualified

PHASE II: Criteria for Scoring of Technical Proposal

Qualifying technical proposals will be collectively scored by a Proposal Review Team (PRT) appointed by ODJFS, Ohio Children’s Trust Fund. For each of the evaluation criteria given in the following score sheet, reviewers will collectively judge whether the technical proposal exceeds, meets, partially meets or does not meet the requirements expressed in the RFP, and assign the appropriate point value, as follows:

0	6	8	10
Does Not Meet Requirement	Partially Meets Requirement	Meets Requirement	Exceeds Requirement

Technical Performance Scoring Definitions:

“Does Not Meet Requirement”- A particular RFP requirement was not addressed in the vendor’s proposal, **Score: 0**

“Partially Meets Requirement”- Vendor proposal demonstrates some attempt at meeting a particular RFP requirement, but that attempt falls below acceptable level, **Score: 6**

“Meets Requirement”- Vendor proposal fulfills a particular RFP requirement in all material respects, potentially with only minor, non-substantial deviation, **Score: 8**

“Exceeds Requirement”- Vendor proposal fulfills a particular RFP requirement in all material respects, and offers some additional level of quality in excess of ODJFS expectations, **Score: 10**

A technical proposal’s total PHASE II score will be the sum of the point value for all the evaluation criteria. The review team will collectively score each individual qualifying proposal. Technical proposals which do not meet or exceed a total score of at least **568** points (a score which represents that the selected vendor has the capability to successfully perform the project/program services) out of a maximum of **740** points, will be disqualified from further consideration, and its cost proposal will neither be opened nor considered. Only those vendors whose Technical Proposals meet or exceed the minimum required technical points will advance to PHASE III of the technical proposal score sheet.

ITEM #	EVALUATION CRITERIA	RFP SEC. REF.	Weighting	Doesn't Meet 0	Partially Meets 6	Meets 8	Exceeds 10
VENDOR QUALIFICATIONS							
ORGANIZATIONAL EXPERIENCE & CAPABILITIES							
1	Does the vendor have the capacity and prior experience carrying out similar evaluation in size and scope within the last five (5) years?	3.2, A.	3				
2	Has the vendor described their experience in successfully conducting the type of evaluation proposed for this project (process, performance, AND outcome)? The response should include separate examples for each of the types of evaluation – process, performance, and outcome.	3.2, A.1.	3				
3	Has the vendor described their experience in working on evaluation studies of comparable size and scope, such as managing measurements over multiple time periods and multiple locations using rigorous statistical methods? The response should include a description of data collection and analysis tools created or utilized in these previous studies.	3.2, A.2.	2				
4	Did the vendor describe their experience in prevention related evaluation efforts? The response should include a description of a previous prevention related evaluation project, the project being evaluated, and evaluation methods used to evaluation outputs and outcomes.	3.2, A.3.	2				
5	Did the vendor demonstrate their ability to create or modify a baseline needs assessment in a social science project and how those needs assessments were utilized in continuing quality improvement efforts?	3.2, B.	3				
6	Does the vendor have at least three (3) years' experience working with a social/behavioral Institutional Review Board (IRB), which is an independent committee responsible for approval, monitoring, and review of research projects that involve human subjects. Such experience may include: preparing evaluation plans for submission to an IRB, responding to IRB requests and recommendations, revising evaluation study plans as necessary, ensuring informed consent of participants, etc.	3.2, C.	2				
7	Does the vendor have an IRB in-house or if not, have they hired an IRB in the past? The response should identify the IRB and specify whether the IRB is a social services/behavioral IRB. <i>Note: Preference to be given to vendors with an in-house social services/behavioral IRB.</i>	3.2, C.1.	3				
8	Did the vendor describe how an effective relationship with an IRB has been established and maintained through an evaluation study, such as indicating how the corrective action plans were developed, implemented, and evaluated to ameliorate study concerns raised by an IRB?	3.2, C.2.	2				
9	Does the vendor have at least five (5) years' experience in effectively safeguarding personally identifiable information— including, but not limited to—maintenance and use of statistical processing software and	3.2, D.	3				

	information processing technology with the capacity to securely collect, transfer, store, and maintain data files in compliance with state and federal standards, as outlined in the documents listed below (links are in the Reference Library, Section 2.4)?						
	1. Federal Policy for the Protection of Human Research Subjects. 2. The ODFPS Personal Confidentiality Statement						
10	Does the vendor have at least five (5) years' experience in grant management practices to complete grant activities with high quality results and within in the specified period of performance?	3.2, E.	2				
11	Does the vendor have at least five (5) years' experience in disseminating evaluation results from similar studies?	3.2, F.	2				
12	Does the vendor have at least two (2), but no more than three (3), letters of reference, within the submitted proposal (NOT submitted separately)? These references must relate to work conducted within the past seven (7) years. Proposals may include evidence of multiple projects, or re-hire with the same organization. <i>Note: Preference will be given to references for successful program evaluation services/projects in child welfare or child abuse and neglect prevention.</i>	3.2, G.	1				
STAFF EXPERIENCE & CAPABILITIES							
13.	Did the vendor identify a Lead Researcher with an advanced degree in Social Work, Social/Behavioral Science, Social Research, Public Administration, or a related discipline and a minimum of five (5) years' experience evaluating projects with child welfare populations, and similar experience in collecting and analyzing child welfare data?	3.3, A.	3				
14.	Did the vendor identify all key staff (at minimum, a project manager) who all must have, at minimum, a bachelor's degree in social work, social/behavioral science, social research, public administration or a related discipline with a minimum of five (5) years' experience in the social services field. Individuals with previous experience evaluating child welfare projects are preferred.	3.3, B.	2				
15.	Did the vendor identify all prior experience working on projects of similar scope and size, as well as which key staff were responsible for executing the project deliverables? Vendors should identify the sponsor and funding source of the project, as well as the length of time spent on the project(s).	3.3, C.	2				
SCOPE OF WORK / SPECIFICATION OF DELIVERABLES							
16.	The vendor has described how they will produce an Evaluation Design Report (EDR) that will provide the framework that identifies the evaluation study's various element and describe their methods of analysis, which are required by the Children's Bureau? The description must also include the software and data systems that will be used in the performance of the evaluation study.	4.1, A.	3				
17.	The vendor has described a plan to include the EDR components listed in Section 4.1 A. 1-5 of the RFP?	4.1, A., 1-5.	3				
18.	The vendor has described how their process evaluation explores and explains the extent to which activities were implemented as intended and to describe the characteristics of the clients served through the Community-Based Prevention Model. Also, the vendor described how their process evaluation provides context and information that make evaluation results more useful and informative for future program development or replication and should be performed in consideration to the following components listed in Section 4.1, B. 1-4.	4.1, B., 1-4.	3				
19.	The vendor has described how their performance evaluations will involve regular examination of ongoing processes and progress toward outcomes as well as devising organizational structures that will ensure the information learned from the evaluation is employed for continuous quality improvement in consideration to the following components listed in Section 4.1, C, 1-4.	4.1, C., 1-4.	2				
20.	The vendor has described how they will conduct the outcome evaluation to comprehensively examine the impact of the program on strengthening families and increasing the capacity of the community, evaluating at minimum the following goals listed in Section 4.1, D. of the RFP.	4.1, D.	3				
21.	The vendor has described a plan to demonstrate how they will use a comparison group between those families served and a control group, possibly from families on a waitlist, for completion of pre-test and post-test measure.	4.1, D.	3				
22.	The vendor has proposed a plan to collect outcome measures according to a plan to be developed by the Administration for Children and Families (ACF) to ensure common measurement collection across Child Welfare Community Collaborations grantees	4.1, D.	3				

23.	The vendor has a timeline that reflects sufficient time and resources to effectively implement the evaluation study in accordance with the timelines outlined in Appendix D and includes the following: 1. Clearly show that the evaluation plan is feasible and appropriately aligned with the program components and schedule; 2. Include all relevant evaluation activities, such as: time for planning and design of the evaluation study; meetings with pilot areas and partner agencies; OCTF, ODIFS, CB; obtaining IRB approval; participant enrollment; baseline data collection; administrative data collection; quality control activities; analysis of data; cleaning data of personally identifiable information; reporting (interim and final); and distribution; and, 3. Identify the individual(s), pilots and/or partner(s) responsible for evaluation activities.	4.1, E., 1-3	3				
24.	The vendor has developed a budget for evaluation study costs that includes all costs to conduct the evaluation activities outlined in the scope of work and deliverables Section 4.1, F., of this RFP.	4.1, F., 1-5	3				
25.	The vendors proposal includes a Dissemination Plan that describes the methods OCTF will use to share information on the Community-based Prevention Project with child and family serving agencies and professionals on the local, state, and national levels.	4.1, G.	3				
26.	The vendor has demonstrated its ability to effectively manage the evaluation study from design to completion and to effectively coordinate and collaborate with OCTF, the implementation teams, the IRB, ODIFS, the Children's Bureau, and all other identified partners and stakeholders.	4.1, I	3				
ADMIN. STRUCTURES—PROPOSED WORK PLAN							
16.	The vendor has stated the key objectives of the proposed project. Vendors are advised to refrain from simply restating the objectives as identified in Section 1.4 of this RFP.	4.3, A.	1				
16.	The vendor has provided a sound technical approach and work plan to be implemented, include a timeline.	4.3, B.	2				
17.	The vendor has provided a sound plan and/or procedure for status reporting, and reporting work completed, and resolution of unanticipated problems.	4.3, C.	2				
18.	The vendor has provided a timeline for each component of the scope of work and the project overall including the staff hours for personnel involved. Include a Table of Organization (including any subcontractors) and a chart showing the number of hours devoted to the project by vendor or subcontractor staff. Specify the key management and administrative personnel who will be assigned to this project. The vendor must provide the percentage of time each key management person will devote to the project.	4.3, D.	2				
PROPOSAL ORGANIZATION							
	The vendor has submitted a proposal which complies with the specified submission format.	5.1	.25				
	The vendor has submitted a proposal which is free of self-promotional claims.	5.1	.25				
	The vendor has submitted a proposal which has been thoroughly proofread for spelling and grammatical errors.	5.1	.25				
TRADE SECRET INFORMATION							
	The review team in its comprehensive review of the vendor's proposal has determined that the proposal was free of trade secret/proprietary information as specified/resitcted in the RFP. [A "no" response will disqualify the vendor's proposal and will not advance to the consideration of the vendor's Cost Proposal.]	5.2, C. 8.5				YES	NO
Column Subtotal of "Partially Meets" points							
Column Subtotal of "Meets" points							
Column Subtotal of "Exceeds" points							
GRAND TOTAL SCORE:							

Based upon the Grand Total Technical Score earned, does the vendor's proposal proceed to the Phase III evaluation of its Cost Proposal? (Vendor's Grand Total Technical Score must be at least 560 points.)

Yes _____ No _____

(If “No,” Vendor’s Cost Proposal will not be opened.)

	<div><div><div>VENDOR'S GRAND TOTAL SCORE [Phase II A. + Phase II B. pts.]</div></div></div>	
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Funding was awarded to the Ohio Children's Trust Fund on a federal fiscal year basis. The state of Ohio requires the Ohio Children's Trust Fund to establish contracts with vendors on a state fiscal year basis. Therefore, to appropriately project both federal and state budgets, the Ohio Children's Trust Fund will need interested parties to break their budgets into both state and federal fiscal years.

Deliverable Sec. 4.1	SFY 2020	SFY 2021		SFY 2022		SFY 2023		SFY 2024		SFY 2025	TOTAL
	FFY 2020 (3/1/2020 – 6/30/2020)	FFY 2020 (7/1/2020 – 9/29/2020)	FFY 2021 (9/30/2020 – 6/30/2021)	FFY 2021 (7/1/2021 – 9/29/2021)	FFY 2022 (9/30/2021 – 6/30/2022)	FFY 2022 (7/1/2022 – 9/29/2022)	FFY 2023 (9/30/2022 – 6/30/2023)	FFY 2023 (7/1/2023 – 9/29/2023)	FFY 2024 (9/30/2023 – 6/30/2024)	FFY 2024 (7/1/2024 – 9/29/2024)	
A. Evaluation Design Report	\$	\$	\$ No Charge	\$ No Charge	\$ No Charge	\$ No Charge	\$ No Charge	\$ No Charge	\$ No Charge	\$ No Charge	\$
B. Process Evaluation	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
C. Performance Evaluation	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
D. Outcome Evaluation	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
E. Timeline	\$ No Charge	\$ No Charge	\$ No Charge	\$ No Charge	\$ No Charge	\$ No Charge	\$ No Charge	\$ No Charge	\$ No Charge	\$ No Charge	\$ No Charge
F. Travel Costs only	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
G. Dissemination Plan	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
H. Final Evaluation Report	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
I. Administration	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
J. Technical Assistance	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Other. <i>Explain</i>	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
SFY 20 Grand Total	\$										

[illegible]

ATTACHMENT D:
Cost Proposal Form and Instructions
Page 2 of 3

Part III—Cost Narrative

Vendors have the option of attaching a succinct cost narrative to explain and justify costs, and to submit it as part of the Cost Proposal. A Cost Narrative may be advisable to explain any costs which the vendor has chosen to combine, to explain how hourly rates were achieved, or to make the connections between costs and the technical proposal.

Appendix A: Theory of Change

Our Theory: The OCTF along with the Northeast Ohio Regional Prevention Council partners, specifically Columbiana, Mahoning and Trumbull counties, believe that ***IF*** the community provides a multi-tiered approach of service delivery to meet a family ‘where they are at’ to offer families additional support and resources consistent with identified needs including home visits, assessment of child and parent’s needs across all domains, family coaching and life skills, and service coordination planning; ***THEN*** families will be strengthened, knowledge regarding supportive community resources and parenting skills will be enhanced and nurturing given to children will improve, thereby increasing health and safety for minors and reducing child abuse and neglect incidents as well as foster care placement.

Appendix B: Logic Model

Logic Model for Community-Based Prevention Program - Enhancing Safety and Well-Being for Ohio's Children and Families				
Program Vision: Form a multi-system collaboration for the design and implementation of a multi-tiered, community-based prevention model offering a continuum of community-based services and supports for children and families				
Target Population: Parents/caregivers and the children that they are caring for in Columbiana, Mahoning and Trumbull counties are the target population for the grant.				
Goals: To identify parents/caregivers and provide key supports that will improve parenting behaviors, strengthen family protective factors, prevent child maltreatment and entry into foster care, reduce family risk factors, and increase overall safety and well-being of children and families.				
puts-Resources	Outputs-Activities	Short-Term Outcome	Intermediate Outcome	Long-Term Outcome
The OCTF, ODJFS & NEORPC leadership and strategic plans. Local Children's Services, Family and Children First Councils, behavioral health providers, child care centers, courts/legal aid, libraries, health care providers , in Columbiana, Mahoning and Trumbull counties. Staff, facilities and an existing continuum of prevention and treatment resources. Third Party Evaluator team members. TA Provider and CB expertise. Funds including OCTF & in-kind.	Planning process refines population, approaches, implementation, & evaluation through stakeholder input. Community awareness, training & outreach occurs with focus on partners/systems, caregivers & broader public. 150 families identified each yr. 2-5 through outreach and assessed for needs in life domains, including ACE questionnaire, UNCOPE, CTAC, and financial and housing stability. 150 families provided with evidence-based services , e.g., home visits, parenting education, peer support, M.I. and navigation to community resources, e.g., behavioral health, financial aid. Evidence-based parent education and peer support includes Triple P Positive Parenting Program and Motivational Interviewing. Total 600 families served over five years.	Planning process results in Children's Bureau approving the program. 30 stakeholders rate planning process as inclusive & helpful. Activity Logs show that the target population was served with all components of strategies/action plans. Activity Logs and observations show fidelity to evidence-based programs. Parents or children with trauma symptoms, mental health or substance misuse concerns linked with evidence-based treatment. Parents report accessing needed community resources. Information and referrals allow parents to seek treatment, etc. Concrete supports provide immediate crisis relief for families.	Parents show increased positive factors, including knowledge of parenting, concrete support, nurturing, & resiliency on <i>Protective Factors Survey</i> —pretest compared to posttest. Parents show increased positive parenting behaviors with children as measured retrospectively by <i>Family Support Program Outcomes Survey and Triple P surveys</i> . Persons exposed to trauma show reduced symptoms on pretest and posttest <i>Trauma Symptom Checklist and Trauma Symptom Checklist for Young Children</i> .	Families and children are healthy and safe with increased well-being. Families have fewer reports of child abuse/neglect compared to non-treatment group. Data collected through Statewide Automated Child Welfare Information System (SACWIS). Families have fewer reports of foster care placements compared to the non-treatment group. Data collected via SACWIS.
Service Assumptions: Evidence-based practices will result in positive parenting and protective factors and reductions in risk factors. With TA & stakeholder input, selection will be refined during planning. Triple P Level 3 (rated 2-Supported) and Level 4 (rated 1-Well-Supported) have multiple RCT studies (Heinrichs, N., Kliem, S., & Hahlweg, K. 2014). Motivational Interviewing (rated 1-Well-Supported) has multiple RCT studies (Osterman, R. L., & Dyehouse, J. 2012). Strengthening Families Protective Factors Framework was developed by the Center for the Study of Social Policy and is a researched, evidence-informed framework.				

Appendix C: Process Evaluation Research Questions

Research Questions to Address the Elements in Section IV.2		
1) What core components of the strategies, activities, and program were implemented?		
a. Identify the core elements of each of the main strategies and what were the activities and programs that were included.	Were all elements implemented that were mentioned in the grant? What policies, procedures, or action steps have been put in place to support those components?	
2) To what extent were the strategies, activities, or programs implemented as intended?		
a. Did the implementation match the timelines?	Were there unintended obstacles that interfered with implementation and what was the result?	
b. Were the activities, programs, etc. implemented in fidelity to evidence-based programs.	Did the staff follow program requirements as described? What steps were taken to ensure fidelity, e.g., checklist, observation?	
3) To what extent were strategies, activities, or programs integrated into the existing system?		
a. Were children and families referred to existing services?	What role did third-party agreements play in service delivery? To what extent are family coaches interacting with other local child welfare professionals?	
b. What organization capacity supported collaboration and implementation?	What role did the Project Director and the Council play in implementation and collaboration?	
4) What strategies, activities, or programs did the projects deliver to communities and families?		
a. What were the types and quantity of activities delivered to families and communities?	Were the strategies, activities, or program noted in the grant delivered to the community and families? What other strategies or activities, etc. were used? What is the total, unduplicated number of families served by all activities? How many participated in parenting classes? How many accesses each level of the six pillars of service provision?	
b. What resources were devoted to the project?	What is the budget for each activity in each county? How many staff FTEs are devoted to each activity in each county?	
5) What are the characteristics of the population served?		
a. What were the demographic and household characteristics of families served?	How were services culturally responsive? Were the responses aligned to the disparity seen for underserved families and children, etc.?	
b. What was the trauma history of families served?	What was the number and proportion of program participants who had an ACE score of 5 or higher?	
6) What steps did the project take to support the continuation of the strategies, activities, programs beyond the life of the current project period?		
a. Have the results of the program led to a decision that the project should be sustained?	Have these results been disseminated? Is there an offset from reductions in spending for investigations and foster care placements that will allow the program to continue? Have agreements to sustain been developed?	
b. Is there other funding that could be secured?	Have grants or proposals been written to sustain the effort?	
7) What effects did the strategies, activities, or programs have on the identified outcomes?		
a. The plan for measuring the effects of the strategies, activities, or programs are noted in the outcome evaluation section. This narrative is found in response to Criteria 11.	To be designed by the Evaluator.	
8) What effects did the strategies, activities, or programs have on the identified intermediate and long-term outcomes?		
a. The plan for measuring the effects of the strategies, activities, or programs are noted in the outcome evaluation section. This narrative is found in response to Criteria 11.	To be designed by the Evaluator.	
b. What external factors have affected implementation performance?	How have changes in the prevalence of substance abuse among local caregivers affected the need for, utilization of, or effectiveness of project activities? How do these findings compare to the obstacles initially anticipated to most affect implementation?	
c. What are the implications of these findings for the sustainability of the project?	For example, to what extent would new legislation related to Family First Prevention Services Act affect families and service providers' willingness to participate?	

Appendix D: Project Planning and Implementation Timeline

TABLE 3: Project Tasks Activities & Milestones ¹	Year 1				Year 2				Year 3				Year 4				Year 5				Total #
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Planning/Exploration	X	X	X																		
Release Evaluator RFP	X																				
Select Project Evaluator	X																				
Hold Kick-Off Event	X																				
Establish Implementation Team	X																				
# Implementation Team Meetings	3	3	3	3																	12
Finalize Agreements ²	X	X																			
Reassess Strategies and Project Timeline	X	X																			
Develop Program and Training Manuals	X	X	X	X																	
# Complete Site Visits	1	2																			
Review Site Visit Info		X	X																		
Revisit Logic Model		X	X																		
Refine Evaluation Plan		X	X																		
Submit Initial Implementation and Evaluation Plan to CB			X																		
Revise Plan as Needed			X	X																	
Submit Final Plan				X																	
Planning/Installation		X	X	X																	
Develop Reporting Framework	X	X	X	X																	
Develop Outcome Expectations	X	X	X	X																	
Recruit & Hire Staff		X	X	X																	
Develop Referral Process	X	X	X	X																	
Develop Programmatic Processes & Procedures	X	X	X	X																	
Staff Training			X	X	X																
Initial Push for Awareness Efforts ³			X	X	X	X															
Initial Implementation					X	X	X	X													
# Routine Project Calls					12	12	12	12													48 calls

¹ See Clear and Reasonable Plan for 10 Month Project Planning Phase section for complete description of activities during year 1

² Partnership and Data Sharing Agreements

³ Develop marketing materials, present to target audiences (i.e. schools, hospitals, judicial community, PCSAs, and FCFCs), targeted social media

TABLE 3: Project Tasks Activities & Milestones ¹	Year 1				Year 2				Year 3				Year 4				Year 5				Total #
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
# Referrals					50	100	150	150													450
# Families Served Tier I ⁴					25	50	75	75													225
# Families Served Tier II ⁵					8	25 ⁶	42 ⁷	50 ⁸													125
# Families Served Tier III ⁹					4	12 ¹⁰	27 ¹¹	60 ¹²													103
# Refuse Services					25	50	75	75													225
Full Implementation									X	X	X	X	X	X	X	X	X	X	X	X	
# Routine Project Calls									6	6	6	6	6	6	6	6	6	6	6	6	72 calls
# Referrals									150	150	150	150	150	150	150	150	150	150	150	150	1,800
# Families Served Tier I									75	75	75	75	75	75	75	75	75	75	75	75	900
# Families Served Tier II									50	50	50	50	50	50	50	50	50	50	50	50	200¹³
# Families Served Tier III									60	60	60	60	60	60	60	60	60	60	60	60	180¹⁴
# Refuse Services									75	75	75	75	75	75	75	75	75	75	75	75	900
# Families Waitlisted									44	43	43	43	44	43	43	43	44	43	43	43	520
Total Families Served Tier II and/or Tier III																					608

⁴ Assumes 50% of families are willing to voluntarily participate in services

⁵ Assumes 50% of families served through Tier I were willing to voluntarily participate in Tier II or Tier III Services; 2/3 families opting for Tier II

⁶ Assumes 8 families from Q1 + additional 17 families

⁷ Assumes completion for 8 families from Q1, continuation of 17 families in Q2, and additional 25 families from Q3

⁸ Full Program Capacity Reached; Assumes completion for Q2 families, continuation for Q3 families, and an additional 25 families from Q4

⁹ Assumes 50% of families served through Tier I were willing to voluntarily participate in Tier II or Tier III Services; 1/3 families opting for Tier III

¹⁰ Assumes 4 families from Q1 + additional 8 families

¹¹ Assumes completion for 2 families from Q1, continuation of 12 families in Q2, and additional 13 families from Q3

¹² Full Program Capacity will be reached – 3 Family Coaches (20 families each) – assumes some Tier II families move to Tier III

¹³ Assumes Program Consultation at full duration AND service duration is 90-180 days (1-2 Quarters)

¹⁴ Assumes Family Coaches remain at full capacity AND service duration is 90-180 days (1-2 Quarters)

PERSONAL CONFIDENTIALITY STATEMENT

I, _____, am an employee/agent/contractor of _____, which has executed an Agreement with the Ohio Department of Job and Family Services (ODJFS). I understand that in the course of my employment I may have access to confidential information as described in the Agreement between ODJFS and my employer.

In connection with access to any and all ODJFS data, I acknowledge and agree to abide by the terms of the above-cited agreement, as well as the following:

- I will access and use the data only as is necessary for the performance of my official job duties for the purpose(s) specified in this agreement and in compliance with the applicable provisions of federal and state confidentiality laws.
- I will store the data only on my employer's premises in an area that is physically safe from access by unauthorized persons during duty hours, as well as non-duty hours or when not in use.
- I will process the data and any records created from the information in a manner which will protect confidentiality and in such a way that unauthorized persons cannot retrieve the information by any means.
- I will immediately notify my supervisor and the ODJFS Agreement Manager of any suspected or actual violation of confidentiality.
- I have read the above-cited Agreement and will comply with the terms, including but not limited to, the following: protecting the confidentiality of my personal access codes (e.g., username, password, etc.); securing computer equipment, disks and offices in which the confidential data may be kept; verifying that individuals requesting access to the data are authorized to receive them; and following procedures for the timely destruction of the data.
- I understand if I knowingly and intentionally violate any confidentiality provisions, my access privileges may immediately be suspended or terminated. I further acknowledge that if I knowingly and intentionally disclose confidential information, I may be subject to a fine and/or imprisonment under federal or State of Ohio laws.

By signing below, I acknowledge that I have read and understood the confidentiality requirements of ODJFS information, as well as the possible penalties for failure to comply, and will adhere to them. By approving a form, the supervisor certifies that he/she will monitor the employee's use of the information to ensure its confidentiality and security.

Signature: _____ Date: _____

Printed Name: _____

Supervisor's Signature: _____ Date: _____

Supervisor's Printed Name: _____

Unit/Location: _____

P R E F A C E

Instrument 2: Evaluation Plan Template

P R E F A C E

Community Collaborations Evaluation Plan Template and Quality Indicators

Authors

Michelle Blocklin, Allison Hyra, Eliza Kean, and Allan Porowski.



Abt Associates | 6130 Executive Boulevard | Rockville, MD 20852

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Executive Summary

EXECUTIVE SUMMARY

This template is provided to CWC grantees to assist in the development of their evaluation plans.¹ It includes all the required components of an evaluation plan as delineated in the FOA and provides a logical flow for describing them. This template also aligns with Children's Bureau's Evaluation Plan Development Tip Sheet (ACYF-CB-IM-19-04). The evaluation plan template includes three major sections: (1) Introduction, (2) Process Evaluation, and (3) Outcome Evaluation.

This template includes the Community Collaborations Evaluation Quality Indicators, which should guide the development of evaluation plans and the execution of those evaluations. These quality indicators provide a foundation for strong grantee evaluations. With rigorous designs, evidence developed under this project will help grantees, ACF, and the broader field make evidence-based decisions and improvements to community-level collaborations. By addressing these quality indicators in their evaluation plans when feasible, grantees also increase the chances their evaluations will be accepted for publication by a peer-reviewed journal or as a conference presentation.

Grantees are encouraged to address as many of the quality indicators as feasible. The TA team will use these indicators as a basis for feedback on grantees' evaluation plans. These quality indicators are also a technical assistance tool, as they provide concrete recommendations for both strengthening evaluation designs and solutions to address evaluation challenges.

The quality indicators outlined in this document were drawn from several sources, including [ACF's Prevention Services Clearinghouse](#) (PSC), the U.S. Department of Education's [What Works Clearinghouse](#) (WWC), the U.S. Department of Labor's [Clearinghouse for Labor Evaluation and Research](#) (CLEAR), and Abt Associates' proprietary EVIRATER™ standards. PSC, WWC and CLEAR standards focus primarily on comparison group designs such as randomized controlled trials and quasi-experimental designs, whereas Abt's EVIRATER standards address the full spectrum of evaluation designs, including pre-post and interrupted time series. Additional community-level quality indicators were drawn from Abt's experience on other projects including the TPP Scale-Up project for the Office of Adolescent Health.

This document lays out the structure of the evaluation plan, and then provides the quality indicators relevant for each section. They provide guidance for both participant-level and community-level evaluations. **In the sections below, quality indicators that are optional or relevant only to certain evaluations approaches are marked with an asterisk (*).**

The TA team will support the grantees' development of their evaluation plans and execution of their evaluations to ensure those plans and evaluations align with all feasible quality indicators. Grantees and evaluators should also refer to the resources on [Huddle](#) to support the development and execution of their evaluation plans. Grantees are expected to submit draft versions of sections of their evaluation plans according to the review schedule they developed in partnership with their TA liaisons. Appendix A contains a template for a schedule for the submission and review of evaluation plan sections, for grantees and TA liaisons to agree upon and complete together. This schedule helps ensure that the TA team is able to provide ongoing feedback during the plan development, with the expectation that all or almost all components of draft evaluation plans will have been reviewed at least once by the TA liaisons prior to the complete plan submission by July 31, 2020.

¹ Use of this template is highly recommended, but not required. Grantees that choose to develop their evaluation plans using different headings still must ensure they provide all the information requested in this document. Use of this template will reduce the time it takes to receive feedback and approval from the TA team and ACF.

EXECUTIVE SUMMARY

Once complete evaluation plans are submitted to the TA team on July 31, 2020, the TA team will review the plans in coordination with ACF. To be approved, a grantee's evaluation plan should address the recommended quality indicators to the extent possible (and provide a written explanation when an indicator is not feasible). TA liaisons will support grantees and evaluators in revising evaluation plans until they are approved. Evaluation activities should not begin until plans have been approved. However, grantees/evaluators should alert TA liaisons to imminent evaluation activities to ensure their timely approval.

Glossary of Terms

To facilitate communication, the TA team used the following terms in specific ways:

- **Initiative/collaboration:** The totality of all partnership efforts, including work previous to, and outside of, the CWCC grant. This includes previous relationships, collaborations, activities, goals, and data management systems that predate the grant, and the ongoing work, services, and collaborations that are not supported by CWCC funds.
- **Grant:** All of the activities, efforts, services, and collaborations that are happening as a result of CWCC grant monies.
- **Activities:** Any efforts grantees are conducting as a result of the CWCC grant. These efforts can include systems alignment, fundraising efforts, creation/expansion of services/interventions, recruitment/outreach of families, and policy/practice changes.
- **Treatment:** One, a set, or all of the activities that participants, agencies, organizations, systems or communities are receiving as a result of grant activities. The treatment will depend on each outcome evaluation question. Some questions may examine the totality of grant activities and their associated changes, while other questions may focus on one or several activities – such as changes in service population as a result of recruitment efforts, or changes in systems-level communications as a result of the development of a steering committee.

Evaluation Plan Components and Quality Indicators

The following sections present a template for your evaluation plan along with corresponding quality indicators that the TA team will use to assess plans. Instructions for completing each section of the evaluation plan are shown in *italics*, each quality indicator is **bolded**, and all include a brief description. Some quality indicators may differ based on whether the evaluation is to be conducted at the individual-level or community-level. In these cases, the level of analysis (individual vs. community) is included in the title of the quality indicator.

The Paperwork Reduction Act Statement: The referenced collection of information is voluntary and will be used to systematically document *Child Welfare Community Collaborations to Strengthen and Preserve Families* (CWCC) grantees evaluation plans Information provided in this collection will be kept private. The time required to complete this collection of information is estimated to average 8 hours per response, including the time to review instructions and complete and review the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The valid OMB control number for this collection is 0970-0531, which expires 7/31/2022. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Abt Associates, 6130 Executive Blvd., Rockville, MD 20852, Attn: Allison Hyra.

INTRODUCTION

1. Introduction

Provide a brief summary of your overall initiative/collaboration, initiative/collaboration history, and evaluation plans (process and outcome). This description should encompass all of the work/scope of your collaboration, not just the “added value” of the CWCC grant, if applicable.

Quality Indicator: Initiative/Collaboration background, purpose, and scope description

Grantees should describe their initiative/collaboration history and any previous evaluation efforts. History could include when and why partners joined the group, the collaboration’s goal, mission, and purpose, and other major funding streams. The description should include the totality of the collaboration’s activities and efforts, including work previous to, and outside the scope of, the CWCC grant.

1.1. Grant Purpose and Scope

Briefly describe the grant’s overall approach and goal (i.e., what activities are you implementing as a result of CWCC funding and for what purposes).

Quality Indicator: Grant purpose and scope description

Grantees should briefly describe their CWCC grant activities, including the continuum of family-directed services, planned collaborations, and systems change. Grantees should also describe the challenges (e.g., lack of alignment between agencies, focus on maltreatment rather than prevention) that the grant is designed to address or ameliorate. The purpose and scope should be clearly laid out and each of the components clearly described. Grantees should clearly define how the proposed strategies, practices, policies, or activities will be operationalized. This should include a description of adaptations based on earlier pilots, usability testing, existing evidence from other fields, and input from experts in the field. Grantees should describe the selected activities (e.g., interventions, systems changes, collaborations) and the targeted outcomes.

1.2. Defined Target Population

Describe and define the grant’s target population, including characteristics of targeted families and the targeted communities or geographic catchment area.

Quality Indicator: Defined target population(s)

Grantees should clearly define and describe their target populations. They should provide a detailed description of both the geographic catchment area (including population size) and individuals targeted for the strategies, practices, or activities as well as a sound rationale for their selection (including the characteristics of the youth and families and the targeted number of individuals to whom the strategies, practices, or activities will be provided).

1.3. Theory of Change

Include a narrative describing the grant’s theory of change. After finalizing the theory of change for the implementation plan, please paste here.

Quality Indicator: Clear and thorough theory of change

Grantee process evaluation plans should include a theory of change. The theory of change should provide a broad framework for and narrative accompaniment to the logic model. It should clearly identify the theory that guides the selection of proposed activities (both participant services and systems/collaboration-level efforts) for the desired outcomes, describing the root causes of problems, the pathways to change, and the expected long-term outcomes as a result of these activities. Grantees should describe a clear, data-supported theory of change and relevant assumptions.

1.4. Logic Model

Include a logic model for the grant. A Logic Model Template is included in Appendix B.

INTRODUCTION

Quality Indicator: Clear and thorough logic model

Grantees should submit a grant-level logic model that meets the following criteria:

- Logic model includes key assumptions or contextual information;
- Logic model identifies the key components (or activities) of the grant;
- Logic model documents the inputs necessary to execute grant activities (including relevant activities put in place prior to the grant);
- Logic model identifies the mediators or intermediate outcomes through which the grant activities are expected to have its intended outcomes;
- Logic model identifies the outcome domains that the grant is designed to improve (e.g., reductions in child abuse and neglect and entry into the foster care system); and
- Logic model includes the pathways from key components to outcomes in all necessary steps.

1.5. IRB Approval Plans

Describe your plans for obtaining Institutional Review Board (IRB) approval and identify the IRB. If applicable, describe plans for Tribal review and approvals.

Quality Indicator: Plans for IRB approval

All CWCC evaluations must undergo IRB review. Grantees should describe their plans for receiving IRB approval. They should identify the IRB to be used for the review and note previous experiences with this or other IRBs.

1.6. Evaluation Roles and Responsibilities

Complete the table below identifying key evaluation team members and their roles in the evaluation. Note that both grantee and evaluator staff will likely need to be involved in developing the evaluation plan. The more communication the evaluator has with program staff the better. This communication will ensure a clear understanding of the project and that its goals are reflected in the evaluation plan.

Name	Organization	Role in Evaluation

1.7. Feasibility of Evaluation Plan

Grantees/evaluators should carefully consider and indicate in this section the feasibility of the evaluation plan proposed in the sections below within the constraints of their evaluation budget. If there are particular concerns or potential challenges in carrying out the planned evaluation activities within the evaluation budget, those should be noted here.

PROCESS EVALUATION

2. Process Evaluation

2.1. Research Questions

List the process evaluation research questions. At a minimum, research questions should address fidelity, reach, and implementation drivers, solutions, and barriers.

Quality Indicator: Explicated research questions

Grantees should identify the research questions to be answered through the process evaluation. These research questions do not need to follow the structure for the outcome evaluation outlined in Section 3.2.

2.2. Fidelity

Describe the plans to measure and report on implementation fidelity. We encourage you to complete the Fidelity Matrix in Appendix C to indicate how fidelity will be measured, calculated, and rolled up to the grant/sample level. TA liaisons are available to explain the matrix and help you to complete it.

Quality Indicator: Fidelity documentation

Grantees should describe plans to measure implementation fidelity (i.e., the extent to which activities were implemented according to plan, as designed, or as described in the literature). Four (4) criteria are associated with measurement of implementation fidelity:

1. Fidelity of implementation is measured separately for each key grant activity.
2. The entire sample (or acceptable alternative representation such as a random subsample) receiving the activity is included in implementation reporting.
3. A fidelity threshold is specified for each key component at the level of an individual unit (e.g., child, family, community) and at the project level.
4. A determination of fidelity could be made for each component (activity) at the project level.

Fidelity measurement may be adjusted throughout grant implementation based on Continuous Quality Improvement (CQI).

2.3. Reach

Include your plan for defining and measuring the reach of the grant. Participant-level reach can be defined as the number of people (parents, children, and/or families) that the grant activities will touch. Community-level reach can be defined as the number of communities served by the grant. The geographic unit of the community (e.g., county, ZIP code, census tract) should be documented. (We encourage you to consider the smallest geographic unit that is feasible and appropriate in describing your communities.)

As part of measuring reach, we also encourage you to measure, at the participant-level, some element of services received (types of services received, which organizations provided each service) and dosage (number of hours of services, whether the service was completed, percentage of service completed). If you are unable to collect any participant-level data, describe why. Common challenges include (1) access (e.g., inability to collect and combine data across multiple front-line organizations); (2) quality (e.g., concern that the percentage of target population that will consent to data collection will be too low to generalize to the actual participant population); or (3) capacity (e.g., not enough evaluation resources to support participant-level data collection).

Include your plans for collecting data, sampling, and conducting analyses to answer reach research questions.

PROCESS EVALUATION

Quality Indicator: Calculate initiative reach

Grantees should define and measure the reach or level of uptake of the grant activities (both for participants/families served and for systems, organizations, or agencies affected). For grants with direct services, grantees should track the numbers of individuals served by service type. Grantees should also define and note the number of communities (e.g., ZIP codes, counties, and census tracts) served. Reach should be measured both yearly and as an overall grant period calculation.

*Grantees may conduct geospatial analysis to map the areas served by their grant. Grantees could also use data from the American Community Survey (ACS) to map the community-level reach of their grant on indicators of community need (e.g., rates of child abuse and neglect).

Quality Indicator: Plan for reach data collection

Grantees should describe plans for collecting data on reach. The plan should include data sources, measures, who will obtain informed consent (if applicable), who will collect the data, how the data will be collected, and the frequency of data collection. Attach to the plan any developed data collection instruments, such as surveys, interview protocols, or focus group discussion guides.

Quality Indicator: Reach sample description

Grantees should identify the sample on which they will measure reach. This sample could include participants, staff/professionals (at collaboration organizations and other stakeholder organizations), organizations, and/or communities. If you will use more than one form of data collection, describe the sample for each form of data collection separately. Describe the universe of cases, the evaluation sample (if not the full universe), planned sample sizes, and sampling plan and eligibility criteria for data collection. If grantees are drawing a sample from the universe of cases, they should describe plans to assess sample representativeness of universe. Grantees should also note whether the sampling plan includes vulnerable populations, such as pregnant women, children, cognitively impaired persons, students, minorities, and economically and/or educationally disadvantaged subjects. These special classes of subjects will generally not be exempt from IRB review, and human research with children may be subject to additional state and local laws.

Quality Indicator: Plan for reach data analysis

Grantees should describe how each data element collected will be analyzed, including any checks for data quality, and whether any individually-identifiable responses will be presented in reports. Specify the frequency of analysis and analytic methods and software to be used. Reach can be summarized using descriptive statistics.

Reach research question	Data Source(s)/ Measures	Party responsible for data collection	Frequency of data collection	Sample	Expected sample size

2.4. Implementation Drivers, Barriers, and Solutions

Include the plan for documenting implementation drivers (i.e., facilitators; implementation drivers or facilitators are processes or conditions that aid in the implementation process) to implementation, barriers to implementation, and any solutions to overcoming those barriers. Plan to identify

PROCESS EVALUATION

implementation drivers and barriers at multiple levels, such as federal, cultural, state, local, agency/organization, and staff member/individual.

Quality Indicator: Document implementation drivers, barriers, and solutions

Grantees should describe plans for documenting implementation drivers/facilitators, barriers to implementation, and solutions to those challenges (if available).

Quality Indicator: Plan for implementation drivers, barriers, and solutions data collection

Grantees should describe plans for collecting data on implementation drivers, barriers, and solutions. The plan should include data sources, measures, who will obtain informed consent (if applicable), who will collect the data, how the data will be collected, and the frequency of data collection. Attach to the plan any developed data collection instruments, such as surveys, interview protocols, or focus group discussion guides.

Quality Indicator: Implementation drivers, barriers, and solutions sample description

Grantees should identify the sample on which they will measure implementation drivers, barriers, and solutions. This sample could include participants, staff/professionals at collaboration organizations and other stakeholder organizations, organizations, and/or communities. If you will use more than one form of data collection, describe the sample for each form of data collection separately. Describe the universe of cases, the evaluation sample (if not the full universe), planned sample sizes, and sampling plan and eligibility criteria for data collection. If grantees are drawing a sample from the universe of cases, they should describe plans to assess sample representativeness of universe. Grantees should also note whether the sampling plan includes vulnerable populations, such as pregnant women, children, cognitively impaired persons, students, minorities, and economically and/or educationally disadvantaged subjects. These special classes of subjects will generally not be exempt from IRB review, and human research with children may be subject to additional state and local laws.

Quality Indicator: Plan for implementation drivers, barriers, and solutions data analysis

Grantees should describe how each data element collected will be analyzed, including any checks for data quality, and whether any individually-identifiable responses will be presented in reports. Specify the frequency of analysis and analytic methods and software to be used.

Implementation drivers, barriers, solutions research question	Data Source(s)/ Measures	Party responsible for data collection	Frequency of data collection	Sample	Expected sample size

2.5. Timeline

Include a timeline for all activities of the process evaluation.

Quality Indicator: Implementation evaluation timeline

Grantees should include a timeline for all process evaluation activities, such as data collection and analysis periods.

PROCESS EVALUATION

Process Evaluation Activity	Start Date	End Date

OUTCOME EVALUATION

3. Outcome Evaluation

3.1. Overall Design

Describe your planned overall design(s); for example, pre-post design, quasi-experimental design (QED), randomized controlled trial (RCT), regression discontinuity design (RDD), interrupted time series (ITS), participant-level, community-level, systems-level².

^{*3}Quality Indicator: Study registration

Study registration is an increasingly common activity undertaken during evaluation planning. Grantees using RCT or QED outcome evaluation designs may elect to register their evaluation. Registration involves providing your hypotheses and planned analyses to an outside party before starting data collection. It helps to ensure your primary findings are confirmatory (i.e., you're testing what you expected to find) and not exploratory (i.e., you're sifting through data until an interesting relationship or finding appears).⁴

3.2. Research Questions

List your research questions with four components (Target population, Treatment, Comparison condition, Outcome domain).

Note: The Children's Bureau would like all grantees to ask at least one research question addressing the extent to which the initiative was successful in connecting families previously unknown to the child welfare system with a continuum of services. In addition, research questions should reflect the standardized outcome measures agreed upon across grantees, the cross-site evaluation team, and ACF.

Examples of participant-level research questions:

1. Did the collaboration serve more non-system involved families compared to before the grant?
2. Do families who receive services provided by the grant demonstrate lower levels of parental depression after receiving services compared to before receiving services?
3. Do families who are exposed to components of the initiative (specify) have greater knowledge of available services than they did prior to exposure to the initiative?
4. Are families who are exposed to components of the initiative (specify) more likely to enroll in services compared to families who are not exposed to components of the initiative (specify)?

Examples of community-level research questions:

1. Do communities in which the CWCC initiative occurred have lower rates of entry into the child welfare system compared to similar communities where the CWCC initiative did not occur?
2. Do communities in which the CWCC initiative occurred have lower rates of placements into foster care compared to similar communities where the CWCC initiative did not occur?

² Evaluations with systems-level data (e.g., organization-level) should follow guidance for individual-level data, with organizations analyzed as individual actors. If you are conducting a systems-level analysis, please consult your evaluation TA liaison for further guidance.

³ Note that * refers to quality indicators that are optional or relevant only to certain evaluation designs.

⁴ The Center for Open Science is one example of a study registry (<https://cos.io/prereg/>). Evaluation TA liaisons can help grantees select the appropriate registry for their study.

OUTCOME EVALUATION

3. Do communities in which the CWCC initiative occurred have higher rates of enrollment in child abuse and neglect (CAN) prevention services than they did prior to the CWCC initiative?

Examples of systems-level research questions:

1. Do members of the collaborative have a stronger shared vision after the CWCC initiative than they did prior to the initiative?
2. Are collaborative partners more connected after the CWCC initiative than they were prior to the initiative?
3. Are prevention services more aligned in communities in which the CWCC initiative occurred than in communities where the CWCC initiative did not occur?

Quality Indicator: Outcome evaluation research questions

Each outcome evaluation research question should include the following:⁵

1. **Target population.** The population for which the effect of the treatment will be estimated (e.g., the age of a child during the period of exposure to the intervention).
2. **Treatment.** The treatment is the activity or set of activities that the evaluation will test and the treatment group will receive.
3. **Comparison condition.** The condition experienced by the comparison group. At a broad level, this element distinguishes between “business-as-usual” and the specific treatment that the evaluator has selected. For a pre-post design or interrupted time series, the comparison condition would be “pre-treatment.”
4. **Outcome domain.** The general, or high-level outcome that may be affected by the treatment; it can be thought of as a latent construct that can be measured with one or more outcome measures.

All research questions need to align with the project’s logic model. At least one research question should address an intermediate outcome as depicted in the logic model (e.g., changes in risk and protective factors amongst participant families, changes in access to/uptake of services by targeted families). All outcomes indicated in your research questions should be included in your logic model. However, you are not expected to include all outcomes in your logic model in your research questions.

Research questions should also be designated as either confirmatory (i.e., those upon which outcome evaluation conclusions will be drawn) or exploratory (i.e., those that might provide additional suggestive evidence).

Research Question	Target population	Treatment	Comparison condition	Outcome domain
1				
2				
3				
4				
5				
6				

⁵ https://www.acf.hhs.gov/sites/default/files/opre/pii_approach_to_evaluation_brief_508.pdf

OUTCOME EVALUATION

3.3. Treatment Condition

Describe the “treatment” that will be tested. That is, what components of the grant will the “treatment group” portion of the evaluation sample (e.g., families, collaboration partner organizations, communities) be exposed to? For sampled families, the “treatment” will be the set of the activities they will be receiving, such as case management services. For sampled organizations, the treatment might be participating in program eligibility alignment. What is the continuum of services that evaluation participants will be provided? What is the process by which participants will be offered and receive the continuum of services? What collaboration efforts will partner organizations participate in? What components of the initiative will communities be exposed to? For community-level evaluations, you will need to note the proportion of the targeted population that will be exposed to the treatment (your planned “saturation”).

Quality Indicator (Community-level only): Clear definition and description of treatment community (ies)

Grantees should clearly define their treatment communities (e.g., catchment areas). Treatment communities should be conceptually defined as geographic areas in which (1) all components of the grant are available to community members; and (2) a substantial proportion of the targeted population are directly or indirectly affected by these components. Communities could be defined by a variety of geographic units (e.g., counties, cities, ZIP codes, census tracts, school districts). It is best to define communities at the smallest geographic unit possible, although it is important that the selected geographic unit aligns with the available data (e.g., county-level child welfare data). If treatment communities cannot be aligned with available data, the grantee should document this disconnect, including the level of disconnect, and explain why such an alignment was not possible. It is also important for the grantee to describe the treatment community context (e.g., policies, initiatives, legislation related to risk and protective factors for child maltreatment).

Quality Indicator (Community-level only): Saturation calculated

Grantees should calculate saturation for each treatment community, defined as the proportion of the targeted population that has been exposed to one or more components of the grant. Community-wide efforts such as mass media (e.g., radio, newspaper, internet, or TV ads) where saturation is assumed to be 100% should be noted, but excluded from other saturation calculations. Grantees should also calculate saturation for direct services if their grant provides direct services (and this calculation is feasible).

3.4. Comparison Condition

Describe the “compared to what” for each research question. Comparison conditions could include the treatment group pre-treatment (e.g., treatment group at pretest in a pre-post design) or a separate comparison group (e.g., families or organizations similar to the treatment group families or organizations but will not be exposed to the treatment). At the community level, comparisons could include the treatment community(ies) before the grant (e.g., at pretest in a pre-post design) or (an) other similar community(ies) that do not participate in the grant activities. Comparison conditions may be at the individual or community level and include:

- a. Non-treated individuals or communities (randomly chosen)*
- b. Non-treated individuals or communities (not randomly chosen)*
- c. Pre-intervention data from treatment group of individuals or communities*
- d. Benchmark data (published evaluation data that shows gains in similar outcomes from other studies with similar interventions)*
- e. Progress against goal (evidence-based targets for change in an outcome, likely based on evaluation literature)*

OUTCOME EVALUATION

Describe how each comparison condition was selected and what (if any/known) relevant programming the comparison condition may be exposed to or have the opportunity to participate in (e.g., other collaboration efforts, statewide initiatives, or comparison-community CAN prevention efforts).

*Quality Indicator: Comparing pre-post changes to norms

The credibility of evidence from a pre-post design can be improved if the pre-post gain of the treated group can be compared to appropriate population norms that correspond to the same time interval between the pretest and posttest measurement (e.g., benchmarking). Grantees could compare evaluation pretest and posttest values to a reference group that approximates a policy-relevant reflection of the evaluation sample. For example, grantees could compare grant activity participants' gains in parenting knowledge to gains demonstrated by similar (non-treatment) populations as documented in published evaluation literature. Note that it is important to ensure that the comparison you make includes a sample that is as similar as possible to your evaluation sample (e.g., samples should reflect a similar risk/protective profile).

*Quality Indicator (Individual-level OEDs only): Clear definition and description of comparison individuals

To increase the rigor of an individual-level analysis, grantees could include a group of comparison individuals who do not receive the intervention. Individuals in the comparison group should be similar to those who received the intervention, but should not receive the intervention themselves. Statistical methods can be used to select similar comparison individuals or to correct for differences between the groups. Baseline equivalence should be calculated to determine whether the treatment and control groups are comparable at baseline (see baseline equivalence quality indicators in section 3.7).

*Quality Indicator (Community-level OEDs only): Clear definition and description of comparison community (ies)

To increase the rigor of a community-level analysis, grantees could include data across their state from non-treatment communities as an indication of what might have happened in the absence of the grant. (This approach is recommended, because if grantees are already requesting administrative data for treatment communities, it is likely feasible to request data for communities across the state.) Ideally grantees would use comparison communities similar to the treatment communities but that did not implement a similar community collaboration initiative. This can be accomplished by selecting comparison communities similar to the treatment communities, or by using statistical methods to correct for differences between the two groups. Good comparison communities are *local* (close to the same locale as the treatment communities, ideally in the same state to control for state-level policies and resources available) and *focal* (have similar characteristics as the treatment communities; see baseline equivalence quality indicators in Section 3.7). Grantees must describe comparison community contexts (e.g., policies, initiatives, legislation related to risk, and protective factors for child maltreatment).

*Quality Indicator (OEDs and RCTs only): Avoid confounds

Even when treatment and comparison groups are relatively similar, there may be other characteristics that fundamentally bias the research. To avoid confounds, aside from treatment status, the comparison group should not share a given characteristic, which is different from the treatment group. For example, if all treatment individuals were teen mothers and all comparison individuals were mothers over age 30, or if all treatment communities were in urban settings and all comparison communities were in rural settings, it will be impossible to disentangle the effect of the intervention from the effect of mother's age or the setting.

*Quality Indicator (RCTs only): Random assignment process

Random assignment to treatment and comparison groups increases an evaluation's rigor. In order for random assignment to produce two balanced groups, the random assignment process must assign individuals or clusters (e.g., families, communities) entirely by chance and maintain those assignments throughout the study period (e.g., a caseworker cannot decide a family assigned to the control group

OUTCOME EVALUATION

really should be provided grant-funded activities, and an evaluator cannot take participants assigned to the treatment group who do not receive any treatment out of the analysis or analyze them as part of the control group). The probability of assignment does not need to be 50%; however, each individual or cluster should have the same chance of being assigned to the treatment group versus the comparison group as do other individuals or clusters. Randomization may be compromised by researchers or providers in a number of ways. In order to maintain the integrity of the random assignment process, the individuals (or clusters) originally assigned to each condition must remain in that condition for the analysis, regardless of their adherence to the study condition (e.g., even if an individual assigned to the treatment group never receives treatment, they should still be analyzed as part of the treatment group, or if an individual assigned to the control group receives some of the treatment, they should still be analyzed as part of the control group). This is known as an intent-to-treat approach. All randomly assigned individuals or clusters should remain in the sample throughout the study, and individuals or clusters not randomly assigned should not be included in the analytic sample. Action should also be taken to avoid crossovers (e.g., individuals assigned to the comparison group who receive treatment), as this may dilute the treatment effect.

3.5. Sample Identification and Selection

Describe the outcome evaluation sample(s) (i.e., the participants/families, organizations, and/or communities that are contributing data to the evaluation) that will be used to address participant-level, community-level, or systems-level research questions. Describe how the sample(s) will be identified, evaluation eligibility criteria, planned sample sizes, and the sampling plan for data collection.

Participant-level samples will likely be all or a subset of non-system-involved high-risk families who engage in activities of the initiative. If all families who receive services will be included in the evaluation, describe eligibility for receiving services provided by the grant. For community-level research questions, define the treatment community(ies) and indicate potential comparison communities or plans for identifying and selecting comparison communities. For systems-level research questions, identify the organizations or the types of staff from whom data will be collected.

Quality Indicator: Sample description

Grantees should describe the universe of cases, the evaluation sample (if not the full universe), planned sample sizes, and sampling plan and eligibility criteria for data collection for the outcome evaluation. For individual-level evaluations, grantees should collect data from at least 200 individuals for confirmatory analyses. Grantees should also note whether the sampling plan includes vulnerable populations, such as pregnant women, children, cognitively impaired persons, students, minorities, and economically and/or educationally disadvantaged subjects. These special classes of subjects will generally not be exempt from IRB review, and human research with children may be subject to additional state and local laws.

3.6. Data Collection

3.6.1 Outcome Measures and Domains

List and describe outcome domains and constructs, corresponding measures, and their reliability and face validity (or plans to establish reliability and validity). Include citations for existing measures.

To answer the Children's Bureau research question about whether the collaboration was able to serve at-risk families previously unknown to the child welfare system, you should measure some aspect of the following elements: characteristics of families reached prior to the start of the treatment (e.g., demographics such as family composition [number of people in the household and relationship to focal child/ren], race/ethnicity, ages, geographic location, primary language/language spoken at home); risk/protective factors (e.g., measures related to child maltreatment such as parenting attitudes, knowledge, and beliefs; parental stress/resilience; family support/need; parental mental health and/or depression; and parental substance abuse); and whether the family (parent and/or child) had any contact with a child protection agency.

OUTCOME EVALUATION

If you are unable to collect any participant-level data, describe why. Common challenges include

(1) access (e.g., inability to collect and combine data across multiple front-line organizations); (2) quality (e.g., concern that the percentage of target population that will consent to data collection will be too low to generalize to the actual participant population); or (3) capacity (e.g., not enough evaluation resources to support participant-level data collection).

Per grant requirements, grantees will need to include the standardized outcome measures agreed upon across grantees, the cross-site evaluation team, and ACF.

Grantees will also likely collect system-level measures, such as measures of collaboration, cooperation or alignment, and community-level measures, such as community awareness of prevention efforts, rates of reported or substantiated child maltreatment, or rates of entry into foster care. The indicators below apply to measures at the participant, system, and community-level.

Quality Indicator: Outcome measures should be included in logic model

All outcomes measured in the outcome evaluation should be included in the logic model, and at least one intermediate outcome included in the logic model should be measured. However, not all outcomes included in the logic model need to be measured in the outcome evaluation.

Quality Indicator: Outcome measures should be reliable

Grantees should use reliable outcome measures. To be considered *reliable*, each outcome measure should meet one or more of the following criteria: internal consistency (such as Cronbach's alpha) of 0.50 or higher, test-retest reliability of 0.40 or higher, and inter-rater reliability (percentage agreement, correlation, or kappa) of 0.50 or higher.⁶ If a measure does not have documented reliability, the grantee should describe plans for assessing reliability. Standard administrative measures (e.g., substantiated allegations of child maltreatment, entry into foster care) are assumed to be face valid and reliable.

Quality Indicator: Every outcome measure should have face validity

In order for evaluations to draw valid conclusions, grantees should use outcome measures that provide a valid and fair assessment of the initiative's results. A measure with *face validity* is clearly defined, has a direct interpretation, and measures the construct it was designed to measure. When applicable, measures should also demonstrate cultural relevance and valid language translation. Community-level evaluations should also provide a rationale for measuring certain outcomes at the community level (vs. the individual level).

Quality Indicator: Outcome measures should be sensitive to change

Grantees should include outcome measures that are sensitive to change given the timing of measurement and sample size. Outcome measures should not be included if they are not expected to change within the study period. For example, if the evaluation only allows for a period of two weeks in between pre- and post-test data collection, an outcome such as parent-child relationship quality would not be sensitive to change in this time period and should not be included. Similarly, while static measures such as demographic measures (e.g., race and ethnicity) or measures of past experiences (e.g., the Adverse Childhood Experience (ACE) Questionnaire⁷) may provide important information about participants, they are not appropriate for measuring change and should likely not be included as outcome measures. In addition, measures with smaller anticipated change will require a larger sample to detect this change.

⁶ What Works Clearinghouse Protocol, pp. 22-23.

⁷ Note that the ACEs might be appropriate to use in other aspects of your evaluation such as when you are describing the individuals reached through your initiative in the process study.

OUTCOME EVALUATION

*Quality Indicator (RCTs and QEDs only): Outcomes measures should not be over aligned

Outcome measures should not be too closely aligned or tailored to the intervention being tested. This typically occurs when an outcome measure is created by researchers or intervention developers specifically for a single study. Evidence of over-alignment might include an outcome measure that assessed respondents using some of the same materials that are part of the intervention, which could give the intervention group an unfair advantage over the comparison group. For example, an over aligned measure of parenting practices would be to ask participants if they used the 1, 2, 3 magic technique to address negative child behaviors (which only program participants would know), rather than using a standardized positive parenting skills scale (which would be applicable to all families whether they participated in the program or not). Standardized measures or measures that have been used in other studies are unlikely to be over-aligned.

3.6.2 Data Collection Plan

Describe your data sources, measures, who will collect the data, how it will be collected, and the timing for pretest and posttest. Provide a brief rationale for the timing of data collection (e.g., Is timing based on time from enrollment, completion, pre-test? If based on completion, how will you know whether/when a participant has completed their engagement with grant activities? Will it allow enough time for change in the outcome?). For individual-level data collection, describe your plan for tracking participants for follow-up data collection. Please attach to the plan any developed data collection instruments, such as surveys, interview protocols, or focus group discussion guides.

Quality Indicator: Pretest and posttest measurements should be identical (and if not identical, highly correlated)

Most evaluations will include a pretest that is the same as the posttest, so it can be assumed in these instances there is near-perfect correlation between the two. If a grantee uses a pretest measure that is not the same as the posttest (e.g., if the posttest measure is not available at pretest or if a measure has changed over time), the pretest measure must be reasonably correlated with the posttest to serve as a proxy. The correlation between pretest (or the collection of baseline covariates used in the analytic model) and posttest measures must be at least .30 (or equivalently, an r-square of 0.09 for posttest regressed on the one or more pretest measures). If documentation is not available from the measure developers, correlation between pretest and posttest should be established during the evaluation. In cases where quantitative data are not available (e.g., pretest parenting measures amongst first-time expectant parents), the pretest should at a minimum have face validity.

Quality Indicator: Consistent outcome measurement

Grantees should use consistent measurement methodologies. Quality indicators for consistency of measurement of the outcome are:

- The same measures must be used at all pre and post time points and across respondents (if the same measures are not used, they will still be acceptable if grantees normalize outcomes via z-scoring using population means and standard deviations).
- The data collectors, data collection modes, and timing of data collection for each measure either are the same across all participants or are different in ways that would not be expected to have an effect on the measures. (Note: Data collectors and modes should be the same at pretest and posttest periods, and timing of data collection should be consistent across respondents within pretesting or post testing.)
- *For RCTs and QEDs only:
 - Measures must be constructed in the same way (i.e., rely on the same questions and be calculated in the same way) for both treatment and comparison groups. For example, you should ensure that reports of child abuse are determined to be substantiated in the same way across treatment and comparison groups.

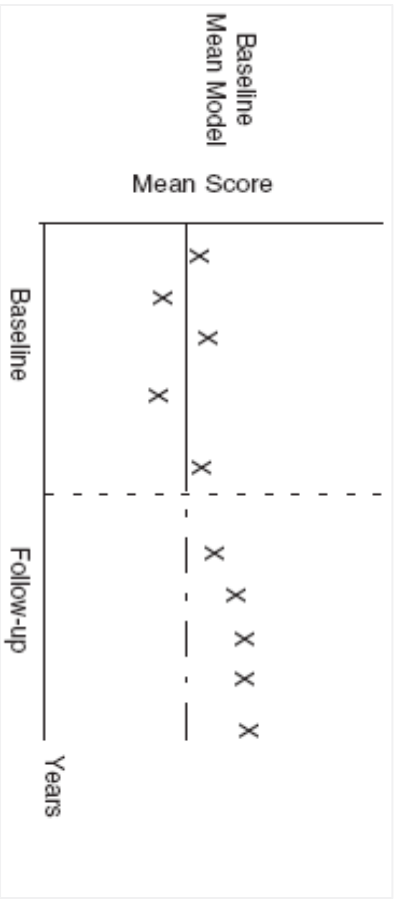
OUTCOME EVALUATION

- The data collectors and data collection modes for treatment and comparison groups are either the same or are different in ways that would not be expected to have an effect on the measures. For example, you should not collect data via in-person interviews in the treatment group and via online surveys in the control group. However, we would not expect the use of two different online survey platforms to have an effect on the data collected.
- The timing of data collection must be consistent across study conditions (i.e., baseline data must be collected at approximately the same time for both the treatment and comparison groups), so that the amount of time between pre-test (baseline) and post-test (outcome) measures does not does not systematically differ between treatment and comparison groups.

*Quality Indicator (When using administrative data, particularly for community-level studies): Multiple pretest measures

A pre-post community-level design can be improved if grantees include multiple years of retrospective data prior to the initiative and control for these baseline projections in the analytic model. The design feature described here has been described as a short-interrupted time series (SITS) design.⁸ In Exhibit 2, where there are three or more pre-treatment measurements at appropriate intervals, this quality indicator could be satisfied by demonstrating graphically or statistically that a baseline mean projection is appropriate, and using a model to estimate the impact of the initiative in which actual posttest measurement is compared to the value predicted by the baseline-mean projection.

Exhibit 2: Example of a Baseline-Mean Projection Model from Bloom (2003)



Outcome research question	Data sources (and measures)	Sample	Party responsible for data collection	Data collection method	Frequency/timing
1					
2					

⁸ See: Cook, T. D., Campbell, D. T., & Shadish, W. (2002). *Experimental and quasi-experimental designs for generalized causal inference*. Boston, MA: Houghton Mifflin. Also see: Bloom, H. S. (2003). Using “short” interrupted time-series analysis to measure the impacts of whole-school reforms: With applications to a study of accelerated schools. *Evaluation Review*, 27(1), 3-49.

OUTCOME EVALUATION

Outcome research question	Data sources (and measures)	Sample	Party responsible for data collection	Data collection method	Frequency/timing
3					

3.6.3 Data Sharing/Data Use Agreements

Describe your plans for obtaining data sharing and data use agreements. Please attach draft, final, and/or executed agreements if available.

Quality Indicator: Data sharing/data use agreements

Grantees should describe their plans for obtaining data sharing and data use agreements with all relevant organizations to obtain the necessary data to complete the outcome evaluation. Plans should document anticipated problems with and solutions to sharing data and securing final agreements. Data sharing agreements should indicate that aggregated data might be shared with the national evaluator.

3.6.4 Consent/Assent Procedures

Describe your plans and procedures for obtaining consent/assent when needed. You should secure consent/assent from all individuals providing data specifically for the evaluation, including participant families and collaboration partner organization staff.

Quality Indicator: Consent/assent procedures

Grantees should describe plans and procedures for obtaining necessary consent and/or assent for data collection. Procedures and consent/assent forms should ensure all evaluation subjects (e.g., participants, partner organization staff, community stakeholders) know what they are agreeing to, allow them to opt out of the evaluation and still receive services (if appropriate), identify any potential risks of participation, and be translated into other languages as necessary. All consent forms need to document how data may be shared with partner agencies and with Abt Associates as the cross-site process evaluator.

3.6.5 Data Security Procedures

Include plans for establishing and following measures to ensure the security of the data collected, both primary and secondary data (e.g., administrative). Describe any plans to archive the data.

Quality Indicator: Data security procedures

Grantees should indicate how their data will be stored to ensure data security and note procedures should there be a security breach. Grantees should also indicate how they plan to transmit data. The TA team recommends grantees use a secure file transfer system (e.g., secure FTP, MoveItDMZ, or Huddle).

3.6.6 Data Quality

Include your plan for minimizing missing data to achieve a 75%-80% response rate for post testing. Also describe how you will deal with missing data and conduct data quality checks and data cleaning prior to conducting analysis.

Quality Indicator: Data quality

Grantees should propose target response rates (e.g., 75%-80%) for post testing and plans to achieve these target response rates. Grantees should also propose a plan for dealing with missing data (e.g., complete case analysis, dummy variable approach) and plans for minimizing missing data (e.g., ensuring survey completion, minimizing losing sample to follow-up). In addition, grantees should propose data cleaning/quality checks (e.g., outliers, inconsistencies in the data, implausible values for certain variables) and how any issues will be addressed. For example, a grantee might propose a parent-child age check, where parent ages are recoded to missing if they are within 10 years of the child's age.

OUTCOME EVALUATION

3.7. Analysis

3.7.1 Analysis plan

Include your plans for conducting analysis, noting models you will run and software you will use.

Quality Indicator: Analysis plan

The analysis plan should include a plan for statistical and qualitative data analysis. Grantees should note a pre-specified cutoff for statistical significance. The TA team suggests $p < .05$ for statistical significance and $p < .10$ as trend-level significance. The analysis plan should also address the confidentiality of respondents, including minimum cell size requirements for data presentation (i.e., to ensure readers cannot deduce the identity of an individual's response). We recommend a minimum cell size of 10 in reporting.

3.7.2 Contrasts

Describe the test/contrast that will answer each of your research questions, and note whether the test is confirmatory (i.e., those upon which you will draw outcome evaluation conclusions) and/or exploratory (i.e., those that might provide additional suggestive evidence).

Quality Indicator: Contrasts

Each contrast should clarify the four components listed for each research questions (Target population, Treatment, Comparison condition, Outcome domain) plus the evaluation design (e.g., RCT, RDD, QED, ITS, pre-post), unit of assignment (units receiving the treatment, such as children, families, systems, communities), outcome measures (instrument, scale, extant data source), sample eligibility criteria (selection criteria or restrictions placed on the analytic sample for each test/contrast), and pretest measure (instrument, scale, measure construction, inclusion in analytic model). To address this quality indicator, we suggest completing the contrast table in Appendix D.

3.7.3 Subgroups (optional)

Describe any subgroups for which you will conduct additional analyses (e.g., teen parents, parents of children under 5, racial/ethnic subgroups, etc.). You will likely not have a large enough organization-level or systems-level sample to conduct subgroup analysis.

3.7.4 Covariates/Decision Rules

Indicate which (pre-treatment) covariates you will include in the model. For example, in testing whether participant family knowledge of available services improved, you may want to control for the number of years the family lived in the target community prior to the initiative. Also describe any decision rules for dropping a covariate from the model (e.g., p-value is greater than .10).

3.7.5 Baseline Equivalence (QEDs only)

Describe your plans for conducting tests of the equivalence of treatment and comparison groups at baseline (pre-treatment). Also describe your plans to increase the likelihood of establishing baseline equivalence between treatment and comparison groups (i.e., treatment and comparison groups should not differ in pretest measures of the outcome variables).

***Quality Indicator: Baseline equivalence between treatment and comparison groups**

Grantees using comparison groups can strengthen their evaluation by documenting differences between the treatment and comparison groups in the analytic sample prior to the implementation of the grant activities (at baseline). Small or nonexistent differences between the treatment and comparison groups prior to grant implementation (baseline equivalence) means the evaluation can better attribute treatment-comparison differences to the grant.

Baseline equivalence should be established on:

OUTCOME EVALUATION

- At least one demographic factor (e.g., race/ethnicity, percentage of families headed by single parents); and
- At least one socioeconomic factor (e.g., socioeconomic status indicator, percentage living in poverty); and
 - *For participant-level:* pre-treatment values of the outcome variable when available (e.g., risk or protective factors at baseline); or
 - *For community-level:* at least one community-level indicator of CAN (e.g., rate of foster care entry, rate of abuse/neglect reports, and rate of parental substance use).

Treatment and comparison groups in the analytic sample should not differ by more than 0.25 standard deviations on any of the three categories of baseline equivalence indicators noted above; and at least one baseline equivalence indicator variable from each category should be included as a covariate in the final analysis of data.

3.7.6 Attrition (RCTs only)

Describe your plans for calculating attrition. Also describe your plans for minimizing attrition between random assignment and follow-up data collection.

*Quality Indicator: Attrition in individual-level RCTs⁹

Individual-level RCTs should calculate attrition. Attrition is defined as the number of individuals who are not present for the posttest outcome measurement as a percentage of the total number of individuals in the sample at the time of random assignment. This quality indicator includes an assessment of both overall attrition (total sample loss between randomization and the post-test), and differential attrition (percentage difference in attrition between the treatment and control group). Table X provides the thresholds for both overall and differential attrition rates, which are based on the What Works Clearinghouse¹⁰ and OPRE's Prevention Services Clearinghouse¹¹ standards. If attrition is beyond the threshold, then the study is considered a quasi-experimental design and should establish baseline equivalence (see section 3.7.5 above).

Table X. Highest Differential Attrition Rate for a Sample to Maintain Low Attrition, by Overall Attrition Rate, Under “Optimistic” and “Cautious” Assumptions (What Works Clearinghouse)

	Differential Attrition			Differential Attrition			Differential Attrition	
	Overall Attrition	Optimistic Boundary		Overall Attrition	Optimistic Boundary		Overall Attrition	Optimistic Boundary
0	5.7	10.0	22	5.2	9.7	44	2.0	5.1
1	5.8	10.1	23	5.1	9.5	45	1.8	4.9
2	5.9	10.2	24	4.9	9.4	46	1.6	4.6
3	5.9	10.3	25	4.8	9.2	47	1.5	4.4
4	6.0	10.4	26	4.7	9.0	48	1.3	4.2

⁹ If you are conducting a cluster-level RCT, where clusters are assigned and individuals within the cluster are analyzed, please contact your evaluation TA liaison for further guidance.

¹⁰ These attrition thresholds were designed to tolerate a maximum bias of .05 standard deviations. See the WWC Procedures and Standards Handbook, version 2.1 (p. 34) for a discussion of attrition bias: https://ies.ed.gov/ncee/wwc/Docs/referenceresources/wwc_procedures_v2_1_standards_handbook.pdf#page=38

¹¹ <https://preventionservices.abtsites.com/>

OUTCOME EVALUATION

5	6.1	10.5	27	4.5	8.8	49	1.2	3.9
6	6.2	10.7	28	4.4	8.6	50	1.0	3.7
7	6.3	10.8	29	4.3	8.4	51	0.9	3.5
8	6.3	10.9	30	4.1	8.2	52	0.7	3.2
9	6.3	10.9	31	4.0	8.0	53	0.6	3.0
10	6.3	10.9	32	3.8	7.8	54	0.4	2.8
11	6.2	10.9	33	3.6	7.6	55	0.3	2.6
12	6.2	10.9	34	3.5	7.4	56	0.2	2.3
13	6.1	10.8	35	3.3	7.2	57	0.0	2.1
14	6.0	10.8	36	3.2	7.0	58	-	1.9
15	5.9	10.7	37	3.1	6.7	59	-	1.6
16	5.9	10.6	38	2.9	6.5	60	-	1.4
17	5.8	10.5	39	2.8	6.3	61	-	1.1
18	5.7	10.3	40	2.6	6.0	62	-	0.9
19	5.5	10.2	41	2.5	5.8	63	-	0.7
20	5.4	10.0	42	2.3	5.6	64	-	0.5
21	5.3	9.9	43	2.1	5.3	65	-	0.3

Source: WWC Technical Paper on [Assessing Attrition Bias](#).

Note: Overall attrition rates are given as percentages. Differential attrition rates are given as percentage points. Not every combination of differential and overall attrition is possible for any given study. The evaluation should specify plans to use the cautious or optimistic boundary depending on the anticipated potential for attrition bias.

3.7.7 Social Network Analysis (if planned)

Indicate which entities (e.g., collaborative members, provider organizations) will be in the network, and what their connections will be (e.g., collaboration, referrals). Describe your plans for data collection and analysis. [Note: The TA team can recommend online software that you can use to survey respondents and conduct the network analysis.]

*Quality Indicator: Social network analysis

As collaboration is a key goal of the Community Collaborations grants, grantees might conduct a social network analysis to assess success in achieving collaboration and to provide additional context for the individual-level and community-level outcome evaluations. A social network analysis allows grantees to capture the level of collaboration achieved between grantees, service providers, and/or other entities in targeted communities. Grantees can survey relevant organizations to ask which other organizations they make referrals to and which other organizations they receive referrals from, or which organizations they collaborate with to accomplish the goals of the grant.

To increase the rigor of the network analysis, grantees can do one or more of the following:

- Analyze networks prior to the grant (either through recall or by asking at the outset of implementation) and then at a later point.
- Ask about and portray the intensity of the connections. Intensity can be reflected in the number of referrals made/received or the amount of formal communications that takes place between partners.
- Link centrality measures (i.e., how central the organization is in the network) of each of the organizations in the network to their numbers served to see whether there is a relationship.
- Test whether centrality measures of an organization where an individual received services moderate pre-post change in individual outcomes (e.g., Do individuals treated by organizations that are more central in the network have greater improvements in outcomes?).

OUTCOME EVALUATION

3.8. Timeline

Include a timeline of all your outcome evaluation activities.

Quality Indicator: Outcome evaluation timeline

Grantees should include a timeline for all outcome evaluation activities, such as IRB submission, waves of data collection, analysis, interim and final report writing/submission.

Outcome Evaluation Activity	Start Date	End Date

APPENDIX A. EVALUATION PLAN SECTION SUBMISSION AND REVIEW SCHEDULE

Appendix A. Evaluation Plan Section Submission and Review Schedule

The TA team is providing this evaluation plan development timeline template to support grantee and evaluator planning for a thorough plan to be submitted on July 31, 2020. Because some of the evaluation plan elements build on one another (e.g., you need to clearly define your project activities before you can complete your logic model); we have ordered sections beginning with those we think are most important to complete early on. Note that we recommend the outcome and process evaluation designs to be developed alongside each other.

Your TA liaisons are prepared to discuss and review portions of your evaluation plan as you draft them and provide you with feedback. We believe that this back and forth/ongoing feedback process is the best way to keep you on track for an on-time submission in July, ensure the plan will be approved by ACF, and ensure the plan will provide a strong foundation for your evaluation.

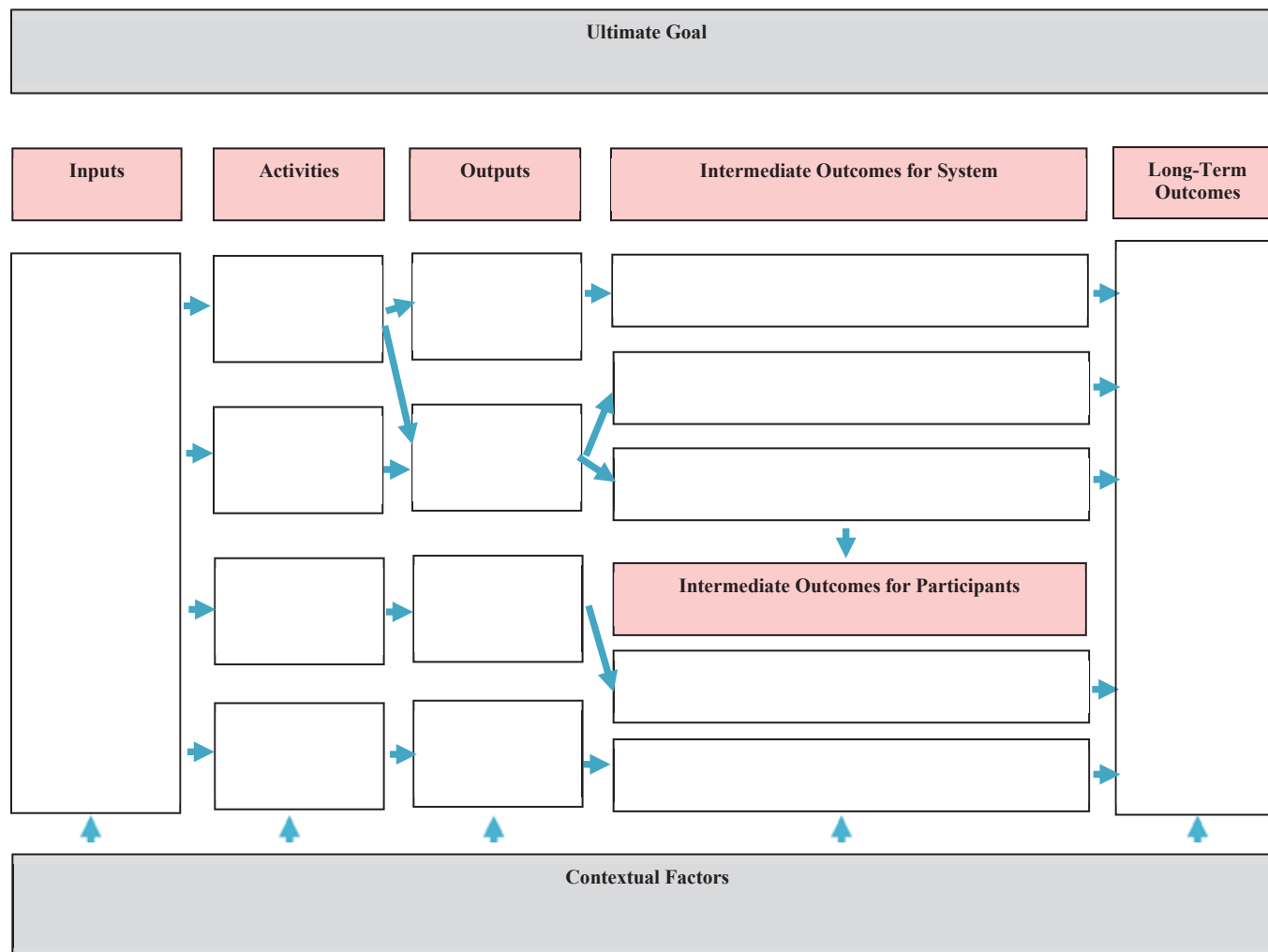
This list of evaluation sections aligns with the evaluation plan template. If you address each of these sections, you will have a competed plan. You should work with your TA liaison to determine a schedule for submitting each of the sections in the table below.

Evaluation Plan Section(s)	Draft Completion Date	Submitted to TA Team? ✓
Introduction and Grant Purpose and Scope		
Revised logic model and theory of change		
Defined target population		
Finalize research questions (process and outcome)		
Treatment and comparison conditions (Outcome Evaluation)		
Fidelity Matrix		
Reach and Implementation Drivers, Barriers, and Solutions		
Outcome Study Sample		
Outcome study measures and domains		
Outcome study data collection plan		
Outcome study analysis and contrast table		
IRB approval plans		
Data sharing/Data use agreements, Consent/assent plans and procedures, data security procedures, data quality		
Process and outcome evaluations timelines		
Complete Evaluation Plan	July 31	

APPENDIX B: LOGIC MODEL TEMPLATE

Appendix B: Logic Model Template

Grant: (name) Logic Model (use text boxes: add/change boxes and arrows as needed)



APPENDIX C. FIDELITY MATRIX

Appendix C. Fidelity Matrix

Indicators	Definition	Unit of implementation	Data source(s)	Data collection (who, when)	Score for levels of implementation at unit level	Threshold for adequate implementation at unit level	Roll-up to next higher level if needed (score and threshold): Indicate level	Roll-up to next higher level if needed (score and threshold): Indicate level	Roll-up to grant level (score and threshold for adequate implementation at sample level)	Expected sample for fidelity measure	Expected years of fidelity measurement
Key Component 1											
Indicator 1											
Indicator 2											
Indicator 2											
Indicator 3											
Indicator 4											
Indicator 5											
All indicators											
Key Component 2											
Indicator 1											
Indicator 2											
Indicator 2											
Indicator 3											
Indicator 4											
Indicator 5											
All indicators											

APPENDIX D. CONTRAST TABLE

Appendix D. Contrast Table

Below we provide a contrast table, including examples for two research questions.

Research Question: Confirmatory/ Exploratory	Design	Target Population*	Sample Eligibility Criteria	Treatment Group	Comparison Group	Outcome			Baseline (if applicable)	
				Treatment Description*	Condition/ Description*	Domain*	Unit of assignment/ observation: Measure [Scale]	Timing of measurement	Unit of assignment/ observation: Measure [Scale]	Timing of measurement
RQ 1	C-ITS	Target zip codes	All zip codes in state	All project/ collaborative activities	Comparable zip codes in state (not served by project/ collaborative)	Child abuse	Zip code: # confirmed cases of child abuse	Spring 2020 Spring 2021 Spring 2022	Zip code: # confirmed cases of child abuse	Spring 2015 Spring 2016 Spring 2017 Spring 2018 Spring 2019
RQ 2	Pre-post	Family Navigation Participants	All families who participate in navigation	Navigation	Navigation participants prior to intervention	Protective Factors	Individual participants: Protective Factors Survey	6 months after first navigation session (Spring 2020 – Spring 2022)	Individual participants: Protective Factors Survey	First navigation session (Fall 2019 – Fall 2021)

* Indicates one of the four components of your outcome evaluation research questions

Example Research Question 1: Did the zip codes targeted by the Initiative/Collaborative have lower rates of confirmed cases of child abuse than comparable zip codes not targeted by the Collaborative (and without a similar intervention)?

Example Research Question 2: To what extent did protective factors improve among recipients of navigation services compared the baseline period?