

U.S. Department of Education
Washington, D.C. 20202-5335



APPLICATION FOR GRANTS
UNDER THE

Enhanced Assessment Grants Application Package

CFDA # 84.368A

PR/Award # S368A130002

Grants.gov Tracking#: GRANT11444755

OMB No. , Expiration Date:

Closing Date: Jul 08, 2013

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This application was generated using the PDF functionality. The PDF functionality automatically numbers the pages in this application. Some pages/sections of this application may contain 2 sets of page numbers, one set created by the applicant and the other set created by e-Application's PDF functionality. Page numbers created by the e-Application PDF functionality will be preceded by the letter e (for example, e1, e2, e3, etc.).

Application for Federal Assistance SF-424

* 1. Type of Submission:

- Preapplication
 Application
 Changed/Corrected Application

* 2. Type of Application:

- New
 Continuation
 Revision

* If Revision, select appropriate letter(s):

* Other (Specify):

* 3. Date Received:

07/03/2013

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name:

North Carolina Department of Public Instruction

* b. Employer/Taxpayer Identification Number (EIN/TIN):

561492826

* c. Organizational DUNS:

0671956100000

d. Address:

* Street1:

301 N Wilmington Street

Street2:

* City:

Raleigh

County/Parish:

Wake

* State:

NC: North Carolina

Province:

* Country:

USA: UNITED STATES

* Zip / Postal Code:

27601-2825

e. Organizational Unit:

Department Name:

NC Dept of Public Instruction

Division Name:

Office of Early Learning

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

Dr.

* First Name:

Cynthia

Middle Name:

* Last Name:

Bagwell

Suffix:

Title:

RTT-ELC Program Administrator

Organizational Affiliation:

NC Department of Public Instruction

* Telephone Number:

919-807-3710

Fax Number:

919-807-4050

* Email:

Cindy.Bagwell@dpi.nc.gov

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

U.S. Department of Education

11. Catalog of Federal Domestic Assistance Number:

84.368

CFDA Title:

Grants for Enhanced Assessment Instruments

*** 12. Funding Opportunity Number:**

ED-GRANTS-052313-001

* Title:

Office of Elementary and Secondary Education (OESE): Enhanced Assessment Instruments Grants Program--Enhanced Assessment Instruments: Kindergarten Entry Assessment Competition CFDA Number 84.368A

13. Competition Identification Number:

84-368A2013-1

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

*** 15. Descriptive Title of Applicant's Project:**

The Enhanced Assessment for the Consortium (EAC) Project

Attach supporting documents as specified in agency instructions.

Add Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="6,783,748.61"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="6,783,748.61"/>

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

a. This application was made available to the State under the Executive Order 12372 Process for review on

b. Program is subject to E.O. 12372 but has not been selected by the State for review.

c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes No

If "Yes", provide explanation and attach

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:

Middle Name:

* Last Name:

Suffix:

* Title:

* Telephone Number:

Fax Number:

* Email:

* Signature of Authorized Representative:

* Date Signed:

Additional Program/Project Congressional Districts

AZ-all

DC-all

DE-all

IA-all

ME-all

ND-all

OR-all

RI-all

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee- 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
19. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

<p>* SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</p> <p>Sarah Harris</p>	<p>* TITLE</p> <p>State Superintendent</p>
<p>* APPLICANT ORGANIZATION</p> <p>North Carolina Department of Public Instruction</p>	<p>* DATE SUBMITTED</p> <p>07/03/2013</p>

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

Approved by OMB
0348-0046

1. * Type of Federal Action: <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. * Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. * Report Type: <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
--	--	--

4. Name and Address of Reporting Entity:
 Prime SubAwardee

* Name: NC Department of Public Instruction

* Street 1: 301 North Wilmington Street Street 2: _____

* City: Raleigh State: NC: North Carolina Zip: 27601-2825

Congressional District, if known: NC-all

6. * Federal Department/Agency: US Department of Education	7. * Federal Program Name/Description: Grants for Enhanced Assessment Instruments CFDA Number, if applicable: 84.368
--	---

8. Federal Action Number, if known: _____	9. Award Amount, if known: \$ _____
---	---

10. a. Name and Address of Lobbying Registrant:

Prefix _____ * First Name Not Applicable Middle Name _____

* Last Name Not Applicable Suffix _____

* Street 1 _____ Street 2 _____

* City _____ State _____ Zip _____

b. Individual Performing Services (including address if different from No. 10a)

Prefix _____ * First Name Not Applicable Middle Name _____

* Last Name Not Applicable Suffix _____

* Street 1 _____ Street 2 _____

* City _____ State _____ Zip _____

11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

* Signature: Sarah Harris

* Name: Prefix Dr. * First Name June Middle Name St Clair
* Last Name Atkinson Suffix _____

Title: State Superintendent Telephone No.: 919-807-3430 Date: 07/03/2013

NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct

description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1894-0005.

Optional - You may attach 1 file to this page.

NCDP IGEPA.pdf

Delete Attachment

View Attachment

Response to General Education Provisions Act (GEPA) Requirements

The North Carolina Department of Public Instruction operates in compliance with all applicable Federal and State laws, and requires that all agency-sponsored activities comply with the following policy: “In compliance with federal law, NC Public Schools administers all state-operated education programs, employment activities, and admissions without discrimination because of race, religion, national or ethnic origin, color, age, military service, disability, or gender, except where exemption is appropriate or allowed by law.”

The project proposed in this application will involve a consortium of nine states and three research partners working collaboratively to support the enhancement of North Carolina’s K-3 Assessment, which includes a Kindergarten Entry Assessment. The assessment will be enhanced by 1) integrating state of the art assessment design, including learning progression theory, evidence-centered design, and universal design for learning; 2)utilizing smart technologies to reduce assessment burden on teachers; and 3) improving the assessment and expanding the range of potential uses by soliciting and incorporating input from stakeholders in the other consortium states into the design of the assessment and developing additional items as necessary to reflect standards common to other states.

As lead state for this consortium, North Carolina’s Department of Public Instruction will take a variety of steps to ensure that project activities are accessible to and inclusive of all individuals, regardless of gender, race, national origin, color, disability, or age including the following:

- Stakeholders representing diverse perspectives will be actively recruited to participate in planning, implementing, and evaluating project activities. This representation throughout the project will help ensure that we have timely and frequent input about how project activities may be adapted or expanded to maximize participation and access.
- Project activities will be conducted in a manner that maximizes participation and provides content in a variety of formats (e.g., video, narrated presentation, written products, in person, by phone, via web meeting technology).

- All information disseminated by this project will be made available in a variety of formats to ensure they are accessible to, inclusive of, and welcoming to all individuals, regardless of gender, race, national origin, color, disability, or age.
- All web-based information will be fully accessible and online project communication will be conveyed in an accessible format.
- Discussion of this policy will be included in the orientation of all new project participants.

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

*** APPLICANT'S ORGANIZATION**

North Carolina Department of Public Instruction

*** PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE**

Prefix: Dr. * First Name: June Middle Name: St. Clair

* Last Name: Atkinson Suffix:

* Title: State Superintendent

*** SIGNATURE:** Sarah Harris

*** DATE:** 07/03/2013

Abstract

The abstract narrative must not exceed one page and should use language that will be understood by a range of audiences. For all projects, include the project title (if applicable), goals, expected outcomes and contributions for research, policy, practice, etc. Include population to be served, as appropriate. For research applications, also include the following:

- Theoretical and conceptual background of the study (i.e., prior research that this investigation builds upon and that provides a compelling rationale for this study)
- Research issues, hypotheses and questions being addressed
- Study design including a brief description of the sample including sample size, methods, principals dependent, independent, and control variables, and the approach to data analysis.

[Note: For a non-electronic submission, include the name and address of your organization and the name, phone number and e-mail address of the contact person for this project.]

You may now Close the Form

You have attached 1 file to this page, no more files may be added. To add a different file, you must first delete the existing file.

* Attachment:

Abstract – Enhanced Assessment for the Consortium (EAC) Project

Submitted by North Carolina’s Department of Public Instruction (CFDA 84.368A)

The North Carolina Department of Public Instruction (NC DPI) along with 8 other Consortium states (AZ, DE, DC, IA, ME, ND, OR, RI), one collaborating state (SC), and three research partners, SRI International, the BUILD initiative, and Child Trends, will enhance NC’s K-3 formative assessment which includes a Kindergarten Entry Assessment (KEA). The Consortium believes that a KEA as part of a K-3 formative assessment will provide more meaningful and useful information for teachers than a stand-alone KEA. The Consortium proposes to enhance the K-3 assessment including the KEA because a single snapshot of how a child is functioning at kindergarten entry will have limited value and create an implementation challenge since teachers prefer information that can guide instruction for the entire school year. Furthermore, a good KEA must include content that extends beyond kindergarten to capture the skills of higher functioning children so enhancing an assessment that covers kindergarten entry through Grade 3 produces a significantly more useful assessment at marginal additional costs.

The NC K-3 assessment being developed under their RTT-ELC grant will be enhanced by:

(a) aligning the content of the NC assessment to standards across the Consortium and enhancing the validity of the assessment through *evidence-centered design (ECD)* and *universal design for learning (UDL)*; (b) incorporating *smart technologies* for recording and reporting to reduce assessment burden on teachers; and (c) expanding the utility of the assessment to a broader range of users by *soliciting and incorporating input from stakeholders* in the other Consortium states into the design of the assessment.

The project will be led by NC DPI with a management team that includes the three research partners (SRI, BUILD and Child Trends) who will work together provide overall leadership and coordination to the project. Project work has been organized around seven major activity areas: (1) overall project management; (2) across- and within-state stakeholder engagement including support for implementation planning; (3) application of ECD/UDL to the assessment content; (4) enhancement of professional development materials; (5) pilot and field testing; (6) psychometric analyses and performance levels; and

(7) technology. Each activity team will be led by either NC DPI or one of the research partners and many of the teams will include staff from more than one organization to facilitate cross-project coordination. The Consortium states will play a significant role in the development of the enhanced assessment. All Consortium states will undertake Tier 1 activities including participating in regular consortium calls and meetings; sharing state-developed early childhood and K-3 assessment-related materials including standards; providing input into the review of assessment-related materials; and conducting broad stakeholder outreach activities. Some Consortium states will engage in additional Tier 2 activities including participating in the ECD/UDL co-design teams; pilot testing the assessment content; pilot testing the assessment supports such as technology enhancements and reporting formats; field testing the assessment; convening state experts to review assessment-related materials; and conducting more in-depth stakeholder engagement activities.

The primary outcome of this project will be an enhanced formative K-3 assessment that includes a KEA that provides powerful information for improving student outcomes. The EAC will be a ***developmentally appropriate, observation-based formative assessment*** based on ***learning progressions*** that teachers use to guide instruction across the five domains of development and learning. Smart technologies built into the EAC will assist teachers with documentation and scoring, minimizing teacher burden, increasing reliability, and maximizing the EAC's utility so that teachers can use it on a regular basis to inform instruction. Additionally, the EAC will provide meaningful and useful information to the students and families. Students will receive developmentally appropriate information to show where they are in their learning and where they need to go next. Families will contribute evidence for the assessment and will receive information to assist in supporting their child's development and learning. Finally, the KEA will produce a child profile of scores across the five domains. The KEA child profile data will be useful in the aggregate for principals, district and regional administrators, state policymakers, and advocates to inform programmatic decisions around curriculum, professional development, policy development, and resource allocation. In addition, the KEA will be the first assessment point within a K-3 formative assessment system that will inform instruction and learning, improving student achievement.

Project Narrative File(s)

* Mandatory Project Narrative File Filename:

To add more Project Narrative File attachments, please use the attachment buttons below.

Add Optional Project Narrative File

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Entry into kindergarten is an important milestone for children as they move from the array of settings in the early childhood community to the more standardized K-12 education system. An understanding of children’s strengths and needs as they make this transition is important for a wide audience: for families in their efforts to support their children’s growth and development, for early educators as they reflect on how to improve the quality of care and education for children, for kindergarten teachers as they plan instructional experiences appropriate for their students, for administrators overseeing these programs, and for policymakers charged with setting policies and allocating resources to address the needs of young children. Assessment designed with the developmental needs of young children in mind can provide data that are useful to these audiences, that support efforts to improve the condition of children when they enter kindergarten, and that enhance the capacity of schools to address the needs of all children who arrive at their doors. In pursuit of these goals, funds from North Carolina’s Race to the Top Early Learning Challenge (RTT-ELC) award are supporting the development of K-3 Assessment, which includes a Kindergarten Entry Assessment (KEA). On behalf of a Consortium of nine states and three research partners—SRI International, the BUILD Initiative, and Child Trends—the North Carolina Department of Public Instruction is pleased to submit this proposal to enhance the formative assessment being developed through its RTT-ELC grant. This assessment will be enhanced by (a) integrating state-of-the-art assessment design, including evidence-centered design (ECD) and universal design for learning (UDL) to align with common standards across the Consortium states, (b) using smart technologies to reduce assessment burden on teachers and support scoring and interpretation of data, and (c) improving the assessment and expanding the range of potential users by incorporating input from stakeholders in all Consortium states into the design of the assessment and developing additional items as necessary to reflect standards common to other states.

A. Theory of Action

Assessment information about what children know and are able to do at kindergarten entry is important to a variety of audiences. However, its usefulness in planning educational experiences that address children’s needs throughout the school year is limited because ongoing assessment is necessary to

inform teaching and learning. Developing a formative assessment process that builds on information gathered at kindergarten entry and spans kindergarten through third grade would improve continuity across the grade span and significantly impact student achievement. North Carolina is therefore developing a formative assessment of five developmental domains, beginning with a KEA and continuing into third grade. We are requesting funds to enhance this K-3 Assessment. In this proposal, we refer to the assessment developed with RTT-ELC funds as the **North Carolina Assessment (NCA)** and the assessment funding is requested for in this proposal as the **Enhanced Assessment for the Consortium (EAC)**. Most of the discussion of the EAC applies to the KEA through third grade assessment; where the discussion applies only to the KEA portion, we refer to the **EAC-KEA**. As we discuss, for a KEA to be useful for instructional purposes, the range of knowledge and skills assessed must extend considerably below K to capture the status of children with developmental delays, as well as considerably above K to adequately reflect the status of children with more advanced skills. Using this range of content as the basis for an assessment with children from kindergarten entry through third grade will produce a tool with significantly greater potential to improve student outcomes at a marginal additional cost.

Our theory of action sees assessment as a powerful tool for improving student outcomes. The overall purpose of the EAC assessment system is to provide information that teachers and students can use to guide instruction and learning. The assessment thus must be designed with this primary purpose in mind. The EAC-KEA, the first assessment point in the continuous assessment system, will address the needs of other users as well, including principals, district and regional administrators, state policymakers, and advocates.

A guiding principle of our theory of action is that an assessment of young children must be developmentally appropriate to provide valid information for any audience. Direct assessment, in which an adult asks a child to respond to a number of requests, is challenging for young children for a variety of reasons: They may be unfamiliar with the tasks, confused by the language used, experiencing difficulty following verbal directions, or have limited capacity to respond verbally (National Research Council, 2008). Observation-based assessments, which use regularly occurring classroom activities and products as

evidence of what children know and are able to do, are more consistent with recommended practices (NAEYC, 2003) and provide more valid information for diverse learners, such as children with disabilities and English learners, because they provide children multiple ways to demonstrate competence (National Research Council, 2008).

Another guiding principle is that improving student outcomes requires the alignment of standards, assessment, and instruction (Kagan, 2012). Good formative assessment provides information to guide instruction, thus creating the link between assessment and instruction. In this project, the link between standards and assessment will be established through evidence-centered design (ECD), which examines the alignment of standards and assessment, and through a complementary but independent project that will develop a set of common essential standards across the Consortium states.

An underlying assumption of our theory of action is that the power of developmentally appropriate formative assessment to improve student outcomes is contingent on a set of prerequisites and supporting conditions. Examples include assessment content that has been developed through a rigorous process to ensure it is aligned with standards (ECD), a framework that reflects current research in cognitive science (learning progressions), and effective professional development so teachers know how to administer the assessment and use the resulting information to guide instruction. We have developed a plan that significantly increases the likelihood that our theory of action will become a reality by identifying and systematically addressing the prerequisites and necessary supports.

(1) How the assessment results will be used

The results from the EAC will be used primarily by teachers to guide instruction and by students to adjust their learning strategies. The assessment information will help teachers understand where students are and identify what to teach next based on a set of learning progressions. Materials for professional development created for the NCA will be enhanced and disseminated through this project to build the capacity of teachers to administer the assessment and use the data to inform instruction. A critical message for teachers is that having valid, reliable, and ongoing information about what students know and can do is critical for high-quality instruction. Formative assessment does not take time away from

teaching; rather, it is an essential component of effective teachers' support of children's learning. Research has demonstrated that use of formative assessment leads to gains in student learning (Heritage, 2010). The assessment system will support teachers' use of the assessment by providing guidelines for interpreting student performance results and suggestions for knowledge, skills, and activities to support the children's progress. Teachers across classrooms, grades, and subjects will be able use results to inform grade-level planning and alignment across grade levels. Students, too, will receive information in a developmentally appropriate way to show where they are and where they need to go.

The assessment system also will produce reports for families along with interpretation and suggestions for helping children continue to progress in their learning and development. The individual and classroom-level results across K-3 also will be used by school administrators and instructional coaches to identify professional development and curricular needs.

Another use of the assessment information at the individual child level will be to assist parents in supporting their child's development and learning. The assessment system will provide families with information on their child's current status in each of the five essential domains along with interpretation and suggestions for helping the child continue to progress. For teachers, parents, and students, formative assessment provides ongoing information about where children are and, when the assessment is built around learning progressions, where they need to go next.

At the building level, principals and instructional coaches will be able to use the individual and classroom-level results to identify professional development and curricular needs. The assessment data also can be used to identify the number of children schoolwide who are in need of additional instructional support and any domains where an unusually large number of students are struggling.

The assessment system will produce aggregate data for the EAC-KEA at the district and state levels. Because these data will be suitable for inclusion in the state longitudinal data system (SLDS), they could be examined in conjunction with other child- or school-level variables in the system, for example, to look at kindergarten entry scores for children who did and did not attend state prekindergarten. In the aggregate, the EAC-KEA data provide administrators with information about the instructional needs of

the incoming kindergarten class. They also provide information about areas where kindergarten teachers might need additional professional development to address the need or preschool teachers could receive professional development to prevent the need.

Having a recurring portrait of the incoming kindergarteners across five domains of development provides policymakers and advocates with information on how well the community is meeting the needs of young children. Using these data to reach conclusions about the effectiveness of individual preschool programs is inappropriate (requiring information on child status at the beginning of preschool; National Research Council, 2008), but the EAC-KEA will provide valuable epidemiological data on the status of children in each community and the state overall. These data can be used to identify correlational patterns between resources for children (including preschool programs) and children's status at kindergarten entry, and used by advocates to make a case for increased investments in programs for young children.

(2) How assessments and results will be incorporated into coherent educational systems

We define a comprehensive and coherent educational system for kindergarten to third grade as one with standards in the five essential domains (language and literacy development; cognition and general knowledge; approaches toward learning; physical well-being and motor development; and social and emotional development) and with the curriculum, instruction, and assessment (including a KEA) aligned with the standards and across grade levels. ECD will be used to align the content of the assessment with common standards across the Consortium states, so the assessment will be aligned with the common standards. The use of learning progressions aligned with standards will support the coherence of both the assessment and instruction across grade levels. The professional development to support the implementation of the assessment will emphasize the use of the results to address children's knowledge, abilities, and skills in the critical constructs of the assessments, thus bringing instruction in line with the assessment and standards.

(3) How educational systems as a whole will improve student achievement

Once the assessment system is fully implemented, student achievement will be improved through changes at the individual student and systems levels. A central tenet of our theory is the need for

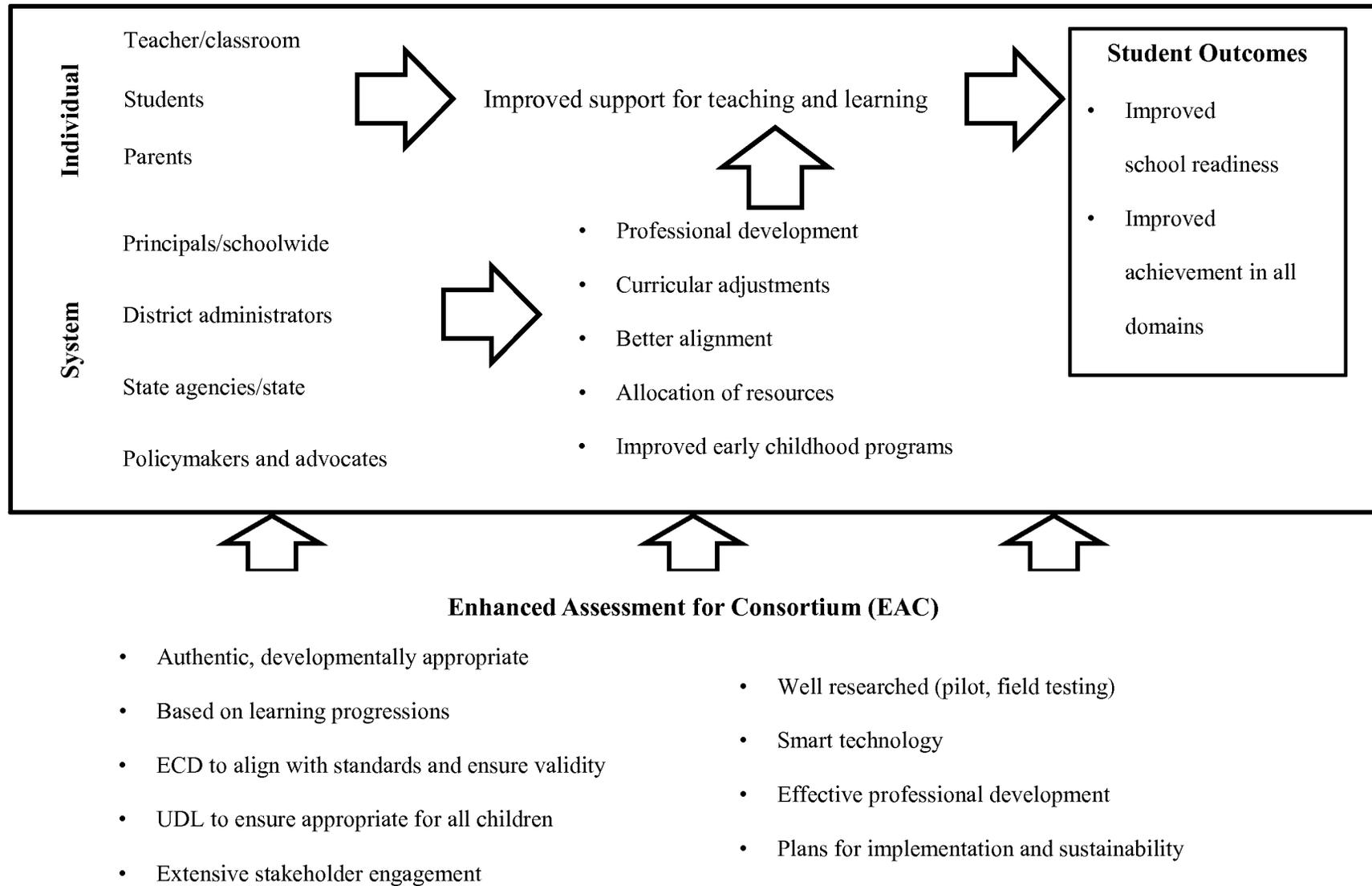
supporting conditions, such as widespread stakeholder endorsement of the formative assessment, for states to achieve full implementation. With the supporting factors in place, the most direct change will be improved instruction at the classroom level. Another closely related direct impact would be improved parent awareness leading to an increase in parent involvement in supporting the child's learning. Indirect systemic impacts will be achieved through data-informed decisions such as professional development and allocation of resources by principals and district and state administrators based on what the assessment shows. Finally, armed with data on the status of young children, advocates and policymakers can design policy options to address problems identified in some domains, some communities, or statewide with the well-being of children. The power of high-quality early childhood programs to improve student achievement has been well established (Pianta, Barnett, Burchinal, & Thornburg, 2009), and district and state EAC-KEA data can be used as evidence in support of the need for more or improved program options. Our theory of action model is in Exhibit 1.

B. Kindergarten Entry and K–3 Assessment Design

This proposal requests funds to enhance an assessment being developed through North Carolina's RTT-ELC grants funds. The NCA, currently under development, is based on North Carolina's standards and foundations and measures the five essential domains of school readiness (in Exhibit 2). The assessment asks teachers to collect multiple types of evidence (e.g., observations, work samples, targeted probes to elicit performance) to locate a child's skill level on a set of learning progressions. Professional development materials will be developed to support teachers' use of the assessment with the RTT-ELC funds. Because we will be enhancing an existing assessment, some of the design features of the new assessment, the EAC, will be identical to those of the original.

A critical design feature of the enhancement project will be extensive stakeholder involvement. The Consortium states will meet regularly to provide input on the direction of the project. These stakeholders, as demonstrated by their signed memoranda of understanding (MOUs), have a vested interest in shaping the enhancement of the assessment. Their input will be solicited at all stages of the project, and they will be kept abreast of project activities. Input from such a broad-based group of stakeholders will ensure that

Exhibit 1. Theory of Action Linking the Assessment to Improved Student Outcomes



the assessment is greatly enhanced and much stronger than one North Carolina could create on its own. Furthermore, the Consortium states will be assisted in developing plans for outreach and in engaging stakeholders within each of their states. These activities are intended to increase awareness, build buy-in, and lay the groundwork for full implementation.

(1) How the assessment will measure performance/development against learning standards

The structure of the NCA, which will be reflected in the EAC, will be built on learning progressions. Learning progressions define the trajectory students are expected to follow as they acquire new knowledge and skills in an area (Heritage, 2008). They provide meaningful information for guiding instruction and also support alignment of curriculum and instruction across grade levels. Equally important for this project, using learning progressions as the foundation for the assessment allows a range of skill levels to be measured at kindergarten entry. Developing a KEA requires learning progressions (i.e., a continuum of knowledge, skills, and abilities) that extend substantially below kindergarten to accommodate children who enter with lower skill levels, including children with delays and disabilities. A good KEA also requires progressions that extend considerably beyond kindergarten for children whose learning is accelerated. To provide information useful for instruction, a KEA must capture the skills levels of the vast majority of the entrants (i.e., no floor or ceiling effects). Developing a K-3 assessment based on learning progressions extending below kindergarten and above third grade puts a structure in place that recognizes and responds to the widely uneven development in young children. Because a major portion of a K-3 learning progression must be addressed for a KEA, significant efficiencies are realized by developing a K-3 assessment that incorporates a KEA, rather than developing a stand-alone KEA.

Learning progressions will be developed for the constructs measured in the assessment as part of the development of the NCA. As described in Section C, the highly structured ECD process examines the contents of items based on the progressions to determine alignment with a given standard. This ensures that the content of the assessment is aligned with the standards it is designed to assess. The learning progressions will be assessed with a developmentally appropriate observation-based approach that relies

on authentic classroom activities, rather than contrived on-demand testing situations, as evidence for what children know and can do. The EAG-KEA will be administered within the first 60 days of school.

(2) Steps for ensuring that the assessment is aligned with the early learning standards

The NCA is being developed from high-level claims that reflect what children should know and be able to do in each of five essential domains. These claims are in accord with North Carolina’s Early Learning Standards, the standard course of study for K-12, and the Common Core. As part of the enhancement of the NCA, we have an opportunity to improve the KEA portion of the assessment by aligning it with a common set of early learning and development standards (ELDS) being developed under a parallel project facilitated by BUILD and by using an ECD process.

Our nine Consortium (and other interested) states will work with BUILD and the leading experts in ELDS, Catherine Scott-Little and Lynn Kagan, to develop a set of voluntary Common Essential Standards (CES). BUILD has secured resources to start the CES project in August 2013. Step 1 in the CES project is the analysis of ELDS for the year before kindergarten across states. The analysis will determine areas of commonality across the sets of standards, the constructs present in all standards, and the degree to which states accord priority to specific standards and constructs. The analyses also will identify important outlier constructs and gaps in the standards that need to be filled. This task is estimated to take about 8-9 months, and results will be shared with the Consortium. We will use these findings as the basis of our “reverse-engineering” ECD process (described in Section C) to ensure that the EAC is aligned with common constructs across the Consortium states’ ELDS and additional important constructs that are the basis of the CES. The final set of CES will be complete in fall 2015. We will review the final CES to determine whether revisions are needed to any EAC items to ensure alignment. Any revisions will be completed as part of the second scheduled item revision session using ECD.

(3) Extent to which assessment data can be incorporated into state longitudinal data systems

The EAC-KEA will produce scores in each of the domains that will be suitable for inclusion in the SLDS and early learning data systems that in the Consortium states. Domain scores and performance levels for the KEA portion of the assessment in each of the five essential domains will be available in the

web-based system for inclusion in state data systems. The five domains of the KEA results map directly to the five Assessment Early Learning Developmental Domains in the Common Education Data Standards (CEDs) (see Exhibit 2). The assessment system will be designed to incorporate the student identifiers (IDs) the SLDS use and to export the IDs, domain scores, and any information states identify as necessary to allow for easy merging of the data. The project will develop support materials for states that address how the requirements of the Family Educational Rights and Privacy Act (FERPA) and 34 CFR Part 99 apply to the storage and sharing of the KEA data. Consortium states also will be encouraged to develop and communicate to local districts procedures that address assessment data access and sharing related to federal, state, and local privacy laws.

Exhibit 2. Alignment between the NCA/EAC Assessment Domains and CEDs

NCA/EAC Assessment Domain	CEDs Assessment EL Developmental Domain
Language Development	Language and literacy development
Cognitive Development	Cognition and general knowledge
Approaches to Learning	Approaches toward learning
Health & Physical Development	Physical well-being and motor development
Emotional-Social Development	Social and emotional development

Source: <https://ceds.ed.gov/>

(4) How the assessment will produce information for a variety of purposes

As described in our Theory of Action, the primary purpose of the EAC formative assessment is to provide teachers with information to guide instruction and learning. This use improves student outcomes directly at the individual level. It also will be useful in the aggregate to improve student outcomes indirectly through systemic change. Reviewed here are the multiple purposes of the assessment information and the project activities that will ensure those purposes can be realized. In general, for the purpose of an assessment to be realized, the information must be shown to be valid for that purpose (National Research Council, 2008), be useful, be readily accessible, and be in a format that is easily

understood by the user. A critical feature of the EAC assessment system is that the Consortium states will be able to select which reports they want made available in their state. As the RFA requires, all states have agreed to address all the purposes for the KEA portion of the assessment. The system will be designed to address all the purposes described below for all grade levels, but states may choose not to access this capability for anything other than the KEA. To increase the likelihood that data will be used, the project will develop materials on interpreting and using the reports of the assessment system for the user groups discussed below. These materials also will address inappropriate uses of the data.

(i) *Guide individualized instruction.* Formative assessment has been shown to be one of the most effective educational interventions for improving student achievement (McMillan, Venable, & Varier, 2013). The web-based assessment system will produce a variety of reports for the classroom teacher as well as developmentally appropriate reports for the students. Input on the contents and formats of the reports will be sought from the Consortium, and then the prototypes will be extensively researched with teachers and students in the Consortium states as part of the pilot-testing. We anticipate that at a minimum, the system would produce reports that show a child's status on the learning progressions in each domain, a summary profile of the child's performance in each domain relative to grade expectations, and a classroom summary showing the profiles for the class, and progress since the last assessment point. The utility of the information in the reports for supporting instructional decision-making is a critical part of the validity argument for the assessment (Kane, 2006). Because the assessment is designed around learning progressions, the assessment shows a teacher not only where the child is, but also where the child needs to go next. We will use interviews and focus groups to examine how the information (content and format) assists teachers in guiding their instruction and in identifying students in need of additional support and explore how the reports could be improved to make the information more useful for these purposes.

The system also will produce reports for students. With input from the Consortium, reports geared to the age of the child will be developed and pilot-tested so students will be provided information that shows where they are in their learning, can see where they need to go next, and watch their progress over the

years. Providing students this kind of information has been shown to engage students in more active learning (Black, Harrison, Lee, Marshall, & Wiliam, 2003).

(ii) *Identify teacher professional development and support needs.* By examining the child profile results of the assessment data aggregated across children in classrooms and schools, administrators will be able to identify the professional development needs of teachers of kindergarten through third grade. Using the same design and pilot-test process described above, reports will be developed for administrators that provide information at a glance about the status and progress of entire classes that could be used to identify individual teachers' professional development needs. (This assessment will not be designed or validated for teacher evaluation purposes; states will be informed that this would be a misuse of the data.)

(iii) *Support programmatic decision-making at the school level.* We plan to design reports that will show overall performance by each progression and by domain to indicate relative areas of strength and weakness in student achievement within and across classrooms. For the KEA, this information could be used to learn, for example, that the incoming kindergartners have strong mathematics skills relative to their literacy and their emotional-social skills. Armed with this information, the principal and teachers could choose to focus on implementing systematic cross-classroom efforts to address the children's weaker areas. Comparing assessment results over time for a grade level could show, for example, that children's progress in one domain is lagging behind their progress in others. Again, this information alerts teachers and administrators to the need for programmatic adjustments to implement more effective practices in domain areas with less progress.

(iv) *Support agencies in effectively targeting investments for early learning and development systems.* The system will be able to aggregate the child profile results to any level such as school building, district, region, or state. The KEA results provide a snapshot of what children know and can do on their way into kindergarten in each domain area. Reports also could show child performance compared with grade level expectations. When used with such information as which children attended early care and education programs and the quality of those programs, these annual snapshots provide a measure of how well the community or state is preparing young children for school. It is appropriate to use the KEA results in the

aggregate to determine whether pre-K programs in general are preparing children for kindergarten but not to evaluate the effectiveness of any programs (National Research Council, 2008). Looking at these data across years will show whether children's learning is improving from year to year, which could be especially important information if a community or state has made a significant investment in early learning. After implementation of the EAC, the KEA data will reside with the state education agency, and the agency will need to determine which reports to generate for which audiences and how to use them. The project will lay the groundwork to maximize use by developing a system with a range of informative reports and guidance materials.

(v) *Provide families with information about their children's learning and development.* Families need information about what their child is expected to know and do in school, whether the child is meeting these expectations, and what they can do at home to support the child's learning. The EAC's learning progressions will provide families information on expectations. The assessment system's ability to incorporate information from families will be one way to involve them in their child's learning. Providing access to information about the child's work that the teacher has entered also keeps parents informed and supports their engagement. Finally, reports will be designed that show the child's status (and later growth) in a user-friendly format and provide suggestions for how the family can support the child in progressing to the next step. These multiple opportunities for communication between school and home will build a foundation for effective parent involvement throughout the child's school career (Jeynes, 2005, 2007).

(5) Item types, their distribution, and rationale

The structure of the assessment will be such that multiple forms of evidence substantiate a claim regarding a child's knowledge, skills, or abilities. The key principle of UDL that multiple representations are required for valid assessment of students with disabilities and English learners also applies to the development of effective assessments for all young children. It is developmentally inappropriate to expect all children entering kindergarten to consistently respond to the demands of a traditional selected response assessment item, especially if a standardized administration is required.

The EAC will consist of a set of learning progressions and detailed information on what constitutes evidence of achievement at each level of progression. For each progression, the assessment will identify the standard being assessed, constructs that are embedded in the standard, and the target skill or behavior along with exemplars of what constitutes evidence for each of the points of the progression. The teacher's task is to collect evidence of the child's performance level, record that evidence, and when sufficient evidence is accumulated, map the child's skill level to a point on the progression based on the criteria and the exemplars. Evidence could consist of teacher notes describing a child's work, photos of a student's work, audio recording of language samples, or videos of an activity. This evidence could be captured by the teacher, an aide, or even the child's parents. The assessment will be designed to work most efficiently with the support of multiple technologies (cell phones, tablets, computer, etc.), but administration will be possible with varying levels of technology support. Some progressions might include probes and constructed tasks to elicit targeted behaviors, although all will include multiple forms of evidence to demonstrate competency.

As children demonstrate increasing proficiency with more structured tasks and performing at teacher request as they move through kindergarten and into other grades, some progressions, such as those in the language/literacy and the general cognition domains, could include evidence that is based on tasks administered directly to the child by the teacher or by computer or a tablet.

The number of progressions and the types of evidence across the five domains will be dictated by the number of standards and related constructs in the domain and its subdomains. The assessment will be intentionally structured to allow evidence to support progressions in more than one domain. For example, an observation of child writing letters could be used as evidence for a progression in both literacy and fine motor skills.

(6) The assessment's administration mode(s) and the rationale

The administration mode for the assessment is naturalistic observation where the teacher serves as a highly trained observer who systematically collects evidence for each of the progressions and uses that evidence to identify the child's level of performance. The teacher will collect documentation of child

performance for each progression, store this documentation, and apply the criteria within the progression to locate the child's performance along the progression ("score the item"). Examples of possible evidence are work samples, language samples, photographs of child interactions, and videos of classroom activities. The system will allow parents to contribute documentation as well. Documentation can be stored in physical folders but ideally will be stored electronically (e.g., tablet, smart phone, laptop computer). The collection of documentation and teacher scoring will be supported by a web-based application that will reduce the time required and the cognitive load involved in the decision-making. As teachers observe behaviors relevant to the progression or administer specific probes, they will be able to enter the information into a personal computing device. Applications will be developed to assist in item scoring, for example, by comparing the observed child behavior with a rubric of possible responses. The assessment will allow for scoring items on paper, but the administration will be optimized with the web-based tools for documentation and scoring.

The reason for selecting observation-based assessment is that it is developmentally appropriate for young children and especially well suited to the collection of accurate information about English learners and children with disabilities. This in turn increases the validity of the results. The knowledge of the progressions required to administer the assessment helps teachers become familiar with the standards they are derived from, and the learning progressions provide guidance for where children are to go next. Finally, although intensive professional development is required to train teachers in observation-based assessment, this type of assessment does not take time away from instruction. On the contrary, becoming a good observer of what children know and can do is the foundation for good teaching.

(7) Methods for scoring assessment performance and estimated turnaround times

The design of the EAC includes the use of technology to record the evidence of child performance and the teacher's mapping of that evidence to a point on the progression. Web-based applications will be developed to store the evidence of performance for each progression (e.g., digital photos of work samples, video), to attach the documentation to the appropriate progression and child, and to assist the teacher in using the documentation to record where the child is on the progression. The teacher will enter the

evidence in support of a particular progression in the web-based assessment system, which contains a roster of the teacher's class and the entire set of progressions. The teacher will then use the documentation to determine the child's placement on the progression. The compilation of evidence is important for facilitating accurate placement. It also provides an "audit trail" for reliability and quality control so independent raters can place the child based on the same evidence and compare to the levels assigned by the teacher. The levels recorded on a set of progressions for the domain will be combined to derive an overall score for the domain. The domain scores produce a child profile across the five domains. All reports from the assessment system will be available as soon as the required information is entered because the system will be online.

The levels of the progression constitute a type of scoring rubric that is common in observation-based assessment. Scoring rubrics are used in many types of assessment and have been shown to produce reliable information (Jonsson & Svingby, 2007). The use of multiple examples of target behaviors, knowledge, or skills for the points on the rubric will be used to increase the reliability of the scoring. The rationale for using learning progressions as the basis for the scoring is that they are a highly regarded approach to assessment and promote the alignment of standards, assessment, and curriculum (Duncan & Hmelo-Silver, 2009).

(8) Setting levels of performance for the assessment

The points on the learning progressions constitute one set of performance levels consisting of rich descriptors of what children know and can do as they move to increasingly higher levels of mastery within the construct. These levels also lend themselves to a second type of performance level based on expectations for each grade level. For each progression, there are points on the continuum that are skills expected of kindergarten children and skills expected of first-grade children and so forth. Grade-level expectations will be established for the EAC-KEA. One of the questions that will be put to the Consortium is the desirability of mapping grade-level expectations to the learning progressions for the other assessment points. Some teachers find knowing where children are expected to be extremely valuable. The process of establishing the levels will require two kinds of information. First, the

expectations must be based on a psychometric analysis of data collected on individual items as well as the whole assessment; with these analyses being informed by an item response theory (IRT) measurement model, scaling, and learning progressions. Second, setting the grade-level expectations will entail convening early learning and development experts from the Consortium states to review the data in conjunction with the CES and reaching consensus on which point of each progression corresponds to expectations for kindergarten entry and, if desired, the other grade levels. The outcome of this work will be included in the assessment system and available as a report option.

(9) Reports and interpretation guides based on the assessments

As discussed in Section B, the project will work with stakeholder groups in the Consortium states who will be the users of the assessment information (i.e., teachers, parents, students, principals, district administrators, state agency representatives, policymakers) to identify the kind of information they need and how they want it presented. We will pilot-test prototypes of reports with these user groups and make revisions based on their feedback. The stakeholder input will determine the exact set of reports, but we expect to develop individual student reports for teachers, families, and students and aggregate-level reports for other users. The types of reports we expect the system to produce were described in B.4. All reports will be accessible online, available in English and Spanish. Teachers will be able to print reports for parents who do not have Internet access. The individual-level reports will be used to inform instructional decision-making and identify students in need of assistance. The individual reports will be prepared with interpretations and suggestions for activities to support development and learning based on where the child is performing. The project team will prepare professional development modules and activities to build the capacity of teachers to use the assessment data.

The aggregate reports will provide information for school, district, and state decision-making. For example, building principals could use the information about overall child growth to identify programmatic strengths and weaknesses. We will develop professional development materials to build the ability of principals to support teachers in administering and using the data. The materials also will address how principals can use the information for program improvement. In addition, interpretation

guidance will be built in to the online system. For example, state agencies staff and other users of state-level data would have access to state-level reports and guidance on the interpretation of the data in them.

Given the history of inappropriate uses of assessment of young children (Meisels, 1988, 2007), the project will explicitly address this as part of professional development and in guidance documents. These materials will make it clear that the assessment results should never be used to keep a child out of kindergarten or to deny a child access to a special program.

(10) How the proposed KEA will be a component of a state’s student assessment system

As a condition of membership in the Consortium, each state has executed an MOU with the state of North Carolina, signed by its chief state school officer, that the state will “adopt, or have a plan to adopt, the common KEA portion of this K–3 formative assessment system enhanced under this priority no later than the end of the project period.” Under the Terms of Reference document that defines how the states will work together, Consortium states agreed to involve a team of state agency personnel in the development and review of the proposed assessment. This team is to include state staff responsible for early learning standards and K–3 assessment in the state. The project’s extensive across-state and within-state stakeholder involvement is intended to make the assessment responsive to state needs and increase the likelihood of the assessment becoming a component in the state assessment system. To the same end, the states will engage in sustained and comprehensive planning for implementation. Finally, many states in the Consortium have noted they have no or few statewide tools in use with students below third grade and that the new EAC will fill this void.

C. Kindergarten Entry Assessment Development Plan

Our detailed assessment enhancement plan will ensure that the EAC is ready for wide-scale administration at the end of 4 years. This plan is iterative and thus incorporates processes at multiple points for revision based on stakeholder input and feedback from pilot-testing. The proposed assessment enhancement project will begin by using ECD to reverse-engineer the EAC-KEA items from the NCA to the common essential standards, described in B.2, identified as included by a majority of the Consortium states. We also will review Consortium states’ formative assessments to identify any items that align with

common standards not addressed by the NCA to explore their suitability for inclusion. As needed, we will develop new assessment items to address common standards not addressed in the NCA.

(1) Item development process and types of personnel involved

Across the grade levels, the assessment will use a variety of types of evidence (e.g., observational notes, targeted probes to elicit performance, work samples) to determine student placement within the learning progressions in each of the five domains. The ECD approach focuses on the evidence (what the observer would have to see to know that a child has mastered a skill or competence) needed to determine the presence of a construct in the validation and development of individual assessment items. The use of ECD will ensure that the EAC reflects the National Research Council’s guidelines (2008) on early childhood assessment development. As stated, the ECD process will be reverse-engineered, that is, we will start with proposed assessment items and work toward the corresponding standard and its underlying constructs to validate each learning progression. The cross-state analysis will reveal any gaps in standards within each domain as well as any standards not covered by the NCA assessment items.

(i) *Item acquisition & development.* A KEA–3 assessment with all the desired features—formative in nature, aligned with early learning and development and K-3 standards, covering the five domains, and usable by kindergarten through third grade teachers to truly inform instruction—does not exist. This is why North Carolina is developing one with its RTT-ELC funds. Nevertheless, the assessment enhancement process will begin with a review of existing early learning and K-3 assessments, especially those used in the Consortium states. We expect the EAC assessment will require the development of some new progressions beyond those in the NCA to adequately reflect the CES and K-3 standards in the other Consortium states.

The methodology for enhancing the NCA is based on the integration of the frameworks of ECD and UDL. ECD identifies the focal knowledge, skills, and abilities (KSAs) to be assessed as well as nonfocal skills and abilities needed to perform successfully on assessment tasks/activities/experiences. The integration of UDL principles helps meet the challenge of assessing all children by suggesting flexible materials, techniques, and strategies for assessment (Dolan, Rose, Burling, Harms, & Way, 2007) and

helps mitigate the construct-irrelevant variance created by nonfocal KSAs. The UDL framework has three guiding principles that address critical aspects of any learning activity, including its assessment (Rose & Meyer, 2002, 2006; Rose, Meyer, & Hitchcock, 2005). These principles are multiple means of (1) representation that address the ways information is presented, (2) action and expression that focus on the ways students interact with content and express what they are learning, and (3) engagement that address the ways students engage in learning. SRI has expanded these principles to six (receptive, expressive, cognitive, language, executive, and affective) for more precise application of UDL features to assessment.

UDL also addresses bias and sensitivity based on gender, socioeconomic status, and ethnicity. These issues, particularly as they pertain to English learners and children with disabilities, will be addressed throughout the enhancement process. The rationale for using ECD/UDL is consistent with the state-of-the-art practice called for in this RTT assessment era. Integrating ECD and UDL produces a rigorous, replicable assessment design that carefully considers the interaction between content, task, and learner characteristics in the creation of assessment tasks.

ECD is the recommended approach for developing educational assessments, and can it be applied to a range of content standards and assessment types (Mislevy, Steinberg, & Almond, 2003). The rigorous multilayer design process central to ECD enables designers to consider systematically the content, task, and learner characteristics that influence student performance. ECD provides a foundation for assessments that can be used to address and document the validity of assessment systems.

In addition, SRI uses the PADI (Principled Assessment Design for Inquiry) online technology system developed under multiple federal grants and SRI internal research and development funding to implement ECD and develop the assessment argument efficiently and cost-effectively. At all phases of assessment components design, PADI prompts co-design teams (described in C(1).ii) through the process and documents the assessment decisions, resulting in a narrative articulation of the assessment argument. SRI has programmed the PADI online system to automatically suggest our six additional UDL features of

assessment activities (representation, expression, cognition, language, executive, and affective) that can be incorporated to improve accessibility for students with differing needs.

ECD/UDL provides support for the development of assessment activities for all children that focus on construct-relevant content, minimize the impact of construct-irrelevant skills, and take into account appropriate accessibility options. Take, for example, an item to assess the following Common Core State Standard in mathematics for kindergarten (CCSS.Math.Content.K.G.B.6): *Compose simple shapes to form larger shapes*. The teacher could observe the child working with shapes and ask, “Can you put these two triangles together to make another shape?” If the shape pieces available in the classroom are small and flat, a child with limited fine motor skills may have difficulty manipulating them. Thus, the child’s opportunity to demonstrate a math competency would be limited, and the teacher might erroneously conclude that he/she did not have the skill, when in fact the child could not demonstrate the skill because the right kind of materials were not available. ECD would determine that size and thickness of the materials are irrelevant to the construct. ECD designers would consider characteristics of the materials and how to support the child’s sensory and motor needs in perceiving and responding to the activity.

To arrive at the type of item just described, a specific process of integrating ECD and UDL principles occurs within five layers of action:

- (1) **Domain analysis** - involves determining the specific content to be included in the assessment. In reverse-engineering ECD, the early learning CES and K-3 common state standards become the end points of domain analysis.
- (2) **Domain modeling** - entails the creation and documentation of models of the constructs to be assessed (derived from the domain analysis of the standards), articulating the KSAs, the evidence that needs to be collected, and the features of the activities that will elicit the evidence.
- (3) **Conceptual assessment framework** - provides the design of assessment elements such as potential observations, rubrics, and psychometric models.
- (4) **Implementation** - the creation of assessment items/activities and materials.

(5) Delivery - requires a large-scale field test to verify the processes for assessment administration, scoring, and reporting, including technology, accessibility features, and accommodations.

Domain modeling, which is critical to the reverse engineering, entails creating and documenting a high-level description of the constructs to be assessed and articulating the KSAs, the evidence that needs to be collected, and the features of the activities that will elicit the evidence. Also identified are nontargeted KSAs that are linked to an identified construct or standard, which although required for successful performance during an activity, are not the intended target of the assessment. The guidelines on early childhood assessments by the National Research Council (2008) provide a framework for the identification and explication of the specific constructs assessed in a given domain/subdomain.

(ii) *The types of personnel involved.* For the assessment enhancement process, we will use a co-design team approach incorporating a wide range of experts including representatives from the Consortium states. Individuals to be included have expertise in ECD, UDL, assessment, learning progressions, domain knowledge in the early childhood and early elementary age ranges, English learners (ELs), special education, and psychometrics. Early childhood and content specialists from the Consortium states will be trained in ECD and participate on the co-design teams. SRI's assessment experts have extensive experience developing items for literacy, mathematics, science, and motor assessments. Other project staff bring expertise in Common Core standards, early childhood, literacy, mathematics, science, social-emotional development, approaches to learning, physical and motor development, special education, dual-language learning, and cognitive psychology. They will ensure that the progressions are aligned with the CES and the K-3 standards in the Consortium states and cover the range of expected KSAs.

At various junctures in the development process, nationally known domain and early childhood expert advisors as well as experts from the Consortium states will review the work. Consortium state leaders will receive regular updates on the design process, creating opportunities to integrate the perspectives of the "end users" into the review and discussion.

(2) Approach/strategy for accommodations and accommodation policies

Accessibility is less challenging with authentic assessments that rely on multiple types of evidence to demonstrate a competency. This is especially true for observation-based items, where multiple behaviors can provide evidence of a KSA. Although construction of the EAC will be consistent with UDL principles for accessibility to all children, including those with disabilities or developmental delays and ELs, this does not negate the need for accommodations for some children for some types of evidence such as performance tasks or selected responses (Bolt, 2011). Assessment accommodations are defined as changes in testing materials or procedures that enable children from special populations to participate in assessments in ways that assess abilities rather than disabilities and language/cultural-based challenges. Without accommodations, the assessment may not accurately measure the children's knowledge and skills (Kurz & Elliott, 2011; Shafer-Willner, Rivera, & Acosta, 2008).

Our approach to designing accommodations and accommodation policies will be iterative and will include experts in each content domain, early childhood education, ELs, and special education. First, a multidisciplinary team will conduct a comprehensive literature review to identify research-based accommodations for ELs, children with disabilities, and children with disabilities who are also ELs. Common accommodation categories include presentation (e.g., repeat directions, use of pictures, objects, large print), equipment and material (e.g., amplification equipment, familiar materials, tactual manipulatives), response (e.g., children's native language, gestures, augmentative communication devices), setting (e.g., children's home, separate room), timing/scheduling (e.g., extended time/untimed, frequent breaks), direct linguistic support (e.g., translating directions, reading directions aloud in English), and indirect linguistic approach (e.g., having a familiar examiner, individual administration, multiple sessions) (Acosta, Rivera, & Willner, 2008; Albus & Thurlow, 2007; Christensen, Carver, VanDeZande, & Lazarus, 2011; Cortiella, 2005; Rivera & Collum, 2006).

(3) Approach and strategy for ensuring scalable, accurate, and consistent scoring

Given that learning progressions are the foundation of the original NCA as well as the EAC, the assessment items lend themselves to vertical scaling in each of the five domains. Student performance can

be accurately measured as children progress upward through milestones along these vertical scales. In addition to providing teachers with information to guide instruction, the EAC assessment also can provide them with information about expected performance by grade level. IRT analyses (Section D) will be used to examine the scaling within each of the progressions and make any revisions. The online system for the KEA-EAC and, if states desire, all subsequent administrations of the K–3 assessment will generate scores in each domain that together will produce a profile of a child’s scores across the five domains. Although the psychometric work to produce such a composite score will be completed as part of the project, we would encourage states not to use a composite score and encourage ED not to require it because it does not provide useful information for instruction and is not developmentally appropriate (National Research Council, 2008).

As described in Section D, IRT will be used in analyses of pilot-study data from each of the domains to determine how the items work together to form the vertical scales. Psychometric analyses involving exploratory and confirmatory factor analyses, initial IRT analyses, and examination of domain score reliabilities will be conducted. These analyses will be used to determine how well the items measure each domain as part of the item development and validation process and later in setting cut scores and levels of performance, discussed under Section B.

Online certification modules will be developed to assess interrater reliability of teachers and certify them as reliable to administer the EAG portion of the assessment and, if states want this functionality, for administrations at other grade levels as well. To establish reliability, a teacher will view sets of documentation for different children for different progressions and be asked to locate the child’s performance on the progression based on the documentation provided. These responses will be compared with master scores to compute reliability. Teachers who fail the reliability check will be given additional training and asked to retake the reliability check until they achieve reliability. The proposed project will include training teachers in the administration and scoring of the progression, including use of the documentation and scoring technology. Highly effective professional development, combined with

supportive technology and procedures for assessing interrater reliability, will significantly increase the likelihood that items are scored consistently within and across classrooms and within and across states.

(4) Approach and strategy for developing the reporting system

Because the primary purpose of the EAC is to produce information to guide children's learning, the assessment results must be readily available to teachers and families in reports that are easy to understand and that inform next steps in supporting the child's development. The EAC system will use the reports being developed for the NCA as a starting point to produce a user-friendly, rich descriptive profile of each child's learning and development across the five domains from KEA through third grade (see in B.4 and B.10). The generation of a set of online reports will be one of the technology enhancements from this project. The assessment system will contain a reporting function that allows secure web-based access to a set of reports by user role (e.g., parents can only access data for their own child, teachers may aggregate data for their own classroom) in user-friendly formats, accessible on multiple platforms and personal computing devices. A set of specialized reports will be developed for the KEA that will provide aggregated data for principals, district administrators, and state agencies.

To ensure that the reports address the needs of the various users, stakeholders from the Consortium states will provide input into their design, contents, and format. Prototype reports will be pilot-tested with students, teachers, parents, administrators, and other potential users and revised based on their feedback. The assessment system will be designed with sufficient flexibility that state can elect the kinds of reports it will make available. For example, some of the Consortium states are interested in reports that provide domain scores and others are not. States will identify which reports they want from a menu of options.

We expect that most Consortium states will prefer to maintain the student data in their own state assessment reporting platforms. Therefore significant attention will be paid to defining data structures to enable this, including use of the Common Education Data Standards. In the second half of the project, information will be collected from Consortium states on how they will maintain the web-based assessment system and any specifications that we must address for the system to be fully functional in the states.

(5) Overall approach to quality control

We are committed to achieving the highest quality in all of our activities. To ensure the assessment meets the highest technical standards, we will use learning progressions, a systematic approach to standards alignment, a research-based process to review and develop assessment content (ECD and UDL), comprehensive pilot and field testing, and rigorous psychometric analysis (Section D). An important aspect of our quality control is stakeholder engagement in all aspects of the project work. We also will engage in the Consortium states throughout the project to ensure that the assessment system—including the assessment itself, the technology to support it, the reports it generates, and the associated professional development—meet their needs for a formative assessment that is easy to administer, addresses important constructs, and provides information that informs instruction.

In any project, a well-developed management plan that identifies tasks, timelines, and personnel responsible for outcomes is crucial to quality control; this is described under Project Management (G.1). In an assessment development project, quality control must also include consistent and standard practices in assessment development and in scoring and reporting systems. Processes related to assessment development are detailed in Sections C.1 and C.2, including the development of appropriate accommodations. Processes for developing scoring and reporting systems are described in Sections B.4, B.10, C.3, and C.4. Finally, extensive pilot testing, a full-scale field test, and comprehensive psychometric analyses will guarantee that the enhanced assessment produces fair, valid, and reliable data on all children—data that teachers, administrators, families, and other stakeholders can use to improve student outcomes (Section D).

D. Research and Evaluation

The proposed approach to establishing the validity of the EAC derives from recent work that conceptualizes validation as the process of developing a scientifically sound validity argument (Kane, 1992; Kane, 2006; Mislevy, 2006; Moss, Girard, & Haniford, 2006). According to the AERA/APA/NCME *Standards*, validity is addressed by developing a set of propositions that, if met by empirical evidence, support the validity of the interpretation for a set of scores. The examination of validity requires articulating

the propositions and associated claims being made for the uses of the resulting information and compiling evidence to substantiate those claims (American Educational Research Association, American Psychological Association, & National Council on Measurement in Education, 1999). Our approach to examining the validity of the EAC will be guided by a framework developed by Nichols, Meyers, and Burling (2009) for examining the validity of formative assessments. A major purpose of the assessment as represented in the theory of action is to provide teachers with information for informing instruction. Another purpose is to provide principals and state administrators with information for program improvement. A set of propositions and claims will be developed with stakeholder input for each of the assessment's intended purposes and uses of the information. These propositions will be used to generate the final plan for the types of information that will provide the evidence for each of the claims. Preliminary plans and examples of the kinds of data that will be collected are presented below.

(1) Plan for identifying and employing psychometric techniques

The content validation that is built into the ECD process will be followed by the collection of quantitative data to identify and inform revisions to the learning progressions. Two rounds of pilot testing will be done to confirm that the assessment measures what it was intended to measure, that the domains and their associated progressions measure one and only one factor, that average performance on the scale advances through the progressions, and that the points on the progressions progress in difficulty. Factor analyses will be used to evaluate each progression's fit within the five domains with the goal of a root mean square error of approximation (RMSEA) value of $<.06$, a standardized root mean square residual (SRMR) value of $<.08$, and a comparative fit index (CFI) of at least $.90$ (Hu & Bentler, 1999). Rasch scaling will be used to examine unidimensionality, effectiveness of the rating scale, and item difficulty. Score reliability will also be estimated using the Rasch metrics of person reliability, item reliability, and internal consistency. Item-person maps will be used to evaluate the density of items across the full performance continuum.

Information will be collected on gender, race/ethnicity, disability status, and English language status to support analyses of differential item functioning. These analyses will provide information related to the

claim that the items function the same for all types of children, e.g., EL and English-speaking children of equal ability in a domain would be predicted to receive the same rating on learning progressions in that domain. To examine generalizability, we will compare reliability and validity findings across states, grade levels, and characteristics of teachers administering the assessment (external validity).

Given that teachers complete the assessment, an important validity claim is that they can be taught to use documentation to reliably assign the appropriate level on the learning progression. We will assemble documentation (work samples, notes, video clips) for three children at each grade level for all progressions in all domains. A group of master teachers trained on the assessment will use this documentation to identify consensus levels (the gold standard) for these children. Teachers participating in the pilot and fieldwork will be asked to complete the assessment for the three children at their grade level. Agreement between the teachers and the gold standard ratings will be computed at the progression and domain level, providing evidence for the claim that teachers can reliably assign appropriate levels. Information collected through this process will be used to inform revisions in the progressions, exemplars, and the professional development materials.

The psychometric analysis will be repeated with the field test data to produce the final statistics for the validity argument for the assessment. The psychometric analyses will be conducted by Dr. Richard Lambert, director of the Center for Educational Measurement and Evaluation at the University of North Carolina at Charlotte. Dr. Lambert has extensive measurement experience with early childhood assessments along with familiarity with the NCA since he worked with North Carolina on its development.

We will conduct two rounds of pilot testing in five states. There will be a minimum of 100 children for each level of the progression to provide for the computation of the Rasch statistics. Individual classrooms and students will be selected to provide diversity in the sample, including sufficient numbers of children with disabilities and children who are ELs. To ensure a large enough sample size for the proposed analyses, we will work with the states to recruit 20 schools (4 schools per state) for the pilot test. Within each school, we will recruit four teachers to participate in the pilot (80 teachers overall and 20 in each grade level: K, 1, 2, 3). Each teacher will be trained in the assessment and asked to implement one

round of the assessment over a 3-month period with 10 students (800 students total). Nesting effects of assessing children within classrooms/raters, schools, and states will be examined and considered in analysis.

During Year 4 of the project, the full assessment system, including all technology features and revised PD materials, will be field-tested in the same five states that conducted the pilot test and preferably in the same districts and schools. By returning to schools familiar with the EAC, we will be able to obtain more accurate data because teachers will have greater facility with using the assessment. Also, returning to the same districts and schools will reduce the amount of time and coordination needed for teacher training because of their history with the project, the tool, and the research partners. The field test sample will be at least 750 children at each grade level for a total sample of at least 3,000 children. The field test will be conducted over a school year (three administrations of the assessment) to allow testing of claims about capturing student growth. For both the pilot and field tests, the number of states participating will be increased if additional funding can be located or if the states can support their own participation, which will further increase the strength of the analyses.

(2) Theory of action is being realized

In addition to meeting the highest technical standards, the information provided by the assessment must be useful to teachers and others. Indeed, a critical part of the validity argument will be that the assessment provides information to inform instructional and program improvement decisions and ultimately improves student achievement. To ensure usability, all facets of the assessment system will be developed with input from state and local stakeholders. Input will be sought, for example, on the contents and format of the reports and the features of the documentation application. Cognitive labs will be conducted as part of the development of prototypes. Extensive formative evaluation data from online surveys, interviews, and focus groups will be collected during the pilot tests to further explore utility and usability issues.

As part of the second pilot test, we will conduct a usability study to evaluate the extent to which teachers, students, parents, school administrators, and state agency staff use the information provided by

the EAC in ways consistent with the theory of action. For example, we will examine whether teachers used the assessment information to guide instruction, communicate student progress and needs with parents, or identify students who might benefit from further learning assessments or more intensive instructional interventions. In addition, the usability study will examine the extent to which teachers and administrators found the EAC, its PD materials, and technology-supported tools for data collection, scoring, and reporting useful and efficient. We will explore specifically how design features of the assessment supported the needs of special populations, such as EL and SWD. We will collect feedback through online surveys and conduct in-depth telephone interviews with a sample of 30 teachers and 10 administrators to gather more specific information about challenges, benefits, and ideas for refinement. Also, feedback on the state-level reports from the EAC-KEA will be collected through interviews with representatives from the participating states' early learning departments. In addition, consortium members and state experts will review the findings of the usability study and offer their recommendations for any refinements or revisions to the EAC process and materials. During the field test, additional data will be collected through online surveys to examine the usefulness and effectiveness of the EAC for its intended purposes for teachers and administrators.

E. Professional Capacity and Outreach

The authentic nature of the assessment, with a heavy reliance on teacher observation and inclusion of multiple ways for children to demonstrate competence, will require extensive training of teachers in administration, including how to document evidence of the child's skill level and locate the child's skills on the learning progression. Teachers, principals, district leaders, and state policymakers and administrators will also need to be educated about the nature of this kind of assessment, why it is appropriate for young children, and, most important, how to interpret and act on the findings. Each user group will require different types and intensities of support during the pilot testing, field testing, and full implementation, as described in this section. Cultivating the engagement and buy-in of these key stakeholders is an ongoing process that will be critical to the success of the implementation and sustainability of the EAC within the Consortium states. Key stakeholders including teachers,

administrators, families, legislators, and policymakers across the Consortium states will need access to clear, consistent, and concise information about the purpose and design of the EAC. Similarly, to ensure the assessment is responsive to the needs of the Consortium states, key stakeholders will need opportunities to provide feedback on all aspects of the assessment system. We will include numerous mechanisms and processes to solicit feedback from representatives of the Consortium states and stakeholders within each of the states and to provide support, training, and information about the EAC. Effective communication, engagement, and outreach strategies will be used throughout the project to maintain a common vision and to lay the groundwork for adoption of the assessment by the Consortium states with full support of their stakeholders.

(1) Plan for supporting teachers and administrators in implementing the assessment

We will use a multiphase approach for supporting teachers and administrators in implementing the KEA and developing their capacity to interpret and use the results. Our approach to professional development (PD) is comprehensive and designed to provide states with a complete set of tools to move to full implementation of the assessment at the end of the project. The PD plan is efficient in that it will build off the PD model and materials North Carolina is developing for the NCA. The PD for the EAC is responsive in that it will be developed and revised with input from teachers, administrators, and others in the Consortium states. Finally, the PD is based on implementation science and adult learning research so it assumes the need for ongoing rather than one-time workshops to achieve high-quality implementation. A description follows of the approach we will use to convey information about the EAC to teachers and administrators, to incorporate their feedback into the PD model, and to leave states with the tools to sustain the assessment system through effective PD after the project ends.

We will develop a PD plan that builds off the North Carolina PD model, incorporates the assessment enhancements, includes guidance and support for the assessment technology components, and provides for guided practice in using the information to inform instruction. The content and materials developed by North Carolina will be the foundation for this work and be revised as needed. North Carolina plans to address statewide implementation of the assessment through a mixed delivery of PD opportunities,

including a video library, web resource materials, online modules, print and digital resources, and coaching. As the EAC is developed, the North Carolina materials will be modified to incorporate new content, shared with the Consortium states for input, piloted-tested, and revised as needed.

A complete training package including an agenda, slides, video clips, discussion questions, and practice exercises will be developed for use by trainers in the Consortium states. In addition, train-the-trainer materials for the teacher and administrator trainings will be developed to support states in moving to full implementation. The contents of the training for teachers will include an overview of the key constructs in the five domains (some of which, like emotional-social and approaches to learning, are not generally part of a K-3 curriculum), the fundamentals of good observation, the content of learning progressions in each of the domains, the skill level described at each point in the progression, what constitutes evidence of that skill, how to collect evidence, how to use the evidence to locate the child's skills on the progression, how to use the technology to capture documentation, how to generate reports, and how to use the results to guide instruction. A similar but less intensive training will be developed for administrators. Online refresher modules will be developed on key topics to assist teachers and administrators after the introductory training. Half-day refresher trainings also will be created for states to use as they move into full implementation. We also will develop a list of the KSAs teachers need to implement and use the assessment and another list addressing the KSAs administrators need to support teachers and to use data for program improvement. Such lists have been found to be very helpful in other states in implementing formative assessments (Andrade & Cizek, 2010).

The draft PD materials will undergo an intensive review and revision cycle. We will share the materials with the Consortium state representatives for their review and input. The materials also will be pilot-tested with teachers, principals, and trainers in the Consortium states. We will use focus groups, telephone interviews, and online surveys to collect information on the quality and usability of the materials and identify gaps in content or types of materials. The PD materials will be used to train teachers for the pilot test, and the pilot teachers and trainers also will be asked to complete evaluation forms on the effectiveness and usefulness of the training and the materials. Online discussion rooms will

be maintained during the pilot testing so participants will have access to additional support and to allow us to track any issues that arise.

We will work with each of the Consortium states throughout the project to develop an implementation and sustainability plan. Major components of this plan will be the state's plans for (1) providing the initial PD for teachers and administrators in the use of the assessment and (2) over time, providing ongoing PD to move those with experience with the assessment to higher levels of implementation as well as the initial training for new teachers and administrators. North Carolina, for example, plans to use or build on structures at the state and regional level; create implementation teams at the state, regional, and district levels, with district teams supporting school-level teams; and establish a practice-to-policy feedback loop to facilitate ongoing communication among and between the teams. North Carolina plans to collect data on implementation so we can mitigate risk, address barriers, and make policy adjustments, as needed.

Using an implementation science framework, we will provide guidance to state leadership in the Consortium on the core components of a successful EAC PD plan. We will work individually with states to help them identify strategies for supporting each of the plan components. For example, a state may have resources to implement KEA training and PD annually but may need support developing a process to collect and incorporate teacher and administrator feedback. We will work with the state to identify resources for unfunded components such as local foundations or partnerships with institutions of higher education. We also will work with states to identify and address sustainability issues by helping them examine the policies, procedures, culture, climate, resources, and other necessary supports for full implementation of the EAC.

(2) Informing key stakeholders in Consortium states on assessment and building support

The effectiveness of formative assessment as a strategy to improve student outcomes is well supported by research and professional organizations (Black & Wiliam, 1998; Division for Early Childhood, 2007; National Association for the Education of Young Children & National Association of Early Childhood Specialists in State Departments of Education, 2003; National Association of School Psychologists (NASP), 2005). Unfortunately, the general public along with many teachers and

administrators may be unfamiliar with this type of assessment. Some may be unaware or even ill-informed about how formative assessment differs from the summative assessment required for accountability in older grades. As part of the implementation and sustainability planning, we will support each Consortium state in developing a stakeholder engagement plan within the first 6 months of the project. It is critical for states to address implementation from the beginning, and outreach to stakeholders is essential to successful implementation. One of the objectives of the plan will be to increase understanding of why this type of assessment is important and how it differs from other types of assessment. A second objective will be to promote sustainability by obtaining broad buy-in through involving stakeholders in the Consortium states in the development process. Many innovative statewide assessment efforts have failed because stakeholders were not involved in planning or implementation and ultimately did not support the efforts. Developing and implementing states' engagement plans early will ensure general awareness of the need for and nature of the new assessment across a range of stakeholders well in advance of the EAC piloting, field testing, and eventual adoption and implementation.

We will use a two-tiered approach for supporting Consortium states in their stakeholder engagement efforts. This will provide enough flexibility to enable states to use different outreach strategies that meet their unique needs but will also ensure that a consistent message is communicated across states about the EAC. In Tier 1, we will support all Consortium states in implementing stakeholder engagement efforts to build buy-in and promote the vision and purpose of the EAC assessment. States will identify the specific nature of the activities in their stakeholder engagement plans. We will assist them in identifying strategies to reach different stakeholders. We recommend that the state identify or establish a state-level stakeholder group and communicate and meet with it regularly. State-level stakeholder groups will provide Consortium states a mechanism for keeping key stakeholders informed of the developments and key milestones for the EAG implementation, a forum for soliciting input and identifying any potential challenges, and a process to address potential concerns.

We will provide ongoing support and guidance to the states in developing and implementing their stakeholder engagement plans. We will develop facilitation guides and provide tailored technical

assistance as needed. To ensure that consistent messages are used across the Consortium states, we will develop research-based content about the EAC in a variety of formats, such as PowerPoint slides, FAQs, and one-page fact sheets that can be adapted for states' unique needs. We will also convene a cross-state community of practice within the Consortium to provide a forum for participating states to share lessons learned, successful stakeholder outreach strategies, and discuss potential challenges or concerns.

We will work with the Tier 2 states on a more robust set of stakeholder engagement activities that will focus on refining various features of the EAC assessment system, for example, by collecting feedback on the most beneficial types of reports and report formats individual stakeholder groups may want (i.e., parents vs. state administrators vs. classroom teachers). These states will participate in the pilot work that will examine specific issues such as the usefulness and usability of the technology, how design features of the assessment support the needs of special populations, and the quality of the PD materials. Mechanisms for soliciting input will include online surveys, telephone interviews, and focus groups. We will analyze data and develop summary reports and, if appropriate, work with states to communicate the key findings and implications for the design of the EAC assessment system.

F. Technology Approach

One of the ways the NCA will be enhanced will be through innovative uses of technology including item design; documentation collection, storage and linking; web-based data entry; and access to a variety of assessment reports customized to the needs of different users.

(1) Technology for assessment design, development, administration, scoring, and reporting

Design and development. PADI technology (Section C.1) will be used to create and store a complete ECD framework for the EAC. This design will include guidance for the learning progressions, what would constitute evidence of student achievement for each point on the progression, and guidelines for selecting the child's level. Information from PADI will then be used continually throughout the reverse-engineering of the items to provide relevant portions of this design framework to the design team, teachers, test administrators, parents, and other stakeholders to help guide them throughout the process and ensure that the results of the EAC are valid, reliable, and actionable.

Delivery and scoring. The delivery of items will occur within a digital system developed for the assessment. The technology developed for the project also will provide a scoring and reporting engine within the North Carolina portal. (This engine will also be able to be included within other systems; see the section below on compatibility.)

To support the observational nature of the EAC, the scoring engine will have three parts: an online **documentation repository**, a natural language **tagging application**, and a guided **rubric screen**.

The **documentation repository** for multimedia documentation of student behavior will be a secure website where teachers can upload and annotate photos or videos they wish to use as documentation or simply write descriptions of their observations. This is fundamental to a technology-supported assessment scoring engine in which students are being assessed on offline behavior. For example, to address students' ability to communicate in writing, a teacher could take pictures of each student's work using her cell phone and upload them to the secure repository to be used in later application of the scoring rubric.

Once they have created a piece of documentation in the documentation repository, teachers would use the **tagging application** to associate that piece with a learning progression and student names. A distinguishing feature of this application will be the use of natural language processing and integration with student information systems to speed tagging. For example, suppose a teacher has uploaded a video of two students sharing materials for an art project. She could type in "Billy S. and Christina sharing" into the tagging application, which would use standard natural language algorithms to identify that the teacher was most likely indicating "William Smith" and "Kristina Gonzales" from her class roster and present her those names for confirmation, along with a list of progressions relevant to sharing. The system will be designed to also allow parents to upload documentation through secure access that links their user ID to their child. Teachers could view parent documentation and describe it for linking to a progression through the tagging application. This is much faster than the procedure used in other applications that involve a cumbersome process of navigating a class roster to find the students and then browsing the items (progressions) to find the appropriate one to tag. This application is a significant innovation for observation-based assessments and substantially reduces the teacher's workload. SRI has world-class

expertise in conceiving and developing such systems, one example being the Siri personal assistant that is now on the iPhone.

Finally, once a piece of documentation has been uploaded and associated with the appropriate item or standard, the guided **rubric screen** will quickly walk teachers through how to locate the student's skill on the learning progression. In addition to supporting the day-to-day scoring by a single teacher, this online tool will also be used to measure and improve scoring reliability by allowing multiple scorers to analyze the same piece of documentation and score it on the same progression.

Reporting. The web-based system will be designed to generate a variety of reports (Sections B.4 and B.10). These reports will be available to the users for online viewing or printing. Users will be assigned a unique ID and password to ensure appropriate access. Parents and students will be able to access the student's electronic folder at any time to view the student's work, current placement on the learning progression, and cross-domain profiles at current or previous time points within and across grade levels.

(2) How technology-related implementation or deployment barriers will be addressed

The secure online repository for multimedia content relies on teachers having easy access to web-enabled multimedia recording devices such as smartphones or tablets. The web-enabled applications described above will be developed to be easily usable directly with such devices without the need to separately use a computer (e.g., as a mobile app downloadable from iTunes or Google Play).

However, we stress that documentation *need not* be multimedia. A teacher using a simple web browser on a desktop computer could still create and score documentation by simply typing his observations into the documentation repository, tagging it using the tagging application, and scoring it using the rubric screen for the learning progression. The technology demands of this work flow are low; they could all be accomplished using any Internet-connected computer or device, running even an older web browser. In preparation for the development of the technology applications, the Consortium states will be asked to provide information on the type of technology that their teachers have now and are likely to have by 2017 when the assessment will go to full implementation. Our intent is to design a system that

is innovative, takes advantage of current and especially emerging technologies, and also recognizes teachers' varying access to different levels and types of technology.

G. Project Management

(1) Project work plan and timeline

The proposed EAC project team comprises the North Carolina Department of Public Instruction (NC DPI), which is the lead Consortium state and primary fiscal agent providing overall project direction and oversight; the three research partners SRI International, the BUILD Initiative, and Child Trends (CT), and; and eight other Consortium states, Arizona, Delaware, District of Columbia, Iowa, Maine, North Dakota, Oregon, and Rhode Island. In addition, South Carolina joins the team as a self-funded collaborating state. A cadre of 13 national consultants will provide expert review and input on the assessment development activities. They will be supplemented by early childhood and curriculum experts from the partner states who will assist in various aspects of the project including assessment development, materials development, and pilot and field testing.

Project activities. The project work plan is organized around seven major activity areas. These activities areas and their lead staff are (1) overall project management (Bagwell, NC); (2) across- and within-state stakeholder engagement, including support for implementation planning (Cobb, BUILD; Bagwell, NC); (3) application of ECD/UDL to the assessment content (Cameto, Haertel, SRI); (4) enhancement of PD materials (Hebbeler, SRI; Bagwell, NC); (5) pilot and field testing (Raber, Spiker, Tschantz, SRI); (6) psychometric analyses and performance levels (Lambert, expert consultant; Hebbeler, Seeratan, SRI); and (7) technology (Makler, SRI). Because these activity areas overlap and the work of one informs the others, activity teams will coordinate their work throughout the project. For example, stakeholder input, along with the results of pilot and field testing will inform assessment content, the PD materials, and the technology.

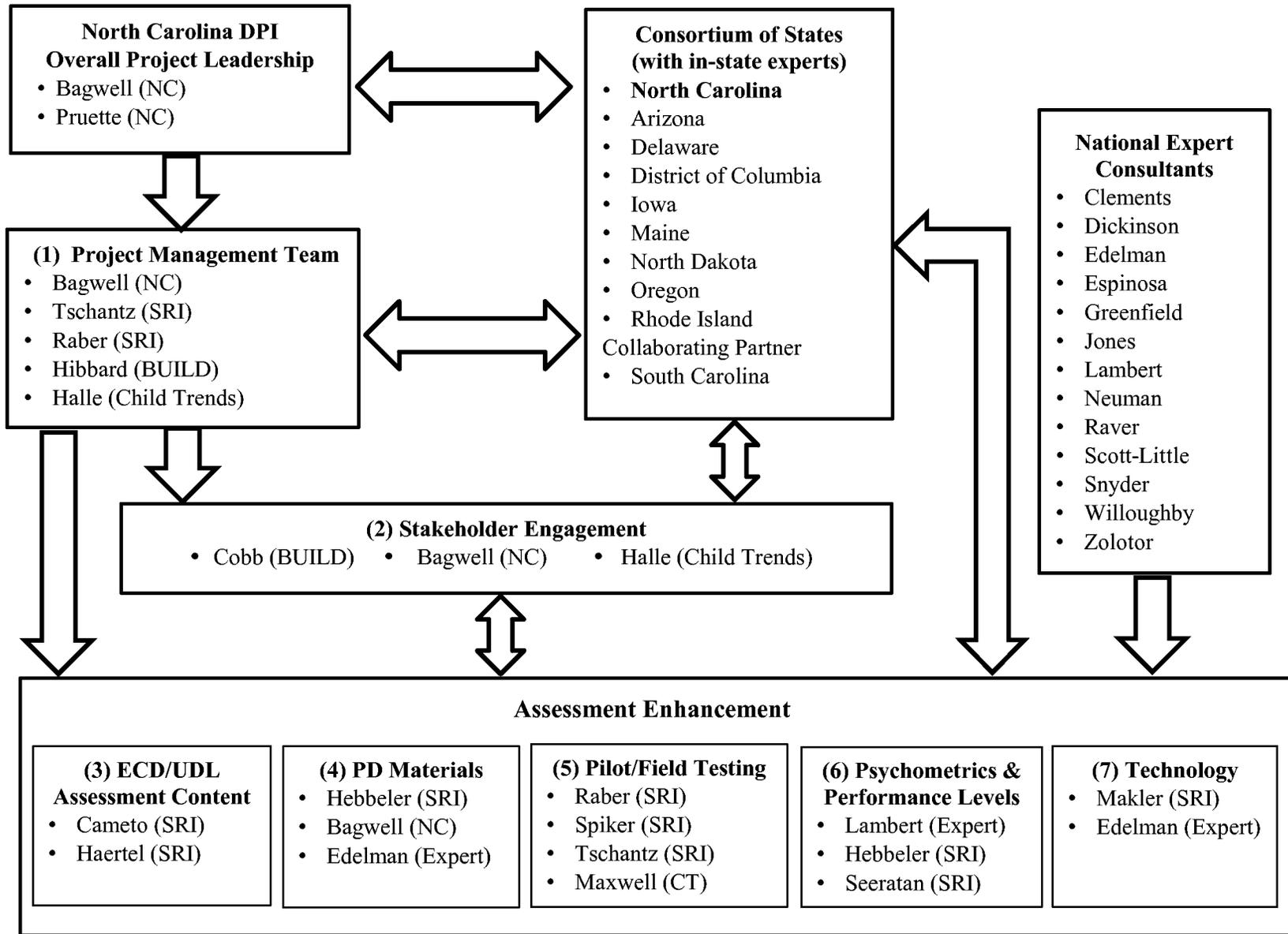
Each activity team will be under the direction of either NC DPI or one of the research partners. Many of the teams will include staff from more than one organization to facilitate cross-project coordination. Team leads and key staff are shown in Exhibit 3. Teams will meet regularly to review their project

activities and timelines, plan upcoming activities, and discuss and work through challenges. The team leader will be responsible for organizing meeting agendas, convening and leading meetings, ensuring notes are compiled to document the work and meeting outcomes, and reporting to the project management team on progress on the tasks. The activity team model allows for inclusion of the multiple types of expertise and cross-organization collaboration required to carry out complex project activities and has been successfully used by the research partners on other large-scale multisite and cross-state projects. The project leadership also may form additional time-limited activity teams to further explore an issue under review (e.g., data privacy and sharing policies; special considerations for ELs; stakeholder engagement with linguistically diverse families).

Project management. A project management team of NC DPI (Bagwell), SRI (Tschantz, Raber), BUILD (Hibbard), and Child Trends (Halle), and will work together to provide overall leadership and coordination (Exhibit 3). The three research partner organizations have each successfully managed large, complex, state-level, multisite, and national projects similar to this project (see Organizational Capacity in Other Attachments). Dr. Bagwell, who will be project director, has the necessary time commitment, content expertise, and management and collaboration skills to oversee day-to-day project management and ensure the quality and timeliness of the project activities and products. In addition to overall management, each research partner member of the management team will be responsible for monitoring the activities and schedules identified in the work plan and budget of his or her organization. Because SRI is working on many of the assessment enhancement activities (five activity areas), Dr. Tschantz and Raber will co-lead the SRI team and oversee the assessment enhancement.

This project management team will communicate weekly by teleconference to review project activities, timelines, and budgets; decide how to address any challenges; and plan and make assignments for upcoming activities, including decisions about allocation/reallocation of resources. Other staff may participate in selected project management team meetings to report on work progress. Project management team members also will report on the work of their respective organizations. Meeting notes will be taken and used to track progress and decisions. Each research partner will have an internal

Exhibit 3. Organizational Structure, Activity Areas 1-7, and Key Staff (Team Leaders)



management team that will assign tasks within the organization, monitor completion of all project tasks, and discuss challenges that arise. Notes of these meetings will be shared with the project management team staff to support communication across all partners and monitor completion of tasks.

As the lead state, NC DPI will be responsible for monitoring the progress of activities under the grant and ensuring timely submission of required reports to the Department of Education. NC DPI will use a project management software system (e.g., Asana, Sharepoint) to share documents with the research partners and states, record and share task assignments and timelines, and monitor task progress. NC DPI will post and update all meeting minutes and other project documents, supported by staff from research partners as needed. In addition, the NC DPI director will work with BUILD to oversee the maintenance of a listserv for keeping members of the Consortium informed about the project.

Roles and activities of the research partners. The research partners will both lead and contribute to specific project activities. Each research partner also will serve as a resource to the Consortium providing content expertise and implementation guidance and supporting assessment development activities (see Other Attachments). SRI will lead the application of ECD/UDL to the assessment content, enhancement of the PD materials, the pilot and field testing, the psychometric analyses, and the development of the technology applications. BUILD will take the lead in cross-state and within-state stakeholder engagement. This will include convening the Consortium states in person and by phone, maintaining ongoing communication across states, supporting the states in establishing and convening stakeholders within their state, and coordinating with the other activity teams to incorporate stakeholder input into the ongoing work of the project. BUILD also will serve as the liaison between the EAG work and Common Essential Standards work being conducted by Catherine Scott-Little and Lynn Kagan. Child Trends will work closely with BUILD on stakeholder engagement activities including offering assistance to each of the states in developing implementation plans and materials to support building within-state support for the new assessment. In addition, Child Trends will assist SRI with the assessment content work, the development of the PD materials, and the pilot and field testing.

The research partners have the substantive content knowledge and management and collaboration skills to conduct their respective activities within the work plan. **SRI** is an independent nonprofit research institute specializing in research and development for government, industry, foundations, and other organizations. SRI's proposed personnel have strong expertise in early childhood, assessment development—including ECD and UDL—and use of technology in education. Since 2001, SRI has been home to a series of projects using Principled Assessment Designs for Inquiry, in which ECD was applied to assessment development and validation. SRI staff members have a long history of successful implementation of large-scale state and national projects that involve early childhood assessment and assessment development such as leading two national centers on early childhood outcomes and data systems for the Office of Special Education Programs (OSEP) and three preschool to third grade evaluations for the Investing in Innovation grant program. SRI also served as the research partner for two other EAG grants with consortia of states to design alternate performance tasks that advanced how the learning of students with significant cognitive disabilities was assessed, both using ECD and UDL.

BUILD is a multistate initiative supported by the Early Childhood Funders' Collaborative that invests private funds to stimulate public investments in early learning systems. BUILD has conducted extensive work relevant to cross-state collaboration and in developing systems and processes that will benefit all states' use of the EAC. BUILD played a major role in bringing together the Consortium states during proposal development and will continue to play this role throughout the project. BUILD will help to leverage the work of this Consortium throughout the nation as part of its 50-state learning community (continuing outside the scope of this grant). BUILD currently leads a State KEA Learning Community designed to facilitate cross-state learning and joint state efforts in the design and implementation of a KEA. Over the past 18 months, BUILD has organized two multistate meetings with participants from nearly 30 states and several webinars focused on standards, assessment, and KEA.

Child Trends is a nonprofit, nonpartisan research center that focuses on early childhood research, school readiness, and building collaborative partnerships. The Child Trends staff has a long history of successful working partnerships with states and communities on school readiness research and evaluation.

Relevant past work includes the 2000 pilot test of the statewide North Carolina school readiness assessment system and extensive work and many publications on early childhood assessment, involving the appropriateness of assessments for use with linguistically diverse populations and children with disabilities. Child Trends also has extensive experience building collaborative workgroups and partnerships related to best practices in implementation of early childhood programs/systems among researchers, state and federal policymakers, and other stakeholders. For example, through the Maryland-Minnesota Research Partnership, Child Trends initiated a learning network of decision-makers from state departments of education and human services, meeting quarterly to share best practices in kindergarten assessments, data infrastructure, and quality rating and improvement systems. As the hub for the Early Childhood Data Collaborative, Child Trends looks across states to determine how to support the establishment, enhancement, and sustainability of states' early childhood data systems.

Governance structure for the Consortium. The other Consortium states have signed an MOU and a Terms of Reference (ToR) memo with North Carolina that specify the grant expectations, the governance structure, and a description of how the work will be done (copies in Other Attachments). The MOU lists the mandatory activities for states. The ToR states that decisions on matters of policy, finance, or design will be determined by consensus among participating states and asks states to balance the viewpoints and concerns of multiple stakeholders within their state (e.g., state administrators and policymakers, chief state school officers, superintendents, principals, teachers, union representatives if applicable, early childhood educators, parents, and children). The ToR will be updated as needed. For example, at the first Consortium meeting, members will finalize the terms and conditions governing the exchange and disclosure of assessment data in a legally compliant, confidential, and clearly defined manner. Consortium decisions shall be made by consensus whenever possible. If the group cannot reach consensus, a vote will be taken with each state allotted one vote.

Consortium involvement. Consortium state activities have been divided into Tier 1 and Tier 2. Tier 1 activities for all Consortium states are the following: participate in monthly Consortium calls, in-person meetings (one per year), and quarterly Consortium webinars (at least one person); share their state-

developed early childhood and K-3 assessment-related materials, such as standards (including early learning and K-3 standards), assessment items/tasks, and PD materials; provide input into the review of assessment-related materials such as standards, learning progressions, examples of evidence, the assessment as a whole, and PD materials; and conduct broad stakeholder outreach and engagement activities such as promoting awareness of and support for the assessment among administrators, teachers, families, and institutions of higher education in preparation for assessment implementation. Some partner states will participate in additional Tier 2 activities including: participate in the ECD/UDL co-design teams, pilot-test the assessment content, pilot-test the assessment supports such as technology enhancements and reporting formats, field-test the assessment, convene state experts to review assessment-related materials, and conduct more in-depth stakeholder engagement activities (e.g., focus groups with parents, teachers, administrators, and institutions of higher education staff on the assessment's design, content, and supports). The tiers were created because the project budget is not sufficient to support a comparable high level of involvement by all states. We expect that some states will be able to locate funding to support their involvement in the Tier 2 activities for even more state Tier 2 involvement. Decisions about which states will be supported for Tier 2 activities will be made by the project management team based on a number of factors including which states are able to support their own participation.

Consortium meetings. The Consortium states and research partners will meet bimonthly by conference calls/Webex and meet in person twice in Year 1 and annually thereafter. Additional phone or web-based meetings will be held as necessary. In addition to the seven activity teams, ad hoc work groups and individual meetings will also be held as needed. Meeting minutes shall be kept at every Consortium meeting and all work group meetings and distributed within 1 week for review.

Timeline for project activities. The work plan and timeline for the EAG project activities will build on and coordinate with the formative assessment development work being done by NC DPI under its RTT-ELC grant. An extensive project work plan for the 4 years of the project showing the subtasks and the timing and sequencing of the activities has been developed. Exhibit 4 is a simplified timeline.

Exhibit 4. Project Timeline for Major Tasks

Grant Year	Year 1				Year 2				Year 3				Year 4			
Calendar Years	2013	2014				2015				2016				2017		
Months	10-12	1-3	4-6	7-9	10-12	1-3	4-6	7-9	10-12	1-3	4-6	7-9	10-12	1-3	4-6	7-9
Convene Consortium (calls/meetings)	☎	👥	☎	☎	👥	☎	☎	👥	☎	☎	☎	👥	☎	☎	☎	👥
Review state/CES standards and items	○	○	○						○-CES							
ECD to reverse-engineer			○	○	○											
Develop new progressions as needed					○	○										
Convene expert panels for review					○	○	○									
Pilot tests (item sets/full assessment)					(item sets)			(full)								
Evaluate and revise PD materials						○	○	○		○						
Develop technology enhancements							○	○	○							
IRT analysis/set performance levels										IRT					PL	
Revisions using ECD							○				○				○	
Field test of full assessment												○	○	○		
Finalize and deliver assessment																⊙

(2) Approach to identify, manage, and mitigate risks

The successful management of a large national project with staff in multiple organizations and states requires strong project leaders, precise articulation of the project tasks, the development and communication of clear roles and responsibilities, designation of teaming structures to assemble the most relevant expertise to complete project activities, and regular, purposeful communication across teams and individuals. In designing the project, we created a detailed project work plan (not included due to space restrictions; see Exhibit 4 for simplified timeline for major tasks) that we will use to keep the project on schedule. We believe our project management team structure will provide the necessary clarity of roles and responsibilities, strong communication and coordination, and oversight to identify and deal effectively with any risks and challenges that arise during the project.

(3) Adequacy of budget

We developed the project budget on the basis of the level of effort required to complete the proposed activities. The funds requested represent reasonable amounts based on the staff time required and other resources needed to execute the work plan. Budget monitoring and allocation of grant funds are described below, with detailed budgets and budget narratives for each organization provided in Part 4. The budget for the EAG is separate and will be kept distinct from North Carolina's RTT-ELC grant funds. The RTT-ELC funds will be used to develop the NCA assessment and supporting PD materials. The EAG funds will be used to enhance the NCA assessment through across- and within-state stakeholder input, applying ECD/UDL to the content of the assessment, and adding new content as needed to align with the standards common to the entire Consortium, revising and expanding the PD materials, developing technology applications, and assisting states to develop implementation plans.

NC DPI will be responsible for oversight of all grant funds, with regular review by the project management team. Each research partner will assign a key staff member to monitor its budget, using its organization's existing systems. NC DPI uses the state's online accounting system, the North Carolina Accounting System Decision Support System (NCAS DSS). This is an information access and reporting tool that provides data to agency financial and budget analysts. The research partners have similar

capability. SRI, for example, uses an online Project Status Reporting (PSR) system to track expenditures, including labor and other costs, with information updated weekly. The PSR system enables project leaders to track expenditures overall and by category, including labor hours by person, to monitor spending and verify that only allowable items are charged to the project.

(4) Estimated costs for Consortium state implementation

The EAC assessment system, which includes the contents of the assessment, the PD materials, and the supporting technology, will be available to states free of charge without a licensing fee. The costs to states of implementing the assessment fall into two categories: (1) setting up and maintaining a secure server to run the assessment system and store the data, also linking the assessment data to other data systems such as the SLDS, and (2) providing teachers and administrators PD related to the assessment.

The estimates for the technology costs are very rough because they depend on decisions that the states have not made yet about how the technology will be maintained and because they require assumptions about each state's technology and technology in general in 2017. We estimate that approximately 0.1 FTE (full-time equivalent) will be required for the state to set up, manage, operate, and update a secure server to house the assessment system. The intent is to include security and permissions functionality within the web application, but if that is inconsistent with state practice, another 0.33 to 0.5 FTE would be required. Costs also would be associated with exporting the data and linking to the SLDS, but we are assuming they would be considered part of the cost of operating the SLDS. The cost of maintaining the technology for the assessment system will be considerably less if a cloud-based solution could be developed for all states. The desirability and feasibility of such a system will be one of the implementation topics discussed with the Consortium and with options pursued if there is interest.

The cost for PD depends on the number of teachers who will be implementing the assessment in the state. Since PD in the assessment also conveys information about classroom observation, the five essential domains, essential standards, and learning progressions, it is relevant to classroom instruction, which means the costs should not be seen solely as assessment costs. To fully master the administration and use of the assessment including the technology, we estimate that each teacher will need about 2 days

of initial PD and a half-day follow-up with ongoing support available. Administrators will need about 4 hours of PD to learn how to support teachers in administering the assessment and how to use the findings. About a 0.3 FTE state person will be needed for ongoing support in the implementation of the assessment.

In working with states to design the proposed project, North Carolina and its research partners have discussed with Consortium states their funding plans for EAC implementation costs after the grant. Some states plan to use applicable resources such as Title I funds and funds appropriated to support reading by third grade. Others have in statute funds set aside or allocated to cover an assessment in the early grades. For example, the North Carolina General Assembly has passed legislation that requires implementation of a KEA and requires the State Board of Education to develop a K-3 formative assessment that all districts must use. Because the North Carolina Excellent Public Schools Act requires a KEA, it is expected that state dollars will be included in future budgets to support statewide implementation. Projections for state dollars have been submitted and include recurring funds beyond the RTT-ELC grant to ensure continuing capacity at the state, regional, and district levels for sustainability, as well as software updates and revisions to the assessment system.

Maine's state funding formula (Essential Programs and Services) includes allocations or "targeted funds" for preK to third grade. This is funding above the regular school subsidy and includes targeted funds for public preschool to grade 2, student assessment, and technology resources, all of which could be used to fund EAC implementation costs (Maine State Revised Statutes, 2003–2007). For example, in FY12 Maine allocated \$11.8 million as targeted kindergarten through Grade 2 funding, with \$14.995 million as the estimated local share. State statute permits use of both funding streams for screening and assessments for children ages 4–9, funds currently allocated that could support the implementation of the KEA and K- 3 assessments. Maine districts currently use formative assessments that are supported by the state and local allocations for targeted K-2 funding that in turn could be used to support the newly developed assessments in an ongoing manner.

(5) Quality and commitment of project personnel

The proposed key staff members have the breadth and depth of experience and expertise in early childhood education, learning standards, assessment, assessment design with ECD and UDL, learning progressions, large-scale multisite project management, stakeholder engagement, and implementation science needed for the proposed work. Collectively, the team assembled for this project represents decades of experience and has outstanding capacity to successfully carry out the project.

North Carolina Department of Public Instruction

Cindy Bagwell, Ed.D. (100%), project manager for the NC DPI's RTT-ELC grant in the Office of Early Learning (PreK-Third grade), will serve as project director for the development of the EAC. She will assume ultimate responsibility for ensuring the project achieves its objectives on time and within budget. Dr. Bagwell will coordinate the work of the three research partners and participate on several work teams including stakeholder engagement and PD. She has a doctorate in curriculum and instruction and expertise in early childhood education, with an emphasis on curriculum, standards, assessment, and family engagement. With over 30 years of experience in education, she has directed a variety of early childhood programs and coordinated numerous statewide initiatives, including development and implementation of North Carolina's first early learning standards. Dr. Bagwell's RTT-ELC responsibilities will be assumed by another North Carolina staff member when this EAG grant is funded.

John Pruette, M.Ed. (10%, using non-EAG funds), director of North Carolina's Office of Early Learning (PreK-Third grade), will serve as senior advisor to Dr. Bagwell and the research partners on the EAG grant and coordinate North Carolina's RTT-ELC assessment development work with the EAG project. Mr. Pruette leads efforts on structural reform in the early grades and strengthening the preK-3 learning continuum in North Carolina schools. As the former education and policy advisor to former Governor Michael Easley, he has helped shape the direction of early education in the state, including the design and evolution of the More at Four Pre-kindergarten Program (now called NC Pre-K), a nationally recognized model for high-quality state-funded prekindergarten. He also holds numerous appointed

memberships to various national and state-level councils and task force groups in early childhood and early learning.

SRI International

Jennifer Tschantz, Ph.D. (19%), SRI co-project director, will serve on the project management team and co-lead the pilot and field-testing activities. As the co-project director, she will be responsible for ensuring that all SRI activities are carried out on time and within budget. Dr. Tschantz brings to this project a wealth of experience in complex early learning projects and initiatives that involve cross-agency or cross-organization collaboration. She has 10 years of early learning policy and research experience with the U.S. Department of Education including providing leadership to OSEP's early childhood outcomes work, leading a cross-agency early learning data systems effort, and being a key team member in the development of the RTT-ELC grant program and ED's Office of Early Learning. Currently, she works on the Center for IDEA Early Childhood Data Systems (DaSy), providing technical assistance (TA) to states on the development of data systems for early intervention and early childhood special education programs and on how to link them with other early childhood and longitudinal data systems.

Suzanne Raber, M.S. (21%), SRI co-project director, will oversee SRI activities with Dr. Tschantz, serve on the project management team, and co-lead the pilot and field test team. She has more than 30 years of professional and management experience in educational research, evaluation, and assessment at the local school district, state, and national levels with a focus on supporting teachers in using data to inform teaching and learning. For the DaSy Center, she provides TA to states in the development of data systems and promotes the use of Common Education Data Standards in all education-related data systems including the SLDS. Previously, as Director of Assessment and Accountability for the Arlington Public Schools (Virginia), she was responsible for assessment development and administration, grades K -12. She also led the development of the Early Childhood Assessment Program, an assessment of reading fluency and comprehension in grades K-2 for the Montgomery County Public Schools (Maryland).

Kathleen Hebbeler, Ph.D. (10%), will serve as senior early childhood assessment advisor to the project, participate in the ECD design work, and co-lead the psychometric analysis and professional

development activities. Dr. Hebbeler's wealth of relevant knowledge includes knowledge of accountability for early childhood programs, assessment, and design issues for large-scale studies of young children. As a recognized expert in early childhood assessment, she has served on numerous national advisory boards, including the National Research Council's Committee on Developmental Outcomes and Assessment for Young Children, and has consulted on major evaluations to create designs that adequately address issues in assessment of children with disabilities. Currently, she co-directs two national TA centers with Dr. Spiker, the Early Childhood Outcomes (ECO) Center and the DaSy Center.

Donna Spiker, Ph.D. (10%), will be a senior early childhood assessment advisor to the project, participate in the ECD design work, and support the implementation of the pilot and field test team. She has extensive experience designing and conducting research and evaluations and providing TA on the effects of early intervention, early education, home visiting, school readiness programs, and services for infants and young children and their families. She currently is evaluating two Investing in Innovation grants on preK-3 interventions and Minnesota's RTT-ELC grant. She has in-depth knowledge about assessments for young children, including those with disabilities and developmental delays, and in using data for program and policy improvement. Dr. Spiker has published numerous articles and book chapters on the development and assessment of young children and previously worked as chief psychologist at Stanford University assessing young children with autism and other developmental delays.

Renée Cameto, Ph.D. (13%), will co-lead the application of ECD/UDL to the enhancement of the assessment content with Dr. Haertel. She is a recognized expert in alternate assessment on alternate achievement standards and regularly presents at conferences on ECD and UDL. In the past decade of her 35-year career in special education, she has designed, developed, and piloted assessment tasks using ECD frameworks integrating principles of UDL. With funding from two EAGs, she developed tasks in mathematics and English language arts that are aligned with grade-level content and the Common Core State Standards and she validated state accountability assessments for Oklahoma through a General State Enhancement Grant. She oversaw the design and implementation of the National Study on Alternate Assessment with IES funding. She and her team are using both forward- and reverse-engineering and

developing scoring rubrics for items based on learning progressions for National Center and State Collaborative.

Geneva Haertel, Ph.D. (8%) is SRI's Director of Assessment Research and Design. With Dr. Cameto, she will co-lead the application of ECD/UDL to the enhancement of the assessment content. Dr. Haertel has as over 30 years of experience leading projects on the design, development, and validation of assessments of student learning for general education and at-risk students. Currently, she is the PI of three projects using ECD, two on developing science and math items to be used in the National Assessment of Education Progress (NAEP) and one on development of formative assessments embedded in video games for the Bill & Melinda Gates Foundation. She was PI of the Principled Assessment Designs in Inquiry project funded by the National Science Foundation that resulted in the development of the PADI online assessment design system. Finally, for two ED-funded EAGs, she used ECD to design assessment tasks for students with significant cognitive disabilities and performed item validation for four states.

Kavita Seeratan, Ph.D. (3%), will co-lead the psychometric and performance levels team with Dr. Hebbeler. Dr. Seeratan has over 20 years of research experience with alternative assessment and instructional design models. She has expertise in cognitive development and learning, typical and atypical development, and the design, development, and empirical validation of assessment systems. She is the PI and project director for an IES grant that uses a learning progressions framework with ECD principles to develop a universally designed classroom assessment system that is inclusive of elementary and middle school students (kindergarten-grade 8) with mathematics learning disabilities. She was a key member and expert contributor to the development of the California Preschool Learning Foundations in Mathematics and Language Arts and participated in the development of the Desired Results Developmental Profile tool, which is aligned with the foundation's early learning standards. As an affiliate assistant professor in the Department of Measurement, Statistics, and Evaluation at the University of Maryland at College Park, she conducted research on ECD principles.

Chris Makler, Ph.D. (5%), SRI's director of Education Technology Production, will oversee the technology development. He supports researchers across SRI in developing the technology needed to

produce curricula and assessment resources at scale for government, private sector, and foundation clients. Before joining SRI in 2012, he worked in the education technology publishing industry, where he built tools to support the development of complex, technology-rich formative assessment content.

BUILD Initiative

Susan Hibbard, M.A. (8%) will represent BUILD on the project management team. She is BUILD's deputy director, with 20 years' experience in early learning, early childhood systems, and social change with a focus on research and analysis, strategic planning, project management, and skills training. At BUILD, she provides leadership in its work to help states promote the positive development of young children by providing incentives for states to develop broadly defined, comprehensive early learning systems available to all families. Her activities include designing a learning community for state leaders, overseeing BUILD's research and evaluation efforts in systems building, and serving as project director of the Early Childhood Funders' Collaborative, an association of national, regional, and local foundation representatives that fund early childhood care and education.

Gerry Cobb (10%) will lead the activities related to stakeholder input including coordination of the Consortium states. She is BUILD's state services director, is the primary liaison with the 10 BUILD states in accessing BUILD resources and supporting their efforts to build comprehensive early childhood systems. She develops resources, meetings, and peer learning opportunities designed to support states in the development of key components of their systems

Child Trends

Tamara Halle, Ph.D. (7%), co-director for Early Childhood Research, will oversee CT's work on the project. She conducts research and evaluation studies on children's early cognitive and social development, early childhood care and education (ECE), family and community supports for school readiness, optimal development of dual-language learners, and the application of implementation science frameworks to ECE initiatives. She currently leads an implementation evaluation of Delaware's statewide KEA and has completed a study that examined thresholds for school readiness and later developmental

trajectories. She also has been assisting the National Center on Child Care Professional Development Systems and Workforce Initiatives in creating tools for states to use in developing integrated PD systems.

Kelly Maxwell, Ph.D. (6%), senior program area director and senior research scientist, will lead the scale-up and sustainability support team and support the stakeholder engagement work and the pilot and field test activities. She has a degree in school psychology and is a licensed psychologist in North Carolina. Dr. Maxwell's research interests include early childhood policy issues, school readiness, quality rating and improvement systems, and evaluation of early childhood initiatives. She has been actively involved in school readiness assessment efforts in North Carolina. Currently, she leads a team to support North Carolina's Early Childhood Advisory Council and the RTT-ELC grant.

National Expert Consultants. The expertise of team members will be augmented with 13 national expert consultants who will contribute their knowledge and skills to project activities, particularly in review of and input on the assessment throughout development (see Exhibit 3 and letters of support in Other Attachments). Two national experts will have substantial roles on the psychometric analyses (Lambert) and on the development and refinement of the PD materials for teachers (Edelman). Eleven additional national experts will support the review and development of items for each of the five domains and for various populations of children: (1) language/literacy—Neuman, Dickinson, (2) cognition/general knowledge—Clements (math), Greenfield (science), (3) approaches to learning—Jones, Willoughby, (4) social-emotional (Raver, Jones), (5) physical/motor—Snyder, Zolotor, (6) English learners (Espinosa), (7) children with disabilities (Snyder), and (8) early learning standards (Scott-Little).

Absolute and Competitive Preference Priorities

Absolute Priorities

The proposed project addresses the statutory priority **Absolute Priority 1—Collaborations** by collaborating with various institutions and organizations to improve the quality, validity, and reliability of the proposed EAC assessment. North Carolina has recruited eight Consortium states and one collaborating partner state that will work together to enhance the quality of the EAC by contributing their experience and expertise. Second, North Carolina has assembled a team of research and development

partners—SRI, BUILD, and Child Trends—with a wealth of relevant experience. These research partners will collaborate with the Consortium states and with each other to produce a quality assessment. Third, the proposed project will draw on an impressive cadre of national experts from institutions of higher education in assessment, psychometrics, early learning standards, the five essential domains, and children with special needs to ensure the highest quality assessment. Exhibit 5 shows where in the proposal Absolute Priority 1 is addressed in detail.

The proposed project addresses **Absolute Priority 5** by enhancing a KEA as part of a K-3 formative assessment system in the following areas: purpose, design, technical quality, data, and compatibility. Information addressing each area of this priority is embedded throughout our proposal (see Exhibit 5).

Competitive Preference Priorities

Priority 2 – Early Learning Collaborative Efforts Among States

(a) States joining the EAC Consortium to enhance a common KEA within a K–3 context

Nine states have formally joined this KEA–3 Consortium: North Carolina, Arizona, Delaware, District of Columbia, Iowa, Maine, North Dakota, and Rhode Island. A tenth state, South Carolina, will be a collaborating partner and has committed to participation to the maximum extent possible while not receiving any EAG grant resources. This Consortium demonstrates significant state interest in and commitment to the vision of a KEA in the context of K-3 formative assessment. Consortium states will be involved in all aspects of enhancing the assessment system. All states will be engaged in Tier 1 activities, which include participating in regular Consortium meetings to provide input and feedback on different stages of the assessment enhancement and conducting broad stakeholder engagement activities in their state. Some states will engage in more resource-intensive Tier 2 activities such as piloting assessment components (e.g., assessment items, report formats, technology enhancements, PD materials) and field testing. These Tier 1 and 2 activities are detailed in Exhibit A of the MOU that has been executed between and signed by North Carolina and the eight full-partner states. In addition to signing an MOU, Consortium states will use the ToR to describe specifically how they will work together.

Exhibit 5. List of Priority Requirements

	Priority Area	Section
	Absolute Priority 1–Collaborations (Statutory Priority)	
	Collaborating with IHEs/other research institution/other organizations	G5
Category	Absolute Priority 5– KEA (Regulatory Priority). The KEA must:	
Purpose	(a)(1&2) Provide valid/reliable/fair data & not be used for high stakes	A, B4, B9
Design	(b)(1) Be component of a State’s student assessment system	B10
	(b)(2) Be aligned with a set of early learning & development standards	A, B1-2
	(b)(3) Measure the full range of learning & development	Learning progressions
	(b)(4) Measure against a set of performance levels	B8
	(b)(5) Provide a summative assessment of each child’s learning	Child profile
	(b)(6 - 8) Be capable of assessing all children	C2
	(b)(9) Be administered soon after a child’s K enrollment	B1
	(b)(10) Use multiple methods	B1&6
	(b)(11) Be administered by a trained assessor or assessors	E1
	(b)(12) Be designed to incorporate technology	F
Technical Quality	(c)(1) Be consistent with nationally recognized assessment standards	A, C1
	(c)(2) Be consistent with current research and NRC recommendations	A, C1
	(c)(3) Be valid/reliable/fair/appropriate for intended purposes	D
	(c)(4) Provide valid/reliable/fair measure across performance spectrum	D
Data	(d)(1) Produce data to guide individualized instruction	A, B4, B9
	(d)(2) Produce data for various stakeholders	B4, B9
	(d)(3) Produce data for SLDS	B3
Compatibility	(e) Facilitate integration with State’s student assessment system	B3, B10, F

(b) Adopt or propose a plan to adopt a set of early learning and development standards

All states in the Consortium have developed or adopted a set of early learning and development standards (ELDS) at least for the year before kindergarten. Three Consortium states (AZ, ND, DE) recently revised their state ELDS, and two states are revising their ELDS (ME, OR). While these states are in different places relative to their current ELDS, Consortium states have already discussed the merits of adopting common essential standards that are aligned with the KEA portion of the assessment and, as indicated by the signed MOUs, are committed to adopting such standards. Consortium states will participate in a parallel project facilitated by BUILD to develop a set of voluntary CES (Section B.2). This groundbreaking work is a unique strength of our Consortium and ultimately of the EAC assessment.

(c) Adopt or propose a plan for all States in the Consortium to adopt the common KEA

As articulated in the Theory of Action, the focus of this Consortium is the enhancement of a KEA-3 assessment that will be useful for informing instruction. States have joined this Consortium because they believe in this vision and have a need in their state for both a KEA and K-3 formative assessments that are aligned and cover multiple domains/content areas. Four states have or are piloting a KEA (DC, DE, IA, OR); of these states, only two KEAs address all five essential domains and will be implemented statewide (DC and DE are using Teaching Strategies GOLD). The other Consortium states are at different places in the development or adoption of a KEA; some have implemented a KEA statewide while others have optional assessments available, left to local districts to select and implement. For the states that have a KEA in place, the assessment does not typically address all domains of school readiness. As outlined in the MOUs, all Consortium states are committed to adopting the enhanced the KEA that results from this project, an assessment that will address the needs not met by current assessments.

The Consortium brings a wealth of relevant experience and expertise on assessment design and implementation, early childhood policy and programs, K-3 content, stakeholder engagement, and PD. Our states are members of the two national assessment consortia developing the Common Core assessments (AZ, DC, ND, and RI are members of the PARCC consortium; NC, DE, IA, ME, and OR are members of SBAC), are dealing with different policy contexts, and have varying levels of resources and stakeholder

support. The Consortium states also vary in their experience with K-3 formative assessment. Three states have a mandated assessment in place for K-3 literacy. The other Consortium states allow local districts to decide about formative assessment but recommend that districts have an assessment that at least addresses literacy. All Consortium states believe that providing a high-quality K-3 formative assessment option for districts that addresses all five essential domains will be a powerful tool in improving student outcomes. The collective wisdom and experiences across our ten states (9 full members, one collaborating partner) will make our assessment more meaningful and useful and will ensure successful implementation. This proposed project provides an opportunity to forge partnerships and relationships across and within states to troubleshoot challenges and engage key players in the enhancement design and implementation.

An additional strength of our Consortium is that four states are RTT-ELC grantees and bring their assessment-related RTT-ELC experiences to the Consortium (NC, RI, and DE, funded in the first round; OR funded in the second round). All four states have been clear that participating in this KEA-3 Consortium is not duplicative of their RTT-ELC work. If funded, North Carolina and the research partners will work closely with these states and the federal project officers to ensure that efforts are not duplicated and resources from different grant programs are leveraged and maximized.

(d) MOUs regarding adoption of common KEA and early learning and development standards

Signed MOUs with North Carolina from the eight additional states are included in Other Attachments. Each state also secured letters of support from their Early Childhood State Advisory Council (if applicable) and other key organizations in their state demonstrating broad support for this work; these letters also are in Other Attachments. Finally, as a collaborating partner, South Carolina also submitted letters of support from key stakeholders.

Another distinctive strength of the EAC Consortium is the already high stakeholder engagement in early learning assessments in these nine states. All Consortium states have a state-level stakeholder group that has or plans to include a focus on KEA and early learning assessment. For example, several states have or are planning a specific task force or working group for a KEA and/or early learning assessment (AZ, DE, IA, NC, OR , RI), while the other states have folded these efforts in to the work scope of an

existing stakeholder group (DC, ME, ND). In addition, several states in the Consortium have significant interest in early learning from foundations and the business community (e.g., AZ, IA, ME, and ND). Consortium states believe that the EAC Consortium provides an unparalleled opportunity to leverage private/public partnerships to improve the quality of this work.

The potential of this Consortium was especially well articulated during the proposal development process by one of our member states with others concurring: “One of the opportunities . . . this grant provides is to forge partnerships and relationships with those outside state government who can help to communicate and support this important work to state and community policymakers and stakeholders. These partnerships include members of the child advocacy and the business communities who are promoting educational reforms to improve children’s educational success. The important work in developing these assessment tools requires expertise that includes those steeped in educational research and experience as well as those with expertise in psychometrics and statistics—but it also requires those who can translate the assessment work to others in the field and make the case for the use of assessments in improving results for children.”

Other Attachment File(s)

* Mandatory Other Attachment Filename:

To add more "Other Attachment" attachments, please use the attachment buttons below.

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Attachment—Resumes and Organizational Capacity

Resumes for Project Directors and Key Personnel

North Carolina Department of Public Instruction (NC DPI)

Cindy Bagwell
John Pruette

SRI International

Jennifer Tschantz
Suzanne Raber
Kathleen Hebbeler
Donna Spiker
Renee Cameto
Geneva Haertel
Kavita Seeratan
Chris Makler
Larry Edelman (National expert consultant)
Richard Lambert (National expert consultant)

Child Trends

Tamara Halle
Kelly Maxwell
Sarah Daily

BUILD Initiative

Susan Hibbard
Gerry Cobb

Organizational Capacity

North Carolina Department of Public Instruction

SRI International

Child Trends

BUILD Initiative

Resumes for Project Directors and Key Personnel

North Carolina Department of Public Instruction (NC DPI)

Cindy Bagwell

John Pruette

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Jennifer Tschantz

Suzanne Raber

Kathleen Hebbeler

Donna Spiker

Renee Cameto

Geneva Haertel

Kavita Seeratan

Chris Makler

Larry Edelman (National expert consultant)

Richard Lambert (National expert consultant)

Child Trends

Tamara Halle

Kelly Maxwell

Sarah Daily

BUILD Initiative

Susan Hibbard

Gerry Cobb

North Carolina Department of Public Instruction (NC DPI)

Cindy Bagwell
John Pruette

Curriculum Vitae

Cynthia S. Bagwell

(b)(6)

Education

Ed.D., University of North Carolina at Chapel Hill, August, 2011

Degree: Curriculum and Instruction

Research Concentration: Family Engagement

M.Ed., University of North Carolina at Chapel Hill, May, 1988

Degree: Special Education

Concentration: Learning Disabilities and Emotional & Behavioral Disabilities

B.A., University of North Carolina, Chapel Hill, May, 1978

Degree: Education

Concentration: Early Childhood Education, Pre-K- 4
Special Education, K-12

Additional Training

Early Childhood Leadership Development Institute

FPG Child Development Institute

University of North Carolina at Chapel Hill

1992-1993

Positions Held

11/2012 – Present

North Carolina Department of Public Instruction

Project Manager, Race to the Top Early Learning Challenge (RTT-ELC)

- Direct and supervise all activities of RTT-ELC grant
- Provide leadership for development and implementation of a formative assessment process to be used in kindergarten through 3rd grade
- Coordinate validity and reliability testing for assessment process
- Oversee development and implementation of statewide professional and technical assistance related to assessment process
- Coordinate statewide scaling up of assessment using research-based implementation practices
- Provide leadership, evaluation, supervision and support to 12 RTT-ELC staff
- Manage all aspects of RTT-ELC budget
- Coordinate monitoring process for all RTT-ELC grant activities

07/2011 – 10/2012

North Carolina Department of Public Instruction

Special Projects Team Lead, District and School Transformation

- Collaboratively plan and deliver professional development for principals and teachers in high-needs schools and districts served by the division
- Serve as division representative on NCDPI's ESEA Waiver Committee

Curriculum Vitae

- Co-lead development and implementation of plan addressing programmatic changes for high-needs schools as mandated in ESEA Waiver Request
- Assist Director with budgetary matters, including managing expenditures, preparing reports, and responding to auditor inquiries
- Assist Director with personnel matters, including revising job descriptions, completing materials to post vacancies, participating on interview teams, and managing contracts for temporary services

08/2007 - 07/2011

North Carolina Department of Public Instruction

Assistant Director, Office of Early Learning, Pre-K - Grade 3

- Assisted Director with oversight and management of State Pre-K program and federally-funded early childhood programs and initiatives, including Title I Pre-K, Even Start Family Literacy, Preschool Exceptional Children, and Head Start Collaboration Office
- Supervised all personnel and coordinated hiring and performance evaluations
- Facilitated development of resource documents related to curriculum, standards, and assessment, including *North Carolina Guide for the Early Years 2nd Edition*, *Resource Manual for Supervisors of Teachers of Young Children*, *Assessment of Children in Pre-Kindergarten*, *Pre-Kindergarten Curricula*, *Developmental Screening of Children in Pre-Kindergarten*
- Provided oversight for Preschool Demonstration Program and oversaw expansion to incorporate Kindergarten classrooms
- Coordinated development and implementation of statewide system of support for Pre-K programs, including demonstration classrooms, play-based assessment centers, and Birth-Kindergarten teacher licensing unit
- Coordinated approval of curricula for use in State Pre-K, Title I Pre-K, Preschool Exceptional Children, and Even Start Family Literacy programs
- Served on Division of Child Development's QRIS Advisory Committee
- Served on Ready Schools Committee with NC Partnership for Children

03/2006 - 07/2007

North Carolina Department of Public Instruction

Education Consultant, Office of Early Learning, Pre-K-3

- Coordinated statewide implementation of NC's early learning standards
- Coordinated statewide professional development for the Pre-K - K Teacher Performance Appraisal Instrument
- Co-led *Ready, Set, Go* project with Child Care Resources, Inc. to create a 3-part video series about NC's early learning standards
- Designed and implemented monitoring protocol for Title Pre-K programs
- Provided technical assistance to personnel working in Title Pre-K programs

09/1999 - 03/2006

North Carolina Department of Public Instruction

Pre-K Consultant, Early Childhood Section

- Coordinated development of *Foundations*, NC's early learning standards
- Led planning and delivery of professional development regarding *Foundations*, NC's early learning standards
- Served on Advisory Committee for development of NC's Pre-K - Kindergarten Teacher Performance Appraisal Instrument
- Assisted NC's 619 Coordinator in statewide efforts related to Preschool Exceptional Children's programs

Curriculum Vitae

- Assisted with annual review and approval of LEA's Preschool Grants
- Assisted with implementation of MOU for licensing Pre-K classrooms

08/1989 - 09/1999

Durham Public Schools

Early Childhood Coordinator, Instructional Services

- Coordinated all aspects of an inclusive Pre-K program
- Hired, supervised, and evaluated all Pre-K teachers, assistants, and therapists
- Developed and managed program's federal, state, and local budgets
- Served as site director at two Pre-K centers
- Established a family resource center serving families whose children were enrolled at the Pre-K centers
- Coordinated planning and delivery of professional development for Pre-K and Kindergarten teachers
- Coordinated Pre-K - Kindergarten collaborative initiatives, including kindergarten entry assessment and transition policies and procedures

08/1987 - 07/1989

Durham Public Schools

Related Services Coordinator, Exceptional Children

- Hired, supervised, and evaluated physical therapists, occupational therapists, adapted physical education teachers, and teachers of the visually impaired
- Led development and implementation of district's Adapted Physical Education Program
- Monitored related services for compliance with state and federal mandates

08/1979 - 06/1986

Durham Public Schools

Resource Teacher, Exceptional Children

- Served as Exceptional Children's Program Department Chair
- Provided oversight for all aspects of services for students with disabilities
- Served on Principal's Site-based Management Team
- Mentored teachers of children with disabilities
- Developed and implemented IEPs for students with disabilities

Publications

Bagwell, C. S. (2011). *Home – School Partnerships: A Case Study of Teachers and African American Families*. Ann Arbor, MI, ProQuest.

Bagwell, C., Garcia, S., Gillanders, C., Iruka, I., & Morgan, J. (in press). *Home and School Partnerships: Raising Children Together*. New York, Teacher College Press.

Select Professional Presentations

Bagwell, C. (2012, May). *Home – School Partnerships: Relationships between Teachers and African American Families*. Presented to FirstSchool Advisory Committee, Chapel Hill, NC.

Bagwell, C. & Hancock, G. (2012, April). *Indicators of School Success*. Presented at meeting of Federal Program Directors, Greensboro, NC.

Bagwell, C. & Hancock, G. (2012, April). *North Carolina School Improvement Initiatives*. Presented at Indistar Summit, Biloxi, MI.

Curriculum Vitae

Bagwell, C., Garvin, K., & James, V. (2011, November). *Federal Programs Serving Three- and Four-Year Olds in North Carolina*. Presented to the NC House Select Committee on Early Childhood Education Improvement, Raleigh, NC.

Bagwell, C., Cobb, C., & Ritchie, S. (2011, May). *Defining Pre-K – 3in North Carolina: Collaboration between the Office of Early Learning and FirstSchool*. Presented at Smart Start Conference, Greensboro, NC.

Bagwell, C., Kauerz, K, Ritchie, S. (2011, April). *Narrowing Achievement Gaps by 4th Grade: Pre-K 3rd as a Reform Strategy*. Presented at the NC Collaborative Conference on Student Achievement, Greensboro, NC.

Bagwell, C. (2010, October). *Early Literacy: Effective Practices for Pre-K and K Classrooms*. Presented at NCDPI Pre-K - K Demonstration Classroom Teacher Meeting, Chapel Hill, NC.

Bagwell, C. (2009, August). *Is My Child Ready for Kindergarten?* Presented as member of UNC-TV Readiness Panel, Chapel Hill, NC

Bagwell, C. (2008, April). *Building Bridges: Promising Transition Practices*. Presented to Kindergarten Teacher Leaders at Power-of-K Institute, Raleigh, NC.

Bagwell, C., Banning, W., McGinnis, J., Sullivan, V., & Woodall, C. (2008, May). *Linking Early Learning Standards to Outdoor Play and Learning*. Presented at Smart Start Conference, Greensboro, NC.

Bagwell, C. & Phillips, E. (2007, October). *Pre-K - K Transitions: Practices That Work*. Presented at NC Association of Federal Program Directors Annual Meeting, Greensboro, NC.

Professional Affiliations

National Association for the Education of Young Children
National Association of Early Childhood Specialists in State Departments of Education
Association for Supervision and Curriculum Development
Delta Kappa Gamma, Gamma Theta Chapter
North Carolina Association for the Education of Young Children

Licensure

Birth - Kindergarten
Kindergarten-4th Grade
Mental Disabilities, K-12
Learning Disabilities, K-12
Program Administrator

John Robert Pruette

2004 Lake Stone Court, Whitsett, NC 27377
919.807.3424 – office
john.pruette@dpi.nc.gov

WORK EXPERIENCE

***Executive Director, Assistant Director, Office of Early Learning
(formerly the Office of School Readiness), Department of Public
Instruction*** **2005 – present**

Provide direction and oversight for state office focused upon early grade reform and an aligned Pre-K – Grade 3 continuum of learning for public schools in NC.

Provide direction and oversight for the construction and state-wide implementation of a comprehensive Kindergarten – Grade 3 system of formative assessment, inclusive of a Kindergarten Entry Assessment.

Ensure coordination of multiple pre-kindergarten efforts under the auspices of DPI, including Title I Pre-kindergarten, Preschool Exceptional Children, Preschool Services for the Blind, Early Intervention Services for Children who are Deaf/Hard of Hearing, and the North Carolina Head Start State Collaboration Office.

Provide oversight and manage multi-million dollar budget (\$8M+ to \$220M+)

Ensure collaboration within the DPI across multiple divisions, including District and School Transformation, Curriculum and Instruction, Educator Recruitment and Development, and Exceptional Children.

Ensure collaboration and coordination with various other early childhood agencies and initiatives in the state, particularly NC Pre-K (formerly More at Four)

Represent State Board of Education and Department of Public Instruction early education interests at the North Carolina General Assembly (both in committee and one-on-one meetings).

***Program and Policy Chief, Office of the Governor, North Carolina
Department of Administration*** **2003-2005**

Managed startup and rapid growth of state-funded pre-kindergarten program, including policy development and program implementation.

Managed and supervised all program consultants and contractual staff and contracts related to program policy development and implementation.

Managed ongoing committees established by Office to assist program development and implementation.

Supervised all monitoring and technical assistance activities provided by the state.

Education Consultant, Department of Public Instruction **2000-2003**

Provided technical assistance to Local Education Agencies in the implementation of Title I pre-kindergarten programs.

Monitored local Title I pre-kindergarten programs for compliance with federal laws and regulations.

Developed curricula support and recommended practices documents.

Delivered professional development focused upon North Carolina definition of School Readiness, i.e., Ready Schools, Ready Children, Ready Communities, and Ready Families.

<p>Kindergarten Curriculum Specialist, Guilford County Schools 1998-2000</p> <p>Worked district-wide with kindergarten teachers in an effort to improve instructional practices. Efforts included the provision of staff development, classroom modeling, coaching, and support.</p>
TEACHING EXPERIENCE
<p>Classroom Teacher, Title I Pre-kindergarten 1993-1998 <i>Guilford County Schools, Union Hill Elementary School, Greensboro, NC</i></p> <p>Classroom Teacher, K-2 1987-1993 <i>Greensboro City Schools, Peeler Elementary School, Greensboro, NC</i></p> <p>Classroom Teacher, K-1 1985-1987 <i>Greensboro City Schools, Hampton Elementary School, Greensboro, NC</i></p>
RELATED EXPERIENCE
<p>Appointed Member 2010-present <i>Governor's Early Childhood Advisory Council</i></p> <p>Serve on Council charged with creating and sustaining a shared vision for young children and a comprehensive, integrated system of high-quality health services, family strengthening services, and early care and education services that supports ready children, families and communities.</p> <hr/> <p>Elected Treasurer 2009-present <i>National Association of Early Childhood Specialist in State Departments of Education (NAECS-SDE)</i></p> <p>Serve on Executive Committee of national organization for early childhood education professionals working within state education agencies.</p> <hr/> <p>Adjunct Instructor 2002-2003 <i>Salem College, Winston-Salem, NC</i></p> <p>Facilitated students' examination of child development through multiple perspectives including, but not limited to legislation, policy, and recommended best practices in early education.</p> <hr/> <p>Pre-kindergarten Screening Coordinator (Extended Services Contract) 1994-1999 <i>Guilford County Schools, Greensboro, NC</i></p> <p>Coordinated the screening, identification, and placement of at-risk four-year-old children into the Title I Pre-kindergarten program.</p> <p>Maintained current database on children being served.</p> <p>Maintained waiting list of children to be served.</p> <p>Provided accurate information related to the pre-kindergarten program to parents and the community at-large.</p> <hr/> <p>Supervision Intern 1996 <i>Guilford County Schools, Greensboro NC</i></p> <p>Completed internship under the guidance of the Early Childhood Curriculum Specialist.</p>

EDUCATION

M. Ed., Interdisciplinary Studies in Preschool Education

Birth-Kindergarten Licensure **1995-1997**

Curriculum Specialist Licensure (Supervision Add-on)

Full ISPED Scholarship

University of North Carolina at Greensboro, Greensboro, NC

B.S., Elementary Education

K-4 Licensure **1980-1984**

Concentration on Child and Home Environment

University of North Carolina at Greensboro, Greensboro, NC

SRI International

Jennifer Tschantz
Suzanne Raber
Kathleen Hebbeler
Donna Spiker
Renee Cameto
Geneva Haertel
Kavita Seeratan
Chris Makler
Larry Edelman (National expert consultant)
Richard Lambert (National expert consultant)

JENNIFER TSCHANTZ
SRI International

Senior Early Childhood Researcher
Center for Education and Human Services, Education Division

Specialized Professional Competence

Early childhood, child outcomes and assessment, social-emotional development, early intervention, preschool special education, early childhood programs.

Representative Research Assignments (since 2013)

Technical Assistance Specialist, Center for IDEA Early Childhood Data Systems (DaSy).

Provides TA support and is a task leader on selected workgroups for this national Center funded by the Office of Special Education Programs (OSEP), which provides technical assistance and resources to states to assist with the development of data systems for early intervention and early childhood special education programs that are coordinated with other early childhood and longitudinal data systems.

Other Professional Experience

Early Learning Program Analyst, U.S. Department of Education, Office of Early Learning (OEL). Worked under the Deputy Assistant Secretary for Policy and Early Learning within the Office of Elementary and Secondary Education to establish a new Office of Early Learning. Specific responsibilities included providing leadership to the new Race to the Top-Early Learning Challenge (RTT-ELC) program by working with grantees, planning the first grantee meeting, and developing a coordinated early learning technical assistance plan with colleagues from Health and Human Services. (2012)

Early Learning Program Analyst, U.S. Department of Education, Office of the Secretary, Early Learning Team. Worked with the Senior Advisor for Early Learning to develop the Department's early learning agenda, including establishing the RTT-ELC program, developing strategic goals and objectives specific to early learning, and fostering a collaborative relationship with HHS. Specific responsibilities included participating on an interagency workgroup to develop the application for the RTT-ELC program, training potential applicants and peer reviewers for the RTT-ELC competition, organizing interagency work specific to early learning including the Early Learning and Development Interdepartmental Initiative, planning for the Early Childhood 2010 conference, coordinating the work of the Interagency Policy Board on Early Learning, presenting at national conferences, and effectively responding to information requests on early learning topics from senior leadership. (2009-2012)

Education Program Specialist, U.S. Department of Education, Office of Special Education Programs (OSEP), Early Childhood Research to Practice Team. Planned, developed, and oversaw a variety of activities related to early childhood development and young children with disabilities. Responsibilities included monitoring the work of funded discretionary projects; identifying needs and issues in the field; developing technical assistance priorities; participating in meetings to promote collaboration of federally funded early care and education investments; serving as the OSEP representative in interagency initiatives; providing technical guidance to management on issues related to young children, including early childhood outcomes, assessment, and social emotional development; presenting at national conferences; providing leadership for OSEP's early childhood outcome work; promoting the scaling-up of evidence based practices in the field; and facilitating the panel review process. (2006-2009)

JENNIFER TSCHANTZ (continued)

Other Professional Experience (concluded)

- Education Research Analyst, U.S. Department of Education, Office of Special Education Programs (OSEP), Early Childhood Research to Practice Team. Planned, developed, and oversaw a variety of activities related to early childhood development and young children with disabilities. Responsibilities included monitoring the work of funded discretionary projects (including research, model demonstration, outreach, technical assistance, and personnel preparation projects); identifying research issues in the field; developing research, model demonstration, and technical assistance priorities; participating in meetings to promote collaboration of projects with outside entities; serving as the OSEP representative in managing collaborative projects (including the Interagency School Readiness Consortium research projects and the NICHD-led RFA for developing outcome measures for young children) and interagency initiatives (including Good Start, Grow Smart); providing technical guidance to management on issues related to young children, including early literacy and outcomes development; presenting at national conferences; facilitating the panel review process; and providing professional leadership and consultative services. (2002-2005)
- Policy Analyst, Project FORUM, National Association of State Directors of Special Education (NASDSE). Collaborated as a member of the OSEP-funded Project FORUM team to identify critical issues in the field of special education; contacted states to collect information on critical issues; analyzed state policies and/or special education issues; assisted in conducting policy meetings; reviewed research findings; summarized policy and research findings in documents of various lengths. (2002)
- Independent Contractor, U.S. Department of Education. Reviewed state policies, procedures, and legislation for compliance with Part B and C of the Individuals with Disabilities Education Act (IDEA); developed issues charts with OSEP personnel. (2000-2001)
- Research Assistant, Smithsonian Institution. Worked on projects related to the history of people with disabilities; identified and documented key sources of information; assisted in conducting interviews and collecting artifacts/data; transcribed interviews from audio tapes; analyzed and organized data in graphic and text format. (1999-2000)
- Preschool Special Education Teacher and Elementary Interrelated Resource Teacher, Madison County Public Schools, Danielsville, Georgia. (1993-1997)

Academic Background

- Ph.D., early childhood special education, 2002, University of Maryland, College Park
M.A., early childhood special education, 1995, University of Georgia, Athens
B.A., history, 1991, University of Georgia, Athens

Selected Recent Publications

- Tschantz, J. (2003). *Monitoring the implementation of IDEA: Proceedings of the 2002 National Monitoring Conference*. Alexandria, VA: Project FORUM at NASDSE.
- Tschantz, J. (2003). *Funding formula and fiscal provisions for Part B: A policy analysis*. Alexandria, VA: Project FORUM at NASDSE.
- Tschantz, J., & Markowitz, J. (2003). *Gender and special education: Current state data collection*. Alexandria, VA: Project FORUM at NASDSE.
- Muller, E., & Tschantz, J. (2003). *Universal design for learning: Four state initiatives*. Alexandria, VA: Project FORUM at NASDSE.

JENNIFER TSCHANTZ (continued)

Selected Recent Publications (concluded)

- Tschantz, J. (2002). *Recent changes in state special education Part B monitoring systems*. Alexandria, VA: Project FORUM at NASDSE.
- Lieber, J., Wolery, R., Horn, E., Tschantz, J., Beckman, P., & Hanson, M. (2002). Collaborative relationships among adults in inclusive preschool programs. In S. L. Odom (Ed.), *Widening the circle: Including children with disabilities in preschool programs*. New York, NY: Teachers College Press.
- Tschantz, J. (2002). *Part C monitoring systems in 10 states*. Alexandria, VA: Project FORUM at NASDSE.
- Tschantz, J., & Markowitz, J. (2002). *Special education paperwork: Policy forum proceedings*. Alexandria, VA: Project FORUM at NASDSE.
- Muller, E., & Tschantz, J. (2002). *Related services data collected by states*. Alexandria, VA: Project FORUM at NASDSE.
- Tschantz, J. M., & Vail, C. O. (2000). Effects of peer coaching on the rate of responsive teacher statements during a child-directed period in an inclusive preschool setting. *Teacher Education and Special Education, 23*(3), 189-201.

Selected Recent Presentations

- Tschantz, J., & Gonzales, R. (2012, July). *Updates on Race to the Top Early Learning Challenge*. Plenary at Early Childhood Strand of the 2012 IDEA Leadership Meeting, Washington, DC.
- Jones, J., Lombardi, J, Calderon, M., Caron, B., Gonzales, R., Hicks, S., Onunaku, N., Rudisill, S., Sanchez Fuentes, Y., & Tschantz, J. (2011, September). *Race to the Top Early Learning Challenge – Technical assistance to the applicants*. Presentation to the States. U.S. Department of Education, Washington, DC.
- Walsh, S., Tschantz, J., & Robinson, A. (2011, November). *Federal Early Learning Initiatives*. Breakout session at DEC's 27th Annual International Conference on Young Children with Special Needs and their Families, National Harbor, Maryland.
- Tschantz, J., Capizzano, J., Jekielek, S., & Madigan, A. (2010, November). *Federal developments in early childhood governance*. State Longitudinal Data System (SLDS) P-20 Best Practices Conference, Washington, DC.
- Lesko, J., Houle, G., & Tschantz, J. (2010, October). *State and federal policies supporting multi-tiered interventions in early education settings*. Second annual RtI in Early Childhood Summit, Kansas City, MO.
- Fox, L., Snyder, P., & Tschantz, J. (2009, March). *Data-based decision making and the pyramid model: Are we doing what we should be doing and is it making a difference?* 6th Annual National Training Institute on Effective Practices: Supporting Young Children's Social Emotional Development, Clearwater Beach, FL.
- Tschantz, J., & Ryder, R. (2008, August,). *Early childhood outcomes: Where have we been and where are we going?* Opening plenary at the 2008 Measuring Child and Family Outcomes Conference, Baltimore, MD.

JENNIFER TSCHANTZ (concluded)

Selected Presentations (concluded)

- Fox, L., Greenwood, C., Rous, B., & Tschantz, J. (2008, July,). *Scaling-up the use of evidence-based practices: What will it take to improve outcomes for young children with disabilities?* Large group panel presentation at the 2008 OSEP Project Director's Conference, Washington, DC.
- Kahn, L., Caron, B., Martin, J., & Tschantz, J. (2007, August). *Updates from OSEP and ECO.* Plenary presentation at the 2007 Measuring Child and Family Outcomes Conference, Baltimore, MD.
- Hebbeler, K., Rous, B., Mclean, M., & Tschantz, J. (2006, August). *Early childhood assessment and accountability: Strange bedfellows?* Large Group Panel Session at 2006 OSEP Project Director's Conference, Washington, DC.
- Conners-Tadros, L., Siegel, W., Caron, B., & Tschantz, J. (2006, February). *Training models and resources for early learning from the Office of Special Education Programs, the Child Care Bureau, and the Head Start Bureau.* Presentation at the National Association for Child Care Research and Referral Agencies' (NACCRRRA) Annual Conference, Washington, DC (competitively selected).
- Rudisill, S., Garza, N., Stewart, J., Wolfe, A., Caron, B., & Tschantz, J. (2005, December,). *Good Start, Grow Smart: Dialogue with federal agencies working together on early learning.* Presentation at the National Association for the Education of Young Children's 2005 Annual Conference, Washington, DC (competitively selected).
- Krajec, V., Conners-Tadros, L., Caron, B., & Tschantz, J. (2005, March). *Promoting literacy for ALL children in ALL early care and education settings.* Poster at NACCRRRA's 17th Annual National Policy Symposium: Who's Accountable for Quality Child Care and Early Education? Washington, DC (competitively selected).
- Snow, K., Odom, S. L., Greenwood, C. R., Tschantz, J., Kaiser, A. P., & McConnell, S. R. (2005, March). *Making early intervention a reality.* Topical early childhood workshop at LDA's 42nd Annual International Conference, Reno, NV.
- Kahn, L., & Tschantz, J. (2005, February). *Progress toward measuring the outcomes of IDEA's early childhood programs.* Presentation at the 8th Annual Alliance for Parent Centers Conference, Washington, DC.
- Hebbeler, K., Kahn, L., Spence, R., & Tschantz, J. (2004, October). *Early childhood outcomes.* Presentation at 2004 National Accountability Conference on Special Education and Early Intervention, New Orleans, LA.
- Hebbeler, K., Bailey, D., Greenwood, C., Carta, J., & Tschantz, J. (2004, July). *Results for infants, toddlers, and preschoolers with disabilities: The work of the Early Childhood Outcomes Center.* Presentation at 2004 OSEP Research Project Directors' Conference, Washington, DC.
- Kahn, L., Markowitz, J., Danielson, L., & Tschantz, J. (2004, April). *An overview of the Early Childhood Outcomes Center.* Presentation at OSEP Annual Part B Data Managers Meeting, Washington, DC.
- Tschantz, J., Hebbeler, K., & Spiker, D. (2003, November). *Measuring outcomes for young children and their families.* Presentation at OSEP National Early Childhood Conference, Washington, DC.

SUZANNE M. RABER
SRI International

Senior Education Researcher
Center for Education and Human Services, Education Division

Specialized Professional Competence

PreK–12 education policy analysis; K–12 data, data use, and data systems; K–12 student assessment, program evaluation, technical assistance; strategic planning.

Representative Research Assignments (since 2013)

Senior Researcher, the Center for IDEA Early Childhood Data Systems (DaSy), funded by the Office of Special Education Programs (OSEP). Leads technical assistance, research, and development efforts in early learning, assessment, special education, and data systems. Directs work group on the use of Common Education Data Standards by state-level early intervention and preschool special education program coordinators and data managers. Provides technical assistance to states in the development and use of a framework for improving early childhood coordinated and longitudinal data systems.

Other Professional Experience

Director, Office of Planning and Evaluation, and Coordinator of Accountability, Department of Information Services, Arlington Virginia Public Schools. Oversaw accountability and planning functions, including school district reporting, assessment administration and results, accreditation process, strategic planning, and school improvement planning. Led development of district's 6-year strategic plan. Facilitated continuous school improvement through data analysis and review of school management plans. (2010–2013)

Assistant Director for Assessment, Office of Planning and Evaluation, Arlington Virginia Public Schools. Supervised administration of and reporting for districtwide testing program, including state assessments of curriculum standards, early literacy, and English language proficiency, as well as national standardized tests and reading assessments. (2009–2010)

Data Specialist, Office of Associate Superintendent of Curriculum and Instructional Programs, Montgomery County Maryland Public Schools. Reported directly to the associate superintendent, supporting development and implementation of curriculum, instruction, and assessment in all contents, preK–12, through data analysis, to address system initiatives and the district's strategic plan. Provided research design, data analysis, and interpretation to facilitate continuous improvement on curriculum issues and to support mathematics project teams and work groups. Completed federally-mandated grant reports for the U.S. Department of Education and served as liaison with the consulting firm providing third-party evaluation services. Summarized and presented data for external projects, the Board of Education, and school system leadership staff. (2008–2009)

Evaluation Specialist, Departments of Shared Accountability & Enriched and Innovative Programs, Montgomery County Maryland Public Schools. Directed evaluation projects for federally-funded grant programs to reform low-performing middle and high schools. Designed and conducted 3-year evaluation of the Middle School Magnet Consortium, studying implementation of whole-school magnet program components and their impact on student enrollment, course-taking rigor, parent/student satisfaction, and academic achievement. Evaluated Smaller Learning Communities programs in nine high schools. Completed federal grant performance and evaluation reports. (2004–2008)

SUZANNE M. RABER (continued)

Other Professional Experience (continued)

Data Specialist, Office of the Deputy Superintendent of Schools, Montgomery County Maryland Public Schools. Assembled, interpreted, and presented a variety of data, and facilitated discussion and decisionmaking to assist the Office of the Deputy Superintendent and the community superintendents. Supported strategic planning goals in the areas of rigorous instructional programs, the achievement gap, community partnerships, teacher quality, and organizational environment by gathering and presenting relevant data on student achievement, school climate, and staffing. Designed and conducted evaluations for federally-funded programs. (2003–2004)

Vertical Articulation Specialist, Blair Cluster, Office of School Performance, Montgomery County Maryland Public Schools. Worked collaboratively with the community superintendent, director of school performance, and 30 cluster principals to facilitate preK–12 articulation, monitor school performance, and assist leadership staff in the use of data to inform instruction and improve student achievement. Led projects to develop and implement a cluster-wide K–12 writing conference, conduct articulation meetings with Grade 5–6 and Grade 8–9 teachers, and analyze school performance data. Supported cluster schools through the analysis and presentation of assessment. (2002–2003)

School Performance Specialist, Blair/Einstein/Kennedy Cluster, Office of School Performance, Montgomery County Maryland Public Schools. Supported the community superintendent and director of school performance for three high school clusters to build capacity among principals and teachers in using assessment data to develop school improvement plans and inform instruction. Analyzed and presented data from national and locally developed assessments. Conducted demonstrations on the use of data tools to improve instruction. (2001–2002)

Project Leader, Office of Shared Accountability, Montgomery County Maryland Public Schools. Designed and carried out evaluation of the Reading Initiative, an innovative approach to early literacy instruction (K–2) that combined reduced class size, teacher training in balanced literacy, and periodic instructional assessments, that included qualitative and quantitative methods. Measurement of student outcomes involved training teachers to administer and score newly developed reading assessment (Early Childhood Assessment Program), as well as validity and reliability studies. Prepared reports for Board members, administrators, principals, and teachers. (1997–2001)

Senior Research Analyst, National Association of State Boards of Education, Alexandria, Virginia. Conducted research for NASBE's Center for Policy Research on the Impact of General and Special Education Reform, funded by the U.S. Department of Education. Examined general and special education policies and their implications for students with disabilities. Conducted qualitative case studies of state-level reform policies in seven areas (curriculum and standards, assessment, accountability, teacher development, governance, finance, and special education). Coordinated NASBE's research and dissemination activities with university partners. Authored research and policy briefs on mathematics education, tech prep, and school finance. (1995–1997)

SUZANNE M. RABER (continued)

Other Professional Experience (concluded)

Project Director, COSMOS Corporation, Bethesda, Maryland. Developed and directed educational research and evaluation projects, including study design, instrument development, data collection, data analysis, and report writing. Specialized in science and mathematics education and school-to-work. Major projects included: a 5-year longitudinal study for the National Science Foundation of mathematics and science enrichment programs for secondary students; a management information system design project for the Center for Substance Abuse Prevention, U.S. Department of Health and Human Services; and a qualitative evaluation of U.S. Department of Education-sponsored tech prep programs in three school districts. (1992–1995)

Academic Background

M.S., developmental psychology and evaluation, 1982, Cornell University, Ithaca, NY.
B.A., psychology and French, Phi Beta Kappa, 1975, Indiana University, Bloomington, IN.

Selected Publications and Reports

- Ewy, R., & Raber, S. M. (2012). *Strategic plan 2011-2017: A long-range plan for the future*. Arlington, VA: Arlington Public Schools.
- Raber, S. M., & Johnston, M. (June 2011). *District accreditation progress report: Arlington Public Schools, Virginia*. Report presented to AdvancED in response to the February 2009 Quality Assurance Review Visit. Arlington, VA: Arlington Public Schools.
- Raber, S. M. (2008). *U.S. Department of Education magnet schools assistance program: Final grant performance report 2007-2008*. Rockville, MD: Office of Curriculum and Instructional Programs, Montgomery County Public Schools.
- Raber, S. M. (2006). *U.S. Department of Education magnet schools assistance program: Year 2 grant performance report 2005-2006*. Rockville, MD: Office of Curriculum and Instructional Programs, Montgomery County Public Schools.
- Raber, S. M. (2001). *Reading Initiative study year 3 report: Grade 2 reading performance on the Early Childhood Assessment Program (ECAP)*. Rockville, MD: Office of Shared Accountability, Montgomery County Public Schools.
- Raber, S. M. (2000). *Reading Initiative study year 2 assessment report*. Rockville, MD: Office of Shared Accountability, Montgomery County Public Schools.
- Goertz, M., McLaughlin, M., Roach, V., & Raber, S. M. (1999). What will it take? Including students with disabilities in standards-based education reform. In T. Parrish, J. Chambers, & C. Guarino (Eds.), *Funding special education*. Thousand Oaks, CA: Corwin Press.
- Raber, S., Bridges-Cline, F., Kopf, N., & Merchlinsk, S. (1999). *Reading Initiative study year 1 report*. Rockville, MD: Office of Shared Accountability, Montgomery County Public Schools.
- Roach, V., & Raber, S. M. (1998). *The push and pull of standards-based reform: How does it affect local school districts and students with disabilities?* Washington, DC: Center for Policy Research on the Impact of General and Special Education Reform, National Association of State Boards of Education.

SUZANNE M. RABER (concluded)

Selected Publications and Reports (concluded)

- Roach, V., & Raber, S. M. (1997). *State educational reforms: District response and the implications for special education*. Year 2 technical report. Washington, DC: Center for Policy Research on the Impact of General and Special Education Reform, National Association of State Boards of Education.
- Raber, S. M. (1997). *Educational reforms in California and their interactions with special education: A profile of 1995-96 findings at the state and local level*. Prepared for the Center for Policy Research on the Impact of General and Special Education Reform. Washington, DC: National Association of State Boards of Education.
- Raber, S. M. (1997). *Educational reforms in Pennsylvania and their interactions with special education: A profile of 1995-96 findings at the state and local level*. Prepared for the Center for Policy Research on the Impact of General and Special Education Reform. Washington, DC: National Association of State Boards of Education.
- Raber, S. M. (1986). *Results of mathematics reform: Research review*. Washington, DC: National Association of State Boards of Education.
- Frechtling, J., & Raber, S. M. (1985). *Initial special education placement and longitudinal outcomes of preschool- and kindergarten-identified handicapped children*. Rockville, MD: Montgomery County Public Schools.

Selected Relevant Presentations

- Raber, S.M. (2012, November). *Drew Montessori and Graded Program SOL test performance*. Paper presented to the Arlington Montessori Advisory Committee, Arlington, VA.
- Raber, S. M. (2010, May). *The impact of grade 5 mathematics acceleration on algebra by grade 8*. Paper presented at the Annual Meeting of the American Educational Research Association, Denver, CO.
- Raber, S. M. (2009, April). *Evaluating educational reform: A three-year study of whole-school magnet programs in grades 6–8*. Paper presented at the Annual Meeting of the American Educational Research Association, San Diego, CA.
- Raber, S. M. (2007, November). *Evaluating educational reform: Lessons learned from the implementation of middle school magnet programs*. Paper presented at the American Evaluation Association Annual Conference, Baltimore, MD.
- Raber, S. M. (1997, March). *State-level reforms in education: District response and the implications for special education. Cross-site analysis based on four case studies*. Paper presented at the Annual Meeting of the American Educational Research Association, Chicago, IL.
- Raber, S. M. (1996, November). *State education reforms: District response and the implications for special education*. Presentation at the Annual Meeting of the National Association of State Directors of Special Education, New Orleans, LA.
- Raber, S. M. (1987, April). *Measuring the implementation of a new reading curriculum and its impact on student achievement*. Paper presented at the Annual Meeting of the American Educational Research Association, Washington, DC.
- Raber, S. M. (1986, April). *Longitudinal outcomes of preschool special education*. Paper presented at the Annual Meeting of the American Educational Research Association, San Francisco, CA.

KATHLEEN M. HEBBELER
SRI International

Program Manager, Community Services and Strategies
Center for Education and Human Services, Education Division

Specialized Professional Competence

Program evaluation, child development, early childhood education, disability and special education, early intervention, early childhood assessment, longitudinal studies, outcome measurement, quantitative and qualitative research methods, policy implementation analysis.

Representative Research Assignments at SRI (1992–present)

Project Director for the Center for IDEA Early Childhood Data Systems. Center assists state early intervention and preschool education state agencies in the development of coordinated early childhood data systems and in linking early childhood data to longitudinal data systems.

Project Director for the Early Childhood Outcomes (ECO) Center. Center provides national leadership, conducts research and provides technical assistance to assist the U.S. Department of Education and state agencies in conceptualizing and measuring outcomes for young children with disabilities.

Project Director for a study of early intervention service intensity. Used analysis of state data, team simulations, and interviews with providers to examine early intervention services in Texas.

Project Director for an IES-funded assessment development study validating the use of the Child Outcomes Summary Form for outcomes measurement for program serving young children with disabilities.

Senior staff to an IES-funded evaluation that examined identification of and outcomes for children and youth with disabilities. Conducted as part of the national assessment of IDEA, study used extant data to examine issues related to identification and outcomes over time and across states.

Project Director for Early Intervention Graduates at Kindergarten, a research project using propensity scores to examine the impact of early intervention services on kindergarten outcomes for former recipients of early intervention.

Principal Investigator for projects in Florida, Colorado, and Hawaii to develop state systems for the collection of data on early childhood outcomes for young children with disabilities.

Project Director for the National Early Intervention Longitudinal Study (NEILS), a 10-year longitudinal study of characteristics, outcomes, and services for infants and toddlers with disabilities and their families. Involved in all aspects of study design and implementation for this study of 3,338 birth through 3-year-olds in 20 states.

Consultant on disability issues to the national evaluation of Early Head Start.

Project Director for project to provide technical expertise regarding disability and special education issues for the design of the Early Childhood Longitudinal Study-Kindergarten Cohort (ECLS-K).

Principal Investigator for evaluation of the effectiveness and costs of early intervention for infants and toddlers with disabilities or at risk for disabilities in California's Early Start program.

KATHLEEN M. HEBBELER (continued)

Other Professional Experience

Member of the National Academy of Sciences' Committee on Developmental Outcomes and Assessment of Young Children (2007–08)

Member of the Board of Directors, Division for Early Childhood, Council for Exceptional Children (2006–09)

Consulting Editor, *Topics in Early Childhood Special Education*, 1997–present

Editorial Board, *Infants and Young Children*, 2008–present

Reviewer, *Journal of Early Intervention*, *Early Childhood Research Quarterly*

Senior Research Analyst, National Association of State Directors of Special Education (1991–92)

Education Research Analyst, U.S. Department of Education, Office of Special Education Programs, Division of Innovation and Development (1987–91)

Coordinator of Research and Statistics, Montgomery County Public Schools, Department of Educational Accountability, Rockville, Maryland (1979–87)

Technical Manager, Applied Management Sciences, Silver Spring, Maryland (1977–79)

Academic Background

Ph.D., human development and family studies; areas of specialization: cognitive development, social and personality development, 1978, Cornell University

B.S., psychology, 1971, University of Dayton

Professional Associations

National Association for the Education of Young Children

Society for Research in Child Development

American Educational Research Association

Special Interest Groups–Early Childhood and Special Education

Council for Exceptional Children–Division for Early Childhood and Division for Research

American Evaluation Association

Publications

Hebbeler, K., Spiker, D., & Kahn, L. (2012). Individuals with Disabilities Education Act's early childhood programs: Powerful vision and pesky details. *Topics in Early Childhood Special Education*, 31(4), 199–207.

Hebbeler, K., Barton, L., Taylor, C., & Spiker, D. (2011). Building good assessment into accountability systems for early childhood programs. In M. McLean & P. Snyder (Eds). *Young Exceptional Children, Monograph Series No 13. Gathering information to make informed decisions: Contemporary perspectives about assessment in early intervention and early childhood special education* (pp. 173–198).

Hebbeler, K., & Spiker, D. (2011). Cost-effectiveness and efficacy of programs. In C. J. Groark (Series Ed.) & S. Eidelman (Vol. Ed.), *Early childhood intervention: Shaping the future for children with special needs and their families, three volumes: Vol. 1* (pp. 173–207). Santa Barbara, CA: ABC-CLIO, Praeger.

KATHLEEN M. HEBBELER (continued)

Publications (continued)

- Spiker, D., Hebbeler, K., & Barton, L. (2011). Measuring quality of early care and education for children with disabilities. In M. Zaslow, K. Tout, T. Halle, & I. Martinez-Beck (Eds.), *Quality measurement in early childhood settings* (pp. 229–257). Baltimore, MD: Paul H. Brookes Publishing Company.
- Hebbeler, K., Greer, M., & Hutton, B. (2011). From then to now: The evolution of Part C. *Zero to Three*, 31(4), 4–10.
- Blackorby, J., Schiller, E., Mallik, S., Hebbeler, K., Huang, T., Javitz, H., Marder, C., Nagle, K., Shaver, D., Wagner, M., & Williamson, C. (2010). *Patterns in the identification of and outcomes for children and youth with disabilities* (NCEE 2010-4005). Washington, DC: National Center for Education Evaluation and Regional Assistance, Institute of Education Sciences, U.S. Department of Education.
- Hebbeler, K., & Rooney, R. (2009). Accountability for services for young children with disabilities through identification and assessment of meaningful outcomes: The role of the speech-language pathologist. *Language, Speech, and Hearing Services in the Schools*, 40, 446–456.
- Hebbeler, K., Levin, J. Lam, I. Perez, M., & Chambers, J. (2009). Expenditures for early intervention services. *Infants and Young Children*, 22(2), 76–86.
- Bailey, D. B., Hebbeler, K., Olmsted, M.G., Raspa, M., & Bruder, M. (2008). Measuring family outcomes: Considerations for large-scale data collection in early intervention. *Infants and Young Children*, 21, 194–206.
- Hebbeler, K., Spiker, D., Morrison, K., & Mallik, S. (2008). A national look at the characteristics of Part C early intervention services. *Young Exceptional Children, Monograph Series No. 10: Early intervention for infants and toddlers and their families; Practices and outcomes* (pp.1–18).
- Hebbeler, K., Barton, L., & Mallik, S. (2007). Assessment and accountability for programs serving young children with disabilities. *Exceptionality*, 16(1), 48–63.
- Hebbeler, K. M., & Barton, L. R. (2007). The need for data on child and family outcomes at the federal and state levels. *Young Exceptional Children, Monograph Series No. 9: Linking curriculum to child and family outcomes* (pp.1–15).
- Bailey, D.B., Nelson, L., Hebbeler, K., & Spiker, D. (2007). Modeling the impact of formal and informal supports for young children with disabilities and their families. *Pediatrics*, 120, e992–e1001.
- Hebbeler, K., Spiker, D., Bailey, D., Scarborough, A., Mallik, S., Simeonsson, R., Singer, M., & Nelson, L. (2007). *Early intervention for infants and toddlers with disabilities and their families: Participants, services, and outcomes. NEILS final report*. Menlo Park, CA: SRI International.
- Bailey, D. B., Jr., Bruder, M.B., Hebbeler, K., Carta, J., Defosset, M., Greenwood, C., Kahn, L., Mallik, S., Markowitz, J., Spiker, D., Walker, D., & Barton, L. (2006). Recommended outcomes for families of young children with disabilities. *Journal of Early Intervention*, 28, 227–243.
- Spiker, D., Hebbeler, K., & Mallik, S. (2005). Developing and implementing early intervention programs: Children with established disabilities. In M. J. Guralnick (Ed.), *The developmental systems approach to early intervention* (pp. 305–349). Baltimore, MD: Brookes Publishing Company.

KATHLEEN M. HEBBELER (concluded)

Publications (concluded)

- Scarborough, A. S., Spiker, D., Mallik, S., Hebbeler, K. M., Bailey, D., & Simeonsson, R. (2004). Who are the children and families receiving early intervention services? *Exceptional Children, 70*, 469–483.
- Bailey, D., Hebbeler, K., Scarborough, A., Spiker, D., & Mallik, S. (2004). First experiences with early intervention: A national perspective. *Pediatrics, 113*(4), 887–896.
- Hebbeler, K., & Spiker, D. (2003). Initiative on children with special needs. In J. Brooks-Gunn, A. Sidle Fuligni, & L. J. Berlin (Eds.), *Early childhood development in the 21st century: Profiles of research initiatives* (pp. 296–325). New York, NY: Teachers College Press.

Presentations

- Hebbeler, K. (2013, June). *Formative assessment: So what happens next?* Paper presented at the meeting of the National Association of Early Childhood Specialists in State Departments of Education (NAECS-SDE), San Francisco, CA.
- Kahn, L., & Hebbeler, K. (2012, February). *An examination of the quality of state data on Part C and Part B preschool child outcome.* Poster presented at the Conference on Research Innovations in Early Intervention (CRIEI), San Diego, CA.
- Hebbeler, K., & Barton, L. (2012, February). *Innovative approaches to using large scale longitudinal datasets to explore parenting issues in families of children with disabilities.* Paper presented at the Conference on Research Innovations in Early Intervention (CRIEI), San Diego, CA.
- Hebbeler, K. (2012, February). *Data on child and family outcomes: Tools for improving state systems.* Paper presented at the National Summit on Quality in Home Visiting Programs, Washington, DC.
- Hebbeler, K. (2012, February). *Including children with developmental delays and disabilities in KEA's.* Paper presented at the State Kindergarten Entry Assessment (KEA) Conference, San Antonio, TX.
- Hebbeler, K., & Kahn, L. (2011, November). *Child outcomes: What we are learning from national, state, and local data.* Paper presented at the Division for Early Childhood (DEC), National Harbor, MD.
- Hebbeler, K., Spiker, D., & Barton, L. (2011, November). *Performance management in action: A national system for measuring early childhood outcomes.* Paper presented at the Annual Conference of the American Evaluation Association, Anaheim, CA.
- Hebbeler, K. (2011, September). *Data as light: Time to walk on the sunny side of the street.* Paper presented at the Measuring and Improving Child and Family Outcomes Conference, New Orleans, LA.
- Hebbeler, K., Kahn, L., Taylor, C., & Bailey, A. (2011, September). *Data workshop: Analyzing and interpreting data.* Workshop presented at the Measuring and Improving Child and Family Outcomes Conference, New Orleans, LA.
- Hebbeler, K., Kahn, L., Raspa, M., & Spiker, D. (2011, May). *Identifying a national set of child & family outcomes: Building a national system to measure child and family outcomes from early intervention.* Paper presented at the International Society on Early Intervention (ISEI), New York, NY.

DONNA K. SPIKER
SRI International

Program Manager, Early Childhood Programs
Center for Education and Human Services, Education Division

Specialized Professional Competence

Program evaluation, technical assistance, child development, child and family assessment, disability, early intervention and preschool special education, longitudinal studies, outcome evaluations, and quantitative and qualitative research methods.

Representative Research Assignments at SRI (since 1996)

Co-Director of the Center for IDEA Early Childhood Data Systems for the Office of Special Education Programs (OSEP). A national technical assistance center to assist states on the development and enhancement of statewide early childhood longitudinal data systems to improve the States' capacity to collect, analyze, and report high-quality data required under sections 616 and 618 of IDEA.

Senior Evaluation Consultant on subcontract to University of Minnesota, Evaluation of the Midwest Expansion of the Child-Parent Center (CPC) Education Program (Investing in Innovation–i3 Grant). Designing an evaluation to conduct a quasi-experimental study of the implementation and impact of this preschool to third grade (Pk-3) model that aims to improve school readiness skills and early school achievement and increase parent education and home support for learning.

Principal Investigator on subcontract to Erikson Institute, Early Mathematics Education (EME) Innovations project, a schoolwide professional development program for preschool to third-grade teachers, funded by the U.S. Department of Education's Investing in Innovation. Designed and implementing the project's evaluation to examine child, teacher, and schoolwide outcomes.

Principal Investigator on subcontract to Erikson Institute, Statewide Evaluation of Illinois Early Childhood Block Grant for the Illinois State Board of Education. Designed and implement a statewide evaluation of the 0-5 programs in Illinois including birth to age 3 programs and 3–5 Preschool for All programs, encompassing outcome, program quality, and qualitative data collection, analysis, and reporting.

Senior Researcher on the Design and IDEA-related Analyses for the National Assessment for the Institute for Education Sciences (IES). Design and analysis project with responsibility for support on analyses and research review tasks related to IDEA early intervention and preschool special education.

Associate Director for the Early Childhood Outcomes (ECO) Center. Center provides national leadership, conducts research, and provides technical assistance for the U.S. Department of Education and state agencies in conceptualizing and measuring child and family outcomes for young children with disabilities (birth to age 5).

Co-Leader of Washington State Department of Early Learning Kindergarten Assessment Process Project. Co-led efforts to inform recommendations to Washington's State legislature about a statewide kindergarten assessment process. Responsibilities included conducting a literature review on best practices for assessing young children, summarizing kindergarten assessment processes used by states, and collecting input from a stakeholder groups about their priorities for a statewide kindergarten assessment process using online surveys and focus groups.

DONNA K. SPIKER (continued)

Representative Research Assignments (concluded)

- Principal Investigator, Secondary Analysis of Head Start Data Grant from the Department of Health and Human Services, Administration for Children and Families, Office of Planning, Research, and Evaluation. Conducting longitudinal data analysis of kindergarten outcomes using the 2000 national FACES dataset of children who attended Head Start by examining four subgroups at high risk for poor outcomes (i.e., English learners, children with health concerns, high cumulative environmental risk, disabilities).
- Principal Investigator, Evaluation of Minnesota Early Learning Foundation's Saint Paul Early Childhood Scholarship Program. Designed and implement a formative and summative evaluation of a market-driven model for providing high-quality preschool participation for children from low-income families in Saint Paul, Minnesota.
- Project Co-Director for the Statewide Data Collection and Evaluation of First 5 California Funded Programs and the School Readiness Initiative Evaluation. A California statewide evaluation of the implementation and outcomes of the system of services and programs for young children and their families (prenatal to age 5) in all 58 counties to support the health, development, and well-being and school readiness of California's young children.

Academic Background

- Ph.D., child development, with a minor specialization in special education, 1979, University of Minnesota
- B.S., psychology, 1972, University of Chicago

Selected Publications

- Barton, L., Spiker, D., & Williamson, C. (2012). Characterizing disability in Head Start programs: Not so clearcut. *Early Childhood Research Quarterly, 27*, 596-612.
- Hebbeler, K., Spiker, D., & Kahn, L. (2012). IDEA's early childhood programs: Powerful vision and pesky details. *Topics in Early Childhood Special Education, 31*, 199-207.
- Hebbeler, K., Barton, L., Taylor, C., & Spiker, D. (2011). Building good assessment and accountability systems for early childhood programs. *Young Exceptional Children Monographs No. 13*, 173-198.
- Hebbeler, K., & Spiker, D. (2011). Cost-effectiveness and efficacy of programs. In C. Groark & S. Eidelman (Eds.), *Early childhood intervention: Shaping the future for children with special needs and their families* (Vol. 1, pp. 173-207). Santa Barbara, CA: Praeger, ABC-CLIO, LLC.
- Scarborough, A., Hebbeler, K., Spiker, D., & Simeonsson, R. J. (2011). Using survival analysis to describe developmental achievements of early intervention recipients at kindergarten. *Infants and Young Children, 24*, 133-152.
- Rondal, J. A., Perera, J., & Spiker, D. (Eds.). (2011). *Neurocognitive rehabilitation of Down syndrome: The early years*. Cambridge, England: Cambridge University Press.
- Spiker, D., Hebbeler, K., & Barton, L. (2011). Measuring quality of ECE programs for children with disabilities. In Zaslow, M., Martinez-Beck, I., Tout, K., & Halle, T. (Eds.), *Quality measurement in early childhood settings*. (pp. 229-256). Baltimore, MD: Paul H. Brookes Publishing Company.

DONNA K. SPIKER (continued)

Selected Publications (continued)

- Spiker, D. (2011). The history of early intervention for infants and young children with Down syndrome and their families: Where have we been and where are we going? In J.A. Rondal, J. Perera, & D. Spiker (Eds.), *Neurocognitive rehabilitation of Down syndrome: The early years*. (pp. 15-35). Cambridge, England: Cambridge University Press.
- Hebbeler, K., & Spiker, D. (2011). The National Early Intervention Longitudinal Study (NEILS). In C. R. Reynolds, K. J. Vannest, & Y. E. Fletcher-Janzen (Eds.), *Encyclopedia of Special Education: A reference for the education of children, adolescents, and adults with disabilities and other exceptional individuals, Fourth Edition*. Hoboken, NJ: John Wiley & Sons.
- Spiker, D., Hebbeler, K., & Barton, L. (2010). Measuring quality of early care and education for children with disabilities. In Zaslow, M., Tout, K., Halle, T., & Martinez-Beck, I. (Eds.), *Next steps in the measurement of quality in early childhood settings* (pp. 229–256). Baltimore, MD: Paul H. Brookes Publishing Company.
- Gaylor, E., Spiker, D., Hebbeler, K., Williamson, C., & Snow, M. (2010 & 2009). *Saint Paul Early Childhood Scholarship Program evaluation: Annual report*. Menlo Park, CA: SRI International.
- Golan, S., Petersen, D., & Spiker, D. (2008). *Kindergarten assessment process planning report*. Menlo Park, CA: SRI International.
- Spiker, D., Barton, L., Ferguson, K., Celio, C., Petersen, D., Golan, S., & Villanueva, A. (2008, November). *Selected bibliography about early childhood and kindergarten assessment and school readiness*. Menlo Park, CA: SRI International.
- Hebbeler, K., Spiker, D., Morrison, K., & Mallik, S. (2008). A national look at the characteristics of Part C early intervention services. *Young Exceptional Children, Monograph Series No. 10*, 1–18.
- Bailey, D. B., Nelson, L., Hebbeler, K., & Spiker, D. (2007). Modeling the impact of formal and informal supports for young children with disabilities and their families. *Pediatrics, 120*, e992-e1001.
- Scarborough, A., Spiker, D., Hebbeler, K., & Simeonsson, R. J. (2007). Dimensions of behavior of toddlers entering early intervention: Child and family correlates. *Infant Behavior and Development, 30*, 466–478.
- Hebbeler, K., Spiker, D., Bailey, D. B., Scarborough, A., Mallik, S., Simeonsson, R., Singer, M., & Nelson, L. (2007). *Early intervention for infants and toddlers with disabilities and their families: Participants, services, and outcomes. Final report of the National Early Intervention Longitudinal Study (NEILS)*. Menlo Park, CA: SRI International.
- Scarborough, A., Hebbeler, K., Simeonsson, R., & Spiker, D. (2007). Caregiver descriptions of the developmental skills of infants and toddlers entering early intervention services. *Journal of Early Intervention, 79*, 207–227.
- Bailey, D. B., Bruder, M. B., Hebbeler, K., Carta, J., Defosset, M., Greenwood, C., Kahn, L., Mallik, S., Markowitz, J., Spiker, D., Walker, D., & Barton, L. (2006). Recommended outcomes for families of young children with disabilities. *Journal of Early Intervention, 28*, 227–251.

DONNA K. SPIKER (continued)

Selected Publications (continued)

- Spiker, D. (2006). Off to a good start: Early intervention for infants and young children with Down syndrome and their families. In J. A. Rondal, & J. Peresa (Eds.), *Down syndrome: Neurobehavioral specificity* (pp. 175–190). New York, NY: John Wiley and Sons, Inc.
- Scarborough, A., Hebbeler, K. M., & Spiker, D. (2006). Eligibility characteristics of infants and toddlers entering early intervention in the U.S. *Journal of Policy and Practice in Intellectual Disabilities, 3*, 57–64.
- Bailey, D., Hebbeler, K., Spiker, D., Scarborough, A., Mallik, S., & Nelson, L. (2005). 36-month outcomes for families of children with disabilities participating in early intervention. *Pediatrics, 116*, 1346–1352.
- Spiker, D., Hebbeler, K., & Mallik, S. (2005). Developing and implementing early intervention programs: Children with established disabilities. In M. J. Guralnick (Ed.), *Developmental systems approach to early intervention* (pp. 305–349). Baltimore, MD: Brookes Publishing Company.
- Scarborough, A. S., Spiker, D., Mallik, S., Hebbeler, K. M., Bailey, D., & Simeonsson, R. (2004). Who are the children and families receiving early intervention services? *Exceptional Children, 70*, 469–483.
- Bailey, D. B., Hebbeler, K., Scarborough, A., Spiker, D., Mallik, S., & Simeonsson, R. J. (2004). First experiences with early intervention: A national perspective. *Pediatrics, 113*, 887–869.
- Hebbeler, K., & Spiker, D. (2003). Initiatives on children with special needs. In J. Brooks-Gunn & L. Berlin (Eds.), *Early child development in the 21st century: Profiles of current research initiatives* (pp. 296–325). New York, NY: Teachers College Press.
- Spiker, D., & Silver, J. (1999). Early intervention services. In J. A. Silver, B. J. Amster, & T. Haecker (Eds.), *Young children and foster care: A guide for professionals* (pp. 347–371). Baltimore, MD: Paul H. Brookes Publishing Company.
- Spiker, D., Hebbeler, K., Wagner, M., Cameto, R., & McKenna, P. (2000). A framework for describing variation in state early intervention systems. *Topics in Early Childhood Special Education, 20*, 195–207.
- Spiker, D., & Hebbeler, K. (1999). Early intervention services. In M. D. Levine, W. B. Carey, & A. C. Crocker (Eds.), *Developmental-behavioral pediatrics* (3rd ed., pp. 793–802). Philadelphia, PA: W. B. Saunders Company.
- Mahoney, G., Boyce, G., Fewell, R., Spiker, D., & Wheeden, C.A. (1998). The relationship between parent-child interaction to the effectiveness of early intervention services for at-risk children and children with disabilities. *Topics in Early Childhood Special Education, 18*, 5–17.
- Bailey, D. B., Jr., McWilliam, R. A., Darkes, L. A., Hebbeler, K., Simeonsson, R. J., Spiker, D., & Wagner, M. (1998). Family outcomes in early intervention: A framework for program evaluation and efficacy research. *Exceptional Children, 64*, 313–328.

RENEE CAMETO
SRI International

Principal Scientist
Center for Education and Human Services, Education Division

Specialized Professional Competence

Design, development and validation of large-scale assessments for students with disabilities.
Design, implementation, analysis, and reporting of quantitative and qualitative research with a focus on longitudinal studies, program evaluation, and policy implementation.

Representative Research Assignments (since 1992)

- Principal Alternate Assessment Task Designer, National Centers and State Collaboratives GSEG, to develop assessment tasks for students with significant cognitive disabilities using evidence-centered design (ECD) and universal design for learning (UDL) to develop assessment tasks for Common Core State Standards in mathematics and English language arts.
- Director, Alternate Assessment Design–Reading/English Language Arts (AAD-ELA) (2010–12), an Enhanced Assessment Grant to use evidence-centered design to develop performance tasks in ELA based on Common Core State Standards (CCSS).
- Director, Alternate Assessment Design–Mathematics (AAD-M) (2009–11), an Enhanced Assessment Grant to use evidence-centered design to develop performance tasks in math.
- Principal Investigator, Technical Assistance for Improving the Oklahoma Modified Alternate Assessment Program (2007–11), investigating feasibility of modifications to reading passages, clarification of the eligibility guidelines, and analysis of technical adequacy.
- Director, National Study on Alternate Assessments (2005–10), a study of development and implementation of accountability assessments based on alternate achievement standards.
- Director, Maryland Longitudinal Transition Study (2001–10), a state-level study of youth transitioning from secondary special education to adult life.
- Co-director, National Longitudinal Transition Study-2 (NLTS2, 2001–11), Director, Design of the NLTS2 (1998–2001), a 10-year national study of youth transitioning from secondary special education to adult life.
- Senior Research Analyst, Special Education Elementary Longitudinal Study (2000–07), and Design of the Special Education Elementary Longitudinal Study (1998–2000), design and implementation of a national study of elementary school students receiving special education.
- Research Analyst, National Longitudinal Transition Study (NLTS) (1992–93), studying effects of school programs on school to adulthood transition for youth in special education.
- Senior research analyst, National Early Intervention Longitudinal Study (1996–2001), a national study of infants, toddlers, and their families receiving early intervention services.
- Project coordinator, Teen Parents as Teachers (1993–96) study comparing case management and parent education approaches to serving teen parents and their children
- Principal investigator, US WEST Parents as First Teachers Program Evaluation (1995–96) design and pilot test an evaluation system for early childhood/parent education programs serving at-risk families with infants and children

Other Professional Experience

- Executive Board, Inclusion and Accommodation in Educational Assessment SIG, AERA (2013)
- Research Chairperson, DCDT, Council for Exceptional Children (2006-2013)
- Principal investigator, Movement Curriculum for Infants and Children (1977-78), design and pilot test gross motor evaluation and activities curriculum for use in infant/toddler centers
- Research Associate, Special Education Personnel Preparation, San Francisco State (1986–90)

RENEE CAMETO (continued)

Academic Background

Ph.D., special education, 1997, University of California, Berkeley; Distinguished Student Award, 1989, Invited Internship Office of Special Education Programs
M.A., early childhood education, 1978, University of San Francisco
B.A., geography and social sciences (with honors), 1969, California State University, Chico
California Teaching Credentials: Community College, Secondary, and Early Childhood

Selected Publications on Assessment Topics 2006-2013

- Cameto, R. and Haertel, G. D. (2013). *Applying Universal Design for Learning to Items to Mitigate Construct-Irrelevant Variance*. Menlo Park, CA: SRI International.
- Haertel, G. D. and Cameto, R. (2013). *Designing Items of Graduated Complexity through Systematic Use of Variable Features and Scaffolding*. Menlo Park, CA: SRI International.
- Haertel, G. D., Cheng, B. H., Cameto, R., Fujii, R., Sanford, C., Rutstein, D., & Morrison, K. (2012). *Design and development of technology-enhanced assessment tasks: Integrating evidence-centered design and Universal Design for Learning frameworks to assess hard to measure science constructs and increase student accessibility*. Princeton, NJ: ETS.
- Cameto, R., Haertel, G., Nagle, K., DeBarger, A., Morrison, K., Seeratan, K., Fujii, R., Knokey, A.-M., Vintinner, J., & Wakeman, S. (2011-2012). *Alternate Assessment Design—English Language Arts/Reading: Technical Report Series: 1—Project overview: Applying evidence-centered design to alternate assessments in English language arts/reading for students with significant cognitive disabilities, 2—Current state of alternate assessments in English language arts, 3—Domain analysis—Selection of common core state standards in English language arts/reading for the development of design patterns and task, 4—Design patterns: The background and role of design patterns in evidence-centered design process, 5—Synergistic use of evidence-centered design and universal design for learning for improved assessment design, 6—Assessment task library, 7—Task tryout study: Design, analysis, and results, 8—Implementing evidence-centered design to develop assessments for students with significant cognitive disabilities: Procedural guidelines for creating design patterns and development specifications and exemplar task templates for English language arts*. Menlo Park, CA: SRI International.
- Bechard, S., Almond, P., & Cameto, R. (2011). Item and test alterations: Designing and developing alternate assessments with modified achievement standards. In M. Russell & M. Kavanaugh (Eds.), *Assessing students in the margins: Challenges, strategies, and techniques*, pp. 259-290. Charlotte, NC: Information Age Publishing.
- Almond, P., Winter, P., Cameto, R., Russell, M., Sato, E., Clarke, J., Torres, C., Haertel, G., Dolan, B., Beddow, P., & Lazarus, S. (2010). *Technology enabled and universally designed assessment: Considering access in measuring the achievement of students with disabilities—A foundation for research*. Dover, NH: Measured Progress and Menlo Park, CA: SRI.
- Almond, P., Winter, P., Cameto, R., Russell, M., Sato, E., Clarke, J., Torres, C., Haertel, G., Dolan, B., Beddow, P., & Lazarus, S. (2010). Technology-enabled and universally designed assessment: Considering access in measuring the achievement of students with disabilities—A foundation for research. *Journal of Technology, Learning, and Assessment, 10*(5). Retrieved from <http://www.jtla.org>

RENEE CAMETO (continued)

Selected Publications on Assessment Topics 2006-2013 (concluded)

- Bechard, S., Sheinker, J., Abell, R., Barton, K., Burling, K., Camacho, C., Cameto, R., Haertel, G., Hansen, E., Johnstone, C., Kingston, N., Murray, E., Parker, C., Redfield, D., & Tucker, B. (2010). Measuring cognition of students with disabilities using technology-enabled assessments: Recommendations for a national research agenda. *Journal of Technology, Learning, and Assessment*, 10(4). Retrieved from <http://www.jtla.org>
- Cameto, R., Bergland, F., Knokey, A.-M., Nagle, K. M., Sanford, C., Kalb, S.C., Blackorby, J., Sinclair, B., Riley, D., & Ortega, M. (2010). *Teacher perspectives of school-level implementation of alternate assessments for students with significant cognitive disabilities. A report from the National Study on Alternate Assessments* (NCSE 2010-3007). Washington, DC: U.S. Department of Education.
- Cameto, R., Haertel, G., Nagle, K., DeBarger, A., Morrison, K., Seeratan, K., Fujii, R., Knokey, A.-M., Fitton, R., & Knudsen, J. (2009-2010). *Alternate Assessment Design—Mathematics: Technical Report Series: 1—Project overview: Applying evidence-centered design to alternate assessments in mathematics for students with significant cognitive disabilities, 2—Current state of mathematics assessment in alternate assessment, 3—Domain analysis aligning National Council of Teachers of Mathematics (NCTM) expectation with state extended mathematics standards, 4—Design patterns, the background and role of design patterns in the evidence-centered design process, 5—Synergistic use of evidence-centered design and universal design for learning for improved assessment design, 6—Assessment task library, 7—Pilot task tryouts, design and analysis, 8—Implementing evidence-centered design to develop assessments for students with significant cognitive disabilities: Guidelines for creating design patterns and development specifications and exemplar task templates for mathematics, 9—An expert panel review of alternate assessment design—Mathematics’ application of evidence-centered design and universal design for learning to the development of alternate assessment tasks*. Menlo Park, CA: SRI International.
- Almond, P. J., Cameto, R., Johnstone, C. J., Laitusis, C., Lazarus, S., Nagle, K., Parker, C. E., Roach, A. T., & Sato, E. (2009). *White paper: Cognitive interview methods in reading test design and development for alternate assessments based on modified academic achievement standards (AA-MAS)*. Dover, NH: Measured Progress and Menlo Park, CA: SRI International.
- Bechard, S., Russell, M., Camacho, C., Thurlow, M., Ketterlin Geller, L., Godin, K., McDivitt, P., Hess, K., & Cameto, R. (2009). *White paper: Improving reading measurement for alternate assessment: Suggestions for designing research on item and test alterations*. Dover, NH: Measured Progress and Menlo Park, CA: SRI International.
- Cameto, R., Knokey, A.-M., Nagle, K., Morrison, K., Mallik, S., Sanford, C., Jones, R., Van Campen, J., Blackorby, J., Pechman, E., Sinclair, B., Allender, S., Cohen, M., Edwards, S., & Riley, D. (2009). *State and national profiles on alternate assessments based on alternate achievement standards. A report from the National Study on Alternate Assessments* (NCSE 2009-3013, 3014). Washington, DC: U.S. Department of Education.
- Wagner, M., Newman, L., Cameto, R., & Levine, P. (2006). *The academic achievement and functional performance of youth with disabilities. A report on assessments from the National Longitudinal Transition Study-2 (NLTS2)*. Menlo Park, CA: SRI International.
- Blackorby, J., Wagner, M., Marder, C., Cameto, R., Levine, P., Chorost, M., & Guzman, A.-M. (2006). *Inside the classroom: The language arts classroom experiences of elementary and middle school students with disabilities*. Menlo Park, CA: SRI International.

RENEE CAMETO (continued)

Selected Presentations on Assessment Topics 2009-2013

- Cameto, R., Haertel, G., Herrera, W., Forte, E., Flowers, C., Weigert, S., Thurlow, M., & Mislevy, R. (2013, May). *Everything changes: Implementing evidence-centered design to address large-scale assessment challenges*. Symposium presented at AERA Annual Meeting, San Francisco.
- Haertel, G. D., Cheng, B. H., & Cameto, R. (2012, May). *Design and development of technology-enhanced assessment tasks: Integrating evidence-centered design and Universal Design for Learning frameworks to assess hard to measure science constructs and increase student accessibility*. Paper presented at the Technology Enhanced Assessment Symposium, ETS Invitational Conference, Washington, DC.
- Cameto, R., (2012, April). *Accessible assessment tasks for students with significant cognitive disabilities using ECD/UDL*. Presentation at the CEC 2011 Annual Convention, Denver, CO.
- Cameto, R. (2011, October). *Designing math and ELA tasks for AA-AAS using ECD and UDL*. Invited presentation at the University of Kansas, Lawrence, KS.
- Cameto, R., Haertel, G., Carver, W., Denbroeder, K., Scholtz, C., Matthews, D., Wakeman, S, & Roeber, E. (2011, June). *Designing math and ELA tasks for AA-AAS using ECD and UDL*. Presentation at the Council of Chief State School Officers (CCSSO), National Conference on Student Assessment, Orlando, FL.
- Wei, X., & Cameto, R. (2011, June). *Creating personalized education systems: Growth modeling and students with disabilities*. Presentation at the Council of Chief State School Officers (CCSSO), National Conference on Student Assessment, Orlando, FL.
- Cameto, R. (2011, April). *Increasing access to grade-level standards for students with significant cognitive disabilities: Application of evidence-centered design to alternate assessments in mathematics*. Paper presented at the annual meeting of the American Educational Research Association, New Orleans, LA.
- Cameto, R., & Nagle, K. (2011, April). *Teacher perspectives: School-level implementation of AA-AAS*. Paper presented at the annual meeting of the American Educational Research Association, New Orleans, LA.
- Cameto, R., (2011, April). *How design patterns integrate universal design for learning (UDL) into assessments for students with disabilities*. Paper presented as part of a symposium at the annual meeting of the American Educational Research Association, New Orleans, LA.
- Bechard, S., Almond, P., Cameto, R., Clarke-Midura, J., Russell, M., Higgins, J., Johnstone, C., & Fedorchak, G. *Technology enabled assessments: Examining the potential for universal access and better measurement of achievement*. (2010, June). Annual meeting of the National Council on Measurement in Education, Detroit, MI.
- Cameto, R., & Haertel, G. (2010, May). *Content validity: Alignment to grade-level content standards in alternate assessment based on alternate achievement standards*: Paper presented at the annual meeting of the American Educational Research Association, Denver, CO.
- Cameto, R., & Nagle, K. M. (2009, July). *Teacher understanding and use of state-developed guidelines for assessment eligibility and the development and implementation of standards-based IEPs*. Paper presented at the OSEP Project Directors' Conference, Washington, DC.
- Cameto, R., Almond, P., Haydel-Debarger, A., Knokey, A., & Nagle, K. (2009, June). *Identifying construct-irrelevant barriers to reading achievement for low-performing students taking alternate assessment judged against modified achievement standards*. Paper presented at the CCSSO National Conference on Student Assessment, Los Angeles, CA.

GENEVA D. HAERTEL
SRI international

Program Area Director, Assessment Research and Design
Center for Technology in Learning, Education Division

Specialized Professional Competence

Application of evidence-centered assessment design for innovative and technology-supported classroom and state assessments; research on assessment design, validation of assessments, design of technology-enabled assessments and influences on student learning that promote student achievement.

Representative Research Assignments

Principal Investigator of the NSF-funded Applications of Evidence-Centered Design (ECD) to a State's Large-Scale Science Assessment. This research tests whether an ECD approach can be successfully scaled for the purposes of large-scale state science assessments under NCLB. The research involves the application of ECD principles—in particular, design patterns—to the development of a scenario-based, statewide science assessment. Wizards will be developed to assist task designers in applying the ECD principles to the development of storyboards and items.

Principal Investigator of the IES-funded Principled Science Assessment Designs for Students with Disabilities. This project proposes to demonstrate that the principles of Universal Design for Learning (UDL), paired with the assessment design techniques and tools of ECD, can be used to develop or redesign items that can be more accurately interpreted for use as outcome evaluations for *all* students on statewide assessments in middle school science. The Kansas, Kentucky, Nevada, and South Carolina state departments of education are participating in the research.

Principal Investigator, the PADI (Principled Assessment Designs for Inquiry) Implementation Study. This project provided a practical, theory-based approach to developing high-quality assessments of science inquiry by combining developments in cognitive psychology and research on science inquiry with advances in measurement theory and technology. The PADI team comprised SRI, the University of Maryland, the University of California at Berkeley, the FOSS Project at the Lawrence Hall of Science, and the BioKIDS Project at the University of Michigan.

Task Leader of the Alternate Assessment Development-Mathematics and Reading Enhanced Assessment Grants (EAGs) funded by the U.S. Department of Education. Responsible for the creation of 30 design patterns each in mathematics and English language arts for students with significant cognitive disabilities (1% population

Senior Researcher of the review of the Washington Assessment of Student Learning (WASL) science assessments at grades 4, 7, and 10, commissioned by the Office of the Superintendent of Public Instruction in Washington State.

Co-Principal Investigator of Calipers: Using Simulations to Assess Complex Science Learning. SRI and the Concord Consortium collaborated on the use of technology-based simulations as a new generation of assessment systems.

Project Director for the Online Evaluation Resource Library (OERL), which improved the evaluation of NSF projects by providing project developers and evaluators with support in the design, conduct, documentation, and review of project evaluations.

GENEVA D. HAERTEL (continued)

Professional Experience

Director, Assessment Research and Design, Center for Technology in Learning, SRI International (2005–present)

Senior Educational Researcher and Principal Investigator, Center for Technology in Learning, SRI International (1998–2004)

Senior Research Associate and Co-Principal Investigator, Laboratory for Student Success Mid-Atlantic Regional Educational Laboratory, Temple University, Philadelphia (1996–98)

Research Associate, Center for Research on Human Development and Learning, Temple University, Philadelphia (1988–1996)

Research Associate, Center for Research on Educational Accountability and Teacher Evaluation (CREATE), Western Michigan University, Kalamazoo (1991–94)

Research Associate, Chapter 1, Region F, Technical Assistance Center, RMC Research, Mountain View, California (1990–91)

Independent Consultant, Palo Alto, California (1982–88)

Research Associate, Office of Evaluation Research, College of Education, University of Illinois at Chicago (1978–1981)

Evaluator, Department of Research and Evaluation, Chicago Board of Education, Chicago Public Schools (1975–77)

Technical Specialist, Wisconsin Research and Development Center, University of Wisconsin, Madison (1973–75)

Academic Background

Ph.D., educational psychology, 1975, Kent State University, Kent, Ohio

B.S., education, 1968, Kent State University, Kent, Ohio

Selected Publications

Mislevy, R., Bejar, I., Bennett, R., Haertel, G., & Winters, F. (2012). Technology supports for assessment design. In B. McGaw, P. Peterson, & E. Baker (Eds.), *International encyclopedia of education* (3rd ed.). London, UK: Elsevier Publishing.

Haertel, G. D., Cheng, B. H., Cameto, R., Fujii, R., Sanford, C., Rutstein, D., & Morrison, K. (2012). *Design and development of technology-enhanced assessment tasks: Integrating evidence-centered design and Universal Design for Learning frameworks to assess hard to measure science constructs and increase student accessibility*. Princeton, NJ: ETS.

Mislevy, R., Bejar, I., Bennett, R., Haertel, G., & Winters, F. (2012). Technology supports for assessment design. In B. McGaw, P. Peterson, & E. Baker (Eds.), *International encyclopedia of education* (3rd ed.). London, UK: Elsevier Publishing.

Haertel, G. D., Cheng, B. H., Cameto, R., Fujii, R., Sanford, C., Rutstein, D., & Morrison, K. (2012). *Design and development of technology-enhanced assessment tasks: Integrating evidence-centered design and Universal Design for Learning frameworks to assess hard to measure science constructs and increase student accessibility*. Princeton, NJ: ETS.

Haertel, G., Cameto, R., Morrison, K., DeBarger, A., Nagle, K., Fujii, R., Greene, S., & Sanford, C. (2012). *Alternate Assessment Design—English Language Arts: Technical Report 4: Design patterns—The background and role of design patterns in evidence-centered design process*. Menlo Park, CA: SRI International.

GENEVA D. HAERTEL (continued)

Selected Publications (continued)

- Nagle, K. M., DeBarger, A., Cameto, R., Haertel, G., Morrison, K., Seeratan, K., & Knokey, A.-M. (2012). *Alternate Assessment Design—English Language Arts: Technical report 8: Implementing evidence-centered design to develop assessments for students with significant cognitive disabilities: Procedural guidelines for creating design patterns and development specifications and exemplar task templates for English language arts*. Menlo Park, CA: SRI International.
- Cameto, R., Haertel, G., DeBarger, A., & Morrison, K. (2011). *Alternate Assessment Design—English Language Arts/Reading: Technical report 1: Project overview: Applying evidence-centered design to alternate assessments in English language arts/reading for students with significant cognitive disabilities*. Menlo Park, CA: SRI International.
- Haertel, G., Cameto, R., Morrison, K., DeBarger, A., Nagle, K., Seeratan, K., Fujii, R., & Knokey, A.-M. (2011). *Alternate Assessment Design—Mathematics: Design patterns, the background and role of design patterns in the evidence-centered design process*. Menlo Park, CA: SRI International.
- DeBarger, A., Seeratan, K., Cameto, R., Haertel, G., Knokey, A.-M., & Morrison, K. (2011). *Alternate Assessment Design—Mathematics: Implementing evidence-centered design to develop assessments for students with significant cognitive disabilities: Guidelines for creating design patterns and development specifications and exemplar task templates for mathematics*. Menlo Park, CA: SRI International.
- Almond, P., Winter, P., Cameto, R., Russell, M., Sato, E., Clarke-Midura, J., Torres, C., Haertel, G., Dolan, R., Beddow, P., & Lazarus, S. (2010). Technology-Enabled and Universally Designed Assessments: Considering Access in Measuring the Achievement of Students with Disabilities—A Foundation for Research. *The Journal of Technology, Learning and Assessment, 10*(5).
- Bechard, S., Sheinker, J., Abell, R., Barton, K., Burling, K., Camacho, C., Cameto, R., Haertel, G., Hansen, E., Johnstone, C., Kingston, N., Murray, E., Parker, C. E., Redfield, D., & Tucker, B. (2010). Measuring Cognition of Students with Disabilities and Technology-Enabled Assessments: Recommendation for a National Research Agenda, *The Journal of Technology, Learning and Assessment, 10*(4).
- Mislevy, R., Bejar, I., Bennett, R., Haertel, G., & Winters, F. (2009). Technology supports for assessment design. In B. McGaw, P. Peterson, & E. Baker (Eds.), *International encyclopedia of education* (3rd ed.). London, England: Elsevier Publishing.
- Haertel, G. D., Means, B., & Penuel, W. (2006). Technology tools for collecting, managing, and using assessment data to inform instruction and improve achievement. In L. Smolin, K. Lawless, & N. Burbules (Eds.), *National Society for the Study of Education (NSSE) yearbook* (Vol. 106:2). Chicago, IL: NSSE.
- Quellmalz, E. S., & Haertel, G. D. (2006). Assessing new literacies in science and mathematics. In D. J. Leu, Jr., J. Coiro, M. Knowbel, & C. Lankshear (Eds.), *Handbook of research on new literacies*. Mahwah, NJ: Erlbaum.
- Mislevy, R., & Haertel, G. D. (2006). Implications of evidence-centered design for educational testing. *Educational Measurement: Issues and Practice, 25*(4), 6-20.
- Quellmalz, E. S., & Haertel, G. D. (2004). *Technology supports for state science assessment systems*. Paper commissioned by the National Research Council Committee on Test Design for K-12 Science Achievement.

GENEVA D. HAERTEL (continued)

Selected Publications (concluded)

- Means, B., & Haertel, G. D. (2004). *Using technology evaluation to enhance student learning* (Vol. 2). New York, NY: Teachers College Press.
- Means, B., Roschelle, R., Penuel, W., Sabelli, N., & Haertel, G. (2004). Technology's contribution to teaching and policy: Efficiency, standardization, or transformation? In R. E. Floden (Ed.), *Review of research in education* (Vol. 27). Washington, DC: American Educational Research Association.
- Mislevy, R. J., Hamel, L., Fried, R., Gaffney, T., Haertel, G., Hafter, A., Murphy, R., Quellmalz, E., Rosenquist, A., Schank, P., Draney, K., Kennedy, C., Long, K., Wilson, M., Chudowsky, N., Morrison, A., Pena, P., Songer, N., & Wenk, A. (2003). *Design patterns for assessing science inquiry* (PADI Technical Report 1). Menlo Park, CA: SRI International.
- Haertel, G. D., & Means, B. (Eds.) (2003). *Evaluating educational technology: Effective research designs for improving learning* (Vol. 1). New York, NY: Teachers College Press.
- Walberg, H. J., & Haertel, G. D. (1994). The implications of cognitive psychology for measuring school achievement. In Organization for Economic Cooperation and Development (OECD) (Ed.), *Making education count: Developing and using international indicators* (pp. 220-233). Paris, France: OECD, Center for Educational Research and Innovation.
- Wheeler, P., & Haertel, G. D. (1993). *Resource handbook on performance assessment and measurement: A tool for students, practitioners, and policy makers*. Berkeley, CA: Owl Press.

Selected Presentations

- Haertel, G. D., Cheng, B. H., Cameto, R., Fujii, R., Sanford, C., Rutstein, D., & Morrison, K. (2012, May). *Design and development of technology-enhanced assessment tasks: Integrating evidence-centered design and Universal Design for Learning frameworks to assess hard to measure science constructs and increase student accessibility*. Paper presented at the Technology Enhanced Assessment Symposium, ETS Invitational Conference, Washington, DC.
- Vendlinski, T. P., Haertel, G. D., & Rutstein, D. W. (2012, June) Using PADI-SE to improve the design of science assessments. In Nancy Doorey (Chair), *Enhancing accessibility, validity, and utility in next generation science assessments*. Symposium conducted at the CCSSO National Conference on Student Assessment. Minneapolis, MN.
- Vendlinski, T.P., Haertel, G.D. & Rutstein, D.W. (2012, June). The use of a co-design process in ECD to support the development of large-scale assessments. In Linda Zimmerman (Chair), *Applications of Evidence Centered Design*. Symposium conducted at the CCSSO National Conference on Student Assessment. Minneapolis, MN.
- Haertel, G., Vendlinski, T., DeBarger, A., Harris, C., Rutstein, D. (2012). *Using Evidence-Centered Assessment Design to support the design of NAEP ICT science*. Presentation to the US Commissioner of Education, Washington, D.C.
- Haertel, G., Vendlinski, T., Harris, C., DeBarger, A., Rutstein, D. (2012). *Supporting the design of NAEP science ICTs using Evidence-Centered Design*. Presentation to the NAEP Science ICT Standing Committee. Washington D.C.
- Haertel, G. D. (2011, November). *Evidence-centered Design Orientation Workshop*. Workshop presentation at Pearson, Inc. Iowa City, IA.
- Cameto, R., Haertel, G., Carver, W., Denbroeder, K., Scholtz, C., Matthews, D., Wakeman, S., & Roeber, E. (2011, June). *Designing math and ELA tasks for AA-AAS using ECD and UDL*. Presentation at the Council of Chief State School Officers (CCSSO), National Conference on Student Assessment, Orlando, FL.

KAVITA L. SEERATAN
SRI International

Senior Scientist
Center for Education and Human Services, Education Division

Specialized Professional Competence

Typical and atypical cognitive development and learning; design, development, and empirical validation of alternative assessment, instructional, and remedial applications, models, or methodologies rooted in research from applied cognitive science and developmental psychology; computer-based applications for learning; education policy and practice restructuring at local, state, federal, and international levels.

Representative Research Assignments

Principal Investigator & Project Director, Learning Progressions: Developing an Embedded Formative and Summative Assessment System to Improve Learning Outcomes for Elementary and Middle School Students with Learning Disabilities in Mathematics. With funding from the Department of Education's National Center for Special Education Research, we are using the BEAR assessment system and universal design for learning principles to develop and validate learning progressions and aligned formative and summative assessments for students with learning disabilities in mathematics in the domain of number sense and operations. Direct all aspects of this work.

Champion, Military Networking and Prototyping for the Strategic Business Thrust Initiative, Center of Excellence in Assessment at SRI. With funding from the CEO of SRI, we are exploring the needs of military training initiatives in the area of assessment and learning. Based on insights gathered via the establishment of military networks, we will develop relevant prototypes of our research-based frameworks for improving military training outcomes.

Assessment Director, Evaluation of the Inquiry-Based Advanced Placement (AP) Science Courses: Evidence from a Formative Evaluation & Randomized Controlled Study. With funding from the National Science Foundation, we are evaluating the impact of the revised AP Placement Biology and Chemistry courses. Provide leadership and oversight of the development and validation of inquiry-based assessments in Biology and Chemistry.

Expert Reviewer, National Center and State Collaborative General Supervision Enhanced Assessment. The NCSC is applying lessons learned from research on alternate assessments based on alternative achievement standards to develop a multistate comprehensive assessment system for students with significant cognitive disabilities. SRI participates in assessment development using evidence-centered design (ECD). Review and critique all products created to ensure consistency with and adherence to ECD methodology.

Assessment Design Leader, Alternate Assessment Design in Mathematics and Reading, Evidence-Centered Design for Alternate Assessment. With funding from the Department of Education's Enhanced Assessment Grants (EAG) effort, we are applying evidence-centered design (ECD) principles to the design of high-quality alternate assessments in mathematics for three states: Utah, Idaho, and Florida; and in reading for three states: Utah, Idaho, and Kansas. Provide expertise in assessment design process and in applying ECD principles to the design and development of alternative assessments for design patterns in mathematics for students with significant cognitive disabilities.

KAVITA L. SEERATAN (continued)

Representative Research Assignments (concluded)

Assessment & Measurement Advisor, Early Childhood Outcomes (ECO) Center. With funding from the Office of Special Education Programs (OSEP), the ECO Center provides national leadership and coordination in the implementation of high-quality outcome systems for early intervention and early childhood special education programs, delivering knowledge development, technical assistance, and information dissemination. The ECO Center is dedicated to demonstrating results for infants, toddlers, and preschoolers with disabilities and their families. Guide SRI staff and clients in the interpretation of project data from a psychometric perspective, in particular via item response modeling.

Certified Scientific Reviewer, What Works Clearinghouse. Under subcontract to Mathematica Policy Research (MPR) and with funding from the Institute for Education Sciences (IES), this project aims to provide high-quality, rigorous reviews of scientific evidence about the effectiveness of replicable educational interventions for improving student outcomes, with randomized control trials serving as the gold standard for the evaluations. Certified Scientific Reviewer for experimental, quasi-experimental, and single-case subject designs in two topic areas, Adolescent Literacy and Students with Elementary School Students with Learning Disabilities.

Other Professional Experience

Associate Research Scientist (2006–08), University of California at Berkeley, Graduate School of Education. Project Co-Director (research and development) for the California Preschool Learning Foundations in association with California Department of Education (CDE) and WestEd. Project Director for the Data Modeling and Statistical Reasoning Project in association with Vanderbilt University. Project Director for the Learning Progression's Evolutionary Change Project in association with Vanderbilt University.

Assistant Professor (2006–07), University of Maryland at College Park, College of Education. Research and development for the Principled Assessment Design for Inquiry (PADI) project in association with University of California at Berkeley, University of Michigan-Ann Arbor, Lawrence Hall of Science, and SRI International. Led a research effort to develop design patterns for assessing internal knowledge representations. Collaborated with Dr. Robert Mislevy to write a PADI Technical Report (and journal article).

Principal Researcher and Designer (1998–2005), ME Design Studio, Resource Centre for Academic Technology, Meaning Equivalence Project.

Director of Research and Development (2001–04), Adaptive Technology and Resource Centre, University of Toronto, Learning Disabilities Resource Community Project.

Academic Background

Post Doc., measurement and evaluation, 2007, University of California at Berkeley

Ph.D., applied cognition and education, 2006, University of Toronto, Canada

M.A., adaptive instruction and special education, 2000, University of Toronto, Canada

B.S., experimental psychology, 1997, University of Toronto, Canada

Selected Publications

Seeratan, K. L. (2013). Scoring exemplars as boundary objects. In R. Lehrer, L. Schauble, & M. Wilson (Eds.), *Constructing data modeling worlds*. Manuscript submitted for publication.

KAVITA L. SEERATAN (continued)

Selected Publications (concluded)

- Seeratan, K. L., & Ferrari, M. (2013). *Learning disabilities: The inter-relational dynamics of the cognitive, metacognitive and self-systems*. Manuscript submitted for publication.
- Seeratan, K. L. (2011). Diagnostic learning progressions to improve learning outcomes of training initiatives. *Proceedings of the Inter-service/Industry Training, Simulation, and Education Conference (I/ITSEC)*, Orlando, FL: I/ITSEC.
- DeBarger, A., Seeratan, K. L., Cameto, R., Haertel, G., Knokeley, A., & Morrison, K. (2011). *Alternate Assessment Design in Mathematics: Implementing evidence-centered design to develop assessments for students with significant cognitive disabilities: Guidelines for creating design patterns and development specifications and exemplar tasks templates for mathematics* (Technical Report 9). Menlo Park, CA: SRI International.
- Almond, P., Seeratan, K. L., Nagle, K., Cameto, R., Haertel, G., DeBarger, A., Morrison, K., & Fujii, R. (2011). *Alternate Assessment Design in Mathematics: Pilot task tryouts. Design and analysis* (Technical Report 7). Menlo Park, CA: SRI International.
- Morrison, K., Cameto, R., DeBarger, A., Seeratan, K. L., Haertel, G., Fujii, R., & Knokeley, A. (2011). *Alternate Assessment Design in Mathematics: Assessment task library* (Technical Report 6). Menlo Park, CA: SRI International.
- Haertel, G., Cameto, R., Morrison, K., DeBarger, A., Nagle, K., Seeratan, K. L., Fujii, R., & Knokeley, A. (2011). *Alternate Assessment Design in Mathematics: The background and role of design patterns in the evidence-centered design process* (Technical Report 4). Menlo Park, CA: SRI International.
- Seeratan, K. L., & Mislevy, R. (2009). *Design patterns for assessing knowledge representations* (PADI Technical Report 22). Menlo Park, CA: SRI International.
- Seeratan, K. L. (2006). Using the meaning equivalence method to assess and enhance learning outcomes. *Proceedings of the inter-service/industry training, simulation, and education conference (I/ITSEC)*, Orlando, FL: I/ITSEC.
- Seeratan, K. L. (2006). *Assessing and enhancing learning outcomes in an architectural context: Meaning equivalence methodology versus traditional formats of testing*. Doctoral dissertation published in the National Library of Canada and Library of the University of Toronto, Toronto, Ontario, Canada.
- Shavinina, L. V., & Seeratan, K. L. (2004). Extracognitive phenomena in the intellectual functioning of creative and talented individuals. In L. V. Shavinina & M. Ferrari (Eds.), *Beyond knowledge: Extracognitive aspects of developing high ability* (pp. 73-82). Mahwah, NJ: Erlbaum Publishers.
- Shavinina, L. V., & Seeratan, K. L. (2003). On the nature of individual innovation. In L. V. Shavinina (Ed.), *International handbook on innovation* (pp. 31-43). Oxford, UK: Elsevier Science.
- Gay, G., & Seeratan, K. L. (2001). *The learning disabilities resource community*. Technical Report. Ottawa, Canada: Office of Learning Technologies, Human Resources & Development Canada (HRDC).
- Seeratan, K. L. (2000). *Motivation for success: A new probe for exploring the cognitive, metacognitive and affective profiles of individuals with and without learning disability*. Master's thesis, University of Toronto, Toronto, Ontario, Canada, published in the National Library of Canada and Library of the University of Toronto.

KAVITA L. SEERATAN (concluded)

Selected Presentations

- Seeratan, K. L., Draney, K., Haertel, G., Fisher, W.P., Murray, E., Blackorby, J., Wilson, M., Saldarriaga, C., Lee, H. K., Thayer, S., Lim, S., McKerracher, A. (2012, April). *Diagnostic learning progressions framework: Developing a universally designed assessment system that is inclusive of students with mathematics learning disabilities—our first pilot study*. American Educational Research Association Conference, Vancouver, British Columbia, Canada.
- Seeratan, K. L. (2011, December). *Diagnostic learning progressions to improve learning outcomes of training initiatives*. Inter-service/Industry Training, Simulation, and Education Conference (IITSEC), Orlando, FL: IITSEC.
- Seeratan, K. L. (2011, September). *Diagnostic learning progressions framework: Developing an embedded formative and summative assessment system to improve learning outcomes for elementary and middle school students with mathematics learning disabilities*. Society for Research and Educational Effectiveness, Washington, DC.
- Buzick, H. M., Tindal, J., Seeratan, K. L., & Loving-Ryder, S. (2011, June). *Measuring and modeling growth for students*. National Conference on Student Assessment at the Council of Chief State School Officers, Orlando, FL.
- Seeratan, K. L., Wei, X., Almond, P., & Scholtz, C. (2011, June). *Creating personalized education systems to engage and motivate students with disabilities*. National Conference on Student Assessment at the Council of Chief State School Officers, Orlando, FL.
- Seeratan, K. L., Almond, P. A., Nagle, K. M., Cameto, R., Haertel, G. D., Haydel Debarde, A., Morrison, K. S., & Fujii, R. (2011, April). *Evidence-centered design and universal design for learning: Developing alternate assessments in mathematics for students with significant cognitive disabilities: A comparison of three states*. American Educational Research Association Conference, New Orleans, LA.
- Almond, P. A., Seeratan, K. L., Nagle, K. M., Cameto, R., Haertel, G. D., Haydel Debarde, A., Morrison, K. S., & Fujii, R. (2011, April). *Evidence-centered design (ECD): A pilot study across three states: Alternate assessment–Alternate achievement standards*. American Educational Research Association Conference, New Orleans, LA.
- Seeratan, K. L., Draney, K. L., Wilson, M., Haertel, G. D., Murray, E., & Blackorby, J. (2011, April). *Diagnostic learning progressions framework: Developing a universally designed formative and summative classroom assessment system for students with math learning disabilities*. American Educational Research Association Conference, New Orleans, LA.
- Seeratan, K. L. (2009, April). *Symposium on validation studies of a measure of academic resilience and the big five personality inventory*. (Discussant). American Educational Research Association Conference, San Diego, CA.
- Seeratan, K. L., Zhou, W., Karelitz, T.M., Burmester, K., Kim, M., Full, M., Schwartz, R., & Wilson, M. (2008, April). *Making sense of student responses to assessment items using scoring exemplars*. Paper presented at the American Educational Research Association Conference, New York, NY.
- Seeratan, K. L. (2008, April). *Symposium on assessment and instruction in special education*. (Discussant). American Educational Research Association Conference, New York, NY.

CHRISTOPHER R. MAKLER
SRI International

Director of Education Technology Production
Center for Technology in Learning, Education Division

Specialized Professional Competence

Management of technology supports for educational applications, including assessment and curricular technologies, authoring environments, online deployment, and systems integration.

Representative Research Assignments (since 2012)

Task Leader for math technology review for ETS subcontract in support of the 2013-2017 NAEP Math and Science Assessment. Responsible for identifying and summarizing commercial technology tools to support the transition of NAEP to a technology-based assessment.

Task Leader for client interface to PADI (Principled Assessment Designs for Inquiry) on the National Centers and State Collaboratives GSEG project which is developing assessment tasks for students with significant cognitive disabilities using evidence-centered design (ECD) and universal design for learning (UDL) to develop assessment tasks for Common Core State Standards in mathematics and English language arts.

Task Leader for development of an authoring wizard on PADI (Principled Assessment Designs for Inquiry) as part of SRI's Strategic Business Thrust. The wizard will provide support for the design of items based on the Common Core State Standards in math and English language arts.

Task Leader for development of integrated web-based authoring and publication environment for mixed workbook and online content for Cornerstones Math. Contributor to software design of rich interactive simulations.

Task Leader for technology development of a survey reporting engine for the World Economic Forum and Stanford University GSB.

Task Leader for hardware development project around optimal use of iPads in the classroom on Cornerstones Strategic Business Thrust.

Department of Education Task 3 – Task Leader for software development of student-facing dashboards on a task order for the U.S. Department of Education. Support efforts to recruit schools and technology partners, provide technical assistance to partnering schools and technology vendors as well as overall design direction for the project leadership team.

Other Professional Experience

Director of Content, Junyo Learning Analytics, Menlo Park, CA. Responsible for development the academic vision for a rapidly evolving education technology startup, balancing short-term customer needs and long-term growth strategy. Initiated and maintained strategic projects and contracts with technology, assessment, and standards/alignment experts. Advised the engineering team on the technical requirements of Junyo's content strategy. Designed a simple, lightweight web application to manager the authoring and review of the Junyo Learning Map. (2011-2012)

CHRISTOPHER R. MAKLER (continued)

Other Professional Experience (concluded)

Senior Content Architect, Aplia/Thomson/Cengage Learning, Belmont, CA. Co-founded the Content Engineering department to design and create new processes, workflows, development technologies to support an expansion of the digital content team. Set development and technology strategy for digital content, including spearheading a new initiative to completely redesign the technology stack for authoring, and delivering content across multiple platforms, and on mobile devices. Shifted authoring process from Word-based to XML-native, designing a simplified semantic authoring schema for interactive content that allowed authors to interact with their work product as they created it instead of waiting for it to go through an extended production process. Designed and oversaw the development of the Aplia Content Desktop Console (ACDC), a web-enabled desktop-based Flex AIR application, to automate a variety of tasks performed by authors, editors, and content producers. Negotiated with external engineering and product teams. (2008-2011)

Senior Economist, Aplia, San Carlos, CA. Wrote highly interactive economics content to accompany more than twenty textbooks; used by more than 750,000 students. Provided content support to professors and students. Reviewed the work of other full-time and contract economists, and served as a mentor to economist and non-economist content developers. (2005-2008)

SRI International. Served on a panel of economists as part of the domain-specific PADI project (<http://butterflyctl.sri.com/padi-ds/>). Worked closely with SRI staff to develop assessment objects for an economics assessment aimed specifically at measuring critical thinking skills. (2008-2009)

Lecturer, Stanford University, CA. Econ 51B (Intermediate Microeconomic Theory), Econ 161B (Industrial Organization), and Econ 1A (Introduction to Microeconomics). (2006-2008)

Academic Background

Ph.D., economics, 2005, University of Pennsylvania, Philadelphia, PA

M.A., economics, 2002, University of Pennsylvania, Philadelphia, PA

B.A., humanities, 1996, Yale University, New Haven, CT

Selected Publications

Hamilton, B. H., Chan, T. Y. & Makler, C. (2011). Using expectations data to infer managerial preferences. Social Science Electronic Publishing. Online paper, available at SSRN: <http://ssrn.com/abstract=1830285> or <http://dx.doi.org/10.2139/ssrn.1830285>.

Makler, C. R. (January 1, 2005). *Essays on local matching*. (Doctoral dissertation, University of Pennsylvania). Available from ProQuest, paper AAI3197708. <http://repository.upenn.edu/dissertations/AAI3197708>

CHRISTOPHER R. MAKLER (continued)

Selected Authored Online Supplements to Major Economics Textbooks

- Makler, C. (2008). Principal author Aplia online interactive homework. For N. G. Mankiw, *Principles of microeconomics, 5th edition*. Mason, OH: Thompson South-Western.
- Makler, C. (2007). Principal author, Aplia online interactive homework. For B. Bernanke, & R. Frank, *Principles of microeconomics, 3rd Edition*. New York, NY: McGraw-Hill.
- Makler, C. (2007). Principal author, Aplia online interactive homework. For J. Taylor, & A. Weerapana, *Microeconomics, 6th Edition*. Belmont, CA: Cengage Learning.
- Makler, C. (2006). Principal author, Aplia online interactive homework. For E. Browning, & M. Zupan, *Microeconomics: Theory and applications, 9th Edition*. New York, NY: Wiley.
- Makler, C. (2006). Principal author, Aplia online interactive homework. For C. McConnell, & S. Brue, *Microeconomics, 20th Edition*. New York, NY: McGraw-Hill.
- Makler, C. (2006). Principal author, Aplia online interactive homework. For W. McEachern, *Microeconomics, 7th Edition*. Belmont, CA: Cengage Learning.
- Makler, C. (2006). Principal author, Aplia online interactive homework. For N. G. Mankiw, *Principles of microeconomics, 4th edition*. Mason, OH: Thompson South-Western.
- Makler, C. (2004). Principal author, Aplia online interactive homework. For R. Arnold, *Microeconomics, 7th Edition*. Mason, OH: Thompson South-Western.

Selected Software

- Junyo/SRI Map Database (software to manage learning goals within an Evidence-Centered Design framework).
- Aplia Content Desktop Console (software to manage production of rich assessment items for Aplia homework solution).
- Aplia XML Authoring Pipeline (software to aid in the authoring of rich assessment items for Aplia homework solution).

Other Activities

- Participation in Bill & Melinda Gates Foundation Granularity Summit on Common Core Microstandards
- Served as a domain expert for the Domain-Specific Assessment: Bringing the Classroom Into Community College Accountability
- Served as volunteer interim CTO of National Laboratory for Education Transformation (NLET)
- Finalist in Innovation Endeavors' Runway Program (entrepreneurship competition)
- Author of "Microeducation" blog on the economics of education technology

Larry Edelman

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Denver, CO 80210

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EDUCATION:

1975 BS in Child Development/ Child Care, University of Pittsburgh, Pittsburgh, Pennsylvania

1982 MS in Child Development/ Child Care, University of Pittsburgh, Pittsburgh, Pennsylvania

PROFESSIONAL EXPERIENCE:

Present Position:

Oct., 1995 - present Senior Instructor, Department of Pediatrics, University of Colorado School of Medicine

Previous Positions:

Oct., 1995 - June 30, 1997 Executive Director, Rocky Mountain Resource and Training Institute

March, 1989 - May, 1992 Project Manager, Project Copernicus, Kennedy Krieger Institute, Baltimore, Maryland

Jan., 1986 - Jan., 1989 Director of Training, The Rehabilitation Institute of Pittsburgh, Pittsburgh, Pennsylvania

Sept., 1982 - Dec., 1985 Curriculum Development and Staff Trainer/Associate Director of Training, The Rehabilitation Institute of Pittsburgh, Pittsburgh, Pennsylvania

Oct., 1980 - Sept., 1982 Assistant Director, Project Thousand Kids, The Rehabilitation Institute of Pittsburgh, Pittsburgh, Pennsylvania

Jan., 1975 - May, 1977 Child Care Worker, The Rehabilitation Institute of Pittsburgh, Pittsburgh, Pennsylvania

Sept., 1984 - Sept., 1986 Clinical Instructor, Department of Child Development, University of Pittsburgh

Aug., 1981 - Dec., 1981 Instructor, Department of Child Development, University of Pittsburgh

March, 1978 - June, 1979 Program Manager, Toy Lending Library/Parent Child Interaction Program, Community Action Pittsburgh

Recent Awards:

(2010) Departmental Alumni Award, Department of Psychology in Education, School of Education, University of Pittsburgh

(2009) Awarded the Barbara A. Quarantillo Senior Instructor with Distinction Award from the Department of Pediatrics, University of Colorado Denver

PUBLICATIONS:

Book Chapters:

Edelman, L. (2006). *Principles of Adult Learning Applied to Telehealth*. In Autism-Telehealth Guideline. Davis, California: UC Davis.

Ylvisaker, M., Sellars, C., & Edelman, L. (1998). Rehabilitation after Traumatic Brain Injury in Preschoolers. in M. Ylvisaker (Ed.). *Head Injury Rehabilitation: Children and Adolescents (2nd Ed.)*. Boston: Butterworth.

Books:

Edelman, L. & Robinson, C. (1998). *The Extra Measure: A Study of Colorado's Family Support Services Program*. Denver: Colorado Developmental Disabilities Planning Council.

Edelman, L. (Editor) (1995). *Getting on Board: Training Activities to Promote the Practice of Family-Centered Care (second edition)*. Bethesda, MD: Association for the Care of Children's Health.

Articles:

Edelman, L. (in 2011). Using Digital Video to Enhance Authentic Assessment. *Young Exceptional Children Monograph Series No. 13*

Edelman, L. (2005). Supporting Successful Transitions: *Do We Have the Commitment?* In *Resources and Connections*, Vol. 4, No 1, pp. 2-7.
<http://www.draccess.org/pdf/LarryEdelmanTransition.pdf>

Edelman, L. (2004). A Relationship-Based Approach to Early Intervention. In *Resources and Connections*, Vol. 3, No 2, pp. 2-10.
<http://olms.cte.jhu.edu/olms/data/resource/1144/A%20Relationship-based%20Approach%20to%20Early%20Intervention.pdf>

Curriculum, Training Manuals, and Resource Guides:

Edelman, L. (Producer) (2011). IDEA Part B Data Collections Online Learning Modules (6 modules). Data Accountability Center. <http://www.ideadata.org/PartBTrainingModule.asp>

Edelman, L. (Producer) (2011). IDEA Part C Data Collections Online Learning Modules (4 modules). Data Accountability Center. <http://www.ideadata.org/PartCTrainingModule.asp>

Edelman, L. (Producer) (2011). *Overview of the DRDP access* (online module). Sacramento: California Department of Education and the Desired Results *access* Project/Napa County Office of Education. <http://www.draccess.org/training/learningmodules.html>

Edelman, L. (Producer) (2011). *Practice Rating the DRDP access* (online module). Sacramento: California Department of Education and the Desired Results *access* Project/Napa County Office of Education. <http://www.draccess.org/training/learningmodules.html>

Edelman, L. (Producer) (2011). *Using Adaptations with the DRDP* (online module). Sacramento: California Department of Education and the Desired Results *access* Project/Napa County Office of Education. <http://www.draccess.org/training/learningmodules.html>

Edelman, L. (Producer) (2011). *Using Adaptations with the DRDP* (online module). Sacramento: California Department of Education and the Desired Results *access* Project/Napa County Office of Education. <http://www.draccess.org/training/learningmodules.html>

Edelman, L. and Salcedo, P. (2011). *Using the DRDP Instruments* (training curriculum). Sacramento: California Department of Education and the Desired Results *access*

- Project/Napa County Office of Education.
<http://www.draccess.org/training/trainersmaterials.html>
- Edelman, L. (Editor). (2011) *Writing Effective Observation Notes* (online module). Denver: Colorado Department of Education.
<http://www.cde.state.co.us/resultsmatter/RMOnlineLearningModules.htm>
- Edelman, L. and Salcedo, P. (2011). *Using the DRDP Instruments* (training curriculum). Sacramento: California Department of Education and the Desired Results *access* Project/Napa County Office of Education.
<http://www.draccess.org/training/trainersmaterials.html>
- Edelman, L. (Producer) (2011). *Overview of the DRDP access* (online module). Sacramento: California Department of Education and the Desired Results *access* Project/Napa County Office of Education.
- Edelman, L. (Producer) (2011). *Practice Rating the DRDP access* (online module). Sacramento: California Department of Education and the Desired Results *access* Project/Napa County Office of Education.
- Edelman, L. (Producer) (2011). *Using Adaptations with the DRDP* (online module). Sacramento: California Department of Education and the Desired Results *access* Project/Napa County Office of Education. <http://www.draccess.org/training/learningmodules.html>
- Edelman, L. (Producer) (2012). *Rating Practice 2* (online module). Sacramento: California Department of Education and the Desired Results *access* Project/Napa County Office of Education.
- Edelman, L. (Editor). (2009) *Results Matter Module One: Observation: The Heart of Assessment Trainer's Guide*. Denver: Colorado Department of Education. <http://www.cde.state.co.us/resultsmatter/observation.htm>
- Edelman, L. and Salcedo, P. (2007). *Trainer's Guide for Desired Results access Rollout Training Session*. Sacramento: California Department of Education and Sonoma State University.
- Edelman, L. and Salcedo, P. (2006). *Trainer's Guide for Desired Results access Typical Peer Comparison Study, Spring 2006*. Sacramento: California Department of Education and Sonoma State University.
- Edelman, L. (Editor) (2003). *Self-Assessment of Transdisciplinary Practices*. Denver: Colorado Department of Education and JFK Partners.
- Edelman, L. (Editor) (2002). *Parent Leadership Opportunities in Colorado (third edition)*. Denver: Colorado Department of Education.
- Edelman, L. and Dell, P. (Editors) (2002). *Colorado Service Coordination Core Training Program, Trainer's Guide (CD-ROM version)*. Denver: Colorado Department of Education and JFK Partners.
- Edelman, L. (Editor) (2002). *Self-Assessment of DEC's Recommended Practices in Assessment*. Denver: Colorado Department of Education and JFK Partners.
- Edelman, L. (Editor) (2001). *Frequently Asked Questions about Natural Environments*. Denver: Colorado Department of Education.
- Edelman, L. (Editor) (2001). *Parent Leadership Opportunities in Colorado: second edition*. Denver: Colorado Department of Education.

Edelman, L. (2001). *Just Being Kids: Supports and Services for Infants and Toddlers and Their Families in Everyday Routines, Activities, and Places: Facilitator's Guide*. Denver: Western Media Products.

Edelman, I. (Editor) (2000). *Colorado Service Coordination Core Training Program*. Denver: Colorado Department of Education.

Periodicals:

Edelman, L. (Editor) (2005) *Resources and Connections: Enhancing the Quality of Supports and Services for Infants, Toddlers, and Families, Vol. 4, No. 1*. Denver: Colorado Department of Education and JFK Partners.

Edelman, L. (Editor) (2004) *Resources and Connections: Enhancing the Quality of Supports and Services for Infants, Toddlers, and Families, Vol. 3, Nos. 2 and 3*. Denver: Colorado Department of Education and JFK Partners.

Edelman, L. & Smith, S. (Co-Editors) (2004). *Resources and Connections: Enhancing the Quality of Supports and Services for Infants, Toddlers, and Families, Vol. 3, Nos. 1*. Denver: Colorado Department of Education and JFK Partners.

Edelman, L. & Smith, S. (Co-Editors) (2003) *Resources and Connections: Enhancing the Quality of Supports and Services for Infants, Toddlers, and Families, Volume 2, Nos. 1, 2, 3, 4, 5, and 6*. Denver: Colorado Department of Education and JFK Partners.

Edelman, L. & Smith, S. (Co-Editors) (2002) *Resources and Connections: Enhancing the Quality of Supports and Services for Infants, Toddlers, and Families, Volume 1, Nos. 1, 2, 3, 4, 5, 6, and 7*. Denver: Colorado Department of Education and JFK Partners.

Video:

Edelman, L. (Producer) (2012). *Results Matter Video Library* (Includes 105 Videos). Denver: Colorado Department of Education.
<http://www.cde.state.co.us/resultsmatter/RMVideoSeries.htm>

Edelman, L. (Producer) (2012). *Desired Results access Project Video Library* (Includes 27 Videos). Denver: Colorado Department of Education.
<http://www.cde.state.co.us/resultsmatter/RMVideoSeries.htm>

Edelman, L. (Producer). (2011). *Child Outcomes Step By Step* (Video). Published collaboratively by Results Matter, Colorado Department of Education; Desired Results access Project, Napa County Office of Education; and Early Childhood Outcomes Center. <http://www.draccess.org/videolibrary/>
http://www.cde.state.co.us/resultsmatter/RMVideoSeries_GeneralInterest.htm#top

Edelman, L. (Producer). (2008). *What is Authentic Assessment?* (Video). Denver: Colorado Department of Education and JFK Partners.
<http://www.cde.state.co.us/resultsmatter/RMVideoSeries.htm>

Edelman, L. (Producer). (2007). *Results Matter... Today and for the Future* (Video/DVD). Denver: Colorado Department of Education and JFK Partners.
<http://www.cde.state.co.us/resultsmatter/index.htm>

Edelman, L. (2001). *Just Being Kids: Supports and Services for Infants and Toddlers and Their Families in Everyday Routines, Activities, and Places*. (videotape). Denver: Western Media Products.

Edelman, L. (1999). *Gone Through Any Changes Lately?* (videotape). Denver: Western Media Products.

CURRICULUM VITAE

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UNC Charlotte
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280 College of Education Building
Charlotte, NC 28223-0001

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EDUCATION AND PROFESSIONAL CREDENTIALS

Ph.D.	1995	Georgia State University	Research, Measurement, and Statistics
Ed.S.	1988	Georgia State University	Counseling Psychology, Honors
Ed.M.	1982	Temple University	Counseling Psychology
B.S.	1980	St. Lawrence University	Psychology, Cum Laude
	1979	Semester at the University of London	

PROFESSIONAL EXPERIENCE (*selected*)

5/09-present **UNC Charlotte** **Professor**
Department of Educational Leadership, College of Education, Charlotte, NC. Teach educational research methods and applied statistics, participate in research activities, and provide service to the profession and community.

5/04-5/09 **UNC Charlotte** **Associate Professor**
Department of Educational Leadership, College of Education, Charlotte, NC. Teach educational research methods and applied statistics, participate in research activities, and provide service to the profession and community.

8/98-5/04 **UNC Charlotte** **Assistant Professor**
Department of Educational Leadership, College of Education, Charlotte, NC. Teach educational research methods and applied statistics, participate in research activities, and provide service to the profession and community.

8/96-8/98 **UNC Charlotte** **Clinical Assistant Professor**
Department of Educational Administration, Research, and Technology, College of Education, Charlotte, NC. Taught educational research methods and applied statistics, participated in research activities, and provided service to the profession and community.

7/92-8/96 **Georgia State University** **Assistant Director**
Educational Research Bureau, College of Education, Atlanta, GA. Administered the grant and external funding process for the college. Directed faculty efforts at locating funding sources, preparing grant proposals and budgets. Provided assistance and direction with research design, statistical analysis, and computer programming to faculty. Managed a staff of research consultants and assistants. Facilitated an increase in awards of 81.37% from \$4,115,556 (FY92) to \$7,464,425 (FY96).

Books

McCarthy C., Lambert, R., & Ullrich, A. (Eds.) (2012). *International Perspectives on Teacher Stress*. Charlotte, NC: Information Age Publishing.

Lambert, R., & McCarthy, C. (Eds.) (2006). *Understanding teacher stress in an age of accountability*. Greenwich, CT: Information Age Publishing.

Book Chapters (selected)

Lambert, R., Ullrich, A., & McCarthy, C. (2012). Mixed methods study of stress, coping, and burnout among kindergarten and elementary in Germany. In McCarthy C., Lambert, R., & Ullrich, A. (Eds.) *International Perspectives on Teacher Stress*. Charlotte, NC: Information Age Publishing.

Lambert, R. & Britt, H. (2012). Program Evaluation Methods for Educational Administrators. In Campbell-Whately, G. & Lyons, J. (Eds.), *Leadership Practices for Special and General Educators*. Upper Saddle River, N.J.: Pearson Education.

Lambert, R., Sibley, A., & Lawrence, R. (2010). Choosing Content. In Neuman, S. & Kamil, M. (Eds.), *Preparing Teachers for the Early Childhood Classroom* (pp. 67-85). Baltimore, MD: Brooks.

Sibley, A., Lawrence, R., & Lambert, R.. (2010). Mentoring: More than a Promising Strategy. In Neuman, S. & Kamil, M. (Eds.), *Preparing Teachers for the Early Childhood Classroom*. Baltimore (pp. 105-122). MD: Brooks.

Lambert, R., McCarthy, C., O'Donnell, M., & Melendes, L. (2007). Teacher stress and classroom structural characteristics in elementary settings. In G. Gates, Wolverson, M., and Gmelch, W. (Eds.), *Emerging thought and research on student, teacher, and administrator stress and coping* (pp. 109-131). Charlotte, NC: Information Age Publishing.

Lambert, R., Abbott-Shim, M., Sibley, A. (2006). Evaluating the quality of early childhood educational settings. In B. Spodek and O. Saracho (Eds.), *Handbook of research on the education of young children*, Second Edition (pp. 457-475). New Jersey: Lawrence Erlbaum Associates, Inc.

Journal Articles (selected)

Polly, D., McGee, J. R., Wang, C., Lambert, R. G., Pugalee, D. K. & Johnson, S. (2013). The association between teacher beliefs, enacted practices, and student learning in mathematics, *The Mathematics Educator*, 22(2), 11-30.

Shue, P., Shore, R., & Lambert, R. (2012). Prekindergarten in public schools: An examination of elementary school principals' perceptions, needs and confidence levels in North Carolina. *Leadership and Policy in Schools*, 11(2), 216-233.

Ullrich, A., Lambert, R. G., & McCarthy, C. (2012). Relationship of German elementary teachers' occupational experience, stress, and coping resources to burnout symptoms. *International Journal of Stress Management*, 19(4), 333-342.

Fitchett, P., Heafner, T., & Lambert, R.G. (2012). Examining elementary social studies marginalization: A multilevel model. *Educational Policy*, 1-29.

- Shore, R., Shue, P., & Lambert, R. (2010). Ready or not, here come the preschoolers. *Phi Delta Kappan*, 92(3), 32-36.
- McCarthy, C., Lambert, R., Crowe, E., & McCarthy, C. (2010). Coping, stress, and job satisfaction as predictors of advanced placement statistics teachers' intention to leave the field. *NASSP Bulletin*, 94(4), 306-326.
- Lambert, R., McCarthy, C., O'Donnell, M., & Wang, C. (2009). Measuring elementary teacher stress and coping in the classroom: Validity evidence for the Classroom Appraisal of Resources and Demands. *Psychology in the Schools*, 46(10), 973-988.
- McCarthy, C., Lambert, R., O'Donnell, M. & Melendres, L. (2009). The relation of elementary teachers' experience, stress, and coping resources to burnout symptoms. *The Elementary School Journal*, 109, 1-19.
- O'Donnell, M., Lambert, R., & McCarthy, C. (2008). *School poverty status, time of year, and elementary teachers' perceptions of stress*. *Journal of Educational Research*, 102, 152-160.
- Jolivet, K., Gallagher, P.A., Morrier, M.J., & Lambert, R. (2008). Preventing problem behaviors in young children with disabilities. *Exceptionality*, 16(2), 78-92.
- Lambert, R., Nelson, L., Brewer, D., & Burchinal, M. (2006). Measurement issues and psychometric methods in developmental research. *Monographs of the Society for Research in Child Development*, 71(3), 24-41.
- Gallagher, P., & Lambert, R. (2006). Classroom quality, concentration of children with special needs, and child outcomes in Head Start. *Exceptional Children*, 73(1), 31-52.
- Lambert, R. G., McCarthy, C. J., Gilbert, T., Sebree, M., & Steinley-Bumgarner, M. (2006). Validity evidence for the use of the Preventive Resources Inventory with college students. *Measurement and Evaluation in Counseling and Development*, 39, 66-85.
- Foster, M., Lambert, R., Abbott-Shim, M., McCarty, F., & Franze, S. (2005). A model of home learning environment and social risk factors in relation to children's emergent literacy and social outcomes. *Early Childhood Research Quarterly*, 20, 13-36.
- Lambert, R. (2003). Considering purpose and intended use when making evaluations of assessments: A response to Dickinson. *Educational Researcher*, 32(4), 1-4.
- Abbott-Shim, M., Lambert, R., & McCarty, F. (2003). A comparison of school readiness outcomes for children randomly assigned to a Head Start program and the program's wait list. *Journal of Education for Students Placed at Risk*, 8(2), 191-214.
- Lambert, R. (2002). Evaluating management climate in Head Start programs: The measurement properties of the Policy and Program Management Inventory. *NHSA Dialog: A Research-to-Practice Journal for the Early Intervention Field*, 6, 37-52.
- Lambert, R., Abbott-Shim, M., & McCarty, F. (2002). The relationship between classroom quality and ratings of the social functioning of Head Start children. *Early Child Development and Care*, 172(3), 231-245.

Lambert, R., Abbott-Shim, M., & Oxford-Wright, C. (2001). Staff perceptions of research in the context of specific strategies for collaboration with Head Start programs. *Early Childhood Research Quarterly, 16(1)*, 19-34.

McCarty, F., Lambert, R., & Abbott-Shim, M. (2001). The relationship between teacher beliefs and practices and Head Start Classroom quality. *Early Education and Development, 12(2)*, 225-238.

Abbott-Shim, M., Lambert, R. & McCarty, F. (2000). Structural model of Head Start classroom quality. *Early Childhood Research Quarterly, 15(1)*, 115-134.

Grants and Contracts

Title: Project LIBERATE, Literacy Instruction Based on Evidence through Research for Adjudicated Teens to Excel.

Role: Project Statistician

Source: U.S. Department of Education, \$2,951,349, 4 years, 2008-2012.

Title: ACT Parents Raising Safe Kids Program

Role: Project Evaluator

Source: U.S. Centers for Disease Control and Prevention, \$585,790, 3 years, 2007-2010.

Title: Early Childhood Educator Professional Development Grant.

Role: Project Evaluator

Source: U.S. Department of Education, \$2,204,269, 3 years, 2007-2010.

Title: Statewide Training on the Use of the Prekindergarten / Kindergarten Teacher Performance Appraisal Instrument.

Role: Principal Investigator

Source: North Carolina Department of Public Instruction, 2007-2008, \$83,377.

Title: Using the Prekindergarten / Kindergarten Teacher Performance Appraisal Instrument to Evaluate Teacher Licensure Candidates.

Role: Principal Investigator

Source: North Carolina Department of Public Instruction, 2007-2008, \$14,586.

Title: Preschool Curriculum Evaluation Research Grant.

Role: Principal Investigator

Source: U.S. Department of Education, \$1,200,000, 4 years, 2002-2006.

Title: Head Start Quality Research Center.

Role: Co-Principal Investigator (Co-Principal Investigator: M. Abbott-Shim, Ph.D.)

Source: Administration on Children, Youth, and Families,
U.S. Department of Health and Human Services, 2001-2006, \$1,250,000.

Child Trends

Tamara Halle
Kelly Maxwell
Sarah Daily

TAMARA GAIL HALLE

EDUCATION

University of Michigan, Department of Psychology

Ph.D., Developmental Psychology; August 1994

M.A., Developmental Psychology, December 1990

University of Maryland, College of Behavioral and Social Sciences

B.S., Magna cum Laude, with Honors in Psychology; June 1987

AREAS OF EXPERTISE

Early Childhood Development; Early Language and Literacy Development; Social-emotional Development; School Readiness; Dual Language Learners; Implementation Science; Child Care Quality; Parent-Child Interactions; Professional Development of the Early Childhood Workforce; Policy Assessments/Analysis; Program Evaluation; Evaluation Design and Data Collection; Data Analysis; Literature Review; Performance Measurement; Technical Assistance/Expertise

EMPLOYMENT HISTORY

Child Trends, Washington, DC

Senior Program Area Director, Early Childhood Research, 2010 - present

Program Area Director, Early Learning and Transition to School 2005 - 2009

Manager of the Early Childhood Development Area, 2001 – 2004

Senior Research Scientist, 2001 - present

Research Scientist, 1997 - 2000

University of Maryland, College Park

Lecturer, Department of Psychology, spring 1999 & spring 2000

Center for Developmental Science, University of North Carolina at Chapel Hill

NICHD Postdoctoral Research Fellow, 1994-1997

HONORS AND AWARDS

Phi Beta Kappa

Phi Kappa Phi

Research Fellow, Michigan Program in Child Development and Social Policy

Horace H. Rackham School of Graduate Studies Dissertation Grant & Fellowship

Phi Delta Kappa Award for Outstanding Research

PROFESSIONAL ORGANIZATIONS

American Psychological Association

Jean Piaget Society

National Association for the Education of Young Children

Society for Research in Child Development

PROFESSIONAL ACTIVITIES

Advisory Groups: Early Care and Educational National Advisory Committee Member for the Institute for Women's Policy Research, 2001-2002, Teaching Strategies, 2003 and 2006

Manuscript Reviews: American Educational Research Journal, Behavioral and Brain Sciences, Child Development, Developmental Psychology, Early Childhood Research Quarterly (Consulting Editor), Educational Research, Fathering, First Language, International Journal of Educational Research, Journal of Applied Developmental Psychology, Journal of Educational Psychology, National Research Council, Psychology of Addictive Behaviors

Grant and Contract Reviews: Child Care Bureau Field Initiated Child Care Research Projects, 2001

Conference Submission Reviews: American Psychological Association, Division 15, Educational Psychology, 1999 & 2000; Biennial Meeting of the Society for Research in Child Development, 2005, 2009, 2011; Head Start Research Conference, 2010, 2012; International Women's Policy Research Conference, Institute for Women's Policy Research, 2003 & 2004

Invited Speaker/Participant (Since 2011): Head Start's 11th Annual Research Conference Invited Speaker, 2012; National Association for the Education of Young Children – Professional Development Institute, 2011; Institute of Medicine – National Research Council Planning Meeting for “Developing a Future Research Agenda for English Languages Learners (ELLs)”, 2011

SELECTED PUBLICATIONS (2011-PRESENT)

- Halle, T., Vick Whittaker, J., Zepeda, M., Rothenberg, L., Wessel, J., Anderson, R., & Daneri, P. (under review). *The social-emotional development of dual language learners: Looking back at existing research and moving forward with purpose.*
- Halle, T., Zaslow, M., Martinez-Beck, I., & Metz, A. (2013). Applications of implementation science to early care and education programs and systems: Implications for research, policy, and practice. In T. Halle, A. Metz, & I. Martinez-Beck (Eds.), *Applying implementation science in early childhood programs and systems*. Baltimore, MD: Brookes.
- Metz, A., Halle, T., Bartley, L., & Blasberg, A. (2013). The key components of successful implementation. In T. Halle, A. Metz, & I. Martinez-Beck (Eds.), *Applying implementation science in early childhood programs and systems*. Baltimore, MD: Brookes.
- Chazan-Cohen, R., Halle, T.G., Barton, L.R., & Winsler, A. (2012). Supporting optimal child development through Early Head Start and Head Start programs: Reflections on secondary data analyses of FACES and EHSREP. *Early Childhood Research Quarterly*, 27(4), 708-715.
- Halle, T.G., Hair, E.C., Burchinal, M., Anderson, R., & Zaslow, M. (2012a). *Contemplating “thresholds” for school readiness*. ASPE Research Brief, Washington, DC: Office of the Assistant Secretary for Planning and Evaluation, U.S. Department of Health and Human Services. Available online: <http://aspe.hhs.gov/hsp/13/InTheRunningThresholds/rb.pdf>
- Halle, T.G., Hair, E.C., Burchinal, M., Anderson, R., & Zaslow, M. (2012b). *In the running for successful outcomes: Exploring the evidence for thresholds of school readiness*. ASPE Research Brief, Washington, DC: Office of the Assistant Secretary for Planning and Evaluation, U.S. Department of Health and Human Services. Available online: <http://aspe.hhs.gov/hsp/13/InTheRunningreadinessSkills/rb.cfm>

- Halle, T.G., Hair, E.C., Burchinal, M., Anderson, R., & Zaslow, M. (2012c). *In the running for successful outcomes: Exploring the evidence for thresholds of school readiness. Technical Report*. Washington, DC: Office of the Assistant Secretary for Planning and Evaluation, U.S. Department of Health and Human Services. Available online: <http://aspe.hhs.gov/hsp/13/InTheRunningTechnicalReport/rpt.pdf>
- Halle, T.G., Hair, E.C., Burchinal, M., Anderson, R., & Zaslow, M. (2012d). *In the running for successful outcomes: Project overview*. ASPE Research Brief, Washington, DC: Office of the Assistant Secretary for Planning and Evaluation, U.S. Department of Health and Human Services. Available online: <http://aspe.hhs.gov/hsp/13/InTheRunningOverview/rb.pdf>
- Halle, T.G., Hair, E.C., McNamara, M., Wandner, L., & Chien, N. (2012). Predictors and outcomes of early vs. later English language proficiency among English language learners in the ECLS-K. *Early Childhood Research Quarterly*, 27(1), 1-20.
- Halle, T.G., Hair, E.C., Wandner, L.D., & Chien, N.C. (2012). Profiles of school readiness among four-year-old Head Start children. *Early Childhood Research Quarterly*, 27(4), 613-626.
- Anderson, R., Metz, A., Halle, T., Chrisler, A., Rodrigues, K., Daneri, P., Simkin, S., & Rothenberg, L. (2011). *Evaluation of the Implementation of the Mentoring Infant and Toddler Teacher (MITT) Initiative: 2010-2011 Year 3 Report*. Prepared for the University of Cincinnati. Washington, D.C., Child Trends.
- Halle, T., Anderson, R., Chrisler, A., & Simkin, S. (2011). *Quality of caregiver-child interactions for infants and toddlers (Q-CCIT): A review of the literature*, OPRE 2011-25. Washington, DC: Office of Planning, Research and Evaluation, Administration for Children and Families, U.S. Department of Health and Human Services. Available online: <http://grisnetwork.org/sites/all/files/resources/gscobb/2011-09-28%2014:24/Report.pdf>
- Halle, T., Castro, D., Franco, X., McSwiggan, M., Hair, E., & Wandner, L. (2011). The role of early care and education in the development of young Latino dual language learners. In N. Cabrera, F. A. Villarruel, & H. E. Fitzgerald (Eds.) *Latina and Latino Children and Mental Health: Volume I: Development and Context*. (pp. 63-90). Santa Barbara, CA: Praeger.
- Halle, T., Martinez-Beck, I., Forry, N., & McSwiggan, M. (2011). Setting the context for a discussion of quality measures: The demographic landscape of early care and education. In M. Zaslow, I. Martinez-Beck, K. Tout, & T. Halle (Eds.), *Measuring Quality in Early Childhood Settings*. (pp. 3-10). Baltimore, MD: Brookes Publishing.
- Halle, T., Zaslow, M., Wessel, J., Moodie, S., & Darling-Churchill, K. (2011). *Understanding and choosing assessments and developmental screeners for young children: Profiles of selected measures*. Washington, DC: Office of Planning, Research, and Evaluation, Administration for Children and Families, U.S. Department of Health and Human Services. Available online: http://www.acf.hhs.gov/programs/opre/hs/dev_screener/reports/screener_final.pdf
- Kurtz-Costes, B., DeFreitas, S. C., Halle, T.G., & Kinlaw, C. R. (2011). Gender and racial favoritism in Black and White preschool girls. *British Journal of Developmental Psychology*, 29, 270-287.
- Metz, A., Halle, T., Anderson, R., Chrisler, A., & Rothenberg, L. (2011). *Evaluation of the Implementation of the Mentoring Infant and Toddler Teacher (MITT) Initiative: 2009-*

- 2010 Year 2 Report. Prepared for the University of Cincinnati. Washington, D.C., Child Trends.
- Peña, E.D., & Halle, T.G. (2011). Assessing preschool English learners: Traveling a multi-forked road. *Child Development Perspectives* 5(1), 28-32.
- Sandstrom, H., Moodie, S., & Halle, T. (2011). Beyond classroom-based measures for preschoolers: Addressing the gaps in measures for home-based care and care for infants and toddlers. In M. Zaslow, I. Martinez-Beck, K. Tout, & T. Halle (Eds.), *Measuring Quality in Early Childhood Settings*. (pp. 317-343). Baltimore, MD: Brookes Publishing.
- Zaslow, M., Halle, T., & Tout, K. (2011). Ending with a beginning: Key themes and next steps. In M. Zaslow, I. Martinez-Beck, K. Tout, & T. Halle (Eds.), *Measuring Quality in Early Childhood Settings*. (pp. 411-417). Baltimore, MD: Brookes Publishing.
- Zaslow, M., Martinez-Beck, I., Tout, K., & Halle, T. (Eds.) (2011). *Measuring Quality in Early Childhood Settings*. Baltimore, MD: Brookes Publishing.
- Zaslow, M., Tout, K., & Halle, T. (2011). Differing purposes for the measurement of quality in early childhood settings: Aligning purpose with procedures. In M. Zaslow, I. Martinez-Beck, K. Tout, & T. Halle (Eds.), *Measuring Quality in Early Childhood Settings*. (pp. 389-410). Baltimore, MD: Brookes Publishing.

SELECTED PRESENTATIONS (2011 – Present)

- Halle, T. (2013, April). *Examining the Scaling of Early Childhood Interventions through the Lens of Implementation Science*. Presentation at the American Education Research Association Annual Meeting, April 29, 2013, San Francisco, CA.
- Halle, T. (2013, April). *Definitions, Frameworks and Methods for Assessing “Effective Implementation” of Early Childhood Programs and Systems*. Presentation at the biennial meeting of the Society for Research in Child Development, April 18, 2013, Seattle, WA.
- Halle, T., (2012, February). *Implementation science and its application to state-level TA work for early care and education*. Presentation at the CCTAN All-Hands Meeting, February 2, 2012 Washington, DC.
- Halle, T., Susman-Stillman, A., Boller, K., Yazejian, N., & Knoche, L. (2011, November). *Analytic approaches to studying implementation of early childhood programs and systems*. Symposium presentation at the Annual Meeting of the Child Care Policy Research Consortium, November 17, 2011, Washington, DC.
- Metz, A., & Halle, T. (2011, November). *Applying the implementation science lens to early care and education research and evaluation*. Plenary presentation at the Annual Meeting of the Child Care Policy Research Consortium, November 16, 2011, Washington, DC.
- Paulsell, D., Halle, T., Maxwell, K., Tout, K., & Swenson-Klatt, D. (2011, November). *QRIS through an implementation science lens*. Symposium presentation at the Annual Meeting of the Child Care Policy Research Consortium, November 16, 2011, Washington, DC.
- Halle, T., & Metz, A. (2011, June). *Getting from here to there: Installing an integrated systems framework to improving early childhood educator practice*. National Association for the Education of Young Children Professional Development Institute, June 15, 2011, Providence, RI.

Kelly L. Maxwell, Ph.D.

Brief Vita

EDUCATION

- 1993 Doctorate of Philosophy in School Psychology from the University of North Carolina at Chapel Hill (APA approved program)
- 1986 Bachelor of Science in Psychology (with Honors) from Illinois State University, summa cum laude

PROFESSIONAL EMPLOYMENT

- July 2013—present **Co-Director of Early Childhood Development and Senior Research Scientist**, Child Trends
- 2012—2013 **Research Associate Professor** in the School Psychology Program, University of North Carolina at Chapel Hill.
- 2011—2013 **Senior Scientist** at the FPG Child Development Institute, University of North Carolina at Chapel Hill.
- 2008—2013 **Associate Director** at the FPG Child Development Institute, University of North Carolina at Chapel Hill.
- 2002 – 2011 **Scientist** at the FPG Child Development Institute, University of North Carolina at Chapel Hill.
- 1996 – 2012 **Research Assistant Professor** in the School Psychology Program, University of North Carolina at Chapel Hill.
- 1994 – 2002 **Investigator** at the Frank Porter Graham Child Development Center, University of North Carolina at Chapel Hill.
- 1993 – 1994 **Research Associate** at the Frank Porter Graham Child Development Center, University of North Carolina at Chapel Hill.

SELECTED GRANTS

- Principal Investigator of the North Carolina Early Learning Challenge Support. 05/12-12/13 funded by the NC Governor's Office. Total direct cost: \$1,624,557.
- Principal Investigator of the Evaluation of Georgia's Pre-K Professional Development Initiative. 07/11-06/12 funded by the Georgia Department of Early Care and Learning. Total direct cost: \$601,858.
- Principal Investigator of the North Carolina Early Childhood Advisory Council Support. 03/11-09/13 funded by the NC Governor's Office. Total direct cost: \$1,107,261.
- Principal Investigator of the Rhode Island BrightStars Quality Rating System Evaluation. 03/08-03/13 funded by Rhode Island KIDS COUNT. Total direct cost: \$435,782.
- Principal Investigator for the Cumberland County School Readiness Assessment, 9/01 – 6/02. Funded by the Cumberland County Partnership for Children. Total direct cost: \$60,185.
- Principal Investigator for the Pilot Test of North Carolina's School Readiness Assessment System, 5/00 - 6/02. Funded by the NC Department of Health and Human Services, Division of Child Development. Total direct cost: \$727,273.

SELECTED PUBLICATIONS

- Paulsell, D., Tout, K., & Maxwell, K. L. (2013). Evaluating Implementation of Quality Rating and Improvement Systems. In T. Halle and A. Metz (Eds.) *Applying implementation science to early care and education programs and systems: Exploring a new frontier*. Baltimore, MD: Paul H. Brookes.
- Hamre, B., & Maxwell, K. L. (2011). *Best practices for conducting program observations as part of quality rating and improvement systems* (Research-to-Policy, Research-to-Practice Brief OPRE 2011-11b). Washington, DC: Office of Planning, Research and Evaluation, Administration for Children and Families, U.S. Department of Health and Human Services.
- Tout, K., & Maxwell, K. L. (2010). Quality rating and improvement systems: Achieving the promise for programs, families, and early childhood systems. In P. W. Wesley & V. Buysse (Eds.), *The quest for quality: Promising innovations for early childhood programs*. Baltimore, MD: Paul H. Brookes.
- Ritchie, S., Maxwell, K. L., & Bredekamp, S. (2009). Rethinking early schooling: Using developmental science to transform children's early school experiences. In O. A. Barbarin & B. H. Wasik (Eds.), *Handbook of child development and early education*. New York, NY: Guilford Press.
- Early, D. M., Maxwell, K. L., Burchinal, M., Alva, S., Bender, R.H., Bryant, D., ... Zill, N. (2007). Teachers' education, classroom quality, and young children's academic skills: Results from seven studies of preschool programs. *Child Development*, 78(2), 558-580.
- Maxwell, K. L., & Clifford, R. M. (2006). Professional development issues in universal prekindergarten. In E. Zigler, W. Gilliam, & S. Jones (Eds.), *A vision for universal preschool education*. New York, NY: Cambridge University Press.
- Maxwell, K. L., Feild, C. C., & Clifford, R. M. (2005). Defining and measuring professional development in early childhood research. In M. Zaslow & I. Martinez-Beck (Eds.), *Early childhood professional development and children's successful transition to elementary school*. Baltimore, MD: Paul H. Brookes.
- Maxwell, K. L., & Clifford, R. M. (2004). School readiness assessment. *Young Children*, 59(1), 42-46.
- Scott-Little, C., Maxwell, K. L., Bryant, D. M., & Ridley, S. M. (2002, Spring). School readiness in North Carolina: Putting the pieces together for successful children and schools. *Educational Research Services Spectrum*, 12-17.
- Ridley, S. M., & Maxwell, K. L. (2002). *Cumberland county's kindergartners and schools*. Chapel Hill, NC: The University of North Carolina, FPG Child Development Institute.
- Maxwell, K. L., Bryant, D., M, Ridley, S. M., & Scott-Little, C. (2001). School readiness in North Carolina: One state's attempt to do the right thing. *Young Children*, 56, 59-62.
- Maxwell, K. L., Bryant, D. M., Ridley, S. M., & Keyes-Elstein, L. (2001). *North Carolina's kindergartners and schools*. Chapel Hill, NC: The University of North Carolina, Frank Porter Graham Child Development Center.
- Maxwell, K. L., McWilliam, R. A., Hemmeter, M. L., Ault, M. J., & Schuster, J. (2001). Predictors of developmentally appropriate practices in kindergarten through third grade. *Early Childhood Research Quarterly*, 16, 431-452.
- Scott-Little, C. & Maxwell, K. L. (2000). *School readiness in North Carolina: Report of the ready for school goal team*. Greensboro, NC: SERVE.

EDUCATION

George Mason University, Fairfax, VA

Ph.D., Educational Psychology, 2013

George Mason University, Fairfax, VA

M.Ed., Elementary Education, 2006

George Mason University, Fairfax, VA

Commonwealth of Virginia Teaching License, Prekindergarten-Grade 6, 2005

Duke University, Durham, NC

B.A., Public Policy Studies, 2001

Minor in History, Markets and Management Certificate

PROFESSIONAL EXPERIENCE

Child Trends, Washington, DC, 2009- present

Research Scientist, Early Childhood Development

National Governors Association Center for Best Practices, Washington, DC, 2006-2009

Program Director, Early Childhood Policy Portfolio

Senior Policy Analyst, Early Childhood Policy

American Institutes for Research, Washington, DC, 2001-2006

Research Analyst, Program Director, School Crime Surveys

Research Associate, Schools and Staffing Survey

Research Assistant, Schools and Staffing Survey

PUBLICATIONS

Halle, T., Tout, K., **Daily, S.**, Albertson-Junkans., L., & Moodie, S. (2013). *The research base for a birth through eight state policy framework: Research at a glance*. Washington, DC: The Alliance for Early Success and Child Trends.

Daily, S., Daneri, P., Goldhagen, S., & Halle, T. (2013). *Year one implementation evaluation report: Delaware early learner survey*. Washington, DC: Child Trends.

Daily, S. (2013). *Young children's self-regulated learning and supportive teacher-child interactions: An exploratory study*. (Unpublished doctoral dissertation). George Mason University, Fairfax, VA.

Daily, S., Welti, K., Forry, N., Rothenberg, L. (2012). *Maryland early childhood risk and reach assessment*. Washington, DC: Child Trends.

Daily, S., Moodie, S., Isner, T., Rothenberg, L., & Soli, M. (2012). *Technical assistance provided to and received by Kentucky STARS for KIDS NOW programs*, Evaluation Brief #4. Washington, DC: Child Trends.

Daily, S., Moodie, S., Isner, T., Rothenberg, L., & Soli, M. (2012). *Collaboration and coordination in the Kentucky STARS for KIDS NOW technical assistance system*, Evaluation Brief #5. Washington, DC: Child Trends.

Tout, K., Starr, R., Isner, T., **Daily, S.**, Moodie, S., Rothenberg, L., & Soli, M. (2012). *Executive Summary of the Kentucky STARS for KIDS NOW Process Evaluation*, Evaluation Brief #1. Washington, DC: Child Trends.

Isner, T., Starr, R., Tout, K., **Daily, S.**, Moodie, S., Rothenberg, L., & Soli, M. (2012). *Kentucky STARS for KIDS NOW Process Evaluation: Overview of Methods*, Evaluation Brief #2. Washington, DC: Child Trends.

Daily, S., Blasberg, A., & Simkin, S. (2011). *Pre-kindergarten programs in the District of Columbia*. Washington, DC: Child Trends and The District of Columbia Office of the State Superintendent of Education, Office of Early Childhood Education.

- Daily, S.** Burkhauser, M., & Halle, T. (2010). *A review of school readiness practices in the states: Early learning guidelines and assessments*. Washington, DC: Child Trends.
- Blasberg, A., **Daily, S.**, & Zaslow, M. (2010). *Choosing early childhood assessment tools*. Washington, D.C: Child Trends and The District of Columbia Office of the State Superintendent of Education, Office of Early Childhood Education.
- Stebbins, H., & **Daily, S.** (2009). *Creating a comprehensive state early childhood advisory council: Answers to frequently asked questions*. Washington, DC: National Governors Association Center for Best Practices.
- Daily, S.** Lovejoy, A., Lombardi, J. (2008). *Partnering with the private and philanthropic sectors: A governor's guide to investing in early childhood*. Washington, DC: National Governors Association Center for Best Practices.
- Guerino, P., Hurwitz, M.D., Noonan, M.E., and **Kaffenberger, S.M.** (2006). *Crime, violence, discipline, and safety in U.S. public schools: Findings from the School Survey on Crime and Safety: 2003-04* (NCES 2007-302rev). U.S. Department of Education, National Center for Education Statistics. Washington, DC: U.S. Government Printing Office.
- Guerino, P., Hurwitz, M.D., **Kaffenberger, S.M.**, Hoaglin, D.C., and Burnaska, K. (2006) *School Survey on Crime and Safety: 2003–04 data file user's manual* (2007-335). U.S. Department of Education. Washington, DC: National Center for Education Statistics.
- DeVoe, J. F., and **Kaffenberger, S.M.** (2005). *Student reports of bullying: Results from the 2001 school crime supplement to the National Crime Victimization Survey* (NCES 2005–310). U.S. Department of Education, National Center for Education Statistics. Washington, DC: U.S. Government Printing Office.

PRESENTATIONS

- Daily, S.** (July, 2011). Connecting the Research Community to State Early Childhood Advisory Councils, webinar panel presentation hosted by the National Governors Association and Research Connections. Washington DC: Child Trends.
- Daily, S.** (September, 2008). Collaborations to Promote Early Childhood Education and Childcare, webinar panel presentation hosted by the Chapin Hall Center for Children at the University of Chicago. National Governors Association, Washington, D.C.
- Daily, S.** (July, 2008). New Head Start Provisions and the Impact on Child Care. Presentation to the State and Territory Child Care Administrators annual meeting, Washington, D.C.
- Daily, S.** (May, 2008). Creating an Early Childhood Advisory Council. Workshop presentation at the annual National Smart Start Conference, Greensboro, NC.
- Daily, S.** (February, 2008). Supporting Early Childhood Advisory Council Leadership. Presentation to the National Head Start State Collaboration Directors annual meeting, Washington, D.C.
- Kaffenberger, S.** (August, 2002). Overview of the Schools and Staffing Survey Sample Design. Poster presentation at the American Sociological Association Annual Conference, Chicago, IL.

TRAININGS

Child Assessment Training, including the Woodcock Johnson III literacy and numeracy subscales, Challenging Situations Tasks, Pencil Tap Test, Backwards Digit Span Test, and the PSRA. Child Trends, Washington D.C., September, 2011.

Pre-K Classroom Assessment Scoring System (CLASS; Pianta, La Paro, & Hamre, 2008) reliability recertification. Child Trends, Washington D.C., October, 2011; August, 2012.

Pre-K Classroom Assessment Scoring System (CLASS; Pianta, La Paro, & Hamre, 2008) early childhood global classroom environmental rating scale for pre-kindergarten classrooms. Child Trends, Washington D.C., November, 2010.

Infant-Toddler Classroom Assessment Scoring System (CLASS; Pianta, La Paro, & Hamre, 2008) early childhood global classroom environmental rating scale for infant and toddler classrooms. Child Trends, Washington D.C., April, 2010.

NVivo qualitative data analysis software training. Child Trends, Washington D.C., August, 2010.

Inter-university Consortium for Political and Social Research, Summer Program in Quantitative Methods of Social Research, University of Michigan, Ann Arbor, MI, 2007

SAS Institute, Programming Essentials I, Rockville, MD, 2002

PROFESSIONAL ASSOCIATIONS

American Psychological Association, Division 15, Educational Psychology
Society for Research in Child Development

SERVICE AND AWARDS

International Journal of Education Policy and Leadership

Student Review Board member, 2009-2010

Child Care and Early Education Research Connections

Research Connections Fellow, 2007-2008

Research Connections Advisory Board Member, 2008 - 2009

Educational Testing Service

Recognition of Excellence Award for outstanding scores on the Praxis Series, 2005

Virginia Teacher Licensure Distinction

Meritorious New Teacher Scholar, 2005

Haggai Foundation

Education Scholarship, 2004

BUILD Initiative

Susan Hibbard
Gerry Cobb

Susan Hibbard
Deputy Director—BUILD Initiative

Summary of Relevant Capabilities and Experience:

Susan Hibbard has 20 years' experience in the areas of early learning, early childhood systems, and social change with a focus on research and analysis, strategic planning, project management, and skills training.



Deputy Director (BUILD Initiative) supporting the development of comprehensive early childhood systems, coordinating children's health and nutrition policies, early care and education, family support/parenting programs, and services for children with special needs. **Leader, Project Manager, TA Provider and Broker** designing learning community activities (webinars, conferences and seminars, conference calls) and written materials to facilitate peer-to-peer learning on a wide variety of topics.

Employment History

(Note: For the past three years, Susan has been an employee of BUILD and its fiscal sponsor Third Sector New England, prior to that she served the BUILD Initiative as a consultant.)

Provides leadership to the BUILD Initiative in its work to help states promote the positive development of young children by providing incentives for states to develop broadly defined, comprehensive early learning systems available to all families. The Initiative is working to reform existing state systems, test new models, connect programs and services that now operate in isolation and sometimes at cross-purposes and help ensure that all young children have access to early learning systems that result in school readiness.

Responsibilities include:

- Directing the BUILD staff team, overseeing daily operations for the Initiative, and coordinating governance and financial management with Third Sector New England, BUILD's fiscal sponsor organization.
- Designing a vibrant learning community for state leaders to foster peer-to-peer networking and information sharing, providing an ongoing source of information and resources to support state leaders on a wide range of early childhood topics.
- Overseeing BUILD's research and evaluation efforts, working in partnership with BUILD's evaluator Charles Bruner and a network of state evaluators and managing publication and dissemination of research and policy briefs.

Provides support to the Early Childhood Funders' Collaborative, an association of national, regional, and local foundation representatives with an expressed funding priority in early childhood care and education. The ECFC was established in 1992 to improve communications among funders, provide occasions for mutual learning, identify issues of common concern, incubate ideas for advancing the field, and present opportunities to collaborate on initiatives or projects.

Susan oversees the program development for ECFC, coordinates the content planning for the meetings and communicates with members in between meetings. She provides support to the group's steering committee as well as to many of the ECFC's workgroups and collaborative projects.

- Project Manager and TA broker for a variety of United Way early learning projects including the Born Learning Campaign and numerous other business engagement initiatives.
- Project Manager and TA broker for a variety of early learning projects including work with Kansas City on early childhood systems development, development of early learning modules, and designing a toolkit for the MetLife Foundation's TriConnecting Community project.

Education

- Susan did her undergraduate work at Bryn Mawr College, in Pennsylvania and received her M.A. from the New School University in New York City. Her M.A. is in American Politics and Public Policy from the Political Science Department.

GERRY S. COBB

(b)(6)

HIGHLIGHTS OF RELEVANT QUALIFICATIONS:

- Extensive experience managing national technical assistance programs involving multiple partners, tasks, and a diverse array of products and services;
- Experience in building local and state-level coalitions for planning and implementing a comprehensive early childhood agenda;
- Experience in mobilizing political will around targeted programs and initiatives;
- Understanding of state and local-level early childhood policy and systems; and
- Outstanding oral and written communications skills.

PROFESSIONAL EXPERIENCE—SELECTED:

THE BUILD INITIATIVE, Boston, MA

Director, State Services, 2012-Present

Serves as a liaison to the ten BUILD states and works directly with them on an ongoing basis, providing direct technical assistance, brokering support for other technical assistance needs from a variety of consultants, sharing information across states and developing cross-state initiatives that assist states in building comprehensive early childhood systems. Responsibilities also include development and coordination of a State Leadership Network, organization of a webinar series on early childhood system-building topics, development of publications on early childhood-related topics, and coordination of learning community meetings including the BUILD National Meeting and other early childhood topical meetings.

Director, QRIS National Learning Network, 2011-2012

Served as the lead staff member to a broad cross-section of partners at the state and national level focused on the development and implementation of quality rating and improvement systems (QRIS). Responsibilities included:

- Served as BUILD's primary liaison for all requests for information and technical assistance to states on all aspects of quality rating and improvement systems.
- Coordinated an annual "curriculum" of activities that included webinars, resource materials, peer to peer learning, meetings and other learning opportunities designed to support the development of quality rating and improvement systems.
- Maintained and regularly expanded the QRIS NLN website to serve as an information clearinghouse on quality rating and improvement systems.
- Developed and maintained a network of partner organizations and consultants and worked with them to coordinate a broad array of resource materials and learning opportunities designed to better connect research and policy with the actual practice of QRIS at the state and local level.

NORTH CAROLINA PARTNERSHIP FOR CHILDREN, Raleigh, NC

Director, Smart Start's National Technical Assistance Center (NTAC), 2001 - 2009

Conceived, developed, implemented and currently direct all aspects of NTAC and its programs. Secured nearly \$10 million in funding to support NTAC staff and programs. Key activities include:

- Served as the primary liaison for all out of state requests for technical assistance, resources, speakers, site visits, etc. related to Smart Start and North Carolina's early childhood programs. Every state in the nation requested assistance as well as 5 countries.
- Recruited and maintained a broad array of consultants and volunteers with expertise in early childhood programs, strategic and organizational planning, fundraising, advocacy, etc.
- Designed and implemented intensive technical assistance programs for a dozen states related to the creation of statewide early childhood initiatives like Smart Start and North Carolina's quality rating system.

- Regularly spoke at national and state conferences throughout the United States on early childhood issues.
- Created opportunities for speaking and networking for former Governor Jim Hunt and other key Smart Start leaders with governors, legislators and business leaders in other states to promote the need for a national movement to invest in high quality early childhood programs.
- Led the development and implementation of the NC Ready Schools Initiative, launched in 2007 in an effort to better integrate and align the early education and K-12 systems and assure greater school success for young children in the K-3 grades.
- Other miscellaneous responsibilities included directing the SPARK Initiative, a \$5 million grant program funded by the Kellogg Foundation; leading the development of a set of school readiness indicators for North Carolina; directing the annual National Smart Start Conference with nearly 3000 attendees and 250+ workshops; launching the National QRIS Learning Network; and assistance with Smart Start legislative advocacy efforts.

Director of Development, 1996 - 2001

Responsible for all aspects of fundraising, fund disbursement, and fund development training for the N.C. Partnership for Children and then 82 local organizations. Achievements/activities included:

- Directed an ongoing fundraising effort that generated more than \$100 million for Smart Start.
- Managed and disbursed all non-Smart Start grants to the organization from federal, state, and foundation funding sources and assured compliance with all requirements related to the specific funding source.
- Developed, implemented and managed a \$9 million+ grant-making process whereby local organizations could apply for funds raised at the state level.
- Wrote grant proposals on behalf of the N.C. Partnership for Children and administered all grants received by the N.C. Partnership for Children.
- Developed a training and information package for tracking cash/in-kind contributions as well as fund development strategies for Smart Start and provided regular training at the local and regional level to support local fundraising efforts.
- Assisted with the development and implementation of the local partnership advisory committee.
- Coordinated statewide special events and corporate volunteer programs.
- Assisted with Smart Start legislative outreach strategy and strategic planning process.

AMERICAN COUNCIL OF YOUNG POLITICAL LEADERS, Washington, D.C.

Executive Director, August 1991 – October 1996

Program Director, February 1990 – August 1991

Directed and managed all aspects of organization including program development, public relations, budgets, personnel, fundraising and grant writing. Achievements included:

- Increased organization’s private funding by 400%, government funding by 40%, and in-kind support by more than 150%.
- Increased the number of programs conducted each year by more than 50% and developed new programs with ten additional countries.
- Reorganized and stabilized accounting office, reducing audit findings to 0%.
- Significantly reduced the cost/participant ratio through increased program efficiencies and greater in-kind support.
- Managed a staff of eight and a budget of approximately \$2 million.
- Reduced staff turnover and increased rates of longevity for personnel.
- Began regular publication of a quarterly newsletter and developed an “alumni directory” of participants to strengthen the organization’s national and international network.

EDUCATION:

B.A. **University of North Carolina at Chapel Hill**, Chapel Hill, NC
History, 1983

Organizational Capacity

**North Carolina Department of Public Instruction
SRI International
Child Trends
BUILD Initiative**

Organizational Capacity

The proposed K-3 Enhancement Assessment Consortium (EAC) comprises North Carolina Department of Public Instruction (NC DPI), the lead state and primary fiscal agent with overall project oversight, and three research partners: SRI International, Child Trends (CT), and the BUILD Initiative. Each organization has the substantive content knowledge and management and collaboration skills required to implement the work plan. **NC DPI** has a long history of leading early childhood initiatives on assessment and improved instruction that involve stakeholder engagement within and across states. **SRI** staff members have strong experience and expertise in early childhood, assessment development with Evidence Centered Design (ECD) and Universal Design for Learning (UDL), and use of technology in education. **CT** is known for its successful working partnerships with states and communities on school readiness research and evaluation. **BUILD** has extensive past work relevant to establishing cross-state collaboration and developing systems and processes that will benefit all states that use the data collected through the K-3 assessment.

The expertise of these four organizations will be augmented with a cadre of national expert consultants who will provide their knowledge and skills to the project, particularly in reviewing and giving input on the assessment throughout the development process, psychometric analyses, and development and refinement of the technology-supported PD materials for teachers (see letters of commitment for national experts).

Below are descriptions of each organization and of some projects that demonstrate the breadth and depth of their experience and expertise in the following areas:

- School readiness across the five domains
- Early childhood development, for typically developing children and children with disabilities
- English learners
- Early learning standards and their alignment to state K-3 academic standards
- Formative and summative assessment design using ECD and UDL
- Technology support for assessment data collection, scoring, and reporting of results across technology platforms
- Validation of items, learning progressions, and performance levels using psychometric methods
- Large-scale implementation of assessments and multisite project management
- Support for SEAs and other stakeholders to use of assessment results for program and policy improvement
- Stakeholder engagement
 - Working with state agencies separately and as part of a consortium or workgroup.
 - Working with schools, administrators, and teachers
 - Working with families from all racial, ethnic, cultural, and linguistic backgrounds and diverse community stakeholders

Exhibit 1 displays at a glance which projects described below involved various relevant qualifications for the EAG-KEA.

Exhibit 1. Organizational Expertise: Relevant Projects

	School readiness	Children with disabilities	English learners	EL standards	Assessment design (ECD/UDL)	Technology support	Psychometrics	Large-scale implementation	Support with using data and results	Stakeholder engagement
NC DPI										
Smart Start	*	*	*	*				*	*	*
Ready for School Goal Team	*	*	*	*				*	*	*
Race to the Top Early Learning Challenge Grant	*	*	*	*				*	*	*
SRI										
Center for IDEA Early Childhood Data Systems	*	*	*	*	*	*	*	*	*	*
Evaluation of Minnesota’s Race to the Top-Early Learning Challenge	*	*	*	*				*	*	*
Evaluation of the Midwest Expansion of the Child-Parent Center	*	*	*					*	*	*
Connecticut Preschool Standards Alignment	*			*					*	*
Evaluation of the PreK–Grade 3 Math Whole Teacher Approach	*	*	*					*	*	
The Florida Master Teacher Initiative	*	*	*	*	*	*	*	*	*	*
Evaluation of Illinois Early Childhood Block Grant Program	*	*	*					*	*	*
State of Washington, DEL Kindergarten Readiness Assessment	*	*	*	*				*	*	*
Early Childhood Outcomes (ECO) Center	*	*						*	*	*
Principled Assessment Designs for Inquiry	*	*	*	*	*	*	*	*	*	*
National Center and State Collaborative	*	*	*	*	*	*	*	*	*	*
NAEP Interactive Computer Tasks		*	*		*	*	*			*
Learning Progressions		*	*		*	*	*			
Alternate Assessment Design Enhanced Assessment Grants Program- Mathematics, English Language Arts		*	*		*	*	*	*	*	*
Principled Science Assessment Designs for Students with Disabilities		*	*		*	*	*	*	*	*

Exhibit 1. Organizational Expertise: Relevant Projects (concluded)

	School readiness	Children with disabilities	English learners	EL standards	Assessment design (ECD/UDL)	Technology support	Psychometrics	Large-scale implementation	Support with using data and results	Stakeholder engagement
Child Trends										
Pilot Test of North Carolina’s School Readiness Assessment System	*	*	*				*	*	*	*
Delaware Kindergarten Readiness Research Partnership	*	*	*	*			*	*	*	*
Early Childhood Pre-Kindergarten Program Evaluation for DCPS	*		*					*	*	
ECE Choices, Quality and Continuity: Maryland-Minnesota Research Partnership	*		*		*			*	*	*
Five State Project on State-Level Child Outcomes	*	*					*	*	*	
Federal Interagency Forum on Child & Family Statistics Early Childhood Measures Development.	*	*	*		*		*		*	
California’s First 5 California Evaluation	*	*	*	*	*		*	*	*	
ECLS-B Cohort Design Work	*	*			*		*	*		
ECLS-K Cohort Measures Development and Field Testing	*	*	*		*		*	*		
National Longitudinal Survey of Youth 1997 – Questionnaire Design	*				*		*	*		
Compendium of Developmental Assessments and Screeners		*	*				*		*	
Child Care and Early Education Policy and Research Analysis and Technical Expertise Project	*									*
National Center on Child Care Professional Development Systems & Workforce Initiatives	*	*	*	*	*			*	*	*
Early Childhood Data Collaborative	*	*	*	*		*		*	*	*
BUILD										
State KEA Learning Community	*	*	*	*					*	*
Early Learning Challenge Collaborative	*	*	*	*		*				*
QRIS National Learning Network	*	*	*	*					*	*
Diversity and Equity Learning Community	*	*	*	*						*

North Carolina Department of Public Instruction

North Carolina Department of Public Instruction (NC DPI) is well positioned to lead a consortium of states in developing or enhancing a Kindergarten Entry Assessment. The state has a long history as a leader in early childhood education, serving as the birthplace of nationally recognized and replicated Smart Start and home to one of the earliest Quality Rating & Improvement Systems to incorporate a rated license for use in licensed child care programs. Commitment to early education is also evident in action taken by the State Board of Education in 1999 to convene a Ready for School Goal Team, an effort that resulted in the adoption of a statewide definition of school readiness incorporating both the condition of children when they enter school and the capacity of schools to address the needs of all children in attendance. Goal Team recommendations also led to a school readiness study that used valid and reliable assessment instruments administered by trained assessors to collect data on a representative sample of children entering kindergarten, as well as kindergarten classrooms across the state. Data gathered from that study were used to inform efforts to improve the care and education of young children, including the creation of a state-funded pre-kindergarten program serving children at risk for later difficulties in school and efforts to improve community-based health and mental health services for young children. These data also led the State Superintendent to convene a Ready Schools Task Force in 2006. The purpose of this task force was to study ways to improve transition experiences and instructional opportunities for children entering kindergarten. Recommendations from the task force led to the adoption of pathways to Ready Schools, inclusion of a Ready Schools Assessment as part of an elementary schools' school improvement planning process, and endorsement of the NC DPI Position Paper on Kindergartens of the 21st Century. In addition, the State Superintendent created the Office of Early Learning within the NC DPI to bring a strategic focus to the education of children, preschool through third grade.

Beyond its efforts related to early education, NC DPI also has a history of careful consideration for the assessment of young children. State Board of Education policy requires that assessment of children in the primary grades be developmentally appropriate, individually administered, and designed to inform instruction. To support implementation of this policy, the NC DPI developed an assessment for use in kindergarten through second grade. This assessment, in use since 1997, is aligned to reading and mathematics standards, administered multiple times throughout the school year, and designed to document progress and guide classroom instruction. With the award of Race to the Top-Early Learning Challenge (RTT-ELC) funds, the NC DPI is in the process of revising the K-2 Assessment so that it measures all domains, incorporates a kindergarten entry component, and extends from kindergarten through third grade. This recent achievement and focus provide further evidence of the state's capabilities to lead this consortium. The RTT-ELC K-3 assessment will serve as the foundation to the EAG discussed in this proposal.

SRI International

SRI International is one of the world's most innovative and respected research and consulting organizations. Founded in 1946 as the Stanford Research Institute, SRI is an independent, not-for-profit corporation that conducts a variety of basic and applied research projects for government, philanthropic, and industry clients across a spectrum of education, health, engineering, biological, and information sciences. SRI's staff of 2,100 are stationed in offices worldwide and manage \$545 million in contracts, grants, and other projects. Headquarters are in Menlo Park, California, with regional offices in Washington, DC, and major cities throughout the world.

SRI's Education Division works with agencies such as the U.S. Department of Education, the National Science Foundation, states, local communities, school districts, private foundations, nonprofit organizations, and commercial clients to identify trends, understand outcomes, and guide policy and practice. SRI provides research-based solutions to educational challenges posed by rapid social, technological, and economic change. SRI conducts research and evaluations to improve policies and programs for children, youth, and families; engages in assessment design and validation, provides

strategic consulting on program and policy development. Through this work, SRI has established expertise in child development; school readiness; developmental screening and assessment; early care and education (ECE) programs; elementary education transition and alignment between ECE and elementary school systems; pre-kindergarten to third-grade initiatives; early intervention and preschool special education; home visiting and parent support programs; quality rating and improvement systems; effective pedagogy in early childhood and across the K-12 curriculum; early childhood and elementary teacher professional development; early childhood and K-12 school systems change and reform efforts; and use of data for continuous program improvement. SRI also has expertise in developing and studying innovative teaching and learning approaches that use advanced technology to support effective education, learning, and assessment. Below is a description of some projects SRI has conducted that are relevant to the EAG project.

Selected relevant early childhood projects:

Center for IDEA Early Childhood Data Systems (2012–2017). SRI is leading this Office of Special Education (OSEP) - funded national center to provide technical assistance (TA) and resources to state agencies. The DaSy Center works with states to enhance IDEA data systems and to assist with the development or enhancement of longitudinal data systems for early intervention and early childhood special education programs supported through the Individuals with Disabilities Education Act (IDEA).

Evaluation of Minnesota’s Race to the Top-Early Learning Challenge (2012–2016). SRI, with a subcontract to Child Trends, is evaluating the Minnesota Department of Education’s (MDE) Race to the Top-Early Learning Challenge (RTT-ELC) Funds to Promote Access to High-Quality Programs for children with high needs. The evaluation includes formative and summative evaluations to examine the effectiveness of the implementation of the scholarships and the Title I-PreK incentives, describe how the funds are used, examine the extent to which access for children with high needs to high-quality early learning programs has increased, describe family engagement in the EC programs, and examine the impact of EC program participation on children’s outcomes and school readiness.

Evaluation of the Midwest Expansion of the Child-Parent Center (CPC) Education Program (2012–2015). As a subcontractor to the University of Minnesota, SRI is conducting an evaluation of the Midwest Expansion of the Child-Parent Center (CPC) Education Program that provides comprehensive education and family support services to improve school readiness skills, early school achievement, and increase parent education and home support for learning. The evaluation includes more than 2,000 children, their parents, and schools in Illinois, Wisconsin, and Minnesota.

Connecticut Preschool Standards Alignment (2012–2012). For the EASTCONN Regional Educational Service Center on behalf of the state of Connecticut Early Childhood Cabinet, SRI conducted data collection and analyses addressing the alignment of various sets of early learning standards. This project addressed key questions regarding content alignment and articulation across ages and grades, and horizontal and vertical alignment from infancy to kindergarten.

Evaluation of the Achieving High Standards for Pre-K–Grade 3 Mathematics: A Whole Teacher Approach to Professional Development in the Chicago Public Schools (2010–2015). Under a subcontract from Erikson Institute, SRI is conducting an independent evaluation of the Achieving High Standards for Pre-K–Grade 3 Mathematics: A Whole Teacher Approach to Professional Development project. Using a quasi-experimental matched comparison design, SRI’s is comparing 80 prekindergarten through third-grade teachers in Chicago Public Schools. The goal of the evaluation is to determine the impact of teachers’ participation in the PD program on children’s learning and school readiness outcomes, particularly their mathematics skills. Data on fidelity of program implementation are also being collected.

The Florida Master Teacher Initiative (2010–2014). SRI is conducting an independent evaluation of the Florida Master Teacher Initiative, implemented by Miami-Dade County Public Schools, the University of Florida, and the Early Childhood Initiative Foundation in partnership with the W. K. Kellogg Foundation. SRI is using a randomized controlled trial to determine the initiative's impact on prekindergarten through third-grade teachers and their students in 50 Miami-Dade County Title 1 elementary schools and to test how teacher characteristics and participation levels influence outcomes.

Evaluation of Illinois Early Childhood Block Grant (ECBG) Program (2008–2011). As the subcontractor to Erikson Institute, SRI collaboratively designed and conducted a statewide evaluation of the ECBG program for the Illinois State Board of Education. The evaluation addressed questions about the children (birth to age 5) and families participating in programs that aimed to improve children's school readiness and other outcomes. Evaluation of the preschool program involved collection and analysis of data from a statewide sample of children, families, and preschool programs, including kindergarten entry assessments of over 600 children who attended state preschool programs.

State of Washington, DEL Kindergarten Readiness Assessment Planning (2008). For the State Department of Early Learning (DEL) and the Office of Superintendent of Public Instruction (OSPI), in collaboration with Thrive by Five Washington, SRI researched and made recommendations about Washington's statewide kindergarten assessment process. SRI reviewed literature on best practices for the assessment of young children and synthesized information into reports available for DEL. SRI worked with OSPI to develop and implement an online survey about current kindergarten assessment processes that was given to representatives from school districts. SRI also gathered input from a variety of stakeholder groups about their agreement with and priorities for a statewide kindergarten assessment process using an online survey and focus groups. SRI's final report summarized the findings on best and current practices and stakeholder priorities, provided recommendations and considerations for next steps in developing a kindergarten assessment process, and suggested an implementation plan.

Selected relevant assessment projects:

Early Childhood Outcomes (ECO) Center (2003–2013). SRI is providing national leadership on measuring the outcomes of programs serving young children with delays and disabilities through the ECO Center. The ECO Center assists state agencies in building measurement systems for programs serving infants, toddlers, and preschoolers with disabilities and their families. The center provides technical assistance to support states in developing high-quality child and family outcome measurement systems.

Principled Assessment Designs for Inquiry (National Science Foundation (2001–2008)). SRI guided the development of a fully functional online assessment design system that applies the principles of ECD to support the development of complex assessment tasks. The PADI design system is able to support the development of assessments in all content areas (e.g., math, science, English language arts) for target populations of all ages (e.g., preschool, K–12, postsecondary) and for all types of item formats (e.g., multiple choice, scenario based, performance assessments). The PADI online assessment design system uses hyperlinked templates to support the creation of design patterns and task templates that articulate the student, task, and evidence models required for implementation of the ECD process. To date, this was the largest single investment made by NSF to study assessment.

National Center and State Collaborative (NCSC) GSEG (2011–2015). SRI is working with the National Center and State Collaborative (NCSC) on alternate achievement standards (AA-AAS) for students with significant cognitive disabilities. The goal of the project, which will be implemented in 26 states, is to ensure that students with the most significant cognitive disabilities achieve increasingly

higher academic outcomes and leave high school ready for post-secondary options. The PADI online assessment design system is used to integrate ECD and UDL with alternate assessment design to develop design patterns and task templates that is aligned with Common Core State Standards (CCSS) in mathematics and in ELA. These efforts are laying the groundwork for advances in the design and validation of assessment systems.

NAEP Interactive Computer Tasks (2012-2014); NAEP Math and Science (2013–2017). Currently, SRI is working on two subcontracts to Educational Testing Service that support work on the NAEP in science and mathematics. Both of these subcontracts stress the use of ECD as a tool to guide the development of science and math tasks. Both subcontracts require substantial expertise in the use of technology to support the design of technology-based assessments. In SRI's work on the Science Interactive Computer Tasks subcontract, they are creating the ECD documents that provide an archive of design decisions used to create the 60 computer-based tasks. In its subcontract on math and science, they are charged with the preparation of a domain analysis of the math content and technology processes that will guide the assessment development process. SRI is also co-developing, with ETS, the evidence and tasks models that will be used to guide the development of the assessment tasks.

Learning Progressions (2010–2014). In collaboration with the Berkeley Evaluation and Assessment Research (BEAR) Center at the University of California, the Center for Applied Special Technology, and school districts in the Metropolitan Washington, DC, Boston, and Northern California areas, SRI is studying how young children (kindergarten through grade 8) with and without learning disabilities think about and learn important concepts in mathematics. Drawing on key principles of the BEAR Assessment System and UDL, SRI is developing a progression of how students with math learning disabilities learn constructs important to number sense and operations for whole numbers up to elementary fractions. This guides the development and validation of a formative and summative classroom assessment system used to assess their knowledge and understanding relative to the learning progression. Finally, SRI is measuring the reliability and validity of the assessment, qualitatively and quantitatively, to ensure high-quality evidence.

Alternate Assessment Design Enhanced Assessment Grants Program—Mathematics, English Language Arts (2009–2011; 2010–2012). SRI collaborated with state departments of education to develop design patterns and task templates to support the development of assessments for students with significant cognitive disabilities. In the Alternate Assessment Design—Mathematics project, SRI worked with Utah, Idaho, and Florida to design and develop design patterns, task templates and assessment tasks that were linked to state extended content standards in mathematics and the *National Council of Teachers of Mathematics Principles and Standards for School Mathematics*. In the Alternate Assessment Design—Reading project, SRI worked with Idaho, Utah, and Kansas to design and develop design patterns, task templates, and assessment tasks linked to the Common Core State Standards in English Language Arts.

Principled Science Assessment Designs for Students with Disabilities (2007–2012). SRI worked with several state partners to examine whether large-scale assessments can be designed from the outset to be more accessible and demonstrate high inferential validity for a wider range of students (particularly those with disabilities). Through the application of UDL with the PADI design system, SRI demonstrated how the redesign or development of items using both ECD and UDL frameworks resulted in more valid inferences from assessments. This project evaluated the validity of inferences that can be drawn from existing state science assessments for students with and without high incidence disabilities (learning disabilities and mild mental retardation), redesigned a set of assessment items, and conducted an empirical study to test the validity of inferences drawn from the scores on the redesigned items (as compared with the original items). This resulted in the development of research-based guidelines that can be used in large-scale assessment design to increase the validity of inferences from science assessment scores for all students.

Child Trends

Child Trends is a nonprofit, nonpartisan research center that studies children at all stages of development. Child Trends' early childhood researchers study young children from birth through early elementary school with a focus on understanding how the experiences children have across different settings can promote their optimal development and well-being. Below, we summarize Child Trends' expertise in research knowledge and skills critical to the proposed project. We follow this with project descriptions of selected relevant projects.

School Readiness Expertise. Child Trends has a long history of successful working partnerships with states and communities on school readiness research and evaluation, including work in the states of California, South Carolina, Delaware, Maryland, and the District of Columbia. Dr. Kelly Maxwell, who joined the Child Trends' research team on July 1, 2013, also has a history of assisting states in school readiness research, including the 2000 pilot test of the statewide North Carolina school readiness assessment system. The Early Childhood Research staff at Child Trends has broad knowledge of the school readiness and kindergarten assessment landscape, as well as in-depth understanding of measurement issues. Dr. Martha Zaslow, Senior Scholar at Child Trends, contributed to the National Research Council 2008 report on early childhood assessment, and Dr. Tamara Halle co-authored a paper on appropriate assessment procedures for young dual language learners published in *Child Development Perspectives*. Child Trends recently produced a compendium of measures that focuses on child assessments and screeners and highlights their reliability and validity, and their appropriateness for use with linguistically diverse populations and children with disabilities.

Evaluating and Enhancing State Data Capacity. Child Trends has demonstrated substantive expertise related to data infrastructure for multiple projects. For example, through the Maryland Research Capacity project, Child Trends assisted in identifying variables and documenting the data structure for an integrated data system that links children's kindergarten school readiness assessment data with administrative data from the state child care subsidy program. Also, as the hub for the Early Childhood Data Collaborative, Child Trends looks across states to determine how to support the establishment and enhancement of states' early childhood data systems.

Building Collaborative Partnerships. Child Trends also has extensive experience building collaborative workgroups and partnerships among researchers, state and federal policymakers, and other stakeholders in early childhood programs. For example, through the Maryland-Minnesota Research Partnership, Child Trends initiated a learning network of decision-makers from state departments of education and human services, meeting quarterly to share best practices related to kindergarten assessments, data infrastructure, and quality rating and improvement systems.

Rapid Response Research and Technical Assistance. Child Trends is currently serving as a research partner to state agencies in Minnesota, Maryland, Michigan, Illinois, Delaware, and the District of Columbia, assisting with data systems development, data analysis, and evaluation. Child Trends listens carefully to what states identify as their priorities, and works collaboratively with them to provide the best, research-based support possible. Often, Child Trends brings its expertise in implementation science to inform the effective functioning of state initiatives, and the scale up of evidence-based and evidence-informed practices. In addition to direct contracts with states, Child Trends also provides technical assistance to states through its work with the Alliance for Early Success (formerly known as the Birth to Five Policy Alliance) and the National Center on Child Care Professional Development Systems and Workforce Initiatives (PDW Center). Child Trends is known for bringing together content experts from across disciplinary backgrounds and auspices to share information with state and federal stakeholders and decision makers on a variety of early childhood topics, including early childhood assessments.

Selected relevant state early childhood projects:

Pilot Test of North Carolina’s School Readiness Assessment System (2000–2002). This project conducted a pilot test of the proposed North Carolina school readiness assessment system with a sample of 1,000 kindergarten children and 500 elementary schools across NC. This assessment system gathered information about the condition of children as they enter school as well as schools’ capacity to educate all children who enter public kindergarten. For children, information was collected in the five domains of development and learning that were adopted as part of NC’s formal definition of school readiness.

Delaware Kindergarten Readiness Research Partnership (2012–2015). The purpose of the Delaware Kindergarten Readiness Research Partnership with the Delaware Office of Early Learning (OEL) is to conduct a formative implementation evaluation of the first three years of the Delaware Early Learner Survey (DE-ELS) – the state’s statewide school readiness assessment, and assist with the development of a family component to be implemented with the DE-ELS. Child Trends also works with OEL to support the state-level ELS Advisory Committee in developing a research framework, research questions, and design for the KEA system.

Early Childhood Pre-Kindergarten Program Evaluation for DCPS (2011–2014). Child Trends is conducting a system-wide program evaluation of the District of Columbia Public School’s Early Childhood program that includes classroom observations in all Title I early childhood classrooms across the district, direct child assessments on a sub-sample of children in 90 classrooms and a comparison of schools participating in the implementation of the Tools of the Mind curriculum with those using other curricula. Over time, both teachers and children are being followed to determine the results of one versus two or more years of exposure to Tools of the Mind professional development (for teachers) and classroom instruction (for children). Results from the program evaluation will be used to evaluate the quality of the early childhood program in DCPS; determine the effects of professional development for Tools of the Mind, fidelity of implementation of Tools of the Mind, and readiness to change on classroom and child outcomes; help validate the data from the Teaching Strategies GOLD child assessment system using independent child assessments; generate comparison data for the home-grown IMPACT evaluation system data; and provide opportunities to compare classrooms using the Tools of the Mind curriculum with those that are using alternative curricula.

Early Care and Education Choices, Quality and Continuity: A Maryland-Minnesota Research Partnership (2010–2013). This project has created a Maryland-Minnesota Child Care Research Partnership to examine critical issues in early care and education and to use research findings to inform policy with an interdisciplinary team of researchers experienced in conducting studies on subsidy policy, quality improvement strategies, family experiences and child outcomes. The project focuses on: (1) how families seek and process information about early care and education, (2) how families value and weigh different features of the quality of arrangements, (3) the dynamics of how families/children transition between arrangements, and (4) the effects of these processes/decisions on family and child outcomes. Primary data collection is coupled with analysis of administrative data from both states and briefings are provided to state administrators, federal project officers and the research community. Research briefs and other dissemination materials are also produced to share with various stakeholders.

The Five State Project on State-Level Child Outcomes (2000–2006). The Project on State-Level Child Outcomes was a unique collaboration between researchers, federal agencies, foundations, and representatives from state welfare offices to examine child and family well-being in the context of welfare reform. In an initial phase of the project, HHS awarded one-year planning grants to 12 states to augment their ongoing experimental evaluations of welfare waiver policies with studies of how welfare reform affects children. During the planning year, state and federal representatives, researchers from the

evaluation firms conducting the state evaluations of adult outcomes (the Manpower Demonstration Research Corporation, Mathematica Policy Research, and Abt Associates), researchers from Child Trends, and members of the National Institute of Child Health and Human Development (NICHD) Family and Child Well-being Research Network, participated in a series of meetings to establish common terminology for discussing child outcomes, to develop a conceptual model for how welfare policies affect child well-being, and to choose the factors to be assessed in the evaluations. Child Trends was also involved in the cross-site analysis of child outcomes across the five states engaged in the welfare waivers program, and participated in disseminating the information to various stakeholders.

Selected relevant early childhood measures development projects:

Federal Interagency Forum on Child & Family Statistics Early Childhood Measures Development (2012–2014). The goal of this project is to review existing measures (including those currently used only in small-scale studies) and identify reliable and valid measures of social-emotional development appropriate for use with children ages 0-5 that are brief, could be added to existing national/Federal surveys of children, and provide an indicator of socio-emotional well-being in early childhood. The Federal Interagency Forum on Child and Family Statistics (the Forum) awarded Child Trends a contract to lead this project, which has thus far involved a review and analysis of theoretical frameworks for social-emotional development, a review and analysis of extant measures of social-emotional development, commissioning of papers by outside experts on social-emotional development, and the convening of a round-table meeting to discuss and come to consensus on the most promising measures, as well as to consider possible vehicles for these measures in the national/Federal survey collection.

California’s First 5 California Evaluation (2002–2005). Child Trends was part of a team of research organizations lead by SRI that were selected by the State of California as the evaluation contractor to conduct a three-year, statewide evaluation of California’s school readiness initiative that was the result of the passage of Proposition 10. Child Trends completed a background book on indicators of physical well-being, child functioning, and family functioning as an aid to the counties in California; consulted on the school readiness longitudinal study and evaluation designs; reviewed the data dictionary that defines indicators, data sources, tools, and estimated burden to local commissions; consulted on county scorecard content; reviewed annual summaries of indicators; and prepared policy and practitioner briefs.

Early Childhood Longitudinal Study-Birth Cohort Design Work. (2004–2009). Members of the Child Trends’ team helped prepare the conceptual model and literature review of constructs and measures which are the basis of the ECLS-B (Moore et al., 1999). In addition, the Child Trends’ team prepared a comprehensive literature review of father involvement in young children’s lives, and outlined the methodology which is the basis of the father involvement component of the ECLS-B design.

Early Childhood Longitudinal Study-Kindergarten Cohort Measures Development and Field Testing (1995–1997). The Child Trends’ team helped prepare the parent questionnaire and conducted analyses of field test results, which were included in the ECLS-K field test parent survey analysis. The design team developed measures of family and community influences for the parent interview, and coordinated and presented findings at the Technical Review Panel (TRP) for the ECLS-K. One of Child Trends’ contributions was to devise several brief scales that are reliable and demonstrate predictive validity; and data quality appears to be strong. Child Trends’ staff were responsible for analyzing the field test data from the parent and child survey (i.e., a sample of parents of 483 kindergarten students interviewed in the fall of 1996, 396 parents who were followed longitudinally until the spring of kindergarten, 1997). A separate field test of parents of approximately 400 first-grade students was also conducted. Child Trends created parenting scales and conducted correlational analyses of the resulting data.

National Longitudinal Survey of Youth 1997 – Questionnaire Design (1999–2003). With funds from the Department of Labor, under subcontract to NORC (University of Chicago), Child Trends provided expert assistance in survey design, development, and documentation for the National Longitudinal Survey of Youth 1997 (NLSY97) since Round 1 of data collection. The work included survey design contributions to Rounds 4, 5, 6, 7, and 8. Other activities included recommendations for item selection; skip pattern placement; psychometric analyses; analyses for variable creation; and documentation for all aspects of work (e.g., origin, use, and interpretation of the psychometric scales for the NLSY97 handbook). Child Trends also evaluated the feasibility of survey indicators and measures for use in a nationally representative sample of adolescents. Child Trends also worked with NORC on the data collection of the survey and was involved in dissemination of the data and in creating public use variables from the collected data for dissemination on the data CDs, and also produced documentation for all measures/indicators in the modules that Child Trends developed. In addition, Child Trends developed user documents, as needed, to support the additional items that have been added to the NLSY97 survey.

Compendium of Developmental Assessments and Screeners (2009–2011). Child Trends developed a compendium of selected developmental assessments and screeners for young children that aims to help Head Start managers and other early care and education administrators review information regarding the reliability and validity of commonly used assessment and developmental screening tools in order to help them better select appropriate tools for the populations they serve. The compendium aims more generally to increase awareness about reliability and validity and how to evaluate whether an instrument is reliable and valid for the population and purpose for which it will be used. The compendium also aims to highlight areas in which the early childhood field is lacking information on reliability and validity of early childhood assessments and developmental screeners. While originally developed in response to Head Start’s reauthorization, the compendium is designed to be useful to managers and staff who work in different types of early childhood programs and who are responsible for selecting and evaluating assessment or screening instruments.

Relevant projects involving research and technical assistance on implementation science:

Child Care and Early Education Policy and Research Analysis and Technical Expertise Project (2008–2013). Funded by the Administration of Children and Families (OPRE, HHS), this competitive task order (TO) was awarded to Child Trends to support the provision of expert consultation, assessment and analysis in child care and early education policy and research to the OPR), including activities related to: providing expert advice, assistance and consultation in support of the agency’s research priorities and goals; conducting studies to inform policy and practice and the development of new research priorities; and, providing technical assistance and expertise in the preparation of written materials and convening meetings of expert early childhood stakeholders. This task order also covers planning and facilitating meetings of experts on child care research issues of relevance to the administration for the Child Care and Development Fund (CCDF) and other early childhood programs in States, Territories, and Tribes. Under one of the main activities, staff planned and convened a Working Meeting on the Application of Implementation Science to Early Care and Education Research. An edited book titled *Applying Implementation Science in Early Childhood Programs and Systems* (Halle, Metz & Martinez-Beck, 2013) was produced following the meeting. Ongoing follow-up activities to the working meeting also include convening a working group of researchers on current issues relating to implementation science research in early childhood programs and producing a series of policy briefs.

National Center on Child Care Professional Development Systems and Workforce Initiatives (PDW Center) (2011–2014). As a Research Specialist for the PDW Center, Dr. Tamara Halle has prepared and delivered webinars on implementation science frameworks and readiness for change, as well as designed tools that states can use to plan for implementation of

professional development systems. Dr. Halle also provides one-on-one technical assistance to states through the PDW Center on implementation science.

Relevant early childhood data systems projects:

Early Childhood Data Collaborative. (2009–present). Child Trends houses the Early Childhood Data Collaborative (ECDC). The ECDC was formed in 2009 to promote state policies that facilitate the development and use of coordinated early care and education (ECE) data systems. The goal of the ECDC is to improve the use of data in informing efforts that strengthen the quality of ECE programs and the workforce, increase program access, and lead to better child outcomes. To date, the ECDC has made important contributions, including: publishing the “10 Fundamentals” Framework for Coordinated State ECE Data Systems; analyzing states’ ECE data systems through a 50-state survey; identifying and sharing state success stories in building ECE data systems; hosting trainings, webinars and meetings to facilitate information-sharing; offering policy analysis on data system development; and developing and sharing resources to support policy makers, program administrators, data managers and others.

National Center on Child Care Professional Development Systems and Workforce Initiatives (PDW Center) (2011–2014). As Research Specialists for the PDW Center, Dr. Tamara Halle and Dr. Kathryn Tout create tools to assist states in the development of integrated professional development systems.

The BUILD Initiative

The BUILD Initiative works with early childhood leaders within states and nationally to create early childhood systems designed to better prepare young children to thrive and succeed. BUILD supports state leaders from both the private and public sectors as they work to set policy, offer services and advocate for children from birth to age five. The BUILD Initiative was conceived by the Early Childhood Funders Collaborative (ECFC), a consortium of private foundations that recognized that current programs, policies and services for young children and their families often operate in isolation. Launched in May 2002, BUILD supports state leaders in their efforts to reform existing statewide systems; strengthen local programs; test new service delivery models and policy approaches; pilot national projects; and, strengthen their commitment to diversity, equity, and cultural and linguistic inclusion. Since its inception, BUILD has been supporting aligned screening and assessment of children from birth to age five as evidence-based practice. Over the years, BUILD’s state services has expanded from linking state leaders with well-known researchers and policy innovators, to supporting states in implementing new policies and practices linked to results for children, their families and communities.

BUILD works intensively with 10 states – Arizona, Georgia, Illinois, Michigan, Minnesota, New Jersey, New York, Ohio, Pennsylvania, and Washington. Each state receives a combination of services, including strategic program advice and ideas, technical assistance, evaluation, and tailored professional development opportunities. In addition to the tailored support to the above ten states, the initiative leads a 50-state national learning community designed to support all states in various aspects of their early childhood system-building efforts. Support through the learning community includes cross-state meetings of peers with national experts, webinars, “just-in-time” technical assistance, and other opportunities that allow states to learn from each other. States share strategies, diffuse innovations, analyze failures, and promote promising practices in meeting the needs of their youngest children.

BUILD brings to this partnership a proven ability to bring states together to learn from each other, to synthesize ideas and lessons learned for other states, and to learn from and to connect states to needed expertise on a variety of related topics. BUILD’s 10 year history emphasizes the importance of working with state leaders to develop comprehensive early childhood systems. The K-3 assessment being developed under this project will be an important component of each state’s system building effort, bridging the gap between the 0-5 early care and education system and the P-3 education system.

Key BUILD projects:

State KEA Learning Community. This project has been designed to build cross-state learning and joint state efforts in the design and implementation of a kindergarten entry assessment (KEA). Over the past 18 months, BUILD, in partnership with CCSSO, has organized two multi-state meetings with participants from nearly 30 states on issues related to the development of a KEA. BUILD has also organized several webinars focused on standards, assessment, and KEA, in particular. States have also been connected together for direct peer-to-peer learning and a short paper was developed as the outcome of one of those peer learning experiences. This proposed consortium is the direct result of the ongoing work which has occurred under this learning community over the past year.

Early Learning Challenge Collaborative. BUILD, in partnership with the First Five Years Fund, created the Early Learning Challenge Collaborative to support state leaders as they apply for and implement the federal Race to the Top-Early Learning Challenge. As coordinator of the technical assistance and learning community, BUILD has created numerous tools and resources (including several focused on KEA) and hosted more than a dozen webinars. Through this work, BUILD enhanced its reputation as an effective, responsive technical assistance provider and convener of states. Now BUILD serves on the ELC TA Consortium, created under EDTASS and through a contract with AEM, to help RTT-ELC grantee states benefit from technical assistance that is coordinated across the public and private sectors. In addition, BUILD is directly supporting the work of Colorado, Delaware, and Washington states through their RTT-ELC technical assistance.

QRIS National Learning Network. BUILD leads an ongoing learning community designed to support states in the development, implementation and revision of quality rating and improvement systems. This project includes a monthly webinar series, cross-state learning opportunities, direct technical assistance to state leaders, a national meeting and a website with the latest QRIS-related resources. Nearly every state in the country is now planning for, developing or revising a QRIS, creating a stronger “next generation” of QRIS as a result of the lessons they are learning through BUILD’s cross-state convenings.

Diversity and Equity Learning Community. BUILD leads an ongoing learning community that works with states to build an early childhood system that is responsive to children of all races, cultures and language backgrounds. This work has included several “think tank” meetings on the topic, direct technical assistance to states, a train-the-trainer program, webinars and publications. Accordingly, there is now heightened awareness among state leaders about the necessity of emphasizing these issues in their early childhood system building efforts.

Attachment—Memoranda of Understanding or Other Binding Agreement

Memoranda of Understanding from State Partners

Arizona
Delaware
District of Columbia
Iowa
Maine
North Dakota
Oregon
Rhode Island

Exhibit A – Scope of Work

Terms of Reference for the Kindergarten–3rd Grade Assessment Consortium

Memoranda of Understanding from State Partners

Arizona
Delaware
District of Columbia
Iowa
Maine
North Dakota
Oregon
Rhode Island

Memorandum of Understanding (MOU)

Consortium: KEA within K-3 Formative Assessment System Enhanced Assessment Instruments Grants Program, CFDA 84.368A

The lead State of North Carolina and the partner State of Arizona hereby provide assurance that, as a condition of remaining in the consortium under the Enhanced Assessment Instruments Grants Program – Kindergarten Entry Assessment, we consent and agree to the following:

I. Purpose

The States of North Carolina and Arizona are entering into this Agreement to:

- a) enhance the kindergarten entry assessment (KEA) initially developed by North Carolina in the context of a K-3 formative assessment system;
- b) adopt, or have a plan to adopt, the common KEA portion of this K-3 formative assessment system enhanced under this priority no later than the end of the project period; and
- c) adopt, or have a plan to adopt, a core set of early learning and development standards upon which the KEA is based.

II. Lead State Duties

The State of North Carolina is the Lead State in this consortium and as such will file the grant application and act as fiscal agent as provided in section VI.

III. State Obligations

All Consortium States agree to follow all applicable rules, laws, and policies as required under the assurances made upon applying for the U.S. Department of Education's Enhanced Assessment Instruments Grant, CFDA 84.368A, incorporated herein by reference. The States agree to carry out all activities as described in the grant application, Scope of Work, attached hereto as Exhibit A.

IV. Governance Structure

Under the Consortium Governance structure, all member states share in the efforts and rewards of a collaborative team environment, where decisions on matters of policy, finance, or design are determined in a consensus manner. The Consortium will provide a representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and expert advisors to achieve an optimum balance of assessment quality, efficiency, costs, and time. Representatives from each State in the Consortium will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process. A Terms of Reference document, subject to periodic review and revision, will be executed by all Consortium States, describing specifically how the states will work together.

V. Project Management

North Carolina has contracted with a Project Management Partner to assist with management, organization, logistics, planning, and assessment enhancement on behalf of the Consortium, and to monitor the progress of deliverables under the proposal for the U.S. Department of Education.

VI. Funds Accountability

The Consortium States agree to utilize funds in accordance with Federal regulations applicable under the grant. No state shall be required to contribute funds to another participant state and each state is solely responsible for its financial obligations under the grant.

Each agency shall maintain fiscal records necessary for full accountability, follow generally accepted accounting principles, and account for all receipts and disbursements of funds transferred or expended pursuant to this Agreement.

The State of North Carolina shall act as fiscal agent on the grant and disburse funds based on the terms of the grant and invoices received from the participating States. Should funding for the grant be reduced, North Carolina will prorate reimbursements to the participating States. No funds will be dispersed to a state without a written invoice from the State.

Payment shall be made within a reasonable time after requests for payment and supporting documentation have been received by North Carolina.

At the end of the grant period, the Consortium States must ensure that each has submitted all documentation of expenses to North Carolina as the fiscal agent.

VII. Sufficient Funding

The Consortium States understand and agree that because the Lead State is a governmental entity, this MOU shall in no way bind or obligate the State of North Carolina beyond the terms of the Grant Award appropriation of funds by the U.S. Department of Education. North Carolina reserves the right to terminate the MOU, in whole or in part, if the U.S. Department of Education does not appropriate sufficient funds as may be required for North Carolina to continue payment of funds to the participating states, or if the U.S. Department of Education requires North Carolina to return funds to the federal government. North Carolina may also terminate this MOU if the executive branch of the U.S. Department of Education mandates any cuts in or holdbacks of funding. North Carolina may terminate under this provision by providing the States 30 days written notice of termination.

VIII. No Authority to Bind Other States

One State under this Agreement shall have no authority to enter into contracts or agreements on behalf of the other States. All contracts or agreements shall be entered on behalf of the executing State or executed by all participating States. No third party or other State entity may rely on this MOU. Any failure of the participating States to follow any or all terms of the MOU or Grant, or any future amendment or modification of the Grant, shall not establish any liability of the individual States to any third party or other entity.

IX. Limitations

This MOU does not create or give the participating States any powers they would otherwise not have. Rather, this MOU is only to provide for the exercise of existing powers so as to achieve a more efficient operation of government. For this reason, this MOU sets forth the understanding of the States in achieving a common purpose, and is not intended to provide a basis for legal action upon breach of any of its provisions.

X. Data Use Agreements and Reporting

The Consortium States shall make student-level data that result from any assessments or other assessment-related instruments developed or enhanced under a grant from this competition

available on an ongoing basis for research, including for prospective linking, validity, and EAG program improvement studies. Eligible applicants awarded a grant under this program must comply with the Family Educational Rights and Privacy Act (FERPA) and 34 CFR Part 99, as well as state and local requirements regarding privacy when reporting the results of any KEA and incorporating such data into a State's SLDS (Statewide Longitudinal Data System) and early learning data system.

XI. Period of Performance

The period of performance of this agreement shall be a period of four years, and shall commence upon date of award.

XII. Copyright

There will be considerable collaboration between and among the States, however, each state will obtain some work products specifically designed to meet their particular needs including but not limited to: frameworks, blueprints, exemplars, essences, sample items, and operational items. Although some of these items may not be compatible with curriculum standards or other educational aspects of each of the States, the States agree that each state will have a right to non-commercial use of any product or deliverable resulting from this project. Furthermore, the States agree that any such work products or deliverables will be available for public domain usage including usage by states that were not original member States of this agreement.

XIII. Termination

Any party to this agreement may, without cause, terminate this agreement by notifying the others in writing at least 30 calendar days prior to intended date of termination.

In the event that federal or state laws are amended or judicially interpreted so as to render the fulfillment of the agreement unnecessary or impractical as a result of such amendments or judicial interpretation, all parties to this agreement shall be discharged from further obligations under its terms, except of the completion of work commenced prior to the date of termination and the equitable settlement of compensation due for such work.

XIV. Changes in Consortium Membership

This consortium has flexibility in developing protocols for member States to change roles in the consortium, for member States to leave the consortium, and for new States to join the consortium. However, because changes in State membership in a consortium may affect the scope of the project for which a grant award has been made, North Carolina must submit to the U.S. Department of Education a written request for approval of any changes to the membership of the consortium.

XV. Amendment

This agreement shall not be altered, changed or amended except by an instrument in writing executed by the parties hereto.

XVI. Scope of Agreement

This agreement incorporates all the agreements, covenants, and understandings between the parties of this agreement concerning the subject matter hereof. No prior agreement or understanding, verbal or otherwise, of parties or their agents shall be valid or enforceable unless embodied in this agreement.

XVII. Dispute Resolution

Any disputes arising out of work performed and/or products or services delivered under this agreement will be subject to the laws of the State of North Carolina and the United States.

XVIII. Authority

This memorandum must be signed by the chief state school officer and by the State agency official who has authority to adopt early learning and development standards for the State, if that is a different official.

In signing this Agreement on behalf of my state, I certify that:

1. I am authorized to do so;
2. This Agreement does not conflict with any applicable law or regulation to which my state is subject;
3. This document may be executed in counterparts.

As the Consortium lead state, I have read and understand the roles and responsibilities of States and agree to be bound by the statements and assurances made in this application.	
I further certify in the continuing capacity of a lead State I am fully committed to the goals and objectives of the grant application and support its implementation.	
State Name: NORTH CAROLINA	
Chief State School Officer: (b)(6) (Printed Name):	Date 7/1/13
Authorized Agent, Early Learning and Development Standards: (b)(6) (Printed Name): Lucy E. Roberts	Date 6.28.2013

As a Consortium member state, I have read and understand the roles and responsibilities of States and agree to be bound by the statements and assurances made in this application.	
I further certify in the continuing capacity of a member State I am fully committed to the goals and objectives of the grant application and support its implementation.	
State Name: Arizona	
Chief State School Officer: (b)(6) (Printed Name): JOHN HUPPENTHAL	Date 6/19/2013
Authorized Agent, Early Learning and Development Standards: (Printed Name):	Date

Memorandum of Understanding (MOU)
Consortium: KEA within K-3 Formative Assessment System
Enhanced Assessment Instruments Grants Program, CFDA 84.368A

The lead State of North Carolina and the partner State of Delaware hereby provide assurance that, as a condition of remaining in the consortium under the Enhanced Assessment Instruments Grants Program Kindergarten Entry Assessment, we consent and agree to the following:

I. Purpose

The States of North Carolina and Delaware are entering into this Agreement to:

- a) enhance the kindergarten entry assessment (KEA) initially developed by North Carolina in the context of a K-3 formative assessment system;
- b) adopt, or have a plan to adopt, the common KEA portion of this K-3 formative assessment system enhanced under this priority no later than the end of the project period; and
- c) adopt, or have a plan to adopt, a core set of early learning and development standards upon which the KEA is based.

II. Lead State Duties

The State of North Carolina is the Lead State in this consortium and as such will file the grant application and act as fiscal agent as provided in section VI.

III. State Obligations

All Consortium States agree to follow all applicable rules, laws, and policies as required under the assurances made upon applying for the U.S. Department of Education's Enhanced Assessment Instruments Grant, CFDA 84.368A, incorporated herein by reference. The States agree to carry out all activities as described in the grant application, Scope of Work, attached hereto as Exhibit A.

IV. Governance Structure

Under the Consortium Governance structure, all member states share in the efforts and rewards of a collaborative team environment, where decisions on matters of policy, finance, or design are determined in a consensus manner. The Consortium will provide a representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and expert advisors to achieve an optimum balance of assessment quality, efficiency, costs, and time. Representatives from each State in the Consortium will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process. A Terms of Reference document, subject to periodic review and revision, will be executed by all Consortium States, describing specifically how the states will work together.

V. Project Management

North Carolina has contracted with a Project Management Partner to assist with management, organization, logistics, planning, and assessment enhancement on behalf of the Consortium, and to monitor the progress of deliverables under the proposal for the U.S. Department of Education.

VI. Funds Accountability

The Consortium States agree to utilize funds in accordance with Federal regulations applicable under the grant. No state shall be required to contribute funds to another participant state and each state is solely responsible for its financial obligations under the grant.

Each agency shall maintain fiscal records necessary for full accountability, follow generally accepted accounting principles, and account for all receipts and disbursements of funds transferred or expended pursuant to this Agreement.

The State of North Carolina shall act as fiscal agent on the grant and disburse funds based on the terms of the grant and invoices received from the participating States. Should funding for the grant be reduced, North Carolina will prorate reimbursements to the participating States. No funds will be dispersed to a state without a written invoice from the State.

Payment shall be made within a reasonable time after requests for payment and supporting documentation have been received by North Carolina.

At the end of the grant period, the Consortium States must ensure that each has submitted all documentation of expenses to North Carolina as the fiscal agent.

VII. Sufficient Funding

The Consortium States understand and agree that because the Lead State is a governmental entity, this MOU shall in no way bind or obligate the State of North Carolina beyond the terms of the Grant Award appropriation of funds by the U.S. Department of Education. North Carolina reserves the right to terminate the MOU, in whole or in part, if the U.S. Department of Education does not appropriate sufficient funds as may be required for North Carolina to continue payment of funds to the participating states, or if the U.S. Department of Education requires North Carolina to return funds to the federal government. North Carolina may also terminate this MOU if the executive branch of the U.S. Department of Education mandates any cuts in or holdbacks of funding. North Carolina may terminate under this provision by providing the States 30 days written notice of termination.

VIII. No Authority to Bind Other States

One State under this Agreement shall have no authority to enter into contracts or agreements on behalf of the other States. All contracts or agreements shall be entered on behalf of the executing State or executed by all participating States. No third party or other State entity may rely on this MOU. Any failure of the participating States to follow any or all terms of the MOU or Grant, or any future amendment or modification of the Grant, shall not establish any liability of the individual States to any third party or other entity.

IX. Limitations

This MOU does not create or give the participating States any powers they would otherwise not have. Rather, this MOU is only to provide for the exercise of existing powers so as to achieve a more efficient operation of government. For this reason, this MOU sets forth the understanding of the States in achieving a common purpose, and is not intended to provide a basis for legal action upon breach of any of its provisions.

X. Data Use Agreements and Reporting

The Consortium States shall make student-level data that result from any assessments or other assessment-related instruments developed or enhanced under a grant from this competition

available on an ongoing basis for research, including for prospective linking, validity, and EAG program improvement studies. Eligible applicants awarded a grant under this program must comply with the Family Educational Rights and Privacy Act (FERPA) and 34 CFR Part 99, as well as state and local requirements regarding privacy when reporting the results of any KEA and incorporating such data into a State's SLDS (Statewide Longitudinal Data System) and early learning data system.

XI. Period of Performance

The period of performance of this agreement shall be a period of four years, and shall commence upon date of award.

XII. Copyright

There will be considerable collaboration between and among the States, however, each state will obtain some work products specifically designed to meet their particular needs including but not limited to: frameworks, blueprints, exemplars, essences, sample items, and operational items. Although some of these items may not be compatible with curriculum standards or other educational aspects of each of the States, the States agree that each state will have a right to non-commercial use of any product or deliverable resulting from this project. Furthermore, the States agree that any such work products or deliverables will be available for public domain usage including usage by states that were not original member States of this agreement.

XIII. Termination

Any party to this agreement may, without cause, terminate this agreement by notifying the others in writing at least 30 calendar days prior to intended date of termination.

In the event that federal or state laws are amended or judicially interpreted so as to render the fulfillment of the agreement unnecessary or impractical as a result of such amendments or judicial interpretation, all parties to this agreement shall be discharged from further obligations under its terms, except of the completion of work commenced prior to the date of termination and the equitable settlement of compensation due for such work.

XIV. Changes in Consortium Membership

This consortium has flexibility in developing protocols for member States to change roles in the consortium, for member States to leave the consortium, and for new States to join the consortium. However, because changes in State membership in a consortium may affect the scope of the project for which a grant award has been made, North Carolina must submit to the U.S. Department of Education a written request for approval of any changes to the membership of the consortium.

XV. Amendment

This agreement shall not be altered, changed or amended except by an instrument in writing executed by the parties hereto.

XVI. Scope of Agreement

This agreement incorporates all the agreements, covenants, and understandings between the parties of this agreement concerning the subject matter hereof. No prior agreement or understanding, verbal or otherwise, of parties or their agents shall be valid or enforceable unless embodied in this agreement.

XVII. Dispute Resolution

Any disputes arising out of work performed and/or products or services delivered under this agreement will be subject to the laws of the State of North Carolina and the United States.

XVIII. Authority

This memorandum must be signed by the chief state school officer and by the State agency official who has authority to adopt early learning and development standards for the State, if that is a different official.

In signing this Agreement on behalf of my state, I certify that:

1. I am authorized to do so;
2. This Agreement does not conflict with any applicable law or regulation to which my state is subject;
3. This document may be executed in counterparts.

As the Consortium lead state, I have read and understand the roles and responsibilities of States and agree to be bound by the statements and assurances made in this application.	
I further certify in the continuing capacity of a lead State I am fully committed to the goals and objectives of the grant application and support its implementation.	
State Name: NORTH CAROLINA	
Chief State School Officer: (Printed Name):	Date
(b)(6)	7/1/13
Authorized Agent, Early Learning and Development Standards: (b)(6)	Date
(Printed Name): Lucy E. Roberts	6/28/13

KFR
6/21/13

As a Consortium member state, I have read and understand the roles and responsibilities of States and agree to be bound by the statements and assurances made in this application.	
I further certify in the continuing capacity of a member State I am fully committed to the goals and objectives of the grant application and support its implementation.	
State Name: Delaware	
Chief State School Officer: (Printed Name):	Date
(b)(6) Mark Murphy	6-24-13
Authorized Agent, Early Learning and Development Standards: (b)(6)	Date
(Printed Name): Michael Watson	6/24/13 Hannel Richter

Memorandum of Understanding (MOU)

Consortium: KEA within K-3 Formative Assessment System Enhanced Assessment Instruments Grants Program, CFDA 84.368A

The lead State of North Carolina and the partner State of District of Columbia (DC) hereby provide assurance that, as a condition of remaining in the consortium under the Enhanced Assessment Instruments Grants Program – Kindergarten Entry Assessment, we consent and agree to the following:

I. Purpose

The States of North Carolina and District of Columbia (DC) are entering into this Agreement to:

- a) enhance the kindergarten entry assessment (KEA) initially developed by North Carolina in the context of a K-3 formative assessment system;
- b) adopt, or have a plan to adopt, the common KEA portion of this K-3 formative assessment system enhanced under this priority no later than the end of the project period; and
- c) adopt, or have a plan to adopt, a core set of early learning and development standards upon which the KEA is based.

II. Lead State Duties

The State of North Carolina is the Lead State in this consortium and as such will file the grant application and act as fiscal agent as provided in section VI.

III. State Obligations

All Consortium States agree to follow all applicable rules, laws, and policies as required under the assurances made upon applying for the U.S. Department of Education's Enhanced Assessment Instruments Grant, CFDA 84.368A, incorporated herein by reference. The States agree to carry out all activities as described in the grant application, Scope of Work, attached hereto as Exhibit A.

IV. Governance Structure

Under the Consortium Governance structure, all member states share in the efforts and rewards of a collaborative team environment, where decisions on matters of policy, finance, or design are determined in a consensus manner. The Consortium will provide a representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and expert advisors to achieve an optimum balance of assessment quality, efficiency, costs, and time. Representatives from each State in the Consortium will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process. A Terms of Reference document, subject to periodic review and revision, will be executed by all Consortium States, describing specifically how the states will work together.

V. Project Management

North Carolina has contracted with a Project Management Partner to assist with management, organization, logistics, planning, and assessment enhancement on behalf of the Consortium, and to monitor the progress of deliverables under the proposal for the U.S. Department of Education.

VI. Funds Accountability

The Consortium States agree to utilize funds in accordance with Federal regulations applicable under the grant. No state shall be required to contribute funds to another participant state and each state is solely responsible for its financial obligations under the grant.

Each agency shall maintain fiscal records necessary for full accountability, follow generally accepted accounting principles, and account for all receipts and disbursements of funds transferred or expended pursuant to this Agreement.

The State of North Carolina shall act as fiscal agent on the grant and disburse funds based on the terms of the grant and invoices received from the participating States. Should funding for the grant be reduced, North Carolina will prorate reimbursements to the participating States. No funds will be dispersed to a state without a written invoice from the State.

Payment shall be made within a reasonable time after requests for payment and supporting documentation have been received by North Carolina.

At the end of the grant period, the Consortium States must ensure that each has submitted all documentation of expenses to North Carolina as the fiscal agent.

VII. Sufficient Funding

The Consortium States understand and agree that because the Lead State is a governmental entity, this MOU shall in no way bind or obligate the State of North Carolina beyond the terms of the Grant Award appropriation of funds by the U.S. Department of Education. North Carolina reserves the right to terminate the MOU, in whole or in part, if the U.S. Department of Education does not appropriate sufficient funds as may be required for North Carolina to continue payment of funds to the participating states, or if the U.S. Department of Education requires North Carolina to return funds to the federal government. North Carolina may also terminate this MOU if the executive branch of the U.S. Department of Education mandates any cuts in or holdbacks of funding. North Carolina may terminate under this provision by providing the States 30 days written notice of termination.

VIII. No Authority to Bind Other States

One State under this Agreement shall have no authority to enter into contracts or agreements on behalf of the other States. All contracts or agreements shall be entered on behalf of the executing State or executed by all participating States. No third party or other State entity may rely on this MOU. Any failure of the participating States to follow any or all terms of the MOU or Grant, or any future amendment or modification of the Grant, shall not establish any liability of the individual States to any third party or other entity.

IX. Limitations

This MOU does not create or give the participating States any powers they would otherwise not have. Rather, this MOU is only to provide for the exercise of existing powers so as to achieve a more efficient operation of government. For this reason, this MOU sets forth the understanding of the States in achieving a common purpose, and is not intended to provide a basis for legal action upon breach of any of its provisions.

X. Data Use Agreements and Reporting

The Consortium States shall make student-level data that result from any assessments or other assessment-related instruments developed or enhanced under a grant from this competition

available on an ongoing basis for research, including for prospective linking, validity, and EAG program improvement studies. Eligible applicants awarded a grant under this program must comply with the Family Educational Rights and Privacy Act (FERPA) and 34 CFR Part 99, as well as state and local requirements regarding privacy when reporting the results of any KEA and incorporating such data into a State's SLDS (Statewide Longitudinal Data System) and early learning data system.

XI. Period of Performance

The period of performance of this agreement shall be a period of four years, and shall commence upon date of award.

XII. Copyright

There will be considerable collaboration between and among the States, however, each state will obtain some work products specifically designed to meet their particular needs including but not limited to: frameworks, blueprints, exemplars, essences, sample items, and operational items. Although some of these items may not be compatible with curriculum standards or other educational aspects of each of the States, the States agree that each state will have a right to non-commercial use of any product or deliverable resulting from this project. Furthermore, the States agree that any such work products or deliverables will be available for public domain usage including usage by states that were not original member States of this agreement.

XIII. Termination

Any party to this agreement may, without cause, terminate this agreement by notifying the others in writing at least 30 calendar days prior to intended date of termination.

In the event that federal or state laws are amended or judicially interpreted so as to render the fulfillment of the agreement unnecessary or impractical as a result of such amendments or judicial interpretation, all parties to this agreement shall be discharged from further obligations under its terms, except of the completion of work commenced prior to the date of termination and the equitable settlement of compensation due for such work.

XIV. Changes in Consortium Membership

This consortium has flexibility in developing protocols for member States to change roles in the consortium, for member States to leave the consortium, and for new States to join the consortium. However, because changes in State membership in a consortium may affect the scope of the project for which a grant award has been made, North Carolina must submit to the U.S. Department of Education a written request for approval of any changes to the membership of the consortium.

XV. Amendment

This agreement shall not be altered, changed or amended except by an instrument in writing executed by the parties hereto.

XVI. Scope of Agreement

This agreement incorporates all the agreements, covenants, and understandings between the parties of this agreement concerning the subject matter hereof. No prior agreement or understanding, verbal or otherwise, of parties or their agents shall be valid or enforceable unless embodied in this agreement.

XVII. Dispute Resolution

Any disputes arising out of work performed and/or products or services delivered under this agreement will be subject to the laws of the State of North Carolina and the United States.

XVIII. Authority

This memorandum must be signed by the chief state school officer and by the State agency official who has authority to adopt early learning and development standards for the State, if that is a different official.

In signing this Agreement on behalf of my state, I certify that:

1. I am authorized to do so;
2. This Agreement does not conflict with any applicable law or regulation to which my state is subject;
3. This document may be executed in counterparts.

As the Consortium lead state, I have read and understand the roles and responsibilities of States and agree to be bound by the statements and assurances made in this application.	
I further certify in the continuing capacity of a lead State I am fully committed to the goals and objectives of the grant application and support its implementation.	
State Name: NORTH CAROLINA	
Chief State School Officer: (Printed Name):	Date
(b)(6)	7/1/13
Authorized Agent, Early Learning and Development Standards: (Printed Name):	Date
(b)(6) Lucy E. Roberts	6-28-13

As a Consortium member state, I have read and understand the roles and responsibilities of States and agree to be bound by the statements and assurances made in this application.	
I further certify in the continuing capacity of a member State I am fully committed to the goals and objectives of the grant application and support its implementation.	
State Name: District of Columbia (DC)	
Chief State School Officer: (Printed Name):	Date
(b)(6) EMILY DURSO	6/20/13
Authorized Agent, Early Learning and Development Standards: (Printed Name):	Date
Raeshawn Crosson-Sethles	6/29/13

Memorandum of Understanding (MOU)

Consortium: KEA within K-3 Formative Assessment System Enhanced Assessment Instruments Grants Program, CFDA 84.368A

The lead State of North Carolina and the partner State of Iowa hereby provide assurance that, as a condition of remaining in the consortium under the Enhanced Assessment Instruments Grants Program – Kindergarten Entry Assessment, we consent and agree to the following:

I. Purpose

The States of North Carolina and Iowa are entering into this Agreement to:

- a) enhance the kindergarten entry assessment (KEA) initially developed by North Carolina in the context of a K-3 formative assessment system;
- b) adopt, or have a plan to adopt, the common KEA portion of this K-3 formative assessment system enhanced under this priority no later than the end of the project period; and
- c) adopt, or have a plan to adopt, a core set of early learning and development standards upon which the KEA is based.

II. Lead State Duties

The State of North Carolina is the Lead State in this consortium and as such will file the grant application and act as fiscal agent as provided in section VI.

III. State Obligations

All Consortium States agree to follow all applicable rules, laws, and policies as required under the assurances made upon applying for the U.S. Department of Education's Enhanced Assessment Instruments Grant, CFDA 84.368A, incorporated herein by reference. The States agree to carry out all activities as described in the grant application, Scope of Work, attached hereto as Exhibit A.

IV. Governance Structure

Under the Consortium Governance structure, all member states share in the efforts and rewards of a collaborative team environment, where decisions on matters of policy, finance, or design are determined in a consensus manner. The Consortium will provide a representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and expert advisors to achieve an optimum balance of assessment quality, efficiency, costs, and time. Representatives from each State in the Consortium will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process. A Terms of Reference document, subject to periodic review and revision, will be executed by all Consortium States, describing specifically how the states will work together.

V. Project Management

North Carolina has contracted with a Project Management Partner to assist with management, organization, logistics, planning, and assessment enhancement on behalf of the Consortium, and to monitor the progress of deliverables under the proposal for the U.S. Department of Education.

VI. Funds Accountability

The Consortium States agree to utilize funds in accordance with Federal regulations applicable under the grant. No state shall be required to contribute funds to another participant state and each state is solely responsible for its financial obligations under the grant.

Each agency shall maintain fiscal records necessary for full accountability, follow generally accepted accounting principles, and account for all receipts and disbursements of funds transferred or expended pursuant to this Agreement.

The State of North Carolina shall act as fiscal agent on the grant and disburse funds based on the terms of the grant and invoices received from the participating States. Should funding for the grant be reduced, North Carolina will prorate reimbursements to the participating States. No funds will be dispersed to a state without a written invoice from the State.

Payment shall be made within a reasonable time after requests for payment and supporting documentation have been received by North Carolina.

At the end of the grant period, the Consortium States must ensure that each has submitted all documentation of expenses to North Carolina as the fiscal agent.

VII. Sufficient Funding

The Consortium States understand and agree that because the Lead State is a governmental entity, this MOU shall in no way bind or obligate the State of North Carolina beyond the terms of the Grant Award appropriation of funds by the U.S. Department of Education. North Carolina reserves the right to terminate the MOU, in whole or in part, if the U.S. Department of Education does not appropriate sufficient funds as may be required for North Carolina to continue payment of funds to the participating states, or if the U.S. Department of Education requires North Carolina to return funds to the federal government. North Carolina may also terminate this MOU if the executive branch of the U.S. Department of Education mandates any cuts in or holdbacks of funding. North Carolina may terminate under this provision by providing the States 30 days written notice of termination.

VIII. No Authority to Bind Other States

One State under this Agreement shall have no authority to enter into contracts or agreements on behalf of the other States. All contracts or agreements shall be entered on behalf of the executing State or executed by all participating States. No third party or other State entity may rely on this MOU. Any failure of the participating States to follow any or all terms of the MOU or Grant, or any future amendment or modification of the Grant, shall not establish any liability of the individual States to any third party or other entity.

IX. Limitations

This MOU does not create or give the participating States any powers they would otherwise not have. Rather, this MOU is only to provide for the exercise of existing powers so as to achieve a more efficient operation of government. For this reason, this MOU sets forth the understanding of the States in achieving a common purpose, and is not intended to provide a basis for legal action upon breach of any of its provisions.

X. Data Use Agreements and Reporting

The Consortium States shall make student-level data that result from any assessments or other assessment-related instruments developed or enhanced under a grant from this competition

available on an ongoing basis for research, including for prospective linking, validity, and EAG program improvement studies. Eligible applicants awarded a grant under this program must comply with the Family Educational Rights and Privacy Act (FERPA) and 34 CFR Part 99, as well as state and local requirements regarding privacy when reporting the results of any KEA and incorporating such data into a State's SLDS (Statewide Longitudinal Data System) and early learning data system.

XI. Period of Performance

The period of performance of this agreement shall be a period of four years, and shall commence upon date of award.

XII. Copyright

There will be considerable collaboration between and among the States, however, each state will obtain some work products specifically designed to meet their particular needs including but not limited to: frameworks, blueprints, exemplars, essences, sample items, and operational items. Although some of these items may not be compatible with curriculum standards or other educational aspects of each of the States, the States agree that each state will have a right to non-commercial use of any product or deliverable resulting from this project. Furthermore, the States agree that any such work products or deliverables will be available for public domain usage including usage by states that were not original member States of this agreement.

XIII. Termination

Any party to this agreement may, without cause, terminate this agreement by notifying the others in writing at least 30 calendar days prior to intended date of termination.

In the event that federal or state laws are amended or judicially interpreted so as to render the fulfillment of the agreement unnecessary or impractical as a result of such amendments or judicial interpretation, all parties to this agreement shall be discharged from further obligations under its terms, except of the completion of work commenced prior to the date of termination and the equitable settlement of compensation due for such work.

XIV. Changes in Consortium Membership

This consortium has flexibility in developing protocols for member States to change roles in the consortium, for member States to leave the consortium, and for new States to join the consortium. However, because changes in State membership in a consortium may affect the scope of the project for which a grant award has been made, North Carolina must submit to the U.S. Department of Education a written request for approval of any changes to the membership of the consortium.

XV. Amendment

This agreement shall not be altered, changed or amended except by an instrument in writing executed by the parties hereto.

XVI. Scope of Agreement

This agreement incorporates all the agreements, covenants, and understandings between the parties of this agreement concerning the subject matter hereof. No prior agreement or understanding, verbal or otherwise, of parties or their agents shall be valid or enforceable unless embodied in this agreement.

XVII. Dispute Resolution

Any disputes arising out of work performed and/or products or services delivered under this agreement will be subject to the laws of the State of North Carolina and the United States.

XVIII. Authority

This memorandum must be signed by the chief state school officer and by the State agency official who has authority to adopt early learning and development standards for the State, if that is a different official.

In signing this Agreement on behalf of my state, I certify that:

1. I am authorized to do so;
2. This Agreement does not conflict with any applicable law or regulation to which my state is subject;
3. This document may be executed in counterparts.

As the Consortium lead state, I have read and understand the roles and responsibilities of States and agree to be bound by the statements and assurances made in this application.	
I further certify in the continuing capacity of a lead State I am fully committed to the goals and objectives of the grant application and support its implementation.	
State Name: NORTH CAROLINA	
Chief State School Officer: <u>(b)(6)</u> (Printed Name):	Date 7/1/13
Authorized Agent, Early Learning and Development Standards: (b)(6) (Printed Name): Lucy E. Roberts	Date 6-28-13

As a Consortium member state, I have read and understand the roles and responsibilities of States and agree to be bound by the statements and assurances made in this application.	
I further certify in the continuing capacity of a member State I am fully committed to the goals and objectives of the grant application and support its implementation.	
State Name: Iowa	
Chief State School Officer: <u>(b)(6)</u> (Printed Name): D. T. Magee, Interim Director	Date 6/26/13
Authorized Agent, Early Learning and Development Standards: (Printed Name):	Date

Memorandum of Understanding (MOU)

Consortium: KEA within K-3 Formative Assessment System Enhanced Assessment Instruments Grants Program, CFDA 84.368A

The lead State of North Carolina and the partner State of Maine hereby provide assurance that, as a condition of remaining in the consortium under the Enhanced Assessment Instruments Grants Program – Kindergarten Entry Assessment, we consent and agree to the following:

I. Purpose

The States of North Carolina and Maine are entering into this Agreement to:

- a) enhance the kindergarten entry assessment (KEA) initially developed by North Carolina in the context of a K-3 formative assessment system;
- b) adopt, or have a plan to adopt, the common KEA portion of this K-3 formative assessment system enhanced under this priority no later than the end of the project period; and
- c) adopt, or have a plan to adopt, a core set of early learning and development standards upon which the KEA is based.

II. Lead State Duties

The State of North Carolina is the Lead State in this consortium and as such will file the grant application and act as fiscal agent as provided in section VI.

III. State Obligations

All Consortium States agree to follow all applicable rules, laws, and policies as required under the assurances made upon applying for the U.S. Department of Education's Enhanced Assessment Instruments Grant, CFDA 84.368A, incorporated herein by reference. The States agree to carry out all activities as described in the grant application, Scope of Work, attached hereto as Exhibit A.

IV. Governance Structure

Under the Consortium Governance structure, all member states share in the efforts and rewards of a collaborative team environment, where decisions on matters of policy, finance, or design are determined in a consensus manner. The Consortium will provide a representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and expert advisors to achieve an optimum balance of assessment quality, efficiency, costs, and time. Representatives from each State in the Consortium will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process. A Terms of Reference document, subject to periodic review and revision, will be executed by all Consortium States, describing specifically how the states will work together.

V. Project Management

North Carolina has contracted with a Project Management Partner to assist with management, organization, logistics, planning, and assessment enhancement on behalf of the Consortium, and to monitor the progress of deliverables under the proposal for the U.S. Department of Education.

VI. Funds Accountability

The Consortium States agree to utilize funds in accordance with Federal regulations applicable under the grant. No state shall be required to contribute funds to another participant state and each state is solely responsible for its financial obligations under the grant.

Each agency shall maintain fiscal records necessary for full accountability, follow generally accepted accounting principles, and account for all receipts and disbursements of funds transferred or expended pursuant to this Agreement.

The State of North Carolina shall act as fiscal agent on the grant and disburse funds based on the terms of the grant and invoices received from the participating States. Should funding for the grant be reduced, North Carolina will prorate reimbursements to the participating States. No funds will be dispersed to a state without a written invoice from the State.

Payment shall be made within a reasonable time after requests for payment and supporting documentation have been received by North Carolina.

At the end of the grant period, the Consortium States must ensure that each has submitted all documentation of expenses to North Carolina as the fiscal agent.

VII. Sufficient Funding

The Consortium States understand and agree that because the Lead State is a governmental entity, this MOU shall in no way bind or obligate the State of North Carolina beyond the terms of the Grant Award appropriation of funds by the U.S. Department of Education. North Carolina reserves the right to terminate the MOU, in whole or in part, if the U.S. Department of Education does not appropriate sufficient funds as may be required for North Carolina to continue payment of funds to the participating states, or if the U.S. Department of Education requires North Carolina to return funds to the federal government. North Carolina may also terminate this MOU if the executive branch of the U.S. Department of Education mandates any cuts in or holdbacks of funding. North Carolina may terminate under this provision by providing the States 30 days written notice of termination.

VIII. No Authority to Bind Other States

One State under this Agreement shall have no authority to enter into contracts or agreements on behalf of the other States. All contracts or agreements shall be entered on behalf of the executing State or executed by all participating States. No third party or other State entity may rely on this MOU. Any failure of the participating States to follow any or all terms of the MOU or Grant, or any future amendment or modification of the Grant, shall not establish any liability of the individual States to any third party or other entity.

IX. Limitations

This MOU does not create or give the participating States any powers they would otherwise not have. Rather, this MOU is only to provide for the exercise of existing powers so as to achieve a more efficient operation of government. For this reason, this MOU sets forth the understanding of the States in achieving a common purpose, and is not intended to provide a basis for legal action upon breach of any of its provisions.

X. Data Use Agreements and Reporting

The Consortium States shall make student-level data that result from any assessments or other assessment-related instruments developed or enhanced under a grant from this competition

available on an ongoing basis for research, including for prospective linking, validity, and EAG program improvement studies. Eligible applicants awarded a grant under this program must comply with the Family Educational Rights and Privacy Act (FERPA) and 34 CFR Part 99, as well as state and local requirements regarding privacy when reporting the results of any KEA and incorporating such data into a State's SLDS (Statewide Longitudinal Data System) and early learning data system.

XI. Period of Performance

The period of performance of this agreement shall be a period of four years, and shall commence upon date of award.

XII. Copyright

There will be considerable collaboration between and among the States, however, each state will obtain some work products specifically designed to meet their particular needs including but not limited to: frameworks, blueprints, exemplars, essences, sample items, and operational items. Although some of these items may not be compatible with curriculum standards or other educational aspects of each of the States, the States agree that each state will have a right to non-commercial use of any product or deliverable resulting from this project. Furthermore, the States agree that any such work products or deliverables will be available for public domain usage including usage by states that were not original member States of this agreement.

XIII. Termination

Any party to this agreement may, without cause, terminate this agreement by notifying the others in writing at least 30 calendar days prior to intended date of termination.

In the event that federal or state laws are amended or judicially interpreted so as to render the fulfillment of the agreement unnecessary or impractical as a result of such amendments or judicial interpretation, all parties to this agreement shall be discharged from further obligations under its terms, except of the completion of work commenced prior to the date of termination and the equitable settlement of compensation due for such work.

XIV. Changes in Consortium Membership

This consortium has flexibility in developing protocols for member States to change roles in the consortium, for member States to leave the consortium, and for new States to join the consortium. However, because changes in State membership in a consortium may affect the scope of the project for which a grant award has been made, North Carolina must submit to the U.S. Department of Education a written request for approval of any changes to the membership of the consortium.

XV. Amendment

This agreement shall not be altered, changed or amended except by an instrument in writing executed by the parties hereto.

XVI. Scope of Agreement

This agreement incorporates all the agreements, covenants, and understandings between the parties of this agreement concerning the subject matter hereof. No prior agreement or understanding, verbal or otherwise, of parties or their agents shall be valid or enforceable unless embodied in this agreement.

XVII. Dispute Resolution

Any disputes arising out of work performed and/or products or services delivered under this agreement will be subject to the laws of the State of North Carolina and the United States.

XVIII. Authority

This memorandum must be signed by the chief state school officer and by the State agency official who has authority to adopt early learning and development standards for the State, if that is a different official.

In signing this Agreement on behalf of my state, I certify that:

1. I am authorized to do so;
2. This Agreement does not conflict with any applicable law or regulation to which my state is subject;
3. This document may be executed in counterparts.

As the Consortium lead state, I have read and understand the roles and responsibilities of States and agree to be bound by the statements and assurances made in this application.	
I further certify in the continuing capacity of a lead State I am fully committed to the goals and objectives of the grant application and support its implementation.	
State Name: NORTH CAROLINA	
Chief State School Officer: (Printed Name): (b)(6)	Date 7.1.13
Authorized Agent, Early Learning and Development Standards: (b)(6)	Date 6-28-13
(Printed Name): Lucy E. Roberts	

As a Consortium member state, I have read and understand the roles and responsibilities of States and agree to be bound by the statements and assurances made in this application.	
I further certify in the continuing capacity of a member State I am fully committed to the goals and objectives of the grant application and support its implementation.	
State Name: Maine	
Chief State School Officer: (Printed Name): (b)(6)	Date 6/19/2013
Authorized Agent, Early Learning and Development Standards: (b)(6)	Date 6/19/2013
(Printed Name): Stephen L. Bowen	

Memorandum of Understanding (MOU)

Consortium: KEA within K–3 Formative Assessment System Enhanced Assessment Instruments Grants Program, CFDA 84.368A

The lead State of North Carolina and the partner State of North Dakota hereby provide assurance that, as a condition of remaining in the consortium under the Enhanced Assessment Instruments Grants Program – Kindergarten Entry Assessment, we consent and agree to the following:

I. Purpose

The States of North Carolina and North Dakota are entering into this Agreement to:

- a) enhance the kindergarten entry assessment (KEA) initially developed by North Carolina in the context of a K–3 formative assessment system;
- b) adopt, or have a plan to adopt, the common KEA portion of this K–3 formative assessment system enhanced under this priority no later than the end of the project period; and
- c) adopt, or have a plan to adopt, a core set of early learning and development standards upon which the KEA is based.

II. Lead State Duties

The State of North Carolina is the Lead State in this consortium and as such will file the grant application and act as fiscal agent as provided in section VI.

III. State Obligations

All Consortium States agree to follow all applicable rules, laws, and policies as required under the assurances made upon applying for the U.S. Department of Education's Enhanced Assessment Instruments Grant, CFDA 84.368A, incorporated herein by reference. The States agree to carry out all activities as described in the grant application, Scope of Work, attached hereto as Exhibit A.

IV. Governance Structure

Under the Consortium Governance structure, all member states share in the efforts and rewards of a collaborative team environment, where decisions on matters of policy, finance, or design are determined in a consensus manner. The Consortium will provide a representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and expert advisors to achieve an optimum balance of assessment quality, efficiency, costs, and time. Representatives from each State in the Consortium will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process. A Terms of Reference document, subject to periodic review and revision, will be executed by all Consortium States, describing specifically how the states will work together.

V. Project Management

North Carolina has contracted with a Project Management Partner to assist with management, organization, logistics, planning, and assessment enhancement on behalf of the Consortium, and to monitor the progress of deliverables under the proposal for the U.S. Department of Education.

VI. Funds Accountability

The Consortium States agree to utilize funds in accordance with Federal regulations applicable under the grant. No state shall be required to contribute funds to another participant state and each state is solely responsible for its financial obligations under the grant.

Each agency shall maintain fiscal records necessary for full accountability, follow generally accepted accounting principles, and account for all receipts and disbursements of funds transferred or expended pursuant to this Agreement.

The State of North Carolina shall act as fiscal agent on the grant and disburse funds based on the terms of the grant and invoices received from the participating States. Should funding for the grant be reduced, North Carolina will prorate reimbursements to the participating States. No funds will be dispersed to a state without a written invoice from the State.

Payment shall be made within a reasonable time after requests for payment and supporting documentation have been received by North Carolina.

At the end of the grant period, the Consortium States must ensure that each has submitted all documentation of expenses to North Carolina as the fiscal agent.

VII. Sufficient Funding

The Consortium States understand and agree that because the Lead State is a governmental entity, this MOU shall in no way bind or obligate the State of North Carolina beyond the terms of the Grant Award appropriation of funds by the U.S. Department of Education. North Carolina reserves the right to terminate the MOU, in whole or in part, if the U.S. Department of Education does not appropriate sufficient funds as may be required for North Carolina to continue payment of funds to the participating states, or if the U.S. Department of Education requires North Carolina to return funds to the federal government. North Carolina may also terminate this MOU if the executive branch of the U.S. Department of Education mandates any cuts in or holdbacks of funding. North Carolina may terminate under this provision by providing the States 30 days written notice of termination.

VIII. No Authority to Bind Other States

One State under this Agreement shall have no authority to enter into contracts or agreements on behalf of the other States. All contracts or agreements shall be entered on behalf of the executing State or executed by all participating States. No third party or other State entity may rely on this MOU. Any failure of the participating States to follow any or all terms of the MOU or Grant, or any future amendment or modification of the Grant, shall not establish any liability of the individual States to any third party or other entity.

IX. Limitations

This MOU does not create or give the participating States any powers they would otherwise not have. Rather, this MOU is only to provide for the exercise of existing powers so as to achieve a more efficient operation of government. For this reason, this MOU sets forth the understanding of the States in achieving a common purpose, and is not intended to provide a basis for legal action upon breach of any of its provisions.

X. Data Use Agreements and Reporting

The Consortium States shall make student-level data that result from any assessments or other assessment-related instruments developed or enhanced under a grant from this competition

available on an ongoing basis for research, including for prospective linking, validity, and EAG program improvement studies. Eligible applicants awarded a grant under this program must comply with the Family Educational Rights and Privacy Act (FERPA) and 34 CFR Part 99, as well as state and local requirements regarding privacy when reporting the results of any KEA and incorporating such data into a State's SLDS (Statewide Longitudinal Data System) and early learning data system.

XI. Period of Performance

The period of performance of this agreement shall be a period of four years, and shall commence upon date of award.

XII. Copyright

There will be considerable collaboration between and among the States, however, each state will obtain some work products specifically designed to meet their particular needs including but not limited to: frameworks, blueprints, exemplars, essences, sample items, and operational items. Although some of these items may not be compatible with curriculum standards or other educational aspects of each of the States, the States agree that each state will have a right to non-commercial use of any product or deliverable resulting from this project. Furthermore, the States agree that any such work products or deliverables will be available for public domain usage including usage by states that were not original member States of this agreement.

XIII. Termination

Any party to this agreement may, without cause, terminate this agreement by notifying the others in writing at least 30 calendar days prior to intended date of termination.

In the event that federal or state laws are amended or judicially interpreted so as to render the fulfillment of the agreement unnecessary or impractical as a result of such amendments or judicial interpretation, all parties to this agreement shall be discharged from further obligations under its terms, except of the completion of work commenced prior to the date of termination and the equitable settlement of compensation due for such work.

XIV. Changes in Consortium Membership

This consortium has flexibility in developing protocols for member States to change roles in the consortium, for member States to leave the consortium, and for new States to join the consortium. However, because changes in State membership in a consortium may affect the scope of the project for which a grant award has been made, North Carolina must submit to the U.S. Department of Education a written request for approval of any changes to the membership of the consortium.

XV. Amendment

This agreement shall not be altered, changed or amended except by an instrument in writing executed by the parties hereto.

XVI. Scope of Agreement

This agreement incorporates all the agreements, covenants, and understandings between the parties of this agreement concerning the subject matter hereof. No prior agreement or understanding, verbal or otherwise, of parties or their agents shall be valid or enforceable unless embodied in this agreement.

XVII. Dispute Resolution

Any disputes arising out of work performed and/or products or services delivered under this agreement will be subject to the laws of the State of North Carolina and the United States.

XVIII. Authority

This memorandum must be signed by the chief state school officer and by the State agency official who has authority to adopt early learning and development standards for the State, if that is a different official.

In signing this Agreement on behalf of my state, I certify that:

1. I am authorized to do so;
2. This Agreement does not conflict with any applicable law or regulation to which my state is subject;
3. This document may be executed in counterparts.

As the Consortium lead state, I have read and understand the roles and responsibilities of States and agree to be bound by the statements and assurances made in this application.	
I further certify in the continuing capacity of a lead State I am fully committed to the goals and objectives of the grant application and support its implementation.	
State Name: NORTH CAROLINA	
Chief State School Officer: (b)(6) (Printed Name):	Date 7/1/13
Authorized Agent, Early Learning and Development Standards: (b)(6) (Printed Name): Lucy E Roberts	Date 6-28-13

As a Consortium member state, I have read and understand the roles and responsibilities of States and agree to be bound by the statements and assurances made in this application.	
I further certify in the continuing capacity of a member State I am fully committed to the goals and objectives of the grant application and support its implementation.	
State Name: North Dakota	
Chief State School Officer: (b)(6) (Printed Name): Kirsten Baesler, State Superintendent	Date 6-14-13
Authorized Agent, Early Learning and Development Standards: (b)(6) (Printed Name): Robert Marthaller, Assistant Superintendent	Date 6-14-13

Memorandum of Understanding (MOU)

~~Consortium: KEA within K-3 Formative Assessment System~~ Enhanced Assessment Instruments Grants Program, CFDA 84.368A

The lead State of North Carolina and the partner State of Oregon hereby provide assurance that, as a condition of remaining in the consortium under the Enhanced Assessment Instruments Grants Program – Kindergarten Entry Assessment, we consent and agree to the following:

I. Purpose

The States of North Carolina and Oregon are entering into this Agreement to:

- a) enhance the kindergarten entry assessment (KEA) initially developed by North Carolina in the context of a K-3 formative assessment system;
- b) adopt, or have a plan to adopt, the common KEA portion of this K-3 formative assessment system enhanced under this priority no later than the end of the project period; and
- c) adopt, or have a plan to adopt, a core set of early learning and development standards upon which the KEA is based.

II. Lead State Duties

The State of North Carolina is the Lead State in this consortium and as such will file the grant application and act as fiscal agent as provided in section VI.

III. State Obligations

All Consortium States agree to follow all applicable rules, laws, and policies as required under the assurances made upon applying for the U.S. Department of Education's Enhanced Assessment Instruments Grant, CFDA 84.368A, incorporated herein by reference. The States agree to carry out all activities as described in the grant application, Scope of Work, attached hereto as Exhibit A.

IV. Governance Structure

Under the Consortium Governance structure, all member states share in the efforts and rewards of a collaborative team environment, where decisions on matters of policy, finance, or design are determined in a consensus manner. The Consortium will provide a representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and expert advisors to achieve an optimum balance of assessment quality, efficiency, costs, and time. Representatives from each State in the Consortium will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process. A Terms of Reference document, subject to periodic review and revision, will be executed by all Consortium States, describing specifically how the states will work together.

V. Project Management

North Carolina has contracted with a Project Management Partner to assist with management, organization, logistics, planning, and assessment enhancement on behalf of the Consortium, and to monitor the progress of deliverables under the proposal for the U.S. Department of Education.

VI. Funds Accountability

The Consortium States agree to utilize funds in accordance with Federal regulations applicable under the grant. No state shall be required to contribute funds to another participant state and each state is solely responsible for its financial obligations under the grant.

Each agency shall maintain fiscal records necessary for full accountability, follow generally accepted accounting principles, and account for all receipts and disbursements of funds transferred or expended pursuant to this Agreement.

The State of North Carolina shall act as fiscal agent on the grant and disburse funds based on the terms of the grant and invoices received from the participating States. Should funding for the grant be reduced, North Carolina will prorate reimbursements to the participating States. No funds will be dispersed to a state without a written invoice from the State.

Payment shall be made within a reasonable time after requests for payment and supporting documentation have been received by North Carolina.

At the end of the grant period, the Consortium States must ensure that each has submitted all documentation of expenses to North Carolina as the fiscal agent.

VII. Sufficient Funding

The Consortium States understand and agree that because the Lead State is a governmental entity, this MOU shall in no way bind or obligate the State of North Carolina beyond the terms of the Grant Award appropriation of funds by the U.S. Department of Education. North Carolina reserves the right to terminate the MOU, in whole or in part, if the U.S. Department of Education does not appropriate sufficient funds as may be required for North Carolina to continue payment of funds to the participating states, or if the U.S. Department of Education requires North Carolina to return funds to the federal government. North Carolina may also terminate this MOU if the executive branch of the U.S. Department of Education mandates any cuts in or holdbacks of funding. North Carolina may terminate under this provision by providing the States 30 days written notice of termination.

VIII. No Authority to Bind Other States

One State under this Agreement shall have no authority to enter into contracts or agreements on behalf of the other States. All contracts or agreements shall be entered on behalf of the executing State or executed by all participating States. No third party or other State entity may rely on this MOU. Any failure of the participating States to follow any or all terms of the MOU or Grant, or any future amendment or modification of the Grant, shall not establish any liability of the individual States to any third party or other entity.

IX. Limitations

This MOU does not create or give the participating States any powers they would otherwise not have. Rather, this MOU is only to provide for the exercise of existing powers so as to achieve a more efficient operation of government. For this reason, this MOU sets forth the understanding of the States in achieving a common purpose, and is not intended to provide a basis for legal action upon breach of any of its provisions.

X. Data Use Agreements and Reporting

The Consortium States shall make student-level data that result from any assessments or other assessment-related instruments developed or enhanced under a grant from this competition available on an ongoing basis for research, including for prospective linking, validity, and EAG

program improvement studies. Eligible applicants awarded a grant under this program must comply with the Family Educational Rights and Privacy Act (FERPA) and 34 CFR Part 99, as well as state and local requirements regarding privacy when reporting the results of any KEA and incorporating such data into a State's SLDS (Statewide Longitudinal Data System) and early learning data system.

XI. Period of Performance

The period of performance of this agreement shall be a period of four years, and shall commence upon date of award.

XII. Copyright

There will be considerable collaboration between and among the States, however, each state will obtain some work products specifically designed to meet their particular needs including but not limited to: frameworks, blueprints, exemplars, essences, sample items, and operational items. Although some of these items may not be compatible with curriculum standards or other educational aspects of each of the States, the States agree that each state will have a right to non-commercial use of any product or deliverable resulting from this project. Furthermore, the States agree that any such work products or deliverables will be available for public domain usage including usage by states that were not original member States of this agreement.

XIII. Termination

Any party to this agreement may, without cause, terminate this agreement by notifying the others in writing at least 30 calendar days prior to intended date of termination.

- In the event that federal or state laws are amended or judicially interpreted so as to render the fulfillment of the agreement unnecessary or impractical as a result of such amendments or judicial interpretation, all parties to this agreement shall be discharged from further obligations under its terms, except of the completion of work commenced prior to the date of termination
- and the equitable settlement of compensation due for such work.

XIV. Changes in Consortium Membership

This consortium has flexibility in developing protocols for member States to change roles in the consortium, for member States to leave the consortium, and for new States to join the consortium. However, because changes in State membership in a consortium may affect the scope of the project for which a grant award has been made, North Carolina must submit to the U.S. Department of Education a written request for approval of any changes to the membership of the consortium.

XV. Amendment

This agreement shall not be altered, changed or amended except by an instrument in writing executed by the parties hereto.

XVI. Scope of Agreement

This agreement incorporates all the agreements, covenants, and understandings between the parties of this agreement concerning the subject matter hereof. No prior agreement or understanding, verbal or otherwise, of parties or their agents shall be valid or enforceable unless embodied in this agreement.

XVII. Reserved

XVIII. Authority

This memorandum must be signed by the chief state school officer and by the State Agency's Officials who have authority to adopt early learning and development standards for the State, if that is a different official.

In signing this Agreement on behalf of my state, I certify that:

1. I am authorized to do so;
2. This Agreement does not conflict with any applicable law or regulation to which my state is subject;
3. This document may be executed in counterparts.

As the Consortium lead state, I have read and understand the roles and responsibilities of States and agree to be bound by the statements and assurances made in this application.	
I further certify in the continuing capacity of a lead State I am fully committed to the goals and objectives of the grant application and support its implementation.	
State Name: NORTH CAROLINA	
Chief State School Officer: (b)(6) (Printed Name): _____	Date 7/1/13
Authorized Agent Early Learning and Development Standards: (b)(6) (Printed Name): Lucy E. Roberts	Date 6-28-13

As a Consortium member state, I have read and understand the roles and responsibilities of States and agree to be bound by the statements and assurances made in this application.	
I further certify in the continuing capacity of a member State I am fully committed to the goals and objectives of the grant application and support its implementation.	
State Name: Oregon	
Authorized Agent, Dept. of Education (b)(6) Deputy Superintendent: _____ (Printed Name): Rob Saxton	Date 6/26/13
Authorized Agent Early Learning System Director: (b)(6) (Printed Name): Jada Rupley	Date 06/26/13
Authorized Agent Procurement Officer Procurement Services: (b)(6) _____ (Printed Name): Karen K. Harrison	Date 6-26-2013

Memorandum of Understanding (MOU)

Consortium: KEA within K-3 Formative Assessment System Enhanced Assessment Instruments Grants Program, CFDA 84.368A

The lead State of North Carolina and the partner State of Rhode Island hereby provide assurance that, as a condition of remaining in the consortium under the Enhanced Assessment Instruments Grants Program – Kindergarten Entry Assessment, we consent and agree to the following:

I. Purpose

The States of North Carolina and Rhode Island are entering into this Agreement to:

- a) enhance the kindergarten entry assessment (KEA) initially developed by North Carolina in the context of a K-3 formative assessment system;
- b) adopt, or have a plan to adopt, the common KEA portion of this K-3 formative assessment system enhanced under this priority no later than the end of the project period; and
- c) adopt, or have a plan to adopt, a core set of early learning and development standards upon which the KEA is based.

II. Lead State Duties

The State of North Carolina is the Lead State in this consortium and as such will file the grant application and act as fiscal agent as provided in section VI.

III. State Obligations

All Consortium States agree to follow all applicable rules, laws, and policies as required under the assurances made upon applying for the U.S. Department of Education's Enhanced Assessment Instruments Grant, CFDA 84.368A, incorporated herein by reference. The States agree to carry out all activities as described in the grant application, Scope of Work, attached hereto as Exhibit A.

IV. Governance Structure

Under the Consortium Governance structure, all member states share in the efforts and rewards of a collaborative team environment, where decisions on matters of policy, finance, or design are determined in a consensus manner. The Consortium will provide a representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and expert advisors to achieve an optimum balance of assessment quality, efficiency, costs, and time. Representatives from each State in the Consortium will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process. A Terms of Reference document, subject to periodic review and revision, will be executed by all Consortium States, describing specifically how the states will work together.

V. Project Management

North Carolina has contracted with a Project Management Partner to assist with management, organization, logistics, planning, and assessment enhancement on behalf of the Consortium, and to monitor the progress of deliverables under the proposal for the U.S. Department of Education.

VI. Funds Accountability

The Consortium States agree to utilize funds in accordance with Federal regulations applicable under the grant. No state shall be required to contribute funds to another participant state and each state is solely responsible for its financial obligations under the grant.

~~Each agency shall maintain fiscal records necessary for full accountability, follow generally accepted accounting principles, and account for all receipts and disbursements of funds transferred or expended pursuant to this Agreement.~~

The State of North Carolina shall act as fiscal agent on the grant and disburse funds based on the terms of the grant and invoices received from the participating States. Should funding for the grant be reduced, North Carolina will prorate reimbursements to the participating States. No funds will be dispersed to a state without a written invoice from the State.

Payment shall be made within a reasonable time after requests for payment and supporting documentation have been received by North Carolina.

At the end of the grant period, the Consortium States must ensure that each has submitted all documentation of expenses to North Carolina as the fiscal agent.

VII. Sufficient Funding

The Consortium States understand and agree that because the Lead State is a governmental entity, this MOU shall in no way bind or obligate the State of North Carolina beyond the terms of the Grant Award appropriation of funds by the U.S. Department of Education. North Carolina reserves the right to terminate the MOU, in whole or in part, if the U.S. Department of Education does not appropriate sufficient funds as may be required for North Carolina to continue payment of funds to the participating states, or if the U.S. Department of Education requires North Carolina to return funds to the federal government. North Carolina may also terminate this MOU if the executive branch of the U.S. Department of Education mandates any cuts in or holdbacks of funding. North Carolina may terminate under this provision by providing the States 30 days written notice of termination.

VIII. No Authority to Bind Other States

One State under this Agreement shall have no authority to enter into contracts or agreements on behalf of the other States. All contracts or agreements shall be entered on behalf of the executing State or executed by all participating States. No third party or other State entity may rely on this MOU. Any failure of the participating States to follow any or all terms of the MOU or Grant, or any future amendment or modification of the Grant, shall not establish any liability of the individual States to any third party or other entity.

IX. Limitations

This MOU does not create or give the participating States any powers they would otherwise not have. Rather, this MOU is only to provide for the exercise of existing powers so as to achieve a more efficient operation of government. For this reason, this MOU sets forth the understanding of the States in achieving a common purpose, and is not intended to provide a basis for legal action upon breach of any of its provisions.

X. Data Use Agreements and Reporting

The Consortium States shall make student-level data that result from any assessments or other assessment-related instruments developed or enhanced under a grant from this competition

available on an ongoing basis for research, including for prospective linking, validity, and EAG program improvement studies. Eligible applicants awarded a grant under this program must comply with the Family Educational Rights and Privacy Act (FERPA) and 34 CFR Part 99, as well as state and local requirements regarding privacy when reporting the results of any KEA and incorporating such data into a State's SLDS (Statewide Longitudinal Data System) and early learning data system.

XI. Period of Performance

The period of performance of this agreement shall be a period of four years, and shall commence upon date of award.

XII. Copyright

There will be considerable collaboration between and among the States, however, each state will obtain some work products specifically designed to meet their particular needs including but not limited to: frameworks, blueprints, exemplars, essences, sample items, and operational items. Although some of these items may not be compatible with curriculum standards or other educational aspects of each of the States, the States agree that each state will have a right to non-commercial use of any product or deliverable resulting from this project. Furthermore, the States agree that any such work products or deliverables will be available for public domain usage including usage by states that were not original member States of this agreement.

XIII. Termination

Any party to this agreement may, without cause, terminate this agreement by notifying the others in writing at least 30 calendar days prior to intended date of termination.

In the event that federal or state laws are amended or judicially interpreted so as to render the fulfillment of the agreement unnecessary or impractical as a result of such amendments or judicial interpretation, all parties to this agreement shall be discharged from further obligations under its terms, except of the completion of work commenced prior to the date of termination and the equitable settlement of compensation due for such work.

XIV. Changes in Consortium Membership

This consortium has flexibility in developing protocols for member States to change roles in the consortium, for member States to leave the consortium, and for new States to join the consortium. However, because changes in State membership in a consortium may affect the scope of the project for which a grant award has been made, North Carolina must submit to the U.S. Department of Education a written request for approval of any changes to the membership of the consortium.

XV. Amendment

This agreement shall not be altered, changed or amended except by an instrument in writing executed by the parties hereto.

XVI. Scope of Agreement

This agreement incorporates all the agreements, covenants, and understandings between the parties of this agreement concerning the subject matter hereof. No prior agreement or understanding, verbal or otherwise, of parties or their agents shall be valid or enforceable unless embodied in this agreement.

XVII. Dispute Resolution

Any disputes arising out of work performed and/or products or services delivered under this agreement will be subject to the laws of the State of North Carolina and the United States.

XVIII. Authority

This memorandum must be signed by the chief state school officer and by the State agency official who has authority to adopt early learning and development standards for the State, if that is a different official.

In signing this Agreement on behalf of my state, I certify that:

1. I am authorized to do so;
2. This Agreement does not conflict with any applicable law or regulation to which my state is subject;
3. This document may be executed in counterparts.

As the Consortium lead state, I have read and understand the roles and responsibilities of States and agree to be bound by the statements and assurances made in this application.	
I further certify in the continuing capacity of a lead State I am fully committed to the goals and objectives of the grant application and support its implementation.	
State Name: NORTH CAROLINA	
Chief State School Officer: (Printed Name):	Date
(b)(6)	7/1/13
Authorized Agent Early Learning and Development Standards: (Printed Name):	Date
(b)(6) Lucy E. Roberts	6-28-13

As a Consortium member state, I have read and understand the roles and responsibilities of States and agree to be bound by the statements and assurances made in this application.	
I further certify in the continuing capacity of a member State I am fully committed to the goals and objectives of the grant application and support its implementation.	
State Name: Rhode Island	
Chief State School Officer: (Printed Name):	Date
(b)(6) Deborah A. Gist	6-24-13
Authorized Agent Early Learning and Development Standards: (Printed Name):	Date
(b)(6) Deborah A. Gist	6-24-13

Exhibit A – Scope of Work

Exhibit A – Scope of Work

Consortium: KEA within K–3 Formative Assessment System Enhanced Assessment Instruments Grants Program, CFDA 84.368A

This Scope of Work document describes the activities that partner states will undertake to participate in and contribute to the KEA within the K–3 Formative Assessment System Consortium (referred to as the Consortium).

Partner States – Tier 1 Activities

All partner states in the Consortium will participate in the following activities:

- Attend regular in-person and virtual consortium meetings;
- Share already developed K–3 assessment-related materials such as standards (including early learning standards), assessment items/tasks, and professional development materials;
- Provide input into and review of K–3 assessment-related materials such as standards, assessment items/tasks, the assessment as a whole, and professional development materials; and
- Conduct broad stakeholder outreach and engagement activities such as promoting awareness of and support for the assessment among administrators, teachers, families, and institutions of higher education, all in preparation for assessment implementation.

The EAG grant and the research partners will provide support to each state engaging in these Tier 1 activities including funding, technical assistance, and resource materials.

Partner States – Tier 2 Activities

Some partner states in the Consortium will participate in additional activities including:

- Pilot test K–3 assessment items/tasks;
- Pilot test the K–3 assessment process such as technology enhancements and reporting formats;
- Field test the assessment;
- Convene state experts to review assessment-related materials; and
- Conduct more in-depth stakeholder engagement activities, such as focus groups with parents, teachers, administrators, and institutions of higher education staff on the assessment’s design, item development, and related professional development materials.

Individual partner states may engage in some or none of these Tier 2 activities. Grant funds will be set aside for this work in a “Tier 2 Partner State Activities Fund.” Decisions will be made about which states engage in Tier 2 activities based on partner state interest in and criteria developed for the specific activity. For example, the field test will require that enough states/districts participate to ensure a sufficiently large and diverse sample to examine the psychometric properties of the assessment. However, having all states participate in the field test would be cost prohibitive. Several months before the field test, only interested partner states will be considered and a systematic process will be used to determine which states and districts participate in the field test. These activities also can be supplemented by other resources available in each state.

Terms of Reference for the Kindergarten–3rd Grade Assessment Consortium

Terms of Reference for the Kindergarten–3rd Grade Assessment Consortium

Developing the Terms of Reference (ToR) requires creating a clear, mutually agreeable definition of the K–3 Assessment Consortium and description of how the work will be done. The ToR may be revised as needed throughout the life of the consortium and is the companion document to the more formal individual Memoranda of Understanding (MOUs) signed by each Partner State and Lead State (NC). The ToR will be reviewed every six months or when major changes occur to assure their relevance and appropriateness to the work.

- 1. Creation.** The K–3 Assessment Consortium was developed in response to the federal opportunity for support of a Kindergarten Entry Assessment (KEA) Consortium through the US Department of Education’s Enhanced Assessment Grants. North Carolina’s Department of Public Instruction has agreed to serve as the lead in this consortium. Based on NC’s Race to the Top-Early Learning Challenge grant, its KEA work is being done as part of a larger K–3 formative assessment effort. Therefore the Consortium will focus on a K–3 formative assessment process that includes a KEA.
- 2. Vision.** The K–3 Assessment Consortium will build on the expertise and experiences across states to develop a K–3 formative assessment that informs instruction with a KEA that will serve as the first assessment period in a K–3 Assessment process. The K–3 Assessment will be formative, will address all five domains of school readiness (language and literacy development, cognition and general knowledge [including early mathematics and early scientific development], approaches toward learning, physical well-being and motor development [including adaptive skills], and social and emotional development), and will be aligned where appropriate with the Common Core State Standards. The KEA portion will be based on a set of essential common early learning and development standards agreed upon by the Consortium members.
- 3. Purpose.** The purpose of the K–3 Assessment Consortium is to develop a K–3 assessment process, including the KEA, which is appropriate for all children, including children with disabilities and children who are English learners.
- 4. Membership.** The following states have agreed to participate in the Consortium: Arizona, Delaware, District of Columbia, Iowa, Maine, North Carolina, North Dakota, Oregon, and Rhode Island. Within each state, representatives from the state education agency and organization(s) responsible for early learning and development standards, KEA, and K–3 formative assessment in each state will participate. Membership may expand, as needed, to meet the needs of the Consortium. Roles members play within the Consortium (e.g., work group members) will be flexible throughout the term of the project in order to maximize resources and attend to emerging issues.
- 5. Consortium Responsibilities.** All members of the Consortium will have the following responsibilities:
 - Collaboratively, make major decisions about the development of the K–3 assessment system, including the KEA.

- Share lessons learned from individual state KEA and K–3 assessment activities to contribute to the development of the K–3 assessment.
- Maintain confidentiality of Consortium discussions before public release (see Values and Ways of Work, below).
- Communicate consistently about the Consortium work publicly (e.g., use similar talking points).
- Establish and follow communication protocols to facilitate communication among Consortium members, key stakeholders nationally, across and within each state.
- Assist with problem-solving related to the implementation of the K–3 formative assessment, including the KEA.

6. Responsibilities of Consortium State Lead (North Carolina). As the lead of the Consortium, the NC Department of Public Instruction will:

- Assume primary responsibility for developing and submitting the EAG Consortium grant proposal, with support and input from research partners and participating states.
- Assume fiscal responsibility for the EAG Consortium grant.
- Be accountable to the funder and submit reports to the funder on a regular basis (i.e., quarterly, year end, and budget reports).
- Ensure that the Consortium develops, approves, regularly reviews, and follows its Terms of Reference.
- Provide substantive leadership on the design of the K–3 assessment, including the piloting and field testing of the assessment.
- Maintains the IRB for piloting and field testing of the assessment, with assistance from the Research Partners.
- Implement strategies and policies that support the successful adoption and implementation of the K–3 assessment, including the KEA, in the state.

7. Responsibilities of Consortium State Members

Partner States – Tier 1 Activities

All partner states in the Consortium will participate in the following activities:

- Ensure that at least one representative participates in consortium calls, in-person and virtual consortium meetings;
- Share already developed K–3 assessment-related materials such as standards (including early learning standards), assessment items/tasks, and professional development materials;
- Provide input into and review of K–3 assessment-related materials such as standards, assessment items/tasks, the assessment as a whole, and professional development materials; and
- Conduct broad stakeholder outreach and engagement activities such as promoting awareness of and support for the assessment among administrators, teachers, families, and institutions of higher education, all in preparation for assessment implementation.

Partner States – Tier 2 Activities

Some partner states in the Consortium will participate in additional activities including:

- Pilot test K–3 assessment items/tasks;
- Pilot test the K–3 assessment process, such as technology enhancements and reporting formats;
- Field test the assessment;
- Convene state experts to review assessment-related materials; and
- Conduct more in-depth stakeholder engagement activities, such as focus groups with parents, teachers, administrators, and institutions of higher education staff on the assessment’s design, item development, and related professional development materials.

8. State Funding Requests – *Details forthcoming*

The terms of reference will articulate the process for requesting and drawing down funding to be used on the state activities described above.

Tier 1 Activity Funding

Each state will receive the same amount of base funding from the EAG grant to complete Tier 1 activities.

Tier 2 Activity Funding

Individual partner states may engage in some or none of the Tier 2 activities. Grant funds will be set aside for this work in a “Tier 2 Partner State Activities Fund.” Decisions will be made about which states engage in Tier 2 activities based on partner state interest in and criteria developed for the specific activity. For example, the field test will require that enough states/districts participate to ensure a sufficiently large and diverse sample to examine the psychometric properties of the assessment. However, having all states participate in the field test would be cost prohibitive. Several months before the field test, only interested partner states will be considered and a systematic process will be used to determine which states and districts participate in the field test. These activities also can be supplemented by other resources available in each state.

9. Values and Ways of Work.

- The Consortium recognizes the complexity of developing an assessment that is reliable, valid and fair; inclusive of all children; addresses multiple domains of children’s development and learning; is aligned with both the early childhood and K–12 systems; and is conducive with unique state contexts and priorities. In addition to our own experiences and expertise, we will seek out and listen to expertise in multiple areas to support our work.
- The Consortium is a collaborative entity that values and expects transparency.
- The Consortium is committed to creating an atmosphere for the free exchange of ideas.
- The Consortium is committed to listening carefully to each participating state’s experiences, ideas, and concerns.
- Consortium members maintain confidentiality of Consortium discussions until decisions are ready to be announced publicly.
- The Consortium will strive to make decisions that benefit all participating states.
- Members of the Consortium attend and choose to be present, participate fully and bring all of their talents and resources to the table.

- 10. Governance.** The Consortium will abide by the governance structure outlined in the Memoranda of Understanding (MOUs), which state that decisions on matters of policy, finance, or design will be determined in a consensus manner among participating states. When making decisions about the design and implementation of the common KEA and the K–3 assessment, as well as policy and finance, all states participating in the Consortium agree to balance the viewpoints and concerns of multiple stakeholders within their state (e.g., state administrators and policymakers, chief state school officers, superintendents, principals, teachers, union representatives [if applicable], early childhood educators, parents, and children). Decisions related to data governance will address the development of policies and procedures to ensure the accuracy, security, and proper use of data resulting from the K–3 assessment. This includes, but is not limited to, the linking and sharing of KEA data with external state early childhood programs (e.g., early intervention, subsidy, Head Start, child care, health, etc.), K–12, or workforce data systems. Consortium decisions shall be decided by consensus whenever possible. In the event that the group cannot reach consensus, a vote will be taken. Each state representative will be responsible for voting on behalf of their group.
- 11. Meetings and Meeting Notes.** The Consortium will meet at least monthly by conference calls to conduct its work. Meetings will be in person at least once a year. Additional phone or web-based meetings will be held as necessary. Consortium workgroups also may meet in between monthly meetings. Ad hoc work groups and individual meetings will also be held as needed. Meeting minutes shall be kept at every Consortium meeting and distributed to its members within two weeks for review prior to the next meeting. If there are workgroups that convene within the consortium, the notes from those meetings will be made available to the larger group within two weeks.
- 12. Work Groups.** The Consortium may form time-limited work groups as necessary to complete its work. A work group may consist of select consortium members and other individuals the group believes will assist in a full exploration of the issue under the review or work to be accomplished. Work groups should remain relatively small in size, generally not exceeding 4 to 8 members.
- 13. Research Partners.** North Carolina will partner with research partners SRI, Child Trends, and BUILD to form a leadership team that will work together to provide overall leadership for the project. Though not members of the Consortium, the research partners will serve as a resource to the state partners providing content expertise, research activities, and implementation guidance, as needed. Each research partner will play a leadership role in particular aspects of this work, with the other partner organizations providing support as needed. For example, SRI will focus on developing the assessment and technology needed to support the assessment. Child Trends will focus on supporting each Consortium state’s ability to successfully implement and sustain the assessment, using an implementation framework. BUILD will focus on convening the consortium states and will help states, as needed, navigate the stakeholder buy-in process within each state.

Specific roles and responsibilities of Research Partners may include:

- Make recommendations to the Consortium based on research findings (e.g., crosswalk analysis among state early learning standards, common core and state standards for K)
- Assist with K–3 assessment design, including item acquisition and development, application of universal design for learning (UDL) to make the assessment appropriate for children with disabilities and English learners, and performance level setting
- Assist the state of North Carolina in maintaining the IRB for pilot work and field testing of the K–3 Assessment
- Facilitate states’ pilot testing and field testing of the K-3 assessment
- Analyze pilot and field test data and recommend or make revisions to the assessment as needed
- Assist with the development of technology to facilitate data collection for the K–3 assessment
- Support states’ capacity to provide technical assistance on the K–3 assessment
- Support states’ capacity to plan for scale-up and sustainability of the K–3 assessment
- Assist with communication and stakeholder engagement
- Participate in dissemination activities.

14. Project Management Partners. North Carolina has contracted with Project Management Partners to assist with management, organization, logistics, and planning on behalf of the Consortium. The Project management partner will monitor the progress of deliverables under the proposal for the U.S. Department of Education. Members of the SRI, Child Trends, and/or BUILD teams may fulfill the roles and responsibilities of Consortium management. Specific roles and responsibilities of the Project Management Partners may include:

- Facilitate communication among Consortium state members
- Convene the Consortium
- Take notes during Consortium meetings and distribute finalized notes afterwards
- Track deliverables
- Ensure monthly and end-of-year project reporting.

15. Data Sharing – *Details forthcoming*

Facilitating the prompt sharing of data and information related to the KEA is critical to success of this initiative. Once funded, members of the consortium will work collaboratively to define the terms and conditions governing the exchange and disclosure of assessment data in a legally compliant, confidential, and clearly defined manner.

16. Effective Date. These guidelines are effective October 1, 2013 through September 30, 2017.

INDIRECT COST RATE AGREEMENT
STATE EDUCATION AGENCY

Organization

North Carolina Department Of Public Instruction
6326 Mail Service Center
Raleigh, NC 27699-6326

Date: SEP 25 2012

Agreement No: 2012-133

Filing Reference: Replaces previous
Agreement No. 2010-164A
Dated: 7/12/2011

The approved indirect cost rates herein are for use on grants, contracts, and other agreements with the Federal Government. The rates are subject to the conditions included in Section II of this Agreement and issued by the U.S. Department of Education pursuant to the authority in Attachment A of Office of Management and Budget Circular A-87.

Section I - Rates and Bases

<u>Type</u>	<u>From</u>	<u>To</u>	<u>Rate</u>	<u>Base</u>	<u>Applicable To</u>
Fixed	07/01/2012	06/30/2013	15.0%	MTDC	All Programs

Distribution Base:

MTDC Modified Total Direct Cost - Total direct costs excluding equipment, capital expenditures, participant support costs, pass-through funds and the portion of each subaward (subcontract or subgrant) above \$25,000 (each award; each year).

Applicable To:

All Programs The rates herein are applicable to All Programs.

Treatment of Fringe Benefits:

Fringe benefits applicable to direct salaries and wages are treated as direct costs, however, pursuant to OMB Circular A-87-Attachment B Paragraph 8.d.(3), terminal leave costs for all employees will be allocated as an indirect cost except for those employee salaries designated as a direct cost for the restricted rate calculation.

Capitalization Policy: Items of equipment are capitalized and depreciated if the initial acquisition cost is equal to or greater than \$5,000.

Attachment—Letters of Commitment and Support

Research & Development Partners

SRI International
Child Trends
BUILD Initiative

Consortium State Partners

Arizona—First Things First, Arizona’s Early Childhood Development and Health Board; Helios Education Foundation; Virginia G. Piper Charitable Trust; and Arizona Association for the Education of Young Children

Washington D.C.—Deputy Mayors for Health and Human Services and Education; and State Early Childhood Development and Coordinating Council (SECDCC)

Delaware—Delaware Early Childhood Council (DECC); Delaware State Education Association; and Rodel Foundation of Delaware

Iowa—Iowa Association for the Education of Young Children; and Early Childhood Iowa State Board and Early Childhood Stakeholders Alliance

Maine—Maine Children’s Growth Council; Maine State Chamber of Commerce, Fight Crime: Invest in Kids Maine, America’s Edge Maine, and Mission: Readiness Maine; United Ways of Maine; and John T Gorman Foundation, Maine Early Learning Investment Group, Sam L. Cohen Foundation and The Bingham Program

North Dakota—United Way of Cass-Clay

Oregon—Confederation of Oregon School Administration (COSA); Early Learning Council and Governor Kitzhaber; Child Care and Early Education workgroup of the Early Learning Council; and Early Learning System and the Oregon Department of Education

Rhode Island—Rhode Island Early Learning Council

South Carolina (Collaborating Partner)—South Carolina Early Childhood Advisory Council; South Carolina Education Oversight Committee (EOC); Institute of Child Success; and South Carolina’s Council for Competitiveness

National Experts

D. Clements—Cognition & general knowledge (early math)

D. Dickinson—Language/literacy development

L. Edelman—Development of PD materials

L. Espinosa—English learners

D. Greenfield—Cognition & general knowledge (early science)

S. Jones—Approaches to learning, Social-emotional development

R. Lambert—Psychometrics

S. Neuman—Language/literacy development

C. Raver—Social-emotional development

C. Scott-Little—Early learning standards

P. Snyder—Physical well-being/motor development, Students with disabilities

M. Willoughby—Approaches to learning (executive function)

A. Zolotor—Physical well-bring/motor development

K. Dodge—Co-chair, NC Think Tank, Race to the Top Early Learning Challenge Grant

Letters of Commitment and Support

Research & Development Partners

SRI International

Child Trends

BUILD Initiative



June 28, 2013

Cindy Bagwell, Ed.D
RTT-ELC Project Administrator
Office of Early Learning (Pre-K – Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

It would be a great pleasure for SRI International to serve as a research partner with the State of North Carolina's Department of Public Instruction, its consortium of other states, Child Trends and the BUILD Initiative in its application to the Enhanced Assessment Grants (EAG) Program Kindergarten Entry Assessment Competition, CFDA #84.368A of the U.S. Department of Education.

We understand that the purpose of the EAG program is to produce next generation assessments to enhance the quality, efficiency and utility of the considerable investments made in States in measuring academic achievement of elementary and secondary school students. The EAG competition focuses the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with state early learning and development standards and is an essential element of improving the system broadly. Our staff offers deep expertise and experience in early childhood development, learning standards and assessment, assessment design including ECD and UDL, technology enhanced assessment, large-scale multi-site project management and stakeholder engagement which will be needed to successfully design and implement the system. We understand that North Carolina's Department of Public Instruction will serve as the lead state on this grant, and SRI will take a major leadership role in the EAG assessment development process.

We want to emphasize how impressed we are with the team and the consortium you have assembled. It is the right approach with the right team. We look forward to working with you on this critically important work.

Sincerely,
SRI International

(b)(6)

Denise Glyn Borders, Ed.D
Vice President
Education Division



7315 Wisconsin Avenue, 1200W
Bethesda, MD 20814
(240) 223-9200
(240) 200-1239 - fax
www.childtrends.org

July 1, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
301 N. Wilmington Street
Raleigh, NC 27601-2815

Dear Dr. Bagwell:

Please accept this letter as formal agreement by Child Trends to serve as a subcontractor to the North Carolina State Board of Education/Department of Public Instruction, Office of Early Learning for the proposed work entitled *K-3 Assessment Consortium* to be submitted to the Department of Education, Office of Elementary and Secondary Education. Drs. Kelly Maxwell and Tamara Halle will co-lead Child Trends' work.

The K-3 Assessment Consortium aligns well with Child Trends' mission to improve the lives of children and youth by conducting high-quality research for the people and institutions whose decisions and actions affect children. Since 1979, Child Trends has helped to keep the nation focused on children and their needs by identifying emerging issues; evaluating important programs and policies; and providing data-driven, evidence-based guidance on policy and practice.

Child Trends' early childhood researchers study young children from birth through early elementary school with a focus on understanding how the experiences children have across different settings can promote their optimal development and well-being. Our research experts work with the federal government, states and foundation partners to evaluate state policy initiatives such as Quality Rating and Improvement Systems (QRIS), kindergarten readiness assessments, professional development initiatives for the early childhood workforce, and strategies to promote access and affordability of high-quality early care and education. Child Trends' early childhood team has produced nationally-recognized resources and research on school readiness, early care and education quality measurement, implementation science, family engagement, and coaching and consultation in early childhood settings. Child Trends contributes to the Early Childhood Data Collaborative (ECDC), which provides tools and resources to encourage state policy change and provides a national forum to support the development and use of coordinated state ECE data systems.

Child Trends will be pleased to support the K-3 Assessment Consortium activities in a number of ways. As a Research Partner to the K-3 Assessment Consortium along with SRI and BUILD, Child Trends will support the cross-state stakeholder involvement by developing relevant content for stakeholder activities; assist in developing the assessment and pilot/field testing the newly developed instrument; assist with the development of the professional development model and materials to ensure that teachers are using the assessments appropriately; lead the planning within each state for successful implementation, scale-up and sustainability of the K-3

assessment using an implementation science framework; and lead the development of a series of “lessons learned” briefs to share with Consortium and on-Consortium states.

We are excited about the vision North Carolina has for a K-3 formative assessment system and look forward to working with North Carolina and the other states in the Consortium to develop, refine, and implement this vision successfully. We look forward to collaborating with you on this important work.

Sincerely,

(b)(6)

Carol Emig
President



July 1, 2013

Cindy Bagwell, Ed.D
RTT-ELC Project Administrator
Office of Early Learning (Pre-K – Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

The BUILD Initiative would be pleased to serve as a research partner with the State of North Carolina's Department of Public Instruction, its consortium of other states, SRI International, and Child Trends in its application to the Enhanced Assessment Grants (EAG) Program Kindergarten Entry Assessment Competition, CFDA #84.368A of the U.S. Department of Education.

The purpose of the EAG program is to produce next generation assessments to enhance the quality, efficiency and utility of the considerable investments made in States in measuring academic achievement of elementary and secondary school students. The EAG competition this year focuses on a kindergarten entry assessment (KEA), aligned with state early learning and development standards, and is an essential element of improving the overall system. Our staff began identifying states interested in working together on KEA several months ago because we recognized from our extensive work on the Race to the Top-Early Learning Challenge that it is difficult for state staff themselves to find time to identify and evaluate which states have a common philosophy related to assessment and interest in such a collaborative project.

BUILD offers expertise and experience in state efforts to promote school readiness and to advance early childhood policies and programs that are developmentally and culturally appropriate. BUILD is known for its capacity in developing cross-state collaborations and peer learning communities. BUILD has helped dozens of states develop and implement stakeholder engagement plans—a focus that will be critical to successfully design and implement the system.

We are delighted that North Carolina's Department of Public Instruction has stepped up to serve as the lead state on this grant. BUILD will manage the cross-state consortium convenings, in-person and virtual, ensuring adequate discussion and input to take best advantage of the varied assets of the consortium members. In addition, BUILD will take a leadership role in the stakeholder engagement process. BUILD will also act as liaison to the cross-state efforts to develop common essential early learning and development standards, which will be conducted separately using other, largely private, funds.

We look forward to working with you on this critically important project.

Sincerely,

(b)(6)

Gerrit Westervelt
Executive Director

Letters of Commitment and Support

Consortium State Partners

Arizona—First Things First, Arizona’s Early Childhood Development and Health Board; Helios Education Foundation; Virginia G. Piper Charitable Trust; and Arizona Association for the Education of Young Children

Washington D.C.—Deputy Mayors for Health and Human Services and Education; and State Early Childhood Development and Coordinating Council (SECDCC)

Delaware—Delaware Early Childhood Council (DECC); Delaware State Education Association; and Rodel Foundation of Delaware

Iowa—Iowa Association for the Education of Young Children; and Early Childhood Iowa State Board and Early Childhood Stakeholders Alliance

Maine—Maine Children’s Growth Council; Maine State Chamber of Commerce, Fight Crime: Invest in Kids Maine, America’s Edge Maine, and Mission: Readiness Maine; United Ways of Maine; and John T Gorman Foundation, Maine Early Learning Investment Group, Sam L. Cohen Foundation and The Bingham Program

North Dakota—United Way of Cass-Clay

Oregon—Confederation of Oregon School Administration (COSA); Early Learning Council and Governor Kitzhaber; Child Care and Early Education workgroup of the Early Learning Council; and Early Learning System and the Oregon Department of Education

Rhode Island—Rhode Island Early Learning Council

South Carolina (Collaborating Partner)—South Carolina Early Childhood Advisory Council; South Carolina Education Oversight Committee (EOC); Institute of Child Success; and South Carolina’s Council for Competitiveness



FIRST THINGS FIRST

Chair

Steven W. Lynn

Vice Chair

Dr. Pamela Powell

Members

Nadine Mathis Basha

Gayle Burns

Janice Decker

Hon. Cecil Patterson

Vivian Saunders

Ruth Solomon

Ex-Officio Members

Clarence H. Carter

Director DES

Will Humble

Director ADHS

John Huppenthal

Superintendent ADE

Chief Executive Officer

Rhian Evans Allvin

July 19, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

On behalf of First Things First, Arizona’s Early Childhood Development and Health Board, I write in support of Arizona’s participation in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program-EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education to develop and enhance a kindergarten entry assessment embedded in a kindergarten – third grade formative assessment.

We understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. The FY13 EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with the state early learning and development standards.

First Things First has been partnering with the Arizona Department of Education since our inception in 2006. Our overarching goal is to better align the early childhood system with the K-12 system—with an emphasis on grades K-3. As a result of the Race to the Top Early Learning Challenge process, we have been moving forward with the implementation of a statewide kindergarten entry assessment and the connection of longitudinal data systems. Entering into this consortium is a natural next step to our work. First Things First is committed both from financial and programmatic alignment perspectives to see this process through to implementation.

We look forward to having the opportunity to engage with the state consortium and its research partners on this important assessment development project. We lend our full support and will provide input as needed to ensure that the K-3 Formative Assessment Consortium is successful in achieving its stated goals and activities as described in the EAG proposal.

Sincerely,

(b)(6)

Rhian Evans Allvin
Chief Executive Officer

July 19, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

On behalf of the Helios Education Foundation, I write in support of Arizona's participation in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program-EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education to develop and enhance a kindergarten entry assessment embedded in a kindergarten – third grade formative assessment.

We understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. The FY13 EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with the state early learning and development standards.

The goals of this consortium as outlined in its EAG grant application align with the goals of the Helios Education Foundation. The Foundation believes that if we strengthen early childhood systems to promote language acquisition and emergent literacy for children, birth through age 8, then more children in Arizona and Florida will enter kindergarten prepared to succeed and be reading proficiently at the end of third grade. The proposed assessment work will inform our efforts with meaningful metrics.

We look forward to having the opportunity to engage with the state consortium and its research partners on this important assessment development project. As a significant philanthropic education foundation committed to creating opportunities for educational success including effective early childhood education, we lend our full support and will provide input as needed to ensure that the K-3 Formative Assessment Consortium is successful in achieving its stated goals and activities as described in the EAG proposal.

Sincerely,

(b)(6)

Linda A. Thompson
Senior Vice President and Chief Impact Officer

VIRGINIA G.
PIPER
CHARITABLE TRUST

July 20, 2013

BOARD OF TRUSTEES

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Cindy Bagwell, Ed.D.
RIT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

On behalf of the Virginia G. Piper Charitable Trust, I write in support of Arizona's participation in the North Carolina led K-3 Formative Assessment Consortium with research partners SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program- EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the U.S. Department of Education to develop and enhance a kindergarten entry assessment embedded in a kindergarten - third grade formative assessment.

We understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. The FY13 EAG competition focuses on the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with the state early learning and development standards.

The goals of this consortium as outlined in the EAG grant application align with the goals of our foundation. We have been working with the Arizona Department of Education, First Things First, and other state partners over the past year on implementing a KEA and have committed funding for that purpose. We believe strongly in the consortium's goals to create a K-3 formative assessment system that addresses the five developmental domains that yield successful learners, particularly in the area of early literacy where we focus our work.

We look forward to having the opportunity to engage with the multi-state consortium and its research partners on this groundbreaking assessment project. As one of the largest private foundations in Arizona dedicated to improving early learning environments and literacy outcomes, we lend our full support. We will provide input as needed to ensure that the K-3 Formative Assessment Consortium is successful in achieving its stated goals and activities as described in the EAG proposal.

Sincerely,

(b)(6)

Marilee Dal Pra
Vice President of Programs

PR/Award # S368A130002

June 21, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

On behalf of the Arizona Association for the Education of Young Children. I write in support of Arizona's participation in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program-EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education to develop and enhance a kindergarten entry assessment embedded in a kindergarten – third grade formative assessment.

We understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. The FY13 EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with the state early learning and development standards.

The goals of this consortium as outlined in its EAG grant application align with the goals of the Arizona Department of Education and other collaborative partners in Arizona.

We look forward to having the opportunity to engage with the state consortium and its research partners on this important assessment development project for Arizona. We lend our full support and will provide input as needed to ensure that the K-3 Formative Assessment Consortium is successful in achieving its stated goals and activities as described in the EAG proposal.

Sincerely,

(b)(6)

Dawn Craft
Arizona Association for the Education of Young Children

GOVERNMENT OF THE DISTRICT OF COLUMBIA

Abigail Smith
Acting Deputy Mayor for Education



BB Otero
Deputy Mayor for Health & Human Services

June 19, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

As the Deputy Mayors for Health and Human Services and Education, we write in support of the District of Columbia's participation in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program-EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education to develop and enhance a kindergarten entry assessment embedded in a kindergarten – third grade formative assessment.

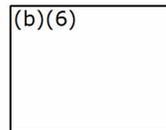
We understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. The FY13 EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with the state early learning and development standards.

The goals of this consortium as outlined in its EAG grant application align with the District of Columbia's Early Success framework as well as the Raise DC road map which focus on ensuring all children and families in the District of Columbia are thriving through the collaboration of multiple city agencies and community partners. Participation in the EAG program will assist the District in meeting the Raise DC goal of ensuring every child is prepared for school by helping to measure the percentage of children entering kindergarten ready to learn and meeting expected benchmarks in multiple domains.

We look forward to having the opportunity to engage with the state consortium and its research partners on this important assessment development project. We lend our full support and will provide input as needed to ensure that the K-3 Formative Assessment Consortium is successful in achieving its stated goals and activities as described in the EAG proposal.

Sincerely,

Abigail Smith
Acting Deputy Mayor for Education



~~BB Otero~~
~~Deputy Mayor for Health and Human Services~~

June 19, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

On behalf of the State Early Childhood Development and Coordinating Council (SECDCC), I write in support of the District of Columbia's participation in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program-EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education to develop and enhance a kindergarten entry assessment embedded in a kindergarten – third grade formative assessment.

We understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. The FY13 EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with the state early learning and development standards.

The goals of this consortium as outlined in its EAG grant application align with the goals of SECDCC which focus on coordinating District early childhood efforts especially on implementation of a kindergarten entry assessment as well as a quality rating improvement system.

We look forward to having the opportunity to engage with the state consortium and its research partners on this important assessment development project. As the advisory body to Mayor Vincent C. Gray on early childhood education, we lend our full support and will provide input as needed to ensure that the K-3 Formative Assessment Consortium is successful in achieving its stated goals and activities as described in the EAG proposal.

Sincerely

(b)(6)

John H. McKoy
Chair, State Early Childhood Development Coordinating Council

1726 M Street NW, Suite 202
Washington, DC 20036
Main 202.772.0400
Fax 202.772.0401
www.fightforchildren.org



Delaware Early Childhood Council

June 20, 2013

Ms. Harriet Dichter
Executive Director
Delaware Office of Early Learning
820 North French Street, 5th Floor
Wilmington DE 19801

Dear Harriet:

On behalf of the Delaware Early Childhood Council (DECC) I write in support of Delaware's participation in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program-EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education to develop and enhance a kindergarten entry assessment embedded in a kindergarten – third grade formative assessment.

We are excited that Delaware has the opportunity to be part of a multi-state consortium that could enhance the current assessment instruments being used in kindergarten and to have additional tools that are comprehensive for use in the early grades, all aligned with our early learning standards.

The goals of this Consortium align with our Strategic Plan for a Comprehensive Early Childhood System. The Plan's Goal 3 focuses on an aligned and effective early learning system, birth through third grade and includes objectives and strategies that are related to the use of a kindergarten entry assessment and the alignment of elementary and early learning standards.

We look forward to having Delaware participate in this important assessment development project. As the advisory body to the state on early childhood, we lend our full support.

Sincerely,

(b)(6)

Dan Rich
Chair



June 25, 2013

Ms. Harriet Dichter
Executive Director
Delaware Office of Early Learning
820 North French Street, 5th Floor
Wilmington DE 19801

Dear Harriet:

As president of the Delaware State Education Association, I am writing in support of Delaware's participation in the North Carolina-led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program-EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education to develop and enhance a kindergarten entry assessment embedded in a kindergarten – third grade formative assessment.

We are excited that Delaware has the opportunity to be part of a multi-state consortium that could enhance the developmentally appropriate assessment instrument currently used in public school kindergartens across the state, as well as providing additional comprehensive tools for use in the early grades, all aligned with our early learning standards. We understand that Delaware will engage with first, second and third grade teachers as part of its commitment to this Consortium, and will continue to engage in its current partnership with kindergarten teachers, an alliance that has proven to be important and worthwhile. We wholeheartedly support the ongoing involvement of our K-3 teachers in all stages of the work.

The goals of this Consortium align both with the state's Strategic Plan for a Comprehensive Early Childhood System and with DSEA's interest in working together to build a strong, aligned early learning system, from birth through grade 3. This project has the advantage of promoting PK-3 teachers' connections of comprehensive standards, including approaches to learning and social-emotional development, along with language, literacy, mathematics, social studies, etc. in tandem with formative assessment and instruction.

DELAWARE STATE EDUCATION ASSOCIATION

Headquarters 136 East Water Street Dover, Delaware 19901 P • 302.734.5834 F • 674.8499 TF • 866.734.5834
Branch Office 4135 Ogletown-Stanton Road Suite 101 Newark, Delaware 19713 P • 302.366.8440 F • 302.366.0287

www.dsea.org

Frederika Jenner
President

Mike Hoffmann
Vice President

PR/Award # S368A130002

Page 8220

Mary Jo Faust
NEA Director

Jeff Taschner
Executive Director



We look forward to having Delaware participate in this important assessment development project. We offer our full support.

Sincerely

(b)(6)

Frederika Jenner
President



June 25, 2013

Ms. Harriet Dichter
Executive Director
Delaware Office of Early Learning
820 North French Street, 5th Floor
Wilmington DE 19801

Dear Harriet:

On behalf of the Rodel Foundation, I write in support of Delaware's participation in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program-EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education to develop and enhance a kindergarten entry assessment embedded in a kindergarten – third grade formative assessment.

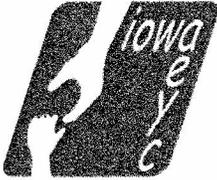
We are excited about this opportunity for Delaware to be part of a multi-state consortium to improve assessments. Enhancements to the current assessment instruments being used in kindergarten and the early grades will be significant contributions to the success of Delaware students. Comprehensive assessment to demonstrate growth over time, aligned with the state early learning standards, is an important strategy to support teaching and the alignment of birth to five and K-12 systems.

The goals of this Consortium align with the vision of our foundation; the statewide, stakeholder-developed Vision 2015 plan; and the State's Strategic Plan for a Comprehensive Early Childhood System. The initiative will support the creation and implementation of assessment tools that work well for Delaware's children and teachers, are comprehensive in their scope, and advance our goal of improving educational and life outcomes for Delaware's children. We look forward Delaware's participation in this important assessment development project, and we are eager to engage in the proposed project.

Sincerely,

(b)(6)

Madeleine Bayard
Vice President



***Iowa Association for the
Education of Young Children***

June 21, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

On behalf of the Iowa Association for the Education of Young Children, I write in support of Iowa's participation in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program-EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education to develop and enhance a kindergarten entry assessment embedded in a kindergarten – third grade formative assessment.

We understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. The FY13 EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with the state early learning and development standards.

The goals of this consortium as outlined in its EAG grant application align with the goals of Iowa AEYC. In this past year, Iowa AEYC facilitated the review and revision of the Iowa Early Learning Standards, and alignment with the K-12 standards (the Iowa Core). We support the continuum of developmentally appropriate standards for birth through age eight as the appropriate way to ensure children receive appropriate and quality early education services, through grade three. Kindergarten entry assessments must also include appropriate expectations and methodology.

We look forward to having the opportunity to engage with the state consortium and its research partners on this important assessment development project. We lend our full support and will provide input on request to ensure that the K-3 Formative Assessment Consortium is successful in achieving its stated goals and activities as described in the EAG proposal.

Sincerely,

(b)(6)

Barbara Merrill
Executive Director



Early Childhood Iowa

June 19, 2013

Director Jason Glass
Iowa Department of Education
Lucas State Office Building, State Capitol
Des Moines, IA 50319

Dear Director Glass:

On behalf of the Early Childhood Iowa State Board, and the Early Childhood Iowa Stakeholders Alliance, (serving as Iowa's Early Childhood State Advisory Council), I write in support of Iowa's participation in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program-EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education to develop and enhance a kindergarten entry assessment embedded in a kindergarten – third grade formative assessment.

The timing for Iowa's participation in this opportunity could not be greater. We support the purpose of the EAG program as a vehicle to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. The FY13 EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with the state early learning and development standards.

The goals of this consortium as outlined in its EAG grant application align with the three goals of Early Childhood Iowa. The goals are:

- To provide leadership and support to the development of a collaborative early childhood system.
- To provide leadership in the development and implementation of quality programs and services for young children and their families.
- To provide intentional leadership to ensure at-risk and high needs children have access to quality services.

I appreciated recent efforts to review our state's early learning standards and the work of the Department of Education to align early childhood and early elementary standards and strategies for improve children's readiness for and success in the early elementary grades. Not only does this participation in the Consortium have much to offer to Iowa, but I also believe Iowa has much to offer to the Consortium.

We look forward to having the opportunity to engage with the state consortium and its research partners on this important assessment development project. Representing Iowa's early childhood advisory body, we lend our full support and will provide input as needed to ensure that the K-3 Formative Assessment Consortium is successful in achieving its stated goals and activities as described in the EAG proposal.

Sincerely,

(b)(6)

Shanell Wagler, Facilitator

Cc: David Tilly, Amy Williamson, and Penny Milburn

c/o Iowa Department of Management, State Capitol, Room 13, Des Moines, IA 50319
Shanell Wagler (515) 281-4321 Debra Scowther (515) 281-4537
Jeffrey Anderson (515) 242-5895
FAX: (515) 281-4225

Web Page: www.earlychildhoodiowa.org



The Voice for Early Childhood

Maine Early Childhood Comprehensive Systems Initiative
DHHS, State House Station #11
2 Anthony Avenue
Augusta, ME 04333-0011
www.maineecgc.org

*Newell Augur, Co-Chair
Peter Lindsay, Co-Chair*

June 20, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

On behalf of the Maine Children's Growth Council, I write in support of Maine's participation in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program-EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education to develop and enhance a kindergarten entry assessment embedded in a kindergarten – third grade formative assessment.

We understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. The FY13 EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with the state early learning and development standards.

A critical component in Maine's education continuum is a kindergarten entry assessment. We are delighted that this grant will provide for the funding for these states, including Maine, to collaborate on the development of a KEA within the larger K-3 formative assessments. Such assessment will not only guide instruction for the students, but will also provide teachers and families with a meaningful way of adjusting instruction so each learner can meet, and hopefully exceed, standards across multiple domains of development. The assessment will be a valuable teaching tool to guide not only teachers, but also parents, families and each young learner. The

The Maine Children's Growth Council was created by statute in 2008 to consider and act upon the impact of early childhood issues on Maine's economy. The Council is charged to achieve sustainable social and financial investments in the healthy development of Maine's youngest children and their families.

data from these assessments will be added to each state's longitudinal data system. Under this grant, the assessment will be designed to ensure integration with both comprehensive early learning assessments and K-3 assessments.

All state members of this consortium have agreed to an assessment development process utilizing universal design principles to ensure that the assessment tools are useful and appropriate to all children, including those with disabilities and those who are dual language students. States in this consortium pledge to use technology innovations to ease the process of data collection, analysis and explanation to teachers, students and families. In addition, states in this consortium place a high premium on using the assessments to continually inform and improve teachers' assessment practices.

The goals of this consortium as outlined in its EAG grant application align with one of the goals of the Maine Children's Growth Council (MCGC) and several of its committees working to implement its early childhood state plan, Invest Early in Maine. Specifically, there is one goal that can be bolstered by this work:

- Goal 6: Ensure that funds are spent responsibly and outcomes are measured.

Among the priorities we have cited to help achieve the early childhood systems goals are a) adequate, appropriate and timely screening and b) a quality workforce grounded in cohesive early learning standards. Underlying all of this work is the critical analysis of the MCGC Sustainability committee to focus on accountability, coordination, and efficacy of scarce state and local resources.

Because this work is so integral to the systems changes we are striving to implement in Maine, we look forward to having the opportunity to engage with the state consortium and its research partners on this important assessment development project. As the advisory body to the state on early childhood education, we lend our full support and will provide input as needed to ensure that the K-3 Formative Assessment Consortium is successful in achieving its stated goals and activities as described in the EAG proposal.

(b)(6)

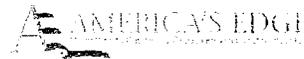
Newell Augur

Peter Lindsay

Co- Chairs of the Maine Children's Growth Council



MISSION: READINESS



MAINE

CHAMBER

June 19, 2013

Cindy Bagwell, Ed. D.
R11-ELC Project Administrator
Office of Early Learning (PreK-Grade3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

On behalf of the Maine State Chamber of Commerce, FIGHT CRIME: INVEST IN KIDS *Maine*, AMERICA'S EDGE *Maine* and MISSION: READINESS *Maine*, we are pleased to write this letter of recommendation for the **Kindergarten through Third Grade Assessment State Consortium's** application to the U.S. Department of Education's new grants program (grant # CFDA84.368A) under the Enhanced Assessment Grant Program (EAG). This grant application supports states in this consortium as they work together to develop and enhance kindergarten entry assessments (KEA) that are aligned with each state's early learning and development standards. States in this consortium pledge to ensure that any such assessment covers all essential domains of school readiness. We are very pleased that Maine is joining with North Carolina (who will serve as the lead state) and other states to apply for funding under this competition, and we endorse this application.

The Maine State Chamber of Commerce is a statewide business association representing a network of 5,000 businesses - both small and large. FIGHT CRIME: INVEST IN KIDS *Maine* is an anti-crime organization made up of more than 125 law enforcement leaders who focus on research proven programs that reduce crime. AMERICA'S EDGE *Maine* is 110 business leaders who work with policy makers to show how smart investments in children strengthen businesses and foster economic prosperity. MISSION: READINESS *Maine* is a group of 27 retired admirals and general who frame inadequate investments in the education and well being of America's children as a threat to our national security. All four organizations strongly believe education is the single most important investment that can be made to ensure successful participation in the new, knowledge-based economy, improve earnings growth, reduce future crime and improve the health status of future generations. Post-secondary education and training are critical to increasing productivity, income, and career advancement. High-quality early learning programs and K-12 education are imperative building blocks to ensure post-secondary success.

4 Jersey Circle • Topsham, ME 04086 • Phone (207) 725-5946 • Fax (207) 725-7238

A critical missing link in Maine's education continuum is a uniform kindergarten entry assessment. We are delighted that this grant will provide for the funding for these states, including Maine, to collaborate on the development of a KEA within the larger K-3 formative assessments. Such assessment will not only guide instruction for the students, but will also provide teachers and families with a meaningful way of adjusting instruction so each learner can meet, and hopefully exceed, standards across multiple domains of development. The assessment will be a valuable teaching tool to guide not only teachers, but also parents, families and each young learner. The data from these assessments will be added to each state's longitudinal data system. Under this grant, the uniformed assessment will be designed to ensure integration with both comprehensive early learning assessments and K-3 assessments.

All state members of this consortium have agreed to an assessment development process utilizing universal design principles to ensure that the assessment tools are useful and appropriate to all children, including those with disabilities and those who are dual language students. States in this consortium pledge to use technology innovations to ease the process of data collection, analysis and explanation to teachers, students and families. In addition, states in this consortium place a high premium on using the assessments to continually inform and improve teachers' assessment practices.

We know from our collective work in early education and K-12 education in Maine that proper kindergarten assessment is a critical missing element to enable our state to move forward with the highest-quality early education. We are excited by the prospect of filling this void with resources made available through the Enhanced Assessment Grants Program and to partner with other states in this major development to strength the quality of education for so many of your nation's youngest learners.

Sincerely,

(b)(6)

Jessica L. Laliberte
Government Relations Specialist
Maine State Chamber of Commerce

Kimberly Gore
State Director
FLIGHT CRIME: INVEST IN KIDS
AMERICA'S EDGE
MISSION: READINESS

June 19, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

The ten United Ways across the state of Maine support Maine's application to participate in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. We are excited by the collaborative, cross-state approach to develop and enhance a kindergarten entry assessment that is described in the Enhanced Assessment Grants Program-EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education.

The ten United Ways in Maine, during our strategic planning process this spring, endorsed Early Childhood as one of two priorities for our statewide work. We are very interested in the development of a Kindergarten Entry Assessment that could be used to enhance the quality of assessment instruments used by the States for measuring academic achievement, to improve instruction in the classroom, and, of especial interest to our United Ways and community volunteers, to work toward a statewide indicator to help drive policy improvements in the early childhood field. We are pleased that this proposal states that the assessment must include items that measure all five Essential Domains of School Readiness.

We support the goals of this consortium and are excited to see a broad coalition of states working together on Kindergarten assessments. We are willing to work with the state systems, our local school districts, and local community leaders to help make this project a success. We also have a representative of the ten United Ways who serves on and is currently Co-Chair of the Maine Children's Growth Council so that we will ensure a strong connection and communication with this project.

We strongly support this application and look forward to working both statewide and with the other K-3 Formative Assessment Consortium members.

Sincerely,

(b)(6)

Joleen Bedard
Chair, United Ways of Maine

United Way of York County
United Way of Greater Portland
United Way of Oxford County
United Way of Androscoggin County
United Way of Mid Coast Maine

United Way of Kennebec Valley
United Way of Mid-Maine
United Way of the Tri-Valley Area
United Way of Eastern Maine
United Way of Aroostook County

June 24, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

We are writing in support of Maine's participation in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program-EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education to develop and enhance a kindergarten entry assessment embedded in a kindergarten – third grade formative assessment.

We understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. The FY13 EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with the state early learning and development standards.

The goals of this consortium as outlined in its EAG grant application align with the goals of the Maine Early Learning Investment Group as well as the foundations listed.

We look forward to having the opportunity to engage with the state consortium and its research partners on this important assessment development project.

Sincerely,

(b)(6)

Tony Cipollone
John T. Gorman Foundation

(b)(6)

John Shoos
Sam L. Cohen Foundation

(b)(6)

Karen Heck
The Bingham Program

Jim Clair, Co-Chair of the
Maine Early Learning
Investment Group
CEO, Goold Health Systems



June 17, 2013

To whom it may concern:

In May 2013, the U.S. Department of Education (ED) published a notice inviting applications (NIA) under the Enhanced Assessment Grants Program (EAG) to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with state early learning and development standards and that covers all essential domains of school readiness.

United Way of Cass-Clay is confident that the North Dakota Department of Public Instruction (ND DPI) has the organizational capacity to lead the consortium in developing a Kindergarten entrance assessment (KEA) for the state of North Dakota. North Dakota DPI has proven results in facilitating work between diverse partners at a local and state level, collecting and housing data, and effective communication at a state level.

Currently, they are leading work to develop a state longitudinal data system (SLDS) at the pre-Kindergarten level. This system will provide a method of tracking developmental indicators of students entering the K-12 education system. United Way is partnering with ND DPI, childcare centers and the statewide Headstart association to bring this work to fruition.

United Way of Cass-Clay has made long-standing investments in the area of early childhood education and supports the efforts of ND DPI. Our investments include supporting local childcare centers, early childhood education programs and work at the state level on childcare policies.

The development of a KEA will guide instruction, and give teachers and students a meaningful tool to adjust teaching and learning to meet or exceed standards across multiple domains of development. The ability to collect, house, and interpret data from students will allow teachers to build effective interventions for students. This data will also allow foundations, government agencies, and private philanthropists to invest in quality solutions that will develop successful students and productive citizens.

United Way of Cass-Clay is supportive of developing a consortium and will advocate on behalf of ND DPI to our community partners. We look forward to partnering with ND DPI as they move this work forward.

Respectfully,

(b)(6)

Sherri J. Thomsen
President



CONFEDERATION OF OREGON SCHOOL ADMINISTRATORS

707 13TH STREET SE, SUITE 100, SALEM, OREGON 97301
TELEPHONE (503) 581-3141
FAX (503) 581 9840

June 21, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

On behalf of the Confederation of Oregon School Administrators (COSA), I write in support of Oregon's participation in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program-EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education to develop and enhance a kindergarten entry assessment embedded in a kindergarten-third grade formative assessment.

We understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. The FY13 EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with the state early learning and development standards.

The goals of this consortium as outlined in its EAG grant application align with the goals of COSA. Specifically the goals of this consortium align with COSA's goals for early childhood education to provide a continuum of services for grades P-3.

We look forward to having the opportunity to engage with the state consortium and its research partners on this important assessment development project. As the representatives of Oregon's more than 2,000 school administrators, managers, and executives, we lend our full support and will provide input as needed to ensure that the K-3 Formative Assessment Consortium is successful in achieving its stated goals and activities as described in the EAG proposal.

Sincerely,

(b)(6)

Craig Hawkins
Executive Director



June 24, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

On behalf of the Early Learning Council and Governor Kitzhaber, we are enthusiastic to join with the Oregon Department of Education in support of Oregon's participation in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program - EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the U.S. Department of Education to develop and enhance a kindergarten entry assessment embedded in a kindergarten through third grade formative assessment.

We understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by states for measuring the academic achievement of elementary and secondary school students. The FY13 EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with the state early learning and development standards.

The goals of this consortium, as outlined in its EAG grant application, align with Oregon's goals to improve coordination of early childhood services focused on outcomes, align a P-20 education system, ensuring children enter kindergarten ready for success, and reading at grade level in 3rd grade. As a Race to the Top Early Learning Challenge Grant state, Oregon is fully engaged in a number of initiatives including connecting early childhood learning and health services, creating Early Learning Hubs focused on outcomes, improving child care through the Quality Rating and Improvement System, providing quality home-based and family stability services, and strengthening pre-K partnerships. The K-3 Assessment will provide systemic change to guide instruction and create a meaningful way to address student progress and professional development for teachers. We are committed to revising current standards to further align with the Kindergarten Entrance Assessment and with Common Core standards.

We look forward to having the opportunity to engage with the state consortium and its research partners on this important assessment development project. As the advisory body to the state on early childhood education, we lend our full support and will provide input as needed to ensure that the K-3 Formative Assessment Consortium is successful in achieving its stated goals and activities as described in the EAG proposal.

Sincerely,
(b)(6)

Pam Curtis
Chair, Early Learning Council



June 24, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

On behalf of the Child Care and Early Education workgroup of the Early Learning Council, I'm writing in support of Oregon's participation in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program-EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education to develop and enhance a kindergarten entry assessment embedded in a kindergarten – third grade formative assessment.

We understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. The FY13 EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with the state early learning and development standards.

The goals of this consortium, as outlined in its EAG grant application, align with the goals of Oregon's Early Learning Council to improve coordination of early childhood services to ensure children are ready for success in kindergarten, reading at grade level in first grade, and reading in third grade.

We look forward to supporting the Early Learning Council's efforts with the state consortium and its research partners on this important project. As Chair of the Child Care and Early Education workgroup, we lend our full support and will provide input as needed to ensure that the K-3 Formative Assessment Consortium is successful in achieving its stated goals and activities as described in the EAG proposal.

Sincerely,

(b)(6)

Roberta Weber, Chair
Child Care and Early Education Workgroup of the Early Learning Council
236 NW 28th Street
Corvallis, Oregon 97330



June 25, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

On behalf of Oregon’s Early Learning System and the Oregon Department of Education, we are happy to support Oregon’s participation in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program - EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the U.S. Department of Education to develop and enhance a kindergarten entry assessment embedded in a kindergarten through third grade formative assessment.

We understand that the purpose of the EAG program is to enhance the quality of assessment instruments used by states for measuring the academic achievement of elementary and secondary school students. The FY13 EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with state early learning and development standards.

The goals of this consortium, as outlined in its EAG grant application, align with Governor Kitzhaber’s 40/40/20 goal which aims to reach 100% high school completion by 2025 with 40% of students going on to receive a bachelors or advanced degree and 40% going on to receive an associates degree or post-secondary certificate. This consortium also aligns with our state’s goals to improve early childhood service coordination with a focus on outcomes, aligning a true P-20 education system from birth through college, and ensuring children enter kindergarten ready for success and are reading at grade level in 3rd grade. As a Race to the Top Early Learning Challenge Grant state, Oregon is fully engaged in a number of initiatives that connect early childhood learning and health, empower community-based services focused on student outcomes, and strengthening pre-K and K-12 partnerships for a seamless transition into kindergarten. We are committed to revising current standards to further align with the Kindergarten Entrance Assessment and with Common Core standards.

We look forward to having the opportunity to engage with the state consortium and its research partners on this important assessment development project. As the agencies overseeing early learning and education in Oregon on behalf of the Governor, we lend our full support and will provide input as needed to ensure that the K-3 Formative Assessment Consortium is successful in achieving its stated goals.

Sincerely,

(b)(6)

Jada Rupley
Early Learning System Director

(b)(6)

Rob Saxton
Deputy Superintendent of Public Instruction

June 21, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

On behalf of the Rhode Island Early Learning Council, we write in support of Rhode Island's participation in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program-EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education to develop and enhance a kindergarten entry assessment embedded in a kindergarten - third grade formative assessment.

We understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. The FY13 EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with the state early learning and development standards.

The goals of this consortium as outlined in its EAG grant application align with the goals of the Rhode Island Early Learning Council. The Council supports the development of a kindergarten assessment which can be used for the purpose of guiding instruction and can also be used to describe the entry status of children at the population level (state and community). They also agree that Assessment tools selected must be valid and reliable for the Rhode Island population, aligned with standards and with assessments conducted in PreK, 1st, and 2nd grades, and should address *all domains* of learning and development.

We look forward to having the opportunity to engage with the state consortium and its research partners on this important assessment development project. As the advisory body to the state on early childhood education, we lend our full support and will provide input as needed to ensure that the K-3 Formative Assessment Consortium is successful in achieving its stated goals and activities as described in the EAG proposal.

Sincerely,

(b)(6)

Elizabeth Burke Bryant
Early Learning Council Co-Chair
Executive Director
Rhode Island Kids Count

(b)(6)

Deborah A. Gust
Early Learning Council Co-Chair
Commissioner of Education
Rhode Island Department of Elementary and
Secondary Education



June 24, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

On behalf of the South Carolina Early Childhood Advisory Council, I write in support of South Carolina's participation as a collaborating state in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program-EAG Competition, CFDA 84.368A of the US Department of Education. The FY13 EAG competition is to support the development or enhancement of a **kindergarten entry assessment (KEA)** that is aligned with the state early learning and development standards.

The goals of this consortium as outlined in its EAG grant application align with the needs of South Carolina, which currently does not have a KEA or other uniform measure of school readiness. We welcome the opportunity for South Carolina to have input into the development of a KEA in partnership as part of a multi-state consortium, the results of which will provide our state with a way to assess children's readiness upon entering kindergarten, evaluate the effectiveness of early childhood development services, and gauge South Carolina's progress in preparing children for school with other consortium states.

South Carolina's Early Childhood Advisory Council has advocated for a definition and assessment of school readiness since its inception, including detailed work on this topic in its initial strategic report. The SC ECAC recently commissioned a study of school readiness indicators for our state by researchers at the University of South Carolina and Clemson University, the results of which will complement our involvement in the KEA consortium.

We look forward to having the opportunity to engage with the state consortium and its research partners on this important assessment development project. As the advisory body to the state on early childhood education, we lend our full support and will provide input as needed to ensure that the K-3 Formative Assessment Consortium is successful in achieving its stated goals and activities as described in the EAG proposal. Thank you for the opportunity to be involved.

Sincerely,

(b)(6)

A rectangular box with a black border, used to redact the signature of the sender.

Lewis Smoak
Vice-Chair, South Carolina Early Childhood Advisory Council

/Attachments

June 21, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

As Executive Director of the South Carolina Education Oversight Committee (EOC), I am writing to support South Carolina's participation as a collaborating state in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative. This consortium is submitting a proposal under the Enhanced Assessment Grants Program-EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education. The FY13 EAG competition is to support the development or enhancement of a **kindergarten entry assessment (KEA)** that is aligned with the state early learning and development standards.

Improving student reading performance is probably the most critical challenge facing South Carolina. To this end, the EOC recognizes the importance of early childhood literacy and has recommended to the South Carolina General Assembly that the state implement a readiness assessment for students in 4K and kindergarten. Two bills currently under consideration by the General Assembly would require the state to adopt a readiness assessment. Having South Carolina collaborate with other states in the development of a KEA is a cost-effective and strategic initiative to move our State forward in having a readiness assessment.

CHAIR

VICE CHAIR

We look forward to having the opportunity to engage with the state consortium and its research partners on this important assessment development project.

Sincerely,

(b)(6)

Melanie D. Barton
Executive Director



INSTITUTE for CHILD SUCCESS

June 24, 2013

ICS Board of Directors

Susan T. Shi, Ph.D
Board Chair

Natalma McKnew
Board Vice-Chair
Smith Moore Leatherwood

Frances Ellison
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Greenville Hospital System,
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Carolyn Ellis
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Smoak & Stewart

Ann Robinson
CertusBank

**William F. Schmidt, M.D.,
Ph.D**
Greenville Hospital System,
Children's Hospital

Dick Wilkerson
Retired, Michelin NA

ICS Staff

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Communications*

Jessica Longshore
Administrative Associate

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

On behalf of the Institute for Child Success, I write in support of South Carolina's participation as a collaborating state in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative.

This consortium is submitting a proposal under the Enhanced Assessment Grants Program-EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the U.S. Department of Education. The FY13 EAG competition is to support the development or enhancement of a **kindergarten entry assessment (KEA)** that is aligned with the state early learning and development standards.

The goals of this consortium as outlined in its EAG grant application align with the needs of South Carolina, which currently does not have a KEA or other uniform measure of school readiness. We welcome the opportunity for South Carolina to have input into the development of a KEA in partnership as part of a multi-state consortium, the results of which will provide our state with a way to assess children's readiness upon entering kindergarten, evaluate the effectiveness of early childhood development services, and gauge South Carolina's progress in preparing children for school with other consortium states.

The Institute for Child Success believes strongly in the value of kindergarten entry assessments, both to assess the effectiveness of our state's school readiness efforts and to assist schools in meeting the needs of incoming kindergarteners. In legislation we drafted to reauthorize and reform South Carolina First Steps to School Readiness, we called for the implementation of a statewide kindergarten entry assessment. We hope that your work will assist our state in efficiently meeting this goal, which we anticipate the General Assembly will adopt in the second year of this legislative session.

We look forward to having the opportunity to engage with the state consortium and its research partners on this important assessment development project.

Sincerely,

(b)(6)

Joe Waters
Vice President of Policy and Communications

NEW CAROLINA
SOUTH CAROLINA'S COUNCIL ON COMPETITIVENESS

June 24, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

On behalf of New Carolina, South Carolina's Council for Competitiveness, I write in support of South Carolina's participation as a collaborating state in the North Carolina led K-3 Formative Assessment Consortium with research partners, SRI International, Child Trends, and the Build Initiative.

This consortium is submitting a proposal under the Enhanced Assessment Grants Program-EAG Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education. The FY13 EAG competition is to support the development or enhancement of a **kindergarten entry assessment (KEA)** that is aligned with the state early learning and development standards.

The goals of this consortium as outlined in its EAG grant application align with the needs of South Carolina, which currently does not have a KEA or other uniform measure of school readiness. We welcome the opportunity for South Carolina to have input into the development of a KEA in partnership as part of a multi-state consortium, the results of which will provide our state with a way to assess children's readiness upon entering kindergarten, evaluate the effectiveness of early childhood development services, and gauge South Carolina's progress in preparing children for school with other consortium states.

New Carolina's Education Task Force is the only statewide forum that looks at comprehensive solutions to South Carolina's education and workforce challenges. The Education Task Force has an Early Childhood Subcommittee that is studying ways to improve delivery of early childhood education in South Carolina. The committee is currently developing a profile of a successful five year old with specific age specific competencies, identifying evidence based interventions to build competencies for children and their caregivers, and addressing the economics and scalability of early childhood initiatives.

We look forward to having the opportunity to engage with the state consortium and its research partners on this important assessment development project.

Sincerely,

(b)(6)

Jim Reynolds
Co-Chair, New Carolina Education Task Force
1411 Gervais Street, Suite 450
Columbia, SC 29201

Letters of Commitment and Support

National Experts

- D. Clements—Cognition & general knowledge (early math)
- D. Dickinson—Language/literacy development
- L. Edelman—Development of PD materials
- L. Espinosa—English learners
- D. Greenfield—Cognition & general knowledge (early science)
- S. Jones—Approaches to learning, Social-emotional development
- R. Lambert—Psychometrics
- S. Neuman—Language/literacy development
- C. Raver—Social-emotional development
- C. Scott-Little—Early learning standards
- P. Snyder—Physical well-being/motor development, Students with disabilities
- M. Willoughby—Approaches to learning (executive function)
- A. Zolotor—Physical well-bring/motor development
- K. Dodge—Co-chair, NC Think Tank, Race to the Top Early Learning Challenge Grant



UNIVERSITY of
DENVER

MORGRIDGE COLLEGE OF EDUCATION

June 22, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

I am pleased to accept your invitation to work with the state of North Carolina, its consortium of other states, and the research partners, SRI International, Child Trends, and the Build Initiative, in its development/enhancement of a kindergarten - third grade formative assessment that includes as its foundation a kindergarten entry assessment for the Enhanced Assessment Grants (EAG) Program Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education.

I hope that the research that my colleagues and I have been conducting regarding early childhood mathematics in early childhood will be helpful in guiding this project. I am now the Kennedy Endowed Chair in Early Childhood Learning and Professor at the University of Denver, and previously was a SUNY Distinguished Professor in Learning and Instruction at the University at Buffalo. I have worked in and in mathematics education, educational technology, and early childhood education, and have published in 120 refereed research studies, 12 books, 65 chapters, with 250 additional publications in these areas.

I have also served on numerous national and state panels and committees, funded research projects, and editorial boards aimed at designing and implementing effective cutting-edge mathematics education and curricula through the use of research-based results related to evidence-driven mathematics learning and teaching. We have designed and tested mathematics curricula and computer environments following our Curriculum Research Framework (CRF). A substantial effort was spent on developing the Building Blocks curriculum and especially on developing instruments to measure both outcomes and classroom practices, all of which may be relevant to your work. A recent NSF-funded project on assessment of early mathematics competencies may be particularly relevant. Two recent books on learning trajectories for young children (published 2009 with Taylor & Francis/Routledge) may also be helpful.

Other projects we have worked on may also be relevant to your work. I have served as a member of President Bush's National Math Advisory Panel, convened to advise the administration on the best use of scientifically based research to advance the teaching and learning of mathematics, and coauthor of the Panel's report. I was also a member of the National Research Council's Committee on Early Mathematics and co-author of their report. Finally, I served on the Common Core committee of the National Governor's Association and the Council of Chief State School Officers, helping to write national academic standards.

I understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. This new EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with state early learning and development standards. I understand that as an expert consultant I may be called upon to review and provide input about the content and/or technical adequacy of the assessment being developed during the four-year period of the grant.

I look forward to having the opportunity to work with North Carolina, the state consortium, and its research partners on this important assessment development project.

Sincerely,

(b)(6)

Douglas H. Clements, Ph.D., PI
Kennedy Endowed Chair in Early Childhood Learning

VANDERBILT UNIVERSITY

June 19, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

It would be a great pleasure to serve as an expert consultant to work with the state of North Carolina, its consortium of other states, and the research partners, SRI International, Child Trends, and the Build Initiative, in its development/enhancement of a kindergarten – third grade formative assessment that includes as its foundation a kindergarten entry assessment for the Enhanced Assessment Grants (EAG) Program Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education.

I understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. This new EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with state early learning and development standards. I understand that as an expert consultant I may be called upon to review and provide input about the content and/or technical adequacy of the assessment being developed during the four-year period of the grant.

I bring to this endeavor extensive experience developing and using tools to assess children's early literacy development as well as tools for describing the quality of educational environments. I have extensive knowledge of early literacy development, with special expertise related to the interrelationships between language and print-related knowledge.

I look forward to having the opportunity to work with North Carolina, the state consortium, and its research partners on this important assessment development project.

Sincerely

(b)(6)

David K. Dickinson
Professor of Education, Department of Teaching and Learning

Edelman Training and Development Services

Larry Edelman

1355 S. Downing St.

Denver, CO 80210

phone: (303) 522-5793

e-mail: larry.edelman@ucdenver.edu

June 20, 2013

Cindy Bagwell, Ed.D.

RTT-ELC Project Administrator

Office of Early Learning (Pre-K - Grade 3)

State Board of Education/Department of Public Instruction

2075 Mail Service Center

Raleigh, NC 27699-2075

Dear Dr. Bagwell:

It would be a great pleasure to serve as an expert consultant to work with the state of North Carolina, its consortium of other states, and the research partners, SRI International, Child Trends, and the Build Initiative, in its development/enhancement of a kindergarten – third grade formative assessment that includes as its foundation a kindergarten entry assessment for the Enhanced Assessment Grants (EAG) Program Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education.

I understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. This new EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with state early learning and development standards. I understand that as an expert consultant I may be called upon to review and provide input about the content and/or technical adequacy of the assessment being developed during the four-year period of the grant.

I am confident that many of my experiences and areas of expertise will contribute to this initiative. I have extensive experience developing statewide early childhood assessment systems as an ongoing consultant with both the Colorado Department of Education and the California Department of Education. My experiences include shaping policy, designing systems change strategies, producing professional development systems and materials, producing videos, and facilitating collaborative workgroups. I also have experience working with SRI International's Early Childhood Outcomes Center.

I look forward to having the opportunity to work with North Carolina, the state consortium, and its research partners on this important assessment development project.

Sincerely,

(b)(6)

Larry Edelman,

Consultant, and Senior Clinical Instructor, University of Colorado School of Medicine

1355 S. Downing St., Denver, CO 80210



College of Education
University of Missouri-Columbia

Learning, Teaching, and Curriculum
303 Townsend Hall
Columbia, MO 65211-2400
Linda M. Espinosa, Ph.D., Professor Emeritus
Email: EspinosaL@missouri.edu

July 3, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

It would be a great pleasure to serve as an expert consultant to work with the state of North Carolina, its consortium of other states, and the research partners, SRI International, Child Trends, and the Build Initiative, in its development/enhancement of a kindergarten – third grade formative assessment that includes as its foundation a kindergarten entry assessment for the Enhanced Assessment Grants (EAG) Program Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education.

I understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. This new EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with state early learning and development standards. I understand that as an expert consultant I may be called upon to review and provide input about the content and/or technical adequacy of the assessment being developed during the four-year period of the grant.

As the Co-PI of the Center of Early Care and Education Research—Dual Language Learners, (CECER-DLL) at the Frank Porter Graham Child Development Institute, U of NC, Chapel Hill, I have recently completed work focused on designing state KEAs that are culturally and linguistically appropriate for young DLLs (See Espinosa & Garcia, 2013. WORKING PAPER #1: Developmental Assessment of Young Dual Language Learners with a Focus on Kindergarten Entry Assessment: Implications for State Policies). I have also been working with the State of California on their child assessment system and its adequacy for preschool children who are from multiple language and cultural backgrounds. This increased attention to the accurate and valid assessment of young children is essential to the improvement of educational services to a vulnerable group of learners.

I look forward to having the opportunity to work with North Carolina, the state consortium, and its research partners on this important assessment development project.

Sincerely,

(b)(6)

Linda M Espinosa, Ph.D.

UNIVERSITY

June 26, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

It would be a great pleasure to serve as an expert consultant to work with the state of North Carolina, its consortium of other states, and the research partners, SRI International, Child Trends, and the Build Initiative, in its development/enhancement of a kindergarten – third grade formative assessment that includes as its foundation a kindergarten entry assessment for the Enhanced Assessment Grants (EAG) Program Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education.

I understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. This new EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with state early learning and development standards. I understand that as an expert consultant I may be called upon to review and provide input about the content and/or technical adequacy of the assessment being developed during the four-year period of the grant.

I can offer expertise in all areas of school readiness especially assessment and curriculum in the domain of children's science learning which has been one of my main areas of research focus for the past 7 years. With respect to young children's science learning, I am the Principal Investigator (PI) on multiple Institute of Education Sciences (IES) funded measurement grants to develop direct assessments of young children's science ability (*Preschool Science Assessment: PSA*), including two ongoing projects which are computer adaptive, administered on a touch-screen laptop, one for English speaking children (*Lens on Science*) and one young Latino children (*Enfoque En Ciencia*). I am the author of a chapter titled "*Assessment in Early Childhood Science Education*," in the forthcoming Springer book titled, "*Research in Early Childhood Science Education*." I was also the Co-PI on the IES funded Early Childhood Hands-on Science (ECHOS) curriculum development project in partnership with the Miami Museum of Science (2006 - 2009), and am currently the Co-PI on an IES funded follow-up RCT efficacy trial of ECHOS as well as Co-PI on an NSF funded early childhood Science and Engineering curriculum development project (Readiness through Integrative Science and Engineering: RISE). Finally, I am the PI on an Administration for Children and Families (ACF) funded project to study inquiry skills in young children as these relate to early science (*Learning through Inquiry: Examining the Relationship between Child-Generated Questions, Teacher Practices, and School Readiness in Head Start Classrooms*).

In regards to other domains of school readiness assessments, I can offer useful perspectives from my years of service to the Florida State Office of Early Learning. I served on 4 statewide taskforces creating Florida's 1) age three through age five school readiness standards; 2) birth through age three early learning standards; 3) integrating the birth through age three and three to age five standards into one continuous set of birth to age five standards; and 4) integrating the Voluntary PreK (VPK) standards for four year olds into the birth to age five standards. For all 4 statewide taskforces I chaired the "Approaches to Learning" readiness subgroup as well as contributed to the work of the other 4 subgroups (Language; Cognition and General Knowledge; Social Emotional; Physical Development and Health). From 2010 – 2012 I served as one of three consultants for the Florida State Office of Early Learning to develop a comprehensive statewide early childhood plan that addressed kindergarten readiness screening as a key issue. This year, I am partnering with the American Institutes of Research (AIR) to evaluate Florida's birth to five school readiness assessments; these experiences will also allow me to provide useful information to my colleagues in North Carolina as they develop a new kindergarten school readiness assessment.

I look forward to having the opportunity to work with North Carolina, the state consortium, and its research partners on this important assessment development project.

Best of luck with this important and timely project!

Sincerely,

(b)(6)

Professor of Psychology & Pediatrics



HARVARD GRADUATE SCHOOL OF EDUCATION

June 25, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

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I am a developmental psychologist whose work reflects a synthesis of (1) developmental science, emphasizing the complex, multi-level, interactive nature of the pathways shaping children's development; and (2) prevention science, aimed at intervening to change key mechanisms and characteristics of settings which underlie children's developmental pathways. My current research is focused in two primary areas: (1) basic developmental research on the antecedents, correlates, and consequences of social-emotional problems and competencies in childhood and adolescence; and (2) programs and pedagogy that are designed to integrate social-emotional and academic learning. I am a PI with colleagues Larry Aber (NYU) and Joshua Brown (Fordham University) of a recently completed 5-year, school-randomized, experimental evaluation of the Reading, Writing, Respect, and Resolution Program (4Rs). The 4Rs is a universal intervention designed to integrate social-emotional learning with literacy instruction, and to be implemented during the standard literacy block during the school day. I am also also Co-PI or Co-I on a number of other intervention development and evaluation studies including the Chicago School Readiness Project (with Cybele Raver, NYU) and Head Start CARES (with Pamela Morris, MDRC). Most recently, with support from IES and NICHD, I have been developing a social-emotional learning curriculum for preschool through grade 3 that is built around a coherent developmental framework that has at its core a focus on children's cognitive, emotional, and social regulation.

I look forward to having the opportunity to work with North Carolina, the state consortium, and its research partners on this important assessment development project.

Sincerely,

(b)(6)

Stephanie M. Jones
Marie and Max Kargman Associate Professor in Human Development and Urban Education
Harvard Graduate School of Education
14 Appian Way, Larsen 603
Cambridge, MA 02138



UNC CHARLOTTE

College of Education

Department of Educational Leadership

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June 28, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

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I have extensive experience with psychometric analyses and have developed several measures that are frequently used in educational research. Most recently I have been working on the development and validation of the Teaching Strategies GOLD measure, a teacher rating scale of the developmental progress of young children ages birth to six. In addition, I have many years of experience with early childhood programs in North Carolina. For example, our research center is currently conducting an NSF funded evaluation of a kindergarten mathematics curriculum as implemented by two school systems in the Charlotte area. I have also been working for the State of North Carolina as an evaluator of teachers of young children since 2007 and am familiar with the early childhood teaching and learning standards in our state.

I look forward to having the opportunity to work with North Carolina, the state consortium, and its research partners on this important assessment development project.

Sincerely,

(b)(6)

Richard G. Lambert, Ph.D., Ed.S.

Professor

Department of Educational Leadership

Director

Center for Educational Measurement and Evaluation

Editor

NHSA Dialog: The Research-to-Practice Journal for the Early Childhood Field

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UNIVERSITY OF MICHIGAN

SCHOOL OF EDUCATION

610 E. UNIVERSITY AVENUE
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June 18, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

I will be delighted to serve as an expert consultant to work with the state of North Carolina, its consortium of other states, and the research partners, SRI International, Child Trends, and the Build Initiative, in its development/enhancement of a kindergarten – third grade formative assessment that includes as its foundation a kindergarten entry assessment for the Enhanced Assessment Grants (EAG) Program Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education.

I understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. This new EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with state early learning and development standards. I understand that as an expert consultant I may be called upon to review and provide input about the content and/or technical adequacy of the assessment being developed during the four-year period of the grant.

My research and teaching is ideally suited to this project. For years, my research team and I have examined and written articles about early learning standards and developed interventions that are specifically targeted to early literacy learning, and closing the gap for our highest poverty children. Specifically, my area of expertise, vocabulary and comprehension in these years and its linkages to content instruction has led us to developing assessments designed to target children's achievement. One of our instruments, in fact, is currently be piloted now on a large scale by the University of Chicago, and their research team.

I look forward to having the opportunity to work with North Carolina, the state consortium, and its research partners on this important assessment development project.

Sincerely yours,

(b)(6)

Susan B. Neuman
Professor, and Director of the Ready to Learn
Research Team
University of Michigan
610 E. University
Ann Arbor, MI 48109

New York University

Steinhardt School of Culture, Education, and Human Development

Robert F. Wagner Graduate School of Public Service

Graduate School of Arts and Science

June 20th, 2013

Cindy Bagwell, Ed.D.

RTT-ELC Project Administrator

Office of Early Learning (Pre-K - Grade 3)

State Board of Education/Department of Public Instruction

2075 Mail Service Center

Raleigh, NC 27699-2075

Dear Dr. Bagwell:

It would be a great pleasure to serve as an expert consultant to work with the state of North Carolina, its consortium of other states, and the research partners, SRI International, Child Trends, and the Build Initiative, in its development/enhancement of a kindergarten – third grade formative assessment that includes as its foundation a kindergarten entry assessment for the Enhanced Assessment Grants (EAG) Program Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education.

I understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. This new EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with state early learning and development standards. I understand that as an expert consultant I may be called upon to review and provide input about the content and/or technical adequacy of the assessment being developed during the four-year period of the grant.

My own area of expertise is in measurement of young children's self-regulation and socioemotional development. Children's self-regulation is prospectively associated with a large number of later positive outcomes in school settings including higher academic achievement. I have received several prestigious awards from organizations such as the American Psychological Association and the William T. Grant Foundation as well as support from the Spencer Foundation, the MacArthur Foundation, the National Institutes of Health, and the National Science Foundation for my research. I regularly serve in a consulting capacity to federal, state and local agencies on the development, implementation, and analysis of assessments and school-based interventions to support young children's academic and socioemotional skills.

I look forward to having the opportunity to work with North Carolina, the state consortium, and its research partners on this important assessment development project.

Sincerely,

(b)(6)

C. Cybele Raver

Professor & Vice Provost of Faculty, Student and Research Affairs



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June 25, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Cindy,

I am writing to confirm that I will serve as an expert consultant for the development/enhancement of a kindergarten – third grade formative assessment that includes a Kindergarten Entry Assessment (KEA). As you know, this is a concept that I have worked with North Carolina to develop, and I am thrilled to join the Department of Public Instruction, along with the consortium of other states and the research partners to submit a proposal to continue this work under the Enhanced Assessment Grants (EAG) Program Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education. Working with other states and the research partners, SRI International, Child Trends, and the Build Initiative, will greatly enhance our efforts to develop a state-of-the-art KEA and K-3rd formative assessment!

I understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States to measure the academic achievement of elementary and secondary school students. This new EAG competition, designed to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with state early learning and development standards, is particularly significant given the limited work that has been done on early childhood assessments. As an expert consultant, I am prepared to review and provide input about the content and/or technical adequacy of the assessment being developed during the four-year period of the grant, and have agreed to commit time and effort to the project.

I am particularly well suited to this role because of my previous work related to early learning and development standards and early childhood assessments. Having conducted numerous national studies on the content of early learning and development standards as well as state-level assessment systems, I have a good understanding of what states have included in their early learning standards and the issues that states must address as they develop/enhance a KEA. I have worked directly with several states that are included in the consortium, so I have first-hand

knowledge of their standards. Furthermore, I am currently working with Sharon Lynn Kagan (Teachers College, Columbia University) to partner with BUILD and several states to develop a set of common standards that can be shared across states. The results of this project will be very useful for the KEA work included in this proposal.

In addition to work completed on states' early learning standards, I have conducted numerous alignment studies to examine the alignment between early learning and development standards and state-level assessment systems, so I understand both the conceptual and the technical challenges of evaluating alignment between standards and assessments. Finally, I have a unique connection with North Carolina because I co-facilitated North Carolina's recent process to revise Foundations, our early learning and development standards, and currently serve on the North Carolina Think Tank that is responsible for establishing the "claims" that will be the foundation for the KEA/K-3rd assessment in our state. I feel that with these experiences and my expertise in standards and assessments, I am well positioned to make a meaningful contribution to the proposed project.

I fully support North Carolina's proposal for a consortium of states to develop/enhance a KEA that will be the foundation of a new K-3rd formative assessment, and look forward to the opportunity to work with you, North Carolina committees, other states, and our research partners.

Sincerely,

(b)(6)

Catherine Scott-Little, Ph.D.
Associate Professor



College of Education

School of Special Education, School Psychology, and Early Childhood Studies

G315 Norman Hall

PO Box 117050

Gainesville, FL 32611-7050

352-392-0701

352-392-2655 Fax

June 24, 2013

Cindy Bagwell, Ed.D.

RTT-ELC Project Administrator, Office of Early Learning (Pre-K - Grade 3)

State Board of Education/Department of Public Instruction, 2075 Mail Service Center

Raleigh, NC 27699-2075

Dear Dr. Bagwell:

I would be pleased to serve as an expert consultant and work with the state of North Carolina, its consortium of other states, and the research partners, SRI International, Child Trends, and the Build Initiative, in the development and enhancement of a kindergarten to grade 3 formative assessment. The proposal is being submitted to the Enhanced Assessment Grants (EAG) Program Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A, United States Department of Education.

I understand the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by states for measuring the academic achievement of elementary and secondary school students. The new EAG competition is designed to support the development or enhancement of a KEA that aligns with state early learning standards and covers essential domains of school readiness. I understand as an expert consultant I may be called upon for 5 to 10 days over the 4 years of the grant to review and provide input about the content or technical adequacy of the assessment instrument.

With respect to what I might contribute to the proposed project, I have served as a content expert and research consultant during the design and validation of a state-wide assessment instrument for preschool-age children that aligns with the state's early learning foundations. In addition, I have conducted research and authored papers on topics directly related to formative assessment in early childhood, have served on a national expert panel related to continuous progress monitoring, and have co-authored a text on assessment in early intervention and early learning in special education. I have consulted with several of the research and state partners involved in the proposal. I have knowledge about and experiences with aligning early learning standards, curricular frameworks, and formative assessment, particularly for young children with or at risk for disabilities. I have used both classical and modern test theory to inform measurement development and validation activities in which I have been involved over the past 20 years.

I look forward to the opportunity to work with North Carolina, the state consortium, and its research partners on this important assessment development project. Best wishes for a successful application.

Sincerely,

Patricia Snyder, Ph.D., Professor and David Lawrence Jr. Endowed Chair in Early Childhood Studies
Director, UF Center for Excellence in Early Childhood Studies



THE UNIVERSITY
of NORTH CAROLINA
at CHAPEL HILL

FPG CHILD DEVELOPMENT INSTITUTE

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Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

It would be a great pleasure to serve as an expert consultant to work with the state of North Carolina, its consortium of other states, and the research partners, SRI International, Child Trends, and the Build Initiative, in its development/enhancement of a kindergarten – third grade formative assessment that includes as its foundation a kindergarten entry assessment for the Enhanced Assessment Grants (EAG) Program Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education.

I understand that the purpose of the EAG program is to enhance the quality of assessment instruments and systems used by States for measuring the academic achievement of elementary and secondary school students. I also understand that as an expert consultant I may be called upon to review and provide input about the content and/or technical adequacy of the assessment being developed during the four-year period of the grant.

I have expertise in the development of self-regulatory capacities in early childhood, especially executive functions, which are implicated in school readiness. I also have expertise in the emergence of disruptive behavior disorders in early childhood, particularly as they relate to poor regulatory competence. To the extent that my skill sets and areas of expertise overlap with the objectives of your work, I would be happy to collaborate with you and your team.

Good luck on your application!

Sincerely,

(b)(6)

Michael Willoughby, Ph.D.
Senior Scientist & Statistician

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June 28, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

It is with great enthusiasm that I write this letter of support for the Enhanced Assessment Grants (EAG) Program Kindergarten Entry Assessment (KEA) Competition, CFDA 84.368A of the US Department of Education. It would be a pleasure to serve as an expert consultant to work with North Carolina, its consortium of other states, and its research partners, SRI International, Child Trends, and the Build Initiative, in its development/enhancement of a kindergarten – third grade formative assessment that includes as its foundation a kindergarten entry assessment. I understand that as an expert consultant I may be called upon to review and provide input about the content and/or technical adequacy of the assessment being developed during the four-year period of the grant.

Multi-dimensional formative assessments that serve to enhance the educational experience and outcomes of children K-3 and improve communication between classroom teachers, other school personnel, parents, and health professionals will better serve these young children and optimize their classroom experience. This new EAG competition is to support the development or enhancement of a kindergarten entry assessment (KEA) that is aligned with state early learning and development standards.

I have worked for many years as a researcher interested in the assessment and enhancement of child well-being. I served on a committee that developed the most recent revision of the NC Kindergarten Health Assessment and worked with the state Division of Public Health to develop shared indicators of child well-being. I have also worked for the past decade on child maltreatment research, measurement, and prevention. I am most interested and able to help in the thinking about the assessment of physical health and social-emotional well-being. In my position as the Vice President of the North Carolina Institute of Medicine, we have recently convened task forces to improve the social and emotional well-being of children 0-5 and to prevent obesity in children 0-5. As a family physician, I have filled out countless forms for schools (chief among them are kindergarten health assessments and sports physicals), but have often advocated for improved communication between the school, health care providers, and the family.

I look forward to having the opportunity to work with North Carolina and its partners on this important project.

Sincerely,



Adam J Zolotor, MD, DrPH

Vice President, North Carolina Institute of Medicine
Associate Professor of Family Medicine, University of North Carolina at Chapel Hill



CENTER FOR
Child and Family Policy
DUKE UNIVERSITY

Kenneth A. Dodge, Director
William McDougall Professor of Public Policy
Professor of Psychology and Neuroscience

June 24, 2013

Cindy Bagwell, Ed.D.
RTT-ELC Project Administrator
Office of Early Learning (Pre-K - Grade 3)
State Board of Education/Department of Public Instruction
2075 Mail Service Center
Raleigh, NC 27699-2075

Dear Dr. Bagwell:

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I bring to the EAG program my experience as a child development scientist who has studied children from early years through adulthood, developed tools to assess children's social-cognitive skills, and created intervention programs to support kindergarten readiness for high-risk children. I am the co-chair of North Carolina's "Think Tank" to guide planning by the Department of Public Instruction's Office of Early Learning as it develops its Child Profile and assessment plan. In this capacity, I have worked closely with North Carolina's education leaders and am impressed with their vision and ability to assemble diverse teams. I feel privileged to participate in this program as it enhances North Carolina's legacy as a national leader in early childhood programs.

I look forward to having the opportunity to work with North Carolina, the state consortium, and its research partners on this important assessment development project.

Sincerely,

(b)(6)

Kenneth A. Dodge

Rubenstein Hall ~ 302 Towerview Road ~ Duke University
Box 90545, Durham, NC 27708 – phone 919.613.9303
dodge@duke.edu
PR/Award # S368A130002

Page e262

Budget Narrative File(s)

* **Mandatory Budget Narrative Filename:**

To add more Budget Narrative attachments, please use the attachment buttons below.

Budget Justification – North Carolina Department of Public Instruction (NC DPI)

Allocation of Grant Funds. NC DPI will serve as the lead state across the four years of the EAG project, providing project oversight and fiscal management for all activities associated with the EAG grant, and participating in the enhancement of the assessment and associated professional development materials. A portion of NC DPI's budget will support the work of eleven national expert consultants, each bringing expertise in assessment or developmental domains. NC DPI will also provide oversight and management of Consortium state activities related to stakeholder engagement and support of the assessment development activities. The funds in NC DPI's budget for the partner states' activities (\$500,000) will be distributed according to their participation in various EAG grant activities. Each partner state will receive the same amount of base funding from the EAG grant to complete Tier 1 activities. Individual partner states may also elect to engage in one or more of the Tier 2 activities. Decisions will be made about which states engage in Tier 2 activities based on partner state interest and criteria developed for the specific activity (e.g., pilot testing or field testing). Some Tier 2 activities may also be supplemented by other in-kind resources available in each partner state. Collectively, these responsibilities require that 32% of the funds be allocated to NC DPI.

Three research partners will support the work of the consortium. SRI International will require 52% of the budget for overall project coordination, assessment development, and technology enhancement activities (including funds for the national expert consultants for psychometrics and for PD materials development – Lambert and Edelman). The BUILD Initiative will require 8% of the funds to coordinate cross-state consortium meetings (including funds to reimburse states for travel to consortium meetings) and in-state stakeholder engagement activities (including funds to support in-state stakeholder convening). Child Trends requires 8% of the funds for coordination, stakeholder engagement, implementation support (including sustainability activities), and assessment development activities (e.g., tasks related to review of assessment items and pilot and field testing). Separate budget tables and detailed budget justifications are provided for each of the research partners.

1. Personnel – NC DPI

Personnel costs are based on actual salaries for the staff members who are expected to perform the tasks associated with this project.

John Pruette, M.Ed., (10% in-kind), Executive Director of the North Carolina Office of Early Learning, will provide support for project oversight and ensure alignment with North Carolina's vision for and design of its KEA in the context of a K-3 Assessment. No EAG funds will be used to support Mr. Pruette's salary. These costs are paid with state funds and will be an in-kind contribution.

Cindy Bagwell, Ed.D., (100%), currently North Carolina's RTT-ELC Project Manager (for the K-3 assessment project), will serve as EAG project director to provide overall project and budget oversight, lead the project management team, and provide input on key assessment development work (e.g., input on enhancements to the professional development materials). If this EAG is awarded, she will be replaced on the RTT-ELC project.

Administrative Assistant, (50%), will be hired to provide a variety of administrative and support functions, including word processing of reports and other written materials, assembling training materials, overseeing mailings, and maintaining project files.

Percent Effort	Year 1	Year 2	Year 3	Year 4
Pruette (in-kind)	10%	10%	10%	10%
Bagwell	100%	100%	100%	100%
Administrative Assistant	50%	50%	50%	50%

Personnel: The following proposed personnel will be hired as employees of the project.				
Position	Description	% FTE	Base Salary	Total
Project Director (Bagwell)	This position will provide overall project and budget oversight, lead the project management team, and provide input on key assessment development work [state pay grade 82]	100%	\$103,400	\$103,400
Administrative Assistant	This position will provide and support functions with all aspects of the project.	50%	22,672	22,672
PERSONNEL TOTAL				126,072

2. Fringe Benefits

NC DPI provides the following fringe benefits:

- Social Security: 7.65%
- Retirement: 14.32% (Rates subject to change by action of the General Assembly. A 9% rate of change is projected for each of the following years.)
- Medical: \$5192 per person (Rates subject to change by action of the General Assembly. A 9% increase is projected for each of the following years.)

3. Travel – for NC DPI staff

Travel costs for the NC portion of the budget include budgeting for Bagwell and Pruette to attend annual planning meetings with research partners (all to be held in North Carolina), consortium meetings, and a variety of trips for Bagwell to travel to states for state stakeholder meetings and meetings for assessment work with states (e.g., pilot test, usability labs/focus groups, test, and field test activities). Costs for state travel are estimated across different states in the Consortium. Also included are funds for an annual meeting in Washington, DC with ED and other EAG consortia. Travel expenses are detailed below for each year of the project. Cost estimates for meeting in the Raleigh-Durham area include mileage and cost estimates for all other trips include airfare, hotel, travel to/from airports, and per diem. Travel expenses are subject to policies set by NC DPI and based on rates established by the IRS (business standard mileage rate) or the Office of State Budget and Management (meals and lodging).

Travel: * Funds are requested to support travel for NC DPI personnel contributing to the project.				
Task / Purpose / From / To	Days/ Staff	No. Staff	No. Trips	Total (\$)
TASK : Year 1				
Internal Team Planning Meeting (Raleigh-Durham, NC)	2	2	1	120
TA/ED Meeting (Raleigh-Durham, NC - Washington, DC)	2	2	1	1840
Consortium Meeting (Raleigh-Durham, NC)	2	4	2	240
Attend State Meetings (Raleigh-Durham, NC – Portland, ME)	2	1	1	820
Attend State Meetings (Raleigh-Durham, NC – Phoenix, AZ)	2	1	1	1020
Menlo Park Meeting (Raleigh-Durham, NC – San Francisco, CA)	4	2	1	3320
TOTAL : Year 1				7360

Travel: * Funds are requested to support travel for NC DPI personnel contributing to the project.				
Task / Purpose / From / To	Days/ Staff	No. Staff	No. Trips	Total (\$)
TASK : Year 2				
Internal Team Planning Meeting (Raleigh-Durham, NC)	2	2	1	120
TA/ED Meeting (Raleigh-Durham, NC - Washington, DC)	2	2	1	1840
Consortium Meeting (Raleigh-Durham, NC)	2	4	1	240
Attend State Meetings (Raleigh-Durham, NC – Newport, RI)	2	1	1	920
Attend State Meetings (Raleigh-Durham, NC – Fargo, ND)	2	1	1	1670
TOTAL : Year 2				4790
TASK : Year 3				
Internal Team Planning Meeting (Raleigh-Durham, NC)	2	2	1	120
TA/ED Meeting (Raleigh-Durham, NC - Washington, DC)	2	2	1	1840
Consortium Meeting (Raleigh-Durham, NC)	2	4	1	240
Attend State Meetings (Raleigh-Durham, NC – Wilmington, DE)	2	1	1	960
Attend State Meetings (Raleigh-Durham, NC – Des Moines, IA)	2	1	1	1020
TOTAL : Year 3				4180
TASK : Year 4				
Internal Team Planning Meeting (Raleigh-Durham, NC)	2	2	1	120
TA/ED Meeting (Raleigh-Durham, NC - Washington, DC)	2	2	1	1840
Internal Team Planning Meeting (Raleigh-Durham, NC)	2	2	1	120
Consortium Meeting (Raleigh-Durham, NC)	2	4	1	240
Attend State Meetings (Raleigh-Durham, NC – Portland, OR)	2	1	1	1020
Attend State Meetings (Raleigh-Durham, NC – Portland, ME)	2	1	1	820
TOTAL : Year 4				4160
TOTAL TRAVEL				20,490

4. Equipment

In order to fulfill responsibilities related to project oversight and fiscal management, including preparation and submission of reports, budget management, electronic communication, and data analysis, funds will be allocated to purchase a laptop computer with docking station and printer for the Project Director and the Administrative Assistant. This is a standard budgetary allocation for a new position set by the NC DPI.

Equipment: Funds are requested as follows to support personnel working on the project			
Item	Justification	Unit Cost	Total Cost
Laptop Computer	This equipment is required to fulfill responsibilities related to project oversight and fiscal management	800	1600
Docking Station with monitor, stand, keyboard, and mouse		300	600
Printer		250	500
TOTAL EQUIPMENT			2700

5. Supplies

In order to fulfill responsibilities related to project oversight and fiscal management, funds will be allocated for office supplies, postage, and data processing supplies for both the Project Director and the Administrative Assistant. This is a standard budgetary allocation set by the NC DPI at \$500.00 annually

per position. Additionally since the vast majority of the consortium meetings will be virtual a conferencing microphone will be needed.

Supplies: Funds are requested as follows to support personnel working on the project.			
Item	Justification	Unit Cost	Total Cost
Postage, office, & data processing supplies	Supplies are required to fulfill responsibilities related to project oversight and fiscal management	500	1000
Polycom conferencing microphone	This item is required to support participation in virtual meetings	150	150

6. Contractual

Research Partners

In order to meet the goals of this project, subcontracts will be established with three research partners, SRI International, Child Trends, and the BUILD Initiative, who will provide significant support to the project. SRI International will provide support for overall project coordination, assessment development, and technology enhancement activities. Costs for two national expert consultants with significant time commitments to work on assessment development tasks (i.e., assist in development of professional development materials and assist in conducting psychometric analyses) are included in SRI’s budget. The BUILD Initiative will coordinate cross-state consortium meetings (including funds to reimburse states for travel to consortium meetings) and in-state stakeholder engagement activities. Child Trends will support consortium coordination, stakeholder engagement, implementation support (including sustainability activities), and assessment development activities (e.g., tasks related to review of assessment items and pilot and field testing). Costs for each of these subcontractors are included in the table below. In addition, separate budget summaries and justifications are included for each.

National Expert Consultants Panel

In addition, subcontracts will be established with a panel of eleven national expert consultants who have expertise in the five domains, early learning standards, and in assessing children with disabilities and English learners. The expert consultants will review the assessment items during initial ECD work and then review the final assessment. Funds allocated for this purpose are based on consultant fees set at a daily rate of \$1200 and calculated on the basis of 2 days in Year 1 and 4 days in Year 2. In summary, national expert consultants will contribute 6 days each over the course of two years.

Consortium State Activities

A total of \$500,000 has been set aside to support the eight other consortium states’ participation in the EAC. Because the project budget is not sufficient to support a high level of involvement by all consortium states, two tiers of activities have been created. All states will participate in Tier 1 activities and will receive funds to help support the costs of participation in virtual and face-to-face meetings (e.g., monthly consortium calls, in-person meetings*, and quarterly consortium webinars); share their state-developed early childhood and K- 3 assessment-related materials such as standards (including early learning and K-3 standards), assessment items/tasks, and professional development (PD) materials; provide input into the review of assessment-related materials such as standards, assessment items/tasks, the assessment as a whole, and PD materials; and conduct broad stakeholder outreach and engagement activities† such as promoting awareness of and support for the assessment among administrators, teachers, families, and institutions of higher education, in preparation for assessment implementation. A total of

* Travel costs to attend in-person consortium meetings are in BUILD’s budget.

† Funds to support in-state stakeholder convening are in BUILD’s budget.

\$200,000 has been designated for consortium states' participation in Tier 1 activities, \$25,000 in each of the 4 project years.

In addition, up to four states will participate in Tier 2 activities and will receive funds to help support the costs of incentives and teacher release time for piloting and field testing the K – 3 assessment, convening state experts to review assessment-related materials, and conducting more in-depth stakeholder engagement activities (e.g., focus groups with parents, teachers, administrators, and institutions of higher education staff on the assessment's design, item development, and related professional development materials). Decisions about which states will be supported for Tier 2 activities will be made by the Project Management team based on a number of factors, including state interest, criteria developed for the specific activity (e.g., pilot testing or field testing), and the ability to support a portion of their participation. We anticipate that some states will be able to identify funding to support their involvement in the Tier 2 activities, allowing a greater number of states to participate. A total of \$300,000 has been designated for states' participation in Tier 2 activities, \$75,000 in each of the 4 project years.

Contracted services	Y1 (\$)	Y2 (\$)	Y3 (\$)	Y4 (\$)	Total (\$)
SRI International	972,219	1,458,986	597,561	514,647	3,543,413
Child Trends	94,963	125,023	149,949	160,004	529,939
BUILD Initiative	197,796.10	123,937.31	124,889.06	125,869.36	572,491.83
National expert consultants	26,400	52,800	0	0	79,200
Consortium State Activities	125,000	125,000	125,000	125,000	500,000
TOTAL CONTRACTUAL					5,225,043.83

7. Stipend NA

8. Other

Communication

Communications costs for the project include estimated charges of \$500.00 per year for telephones and virtual meeting rooms, as well as ITS charges set at \$90.40 per month for the Director and Administrative Assistant for twelve months (\$2170).

Description	Y1 (\$)	Y2 (\$)	Y3 (\$)	Y4 (\$)	Total (\$)
Telephone/Fax	\$2670	\$2670	\$2670	\$2670	\$10,680

10. Indirect Costs

An indirect cost rate of 15% is included in this proposal and is based on NC DPI's Indirect Cost Rate Agreement dated September 2012. Approval for NC DPI's 2013-14 Indirect Cost Rate Agreement is pending.



**U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION
NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1894-0008
Expiration Date: 04/30/2014

Name of Institution/Organization Third Sector New England (on behalf of the BUILD Initiative for whom TSNE serves as fiscal sponsor)

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY

U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	20,905.15	21,741.36	22,393.60	23,065.41		88,105.52
2. Fringe Benefits	5,853.44	6,087.58	6,270.21	6,458.32		24,669.54
3. Travel	28,600.00	11,198.00	11,198.00	11,198.00		62,194.00
4. Equipment						
5. Supplies						
6. Contractual	47,150.00	41,150.00	41,150.00	41,150.00		170,600.00
7. Construction						
8. Other	70,996.76	28,540	28,540	28,540		156,616.76
9. Total Direct Costs (lines 1-8)	173,505.35	108,716.94	109,551.81	110,411.72		502,185.83
10. Indirect Costs*	24,290.75	15,220.37	15,337.25	15,457.64		70,306.01
11. Training Stipends						
12. Total Costs (lines 9-11)	197,796.10	123,937.31	124,889.06	125,869.36		572,491.84

***Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? Yes No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: 07/01/2013 To: 06/30/2014 (mm/dd/yyyy)

Approving Federal agency: ED Other (please specify): Dept. of Health & Human Services The Indirect Cost Rate is 14%

(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

Is included in your approved Indirect Cost Rate Agreement? or Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is _____%

Name of Institution/Organization	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.
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**SECTION B - BUDGET SUMMARY
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (Lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (Lines 9-11)						

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SECTION C – BUDGET NARRATIVE (see instructions)

Budget Categories	Yr 1(a)	Narrative Explanation
1. Personnel	20,905.15	Gerry Cobb: .1 FTE Susan Hibbard: .08 FTE Gerry Cobb, BUILD's Director of State Services, will manage the cross-state collaboration, oversee planning of the in-person meetings, and organize the bi-monthly conference calls between states. Gerry will also manage the support for the consortium state leaders as they work on stakeholder engagement within their states. Susan Hibbard, BUILD's Deputy Director, will represent BUILD on the Project Management Team, support Gerry in Consortium Cross-State Engagement and Stakeholder Engagement within States, and serve as the primary liaison between the EAG Consortium and the Early Learning and Development Standards Consortium.
2. Fringe	5,853.44	The fringe rate for 2013-2014 for Third Sector New England (TSNE), BUILD's fiscal sponsor, is .28%.
3. Travel	28,600.00	<u>First Consortium Meeting</u> Travel consists of : <ul style="list-style-type: none"> the cost of airfare for 32 state team members for the first consortium meeting and two BUILD staff people budgeted @ an average of \$500 per person or \$17,000 the cost of ground transportation to and from airports to meeting site @ an average of \$50 per person or \$1,700 <u>Second Consortium Meeting</u> <ul style="list-style-type: none"> the cost of airfare for 16 state team members for the first consortium meeting and two BUILD staff people budgeted @ an average of \$500 per person or \$9,000 the cost of ground transportation to and from airports to meeting site @ an average of \$50 per person or \$900
4. Equipment		
5. Supplies		
6. Contractual	47,150.00	Meeting Planner: \$11,000, which includes on-site management of first, larger meeting Miriam Calderon, Karen Ponder, and Sherri Killins: \$31,100. Approximately 22 days divided between them and travel to the two in-person consortium meetings. They will be involved in the cross-state convenings and stakeholder engagement. Dr. Charles Bruner: \$5,050. Approximately 5 days largely devoted to developing resources for the state partners to facilitate engagement in the design and enhancement of the assessment.
7. Construction		
8. Other	\$70,996.76	<u>First Consortium Meeting</u> (pricing based on Raleigh, NC, Marriot City Center) Allocations include: <ul style="list-style-type: none"> Hotel. Assumes 36 participants @ \$208.08 per night for two nights or \$14,981.76. Food: Assuming 50 people for 3 lunches, two dinners, two breakfasts and 3 breaks = \$17,550.00 AV, signage, phone/fax/internet, shipping, handouts, etc. = \$9,925 <u>Second Consortium Meeting</u> <ul style="list-style-type: none"> Hotel. Assumes 20 participants @ \$208.08 per night for two nights or \$8,320.00 Food: Assuming 34 people for 2 lunches, one dinners, two breakfasts and 2 breaks = \$8,364 AV, signage, phone/fax/internet, shipping, handouts, etc. = \$4,356 <u>Support for in-state stakeholder Convenings</u> <ul style="list-style-type: none"> Four-year budget assumes a pool of \$30,000 to support states as they convene and engage stakeholders within their state. Pool is divided equally; therefore, year 1 includes \$7,500.
9. Total Direct Costs	\$173,505.35	
10. Indirect Costs*	\$24,143.64	Federally approved indirect cost rate of 14%
11. Training Stipends		
12. Total Costs	\$197,796.10	PR/Award # S368A130002

Budget Categories	Project Year 2(b)	Narrative Explanation
1. Personnel	\$21,741.36	Gerry Cobb: .1 FTE Susan Hibbard: .08 FTE Assumes 4% increase (merit + COLA) Gerry Cobb, BUILD's Director of State Services, will manage the cross-state collaboration, oversee planning of the in-person meetings, and organize the bi-monthly conference calls between states. Gerry will also manage the support for the consortium state leaders as they work on stakeholder engagement within their states. Susan Hibbard, BUILD's Deputy Director, will represent BUILD on the Project Management Team, support Gerry in Consortium Cross-State Engagement and Stakeholder Engagement within States, and serve as the primary liaison between the EAG Consortium and the Early Learning and Development Standards Consortium.
2. Fringe Benefits	\$6,087.58	The fringe rate for 2013-2014 for Third Sector New England (TSNE), BUILD's fiscal sponsor, is .28%. Year 2-4 assume no increase.
3. Travel	\$11,198.00	<u>Consortium Meeting (\$9,900)</u> <ul style="list-style-type: none"> the cost of airfare for 16 state team members for the first consortium meeting and two BUILD staff people budgeted @ an average of \$500 per person or \$9,000 the cost of ground transportation to and from airports to meeting site @ an average of \$50 per person or \$900 <u>Stakeholder Engagement or other BUILD staff TA-related Travel</u> <ul style="list-style-type: none"> Assumes 2 trips @ an average cost of \$540 per travel (air and ground) per trip Assumes 1 night hotel stay @ \$208 (based on rates at Marriott City Center in Raleigh)
4. Equipment		
5. Supplies		
6. Contractual	\$41,150.00	Meeting Planner: \$5,000 for annual consortium meeting Miriam Calderon, Karen Ponder, and Sherri Killins: \$31,100. Approximately 22 days divided between them and travel to the two in-person consortium meetings. They will be involved in the cross-state convenings and stakeholder engagement. Dr. Charles Bruner: \$5,050. Approximately 5 days largely devoted to developing resources for the state partners to facilitate engagement in the design and enhancement of the assessment.
7. Construction		
8. Other	\$28,540	<u>Annual Consortium Meeting</u> (pricing based on Raleigh, NC, Marriot City Center) <ul style="list-style-type: none"> Hotel. Assumes 20 participants @ \$208.08 per night for two nights or \$8,320.00 Food: Assuming 34 people for 2 lunches, one dinners, two breakfasts and 2 breaks = \$8,364 AV, signage, phone/fax/internet, shipping, handouts, etc. = \$4,356 <u>Support for in-state stakeholder Convenings</u> <ul style="list-style-type: none"> Four-year budget assumes a pool of \$30,000 to support states as they convene and engage stakeholders within their state. Pool is divided equally; therefore, each year includes \$7,500.
9. Total Direct Costs (lines 1-8)	\$108,716.94	
10. Indirect Costs*	\$15,220.37	Federally approved indirect cost rate of 14%
11. Training Stipends		
12. Total Costs (lines 9-11)	\$123,937.31	

Budget Categories	Project Year 3(c)	Narrative Explanation
1. Personnel	\$22,393.60	Gerry Cobb: .1 FTE Susan Hibbard: .08 FTE Assumes 3% increase (merit + COLA) Gerry Cobb, BUILD's Director of State Services, will manage the cross-state collaboration, oversee planning of the in-person meetings, and organize the bi-monthly conference calls between states. Gerry will also manage the support for the consortium state leaders as they work on stakeholder engagement within their states. Susan Hibbard, BUILD's Deputy Director, will represent BUILD on the Project Management Team, support Gerry in Consortium Cross-State Engagement and Stakeholder Engagement within States, and serve as the primary liaison between the EAG Consortium and the Early Learning and Development Standards Consortium.
2. Fringe Benefits	\$6,270.21	The fringe rate for 2013-2014 for Third Sector New England (TSNE), BUILD's fiscal sponsor, is .28%. Year 2-4 assume no increase.
3. Travel	\$11,198.00	<u>Consortium Meeting (\$9,900)</u> <ul style="list-style-type: none"> the cost of airfare for 16 state team members for the first consortium meeting and two BUILD staff people budgeted @ an average of \$500 per person or \$9,000 the cost of ground transportation to and from airports to meeting site @ an average of \$50 per person or \$900 <u>Stakeholder Engagement or other BUILD staff TA-related Travel</u> <ul style="list-style-type: none"> Assumes 2 trips @ an average cost of \$540 per travel (air and ground) per trip Assumes 1 night hotel stay @ \$208 (based on rates at Marriott City Center in Raleigh)
4. Equipment		
5. Supplies		
6. Contractual	\$41,150.00	Meeting Planner: \$5,000 for annual consortium meeting Miriam Calderon, Karen Ponder, and Sherri Killins: \$31,100. Approximately 22 days divided between them and travel to the two in-person consortium meetings. They will be involved in the cross-state convenings and stakeholder engagement. Dr. Charles Bruner: \$5,050. Approximately 5 days largely devoted to developing resources for the state partners to facilitate engagement in the design and enhancement of the assessment.
7. Construction		
8. Other	\$28,540	<u>Annual Consortium Meeting</u> (pricing based on Raleigh, NC, Marriot City Center) <ul style="list-style-type: none"> Hotel. Assumes 20 participants @ \$208.08 per night for two nights or \$8,320.00 Food: Assuming 34 people for 2 lunches, one dinners, two breakfasts and 2 breaks = \$8,364 AV, signage, phone/fax/internet, shipping, handouts, etc. = \$4,356 <u>Support for in-state stakeholder Convenings</u> <ul style="list-style-type: none"> Four-year budget assumes a pool of \$30,000 to support states as they convene and engage stakeholders within their state. Pool is divided equally; therefore, each year includes \$7,500.
9. Total Direct Costs (lines 1-8)	\$109,551.81	
10. Indirect Costs*	\$15,337.25	Federally approved indirect cost rate of 14% (assumes no change in federal indirect rate)
11. Training Stipends		
12. Total Costs (lines 9-11)	\$124,889.06	

Budget Categories	Project Year 4(d)	Narrative Explanation
1. Personnel	\$23,065.41	Gerry Cobb: .1 FTE Susan Hibbard: .08 FTE Assumes 3% increase (merit + COLA) Gerry Cobb, BUILD's Director of State Services, will manage the cross-state collaboration, oversee planning of the in-person meetings, and organize the bi-monthly conference calls between states. Gerry will also manage the support for the consortium state leaders as they work on stakeholder engagement within their states. Susan Hibbard, BUILD's Deputy Director, will represent BUILD on the Project Management Team, support Gerry in Consortium Cross-State Engagement and Stakeholder Engagement within States, and serve as the primary liaison between the EAG Consortium and the Early Learning and Development Standards Consortium.
2. Fringe Benefits	\$6,458.31	The fringe rate for 2013-2014 for Third Sector New England (TSNE), BUILD's fiscal sponsor, is .28%. Year 2-4 assume no increase.
3. Travel	\$11,198.00	<u>Consortium Meeting</u> (\$9,900) <ul style="list-style-type: none"> the cost of airfare for 16 state team members for the first consortium meeting and two BUILD staff people budgeted @ an average of \$500 per person or \$9,000 the cost of ground transportation to and from airports to meeting site @ an average of \$50 per person or \$900 <u>Stakeholder Engagement or other BUILD staff TA-related Travel</u> <ul style="list-style-type: none"> Assumes 2 trips @ an average cost of \$540 per travel (air and ground) per trip Assumes 1 night hotel stay @ \$208 (based on rates at Marriott City Center in Raleigh)
4. Equipment		
5. Supplies		
6. Contractual	\$41,150.00	Meeting Planner: \$5,000 for the annual consortium meeting Miriam Calderon, Karen Ponder, and Sherri Killins: \$31,100. Approximately 22 days divided between them and travel to the two in-person consortium meetings. They will be involved in the cross-state convenings and stakeholder engagement. Dr. Charles Bruner: \$5,050. Approximately 5 days largely devoted to developing resources for the state partners to facilitate engagement in the design and enhancement of the assessment.
7. Construction		
8. Other	\$28,540	<u>Annual Consortium Meeting</u> (pricing based on Raleigh, NC, Marriot City Center) <ul style="list-style-type: none"> Hotel. Assumes 20 participants @ \$208.08 per night for two nights or \$8,320.00 Food: Assuming 34 people for 2 lunches, one dinners, two breakfasts and 2 breaks = \$8,364 AV, signage, phone/fax/internet, shipping, handouts, etc. = \$4,356 <u>Support for in-state stakeholder Convenings</u> <ul style="list-style-type: none"> Four-year budget assumes a pool of \$30,000 to support states as they convene and engage stakeholders within their state. Pool is divided equally; therefore, each year includes \$7,500.
9. Total Direct Costs (lines 1-8)	\$110,411.72	
10. Indirect Costs*	\$15,457.64	Federally approved indirect cost rate of 14% (assumes no change in federal indirect rate)
11. Training Stipends		
12. Total Costs (lines 9-11)	\$125,869.37	



**U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION
NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1894-0008
Expiration Date: 04/30/2014

Name of Institution/Organization
Child Trends, Incorporated

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY

U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	36,360.00	44,728.00	53,591.00	62,086.00		196,765.00
2. Fringe Benefits	16,253.00	19,993.00	23,955.00	27,752.00		87,953.00
3. Travel	3,612.00	3,612.00	3,612.00	4,816.00		15,652.00
4. Equipment						
5. Supplies	304.00	374.00	448.00	419.00		1,645.00
6. Contractual						
7. Construction						
8. Other	3,271.00	10,023.00	12,820.00	5,585.00		31,699.00
9. Total Direct Costs (lines 1-8)	59,800.00	78,730.00	94,426.00	100,758.00		333,714.00
10. Indirect Costs*	35,163.00	46,293.00	55,523.00	59,246.00		196,225.00
11. Training Stipends						
12. Total Costs (lines 9-11)	94,963.00	125,023.00	149,949.00	160,004.00		529,939.00

***Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(4) Do you have an Indirect Cost Rate Agreement approved by the Federal government? Yes No

(5) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: 01 / 01 / 2012 To: 12 / 31 / 2013 (mm/dd/yyyy)

Approving Federal agency: ED Other (please specify): Department of Health & Human Services The Indirect Cost Rate is 58.8 %

(6) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

Is included in your approved Indirect Cost Rate Agreement? or Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is %

CHILD TRENDS' BUDGET NARRATIVE KEA CONSORTIUM PROPOSAL BUDGET NARRATIVE

Personnel

Personnel Costs are based on annual salary multiplied by the percent of effort. A 5% annual salary increase has been applied. Personnel costs are \$196,765; \$36,360 for Year 1, \$44,728 for Year 2, \$53,591 for Year 3, and \$62,086 for Year 4. A description of the role of each staff member is provided below.

Tamara Halle, Ph.D., Senior Program Area Director (Avg: 6.6%) (Year 1: 105 hours, Year 2: 110 hours, Year 3: 105 hours, and Year 4: 120 hours). Dr. Halle will serve as co-Director of the Child Trends' team and will guide the consortium's application of implementation science to inform the design, testing and scale up of the KEA as well as state's implementation of professional development and stakeholder outreach strategies. Dr. Halle will also provide the research partners with internal school readiness content expertise and will contribute substantively to the enhancement and expansion of the KEA instrument, particularly around its application with dual language learners.

Kelly Maxwell, Ph.D., Senior Program Area Director (6.45%) (Year 1: 100 hours, Year 2: 105 hours, Year 3: 110 hours, and Year 4: 115 hours). Dr. Maxwell will serve as co-Director of the Child Trends' team and will guide the Child Trends team's provision of technical assistance to states. Dr. Maxwell will serve as a senior advisor to the NC team and consortium, given her involvement in the development of North Carolina's K-3 Assessment and NC's Race to the Top- Early Learning Challenge grant. She will also coordinate with BUILD on related work on the alignment of early learning and development standards.

Sarah Daily, Ph.D., Research Scientist (25.49%) (Year 1: 345 hours, Year 2: 400 hours, Year 3: 450 hours, and Year 4: 505 hours). Dr. Daily will serve as project manager, will lead the coordination of Child Trends' activities with KEA consortium states including hosting learning communities, and will provide technical assistance around the KEA professional development model and stakeholder outreach strategies. Dr. Daily will oversee the Child Trends' timeline of deliverables, progress reports, budget, and will serve as the lead contact among the KEA consortium for all state and research partner activities.

Carlise King, M.A., Interim Executive Director for Early Childhood Data Collaborative (2.7%) (Year 1: 15 hours, Year 2: 35 hours, Year 3: 65 hours, and Year 4: 65 hours). Ms. King will provide research support and technical assistance to states, as needed, to inform the development, implementation, and use of early childhood data systems that connect KEA data to K-12 education data systems.

Shannon Moodie, M.A., Research Analyst (7.35%) (Year 1: 85 hours, Year 2: 100 hours, Year 3: 155 hours, and Year 4: 150 hours). Ms. Moodie will provide support to states with their professional development and stakeholder outreach strategies by developing content, assisting with state learning communities on these topics, and also, if needed, with data collection via online surveys or telephone interviews to gather feedback from stakeholders.

TBD, Research Assistant (7.81%) (Year 1: 47 hours, Year 2: 120 hours, Year 3: 152 hours, and Year 4: 202 hours). A research assistant will be available to assist the Child Trends team as needed with key activities designed to support states with professional development, stakeholder outreach, and implementation of the KEA.

Fringe Benefits

Fringe benefits are calculated using Child Trends Federally negotiated rate of 44.7% as approved by the U.S. Department of Health and Human Services, the organization's cognizant audit agency.

Fringe Benefits Costs are \$87,953; \$16,253 for Year 1, \$19,993 for Year 2, \$23,955 for Year 3, and \$27,752 for Year 4.

Travel

All travel will be conducted in accordance with the Federal Travel Regulations. Travel rates will be consistent with those established by the Federal Government. Travel costs are \$15,652; \$3,612 for Year 1, \$3,612 for Year 2, \$3,612 for Year 3, and \$4,816 for Year 4.

- **Year 1** travel costs include travel airfare for 3 Child Trends staff members to attend two on-site consortium meetings in North Carolina estimated at \$350.00 per flight based on a recent internet search. Per Diem costs are estimated at \$91 per day, based on the U.S. General Services Administration recommended rates for 2013 travel to Raleigh, NC and will cover two days of travel for three staff members to attend two on-site meetings. Ground travel costs are calculated at \$30.00 to cover costs such as taxi fare to and from meeting locations and the airport, two trips per staff member (3), per onsite meeting (2). Finally, local travel costs are calculated at \$10 per trip to cover metro or taxi fare for Child Trends staff to meet in person with SRI partners two times per year.
- **Year 2** travel costs include travel airfare for 3 Child Trends staff members to attend one on-site consortium meeting in North Carolina estimated at \$350.00 per flight based on a recent internet search. Per Diem costs are estimated at \$91 per day, based on the U.S. General Services Administration recommended rates for 2013 travel to Raleigh, NC and will cover two days of travel for three staff members to attend one on-site meeting. Year 2 travel costs also include \$350 airfare per trip for Child Trends staff to make three trips to work on site with consortium states, for example to facilitate stakeholder engagement meetings. Ground travel costs are calculated at \$30.00 to cover costs such as taxi fare to and from meeting locations and the airport, two trips per staff member (3), per onsite meeting (2). Finally, local travel costs are calculated at \$10 per trip to cover metro or taxi fare for Child Trends staff to meet in person with SRI partners two times per year.
- **Year 3** travel costs include travel airfare for 3 Child Trends staff members to attend one on-site consortium meeting in North Carolina estimated at \$350.00 per flight based on a recent internet search. Per Diem costs are estimated at \$91 per day, based on the U.S. General Services Administration recommended rates for 2013 travel to Raleigh, NC and will cover two days of travel for three staff members to attend two on-site meeting. Year 3 travel costs also include \$350 airfare per trip for Child Trends staff to make three trips to work on site with consortium states, for example to facilitate stakeholder engagement meetings. Ground travel costs are calculated at \$30.00 to cover costs such as taxi fare to and from meeting locations and the airport, two trips per staff member (3), per onsite meeting (2). Finally, local travel costs are calculated at \$10 per trip to cover metro or taxi fare for Child Trends staff to meet in person with SRI partners two times per year.
- **Year 4** travel costs include travel airfare for 3 Child Trends staff members to attend two on-site consortium meetings in North Carolina estimated at \$350.00 per flight based on a recent internet search. Per Diem costs are estimated at \$91 per day, based on the U.S. General Services Administration recommended rates for 2013 travel to Raleigh, NC and will cover two days of travel for three staff members to attend two on-site meetings. Year 4 travel costs also include \$350 airfare per trip for Child Trends staff to make two trips to work on site with consortium states, for example to facilitate stakeholder engagement meetings. Ground travel costs are calculated at

\$30.00 to cover costs such as taxi fare to and from meeting locations and the airport, two trips per staff member (3), per onsite meeting (2). Finally, local travel costs are calculated at \$10 per trip to cover metro or taxi fare for Child Trends staff to meet in person with SRI partners two times per year.

Supplies

Supplies costs are calculated at 0.8% of direct labor costs. Supplies costs are \$1,645; \$304 for Year 1 and \$374 for Year 2, \$448 for Year 3, and \$519 for Year 4.

Other Direct Costs

Other direct costs include costs for incentives, office supplies, postage, telecommunications, IT support services, and scientific support services. Total Other Direct Costs budgeted for the project period are \$31,699; \$3,271 for Year 1, \$10,023 for Year 2, \$12,820 for Year 3, and \$5,585 for Year 4.

- Incentives Costs are \$14,000; \$6,000 for Year 2 and \$8,000 for Year 3. These costs will cover the purchase of 120 gift cards in Year 2 and 160 gift cards in Year 3 (\$50.00 each) given to teachers and administrators as an incentive to participate in telephone interviews designed to gather feedback on the design and implementation of the KEA.
- IT Support Services costs are \$9,758; \$1,803 for Year 1, \$2,218 for Year 2, \$2,658 for Year 3, and \$3,079 for Year 4. IT support services costs will cover system administration and support
- Scientific Support Services costs are \$4,921; \$909 for Year 1, \$1,119 for Year 2, \$1,339 for Year 3, and \$1,554 for Year 4. Scientific support services include costs associated with supporting social science infrastructure, such as general 508 compliance review, project staff Independent Review Board activity for preparation of the protocols, secure data protection and compliance, research application training and an internal review and quality control process.
- Telephone/Fax costs are \$2,536; \$469 for Year 1, \$576 for Year 2, \$691 for Year 3, and \$800 for Year 4.
- Postage costs are \$484; \$90 for Year 1, \$110 for Year 2, \$132 for Year 3, and \$152 for Year 4.

Indirect Costs

Indirect costs are budgeted at Child Trends' Federally approved indirect rate of 58.8%. The current Negotiated Indirect Rate Agreement is attached. Indirect Costs are \$196,225; \$35,163 for Year 1, \$46,293 for Year 2, \$55,523 for Year 3, and \$59,246 for Year 4.

TOTAL Costs for the project are \$529,939.00



**U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION
NON-CONSTRUCTION PROGRAMS**

EDD 13-049R1
OMB Control Number: 1894-0008
Expiration Date: 04/30/2014

Name of Institution/Organization
SRI International

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	284,444	285,716	181,933	163,350	0	915,443
2. Fringe Benefits	140,800	141,429	90,057	80,857	0	453,143
3. Travel	43,592	46,808	34,671	18,764	0	143,835
4. Equipment	0	0	0	0	0	0
5. Supplies	0	0	0	0	0	0
6. Contractual	90,000	159,000	22,900	30,000	0	301,900
7. Construction	0	0	0	0	0	0
8. Other	12,750	311,500	11,500	750	0	336,500
9. Total Direct Costs (lines 1-8)	571,586	944,453	341,061	293,721	0	2,150,821
(b)(4)						
11. Training Stipends	0	0	0	0	0	0

(b)(4)

***Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? Yes No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: 01/01/2012 To: 12/31/2012 (mm/dd/yyyy)

Approving Federal agency: ED Other (please specify): DCMA Northern California/DOD The Indirect Cost Rate is _____%

(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

Is included in your approved Indirect Cost Rate Agreement? or Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is _____%

Budget Justification – SRI International
SRI Proposal No. EDD 13-049R1

1. Personnel

Direct labor charges are based on actual salaries for the staff members who are expected to perform the tasks, plus a factor added to the current base salaries for merit increases at 3.4% per year during the proposed contract period. The direct labor rates may be verified by an authorized representative of the U.S. Government by calling DCAA at (650) 859-4351. SRI’s labor calculations are based on a person- year of 1840 hours. Costs for two national expert consultants with significant time commitments to work on assessment development tasks (i.e., assist in development of professional development materials and assist in conducting psychometric analyses) are included in SRI’s budget, while other consultants who will provide expert review of the assessment and work closely with SRI staff are included in NC DPI portion of the project budget.

Key Personnel

Average percent across the four years for key staff are shown, followed by a table showing percent effort in each year.

Jennifer Tschantz, Ph.D., (19%), Senior Early Childhood Researcher, will serve as SRI’s project co- director to provide overall project oversight, serve on the project management team, and co-lead the pilot test team.

Suzanne Raber, M.S., (21%), Senior Education Researcher, will serve as SRI’s project co-director to provide overall project oversight, serve on the project management team, lead the pilot and field test team.

Kathleen Hebbeler, Ph.D., (10%), Community Services and Strategies Program Manager, will serve as senior assessment advisor, review work on item development, and lead the psychometrics and professional development teams.

Donna Spiker, Ph.D., (10%) Early Childhood Program Manager, will serve as senior assessment advisor, review work on item development, and co-lead the pilot and field test team.

Renee Cameto, Ph.D., (13%), Principal Scientist, will co-lead the application of ECD/UDL to the assessment content team..

Geneva Haertel, Ph.D., (8%), Director of Assessment Research and Design, will co-lead the application of ECD/UDL to the assessment content team.

Kavita Seeratan, Ph.D. (3%), Senior Research Scientist, will co-lead the psychometrics team.

Chris Makler, Ph.D., (5%), Director of Education Technology Production, will co-lead the technology team.

Percent Effort	Year 1	Year 2	Year 3	Year 4
Jennifer Tschantz	20%	28%	15%	12%
Suzanne Raber	21%	29%	19%	16%
Kathy Hebbeler	11%	12%	8%	10%
Donna Spiker	11%	10%	9%	9%

Percent Effort	Year 1	Year 2	Year 3	Year 4
Renee Cameto	28%	10%	7%	7%
Geneva Haertel	21%	6%	3%	3%
Kavita Seeratan	9%	0%	0%	2%
Chris Makler	0%	13%	4%	4%

Additional Personnel

Research Assistant: 6

Technical: 1

Analyst/programmer: 3

Clerical: 1

Editor: 1

Kerry Belodoff, Research Analyst I, will support project co-directors and project manager to support project oversight, take and distribute notes from meetings, coordinate with NC DPI and other research partners on assessment development tasks, including pilot and field testing, and other data collection tasks (e.g., focus groups).

Sarah Greene, Research Analyst II, will support ECD co-design team working on reverse engineering and implementation of pilot and field testing of the assessment.

Kristen Rouspil, Project Manager, will provide assistance in developing materials for training and data collection, scheduling student assessments, and maintaining communication and coordination across sites. She also will assist co-directors in budget monitoring.

Ximena Dominguez, Senior Researcher, will provide expertise on STEM content areas in early childhood for item review and development, including input on learning progressions for science and math.

Roxanne Jones, Administrative Assistant, will carry out a variety of administrative and other functions, including word processing of reports and other written materials, assembling training materials, overseeing mailing, and maintaining project files.

Kate Nagle, Research Social Scientist III, will support ECD co-design team working on reverse engineering.

Cyndi Williamson, Senior Programmer, will provide statistical programming and assist with developing analytical datasets.

Christopher Overholtzer, System Developer, will support with technology development activities for enhanced reports, applications for documentation recording, and the development of professional development materials.

Christopher Sanford, Research Analyst III, will provide assessment expertise on ECD co-design team working on reverse engineering.

Mary Campbell, Technical Editor, will provide professional editing for all the dissemination products.

Andrew Praturlon, Data/Survey Analyst, will assist in data cleaning and entry of survey data into online Snap survey system.

Ron Orpitelli, Sr. Res. Database Coord., will oversee development and data entry of survey data into online Snap survey system.

3. Travel

Travel costs included annual planning meetings to North Carolina (project co-directors are in DC and other SRI staff in California), consortium meetings, and a variety of trips to states for state stakeholder meetings and meetings for assessment work with states (e.g., pilot test, usability labs/focus groups, test, and field test activities). Travel costs for state travel are estimated across different states in the Consortium (see abbreviations below). Also included are funds for annual meeting in Washington DC with ED and other EAG consortia. Travel costs are estimated as follows:

Task / Purpose / From / To	Days/ Staff	No. Staff	No. Trips	Total (\$)
TASK : Year 1				
Internal Team Planning Meeting (San Francisco, CA – Raleigh, NC)	2	2	1	2,532
TA/ED Meeting (San Francisco, CA - Washington, DC)	2	2	1	3,624
Internal Team Planning Meeting (Washington, DC - Raleigh, NC)	2	2	1	1,936
Consortium Meeting (San Francisco, CA – Raleigh, NC)	2	4	2	10,128
Consortium Meeting (Washington, DC – Raleigh, NC)	2	2	2	3,872
Attend State Meetings (Washington, DC – Portland, ME)	2	1	1	1,532
Attend State Meetings (San Francisco, CA – Phoenix, AZ)	2	1	1	878
Menlo Park Meeting (Washington, DC – San Francisco, CA)	4	2	1	4,484
Teacher/Labs Focus Groups (San Francisco, CA – Phila., PA for DE)	3	2	1	3,458
Teacher/Labs Focus Groups (San Francisco, CA – Phoenix, AZ)	3	2	1	2,174
Teacher/Labs Focus Groups (Washington, DC – Newport, RI)	3	2	1	3,104
Teacher/Labs Focus Groups (Washington, DC – Portland, ME)	3	2	1	3,522
Teacher/Labs Focus Groups (Washington, DC – Raleigh, NC)	3	2	1	2,348
TOTAL : Year 1				43,592
TASK : Year 2				
Internal Team Planning Meeting (San Francisco, CA – Raleigh, NC)	2	2	1	2,532
TA/ED Meeting (San Francisco, CA - Washington, DC)	2	2	1	3,624
Internal Team Planning Meeting (Washington, DC - Raleigh, NC)	2	2	1	1,936
Consortium Meeting (San Francisco, CA – Raleigh, NC)	2	4	1	5,064
Consortium Meeting (Washington, DC - Raleigh, NC)	2	2	1	1,936
Attend State Meetings (Washington, DC – Newport, RI)	2	1	1	1,274
Attend State Meetings (Washington, DC – Fargo, ND)	2	1	1	1,662
Teacher/Labs Focus Groups (Washington, DC – Portland, OR)	3	2	1	2,754
Teacher/Labs Focus Groups (Washington, DC – Des Moines, IA)	3	2	1	2,780
Teacher/Labs Focus Groups (Washington, DC – Fargo, ND)	3	2	1	3,686
Train Teachers (San Francisco, CA – Philadelphia, PA for DE)	3	2	1	3,458
Train Teachers (San Francisco, CA – Phoenix, AZ)	3	2	1	2,174
Train Teachers (Washington, DC – Newport, RI)	3	2	1	3,104
Train Teachers (Washington, DC – Portland, ME)	3	2	1	3,522
Train Teachers (Washington, DC - Raleigh, NC)	3	2	1	2,348

Task / Purpose / From / To	Days/ Staff	No. Staff	No. Trips	Total (\$)
Evaluate PD Materials (San Francisco, CA – Phoenix, AZ)	3	2	1	2,174
Evaluate PD Materials (Washington, DC – Des Moines, IA)	3	2	1	2,780
TOTAL : Year 2				46,808
TASK : Year 3				
Internal Team Planning Meeting (San Francisco, CA – Raleigh, NC)	2	4	1	5,064
TA/ED Meeting (San Francisco, CA – Washington, DC)	2	2	1	3,624
Internal Team Planning Meeting (Washington, DC – Raleigh, NC)	2	2	1	1,936
Consortium Meeting (San Francisco, CA – Raleigh, NC)	2	4	1	5,064
Consortium Meeting (Washington, DC – Raleigh, NC)	2	2	1	1,936
Attend State Meetings (Washington, DC – Philadelphia, PA for DE)	2	1	1	1,243
Attend State Meetings (Washington, DC – Des Moines, IA)	2	1	1	1,198
Train Teachers (San Francisco, CA – Philadelphia, PA)	3	2	1	3,458
Train Teachers (San Francisco, CA – Phoenix, AZ)	3	2	1	2,174
Train Teachers (Washington, DC – Newport, RI)	3	2	1	3,104
Train Teachers (Washington, DC – Portland, ME)	3	2	1	3,522
Train Teachers (Washington, DC – Raleigh, NC)	3	2	1	2,348
TOTAL : Year 3				34,671
TASK : Year 4				
Internal Team Planning Meeting (San Francisco, CA – Raleigh, NC)	2	4	1	5,064
TA/ED Meeting (San Francisco, CA – Washington, DC)	2	2	1	3,624
Internal Team Planning Meeting (Washington, DC – Raleigh, NC)	2	2	1	1,936
Consortium Meeting (San Francisco, CA – Raleigh, NC)	2	4	1	5,064
Consortium Meeting (Washington, DC – Raleigh, NC)	2	2	1	1,936
Attend State Meetings (Washington, DC – Portland, OR)	2	1	1	1,140
TOTAL : Year 4				18,764
TOTAL				143,835

6. Contractual

Five consultants with content expertise in the five school readiness domains will support the ECD work by participating in co-design team's activities, including reverse engineering existing items, developing new items, and revising items based on pilot testing. The budget includes a total of 10 days for each of the three activities (30 days) divided across Years 1 and 2 for each of the five consultants to complete this work (a total of 150 days). In addition, two national expert consultants will work intensively with the SRI assessment development work teams. Richard Lambert will work 20 day in Year 1 and 30 days in Year 2 with the psychometrics and performance levels work team. Larry Edelman will work 52 days in Year 2 and 2 days in Year 3 with the PD materials work team. Estimates for these needs are presented in the following tables:

Contracted services	Y1 (\$)	Y2 (\$)	Y3 (\$)	Y4 (\$)	Total (\$)
Consulting fees for ECD content experts	90,000	90,000	0	0	180,000
Consulting fees for R. Lambert	0	69,000	20,400	30,000	119,400
Consulting fees for L. Edelman	0	0	2,500	0	2,500
Total	90,000	159,000	22,900	30,000	301,900

**8. Other
Outside
Services**

In Year 1, an outside vendor will provide translation services for the assessment materials into Spanish, and at least 3 other commonly used non-English languages, as needed, in the participating consortium states.

SRI will identify an outside vendor to assist the SRI technology work team in Years 2, 3, and 4 in the development of technology platforms for enhanced reports, applications for documentation recording, and the professional development materials for teachers and administrators.

Type of outside services	Y1 (\$)	Y2 (\$)	Y3 (\$)	Y4 (\$)	Total (\$)
Translation services	10,000	3,000	0	0	13,000
Technology development support	0	300,000	10,000	0	310,000
Total	10,000	303,000	10,000	0	323,000

Report Production. We estimate costs associated with printing scanned surveys for use in testing items.

Description	Y1 (\$)	Y2 (\$)	Y3 (\$)	Y4 (\$)	Total (\$)
Report Production	2,250	8,000	500	250	11,000

Telephone/Fax. Communications costs for the project include telephone costs for calls and webinars and fax charges as needed and are estimated as follows:

Description	Y1 (\$)	Y2 (\$)	Y3 (\$)	Y4 (\$)	Total (\$)
Telephone/Fax	500	500	1,000	500	2,500

Indirect Rates

The indirect rates included in this proposal are based on SRI's Forward Pricing Indirect Rate Proposal dated 08 January 2013. SRI International's indirect rates are considered proprietary and are available only to authorized representatives of the U.S. Government. We will disclose our rate to Government officials upon their request.

SRI's cumulative indirect costs are calculated utilizing multiple rates and bases for G&A, overhead and support cost burden in accordance with the cost principle for commercial organization, 48 CFR 31.2. For purposes of entering our indirect costs on the ED form 524 budget it is our practice to show the total amount of the indirect costs as a cumulative amount.

**U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION
NON-CONSTRUCTION PROGRAMS**

OMB Number: 1894-0008
Expiration Date: 04/30/2014

Name of Institution/Organization

North Carolina Department of Public Instruction

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	126,072.00	126,072.00	126,072.00	126,072.00		504,288.00
2. Fringe Benefits	32,890.00	32,890.00	32,890.00	32,890.00		131,560.00
3. Travel	7,360.00	4,790.00	4,180.00	4,160.00		20,490.00
4. Equipment	2,700.00	0.00	0.00	0.00		2,700.00
5. Supplies	1,150.00	1,000.00	1,000.00	1,000.00		4,150.00
6. Contractual	1,416,378.10	1,885,746.31	997,399.06	925,520.36		5,225,043.83
7. Construction	0.00	0.00	0.00	0.00		0.00
8. Other	2,670.00	2,670.00	2,670.00	2,670.00		10,680.00
9. Total Direct Costs (lines 1-8)	1,589,220.10	2,053,168.31	1,164,211.06	1,092,312.36		5,898,911.83
10. Indirect Costs*	(b)(4)					
11. Training Stipends	0.00	0.00	0.00	0.00		0.00
12. Total Costs (lines 9-11)	(b)(4)					

***Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? Yes No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: 07/01/2012 To: 06/30/2013 (mm/dd/yyyy)

Approving Federal agency: ED Other (please specify):

The Indirect Cost Rate is 15.00 %.

(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

Is included in your approved Indirect Cost Rate Agreement? or, Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is %.

Name of Institution/Organization North Carolina Department of Public Instruction	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.	
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**SECTION B - BUDGET SUMMARY
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	(b)(6)					
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

SECTION C - BUDGET NARRATIVE (see instructions)

U.S. DEPARTMENT OF EDUCATION
SUPPLEMENTAL INFORMATION
FOR THE SF-424

OMB Number: 1894-0007
Expiration Date: 07/31/2014

1. Project Director:

Prefix:	First Name:	Middle Name:	Last Name:	Suffix:
Dr.	Cynthia	S	Bagwell	

Address:

Street1:	301 North Wilmington Street
Street2:	
City:	Raleigh
County:	Wake
State:	NC: North Carolina
Zip Code:	27601-2825
Country:	USA: UNITED STATES

Phone Number (give area code)	Fax Number (give area code)
919-807-3710	919-807-4050

Email Address:

cindy.bagwell@dpi.nc.gov

2. Novice Applicant:

Are you a novice applicant as defined in the regulations in 34 CFR 75.225 (and included in the definitions page in the attached instructions)?

Yes No Not applicable to this program

3. Human Subjects Research:

a. Are any research activities involving human subjects planned at any time during the proposed project Period?

Yes No

b. Are ALL the research activities proposed designated to be exempt from the regulations?

Yes Provide Exemption(s) #:

No Provide Assurance #, if available:

c. If applicable, please attach your "Exempt Research" or "Nonexempt Research" narrative to this form as indicated in the definitions page in the attached instructions.

<input type="text" value="NCDPIIRB.pdf"/>	<input type="text"/>	<input type="text" value="Delete Attachment"/>	<input type="text" value="View Attachment"/>
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Nonexempt Research Narrative

The North Carolina Department of Public Instruction is submitting a non-exempt research narrative to meet the IRB requirements of this application because the collection of data from students, parents, and teachers necessary to validate the enhanced assessment will be carried out in multiple states. For the same reason, NCDPI has decided to use the IRB established by one of its research partners, SRI International to ensure the protection of human subjects in this research.

Human Subjects Involvement and Characteristics

Human subjects will participate in the enhancement of this assessment. Because the assessment to be enhanced is for students in grades K-3, it is essential that these instruments be piloted and field-tested with this population in order to be validated. Students involved in this research will likely be between the ages of 5 and 9 years old. They will be drawn from the population of students attending U.S. public schools. The exact number of students who will participate in the pilot and field tests will be determined by the sampling requirements of the psychometric analyses needed to establish the validity and reliability of the assessment and set levels of performance, with larger numbers of students participating in states that contribute in-kind resources. These students will be drawn from the nine states in this Consortium (Arizona, District of Columbia, Delaware, Iowa, Maine, North Carolina, North Dakota, Oregon, and Rhode Island) and possibly South Carolina, working with the Consortium as a collaborating partner.

Sources of Materials

Several sources of research material will be obtained from individually identifiable living human subjects. The primary source will be the tests administered by teachers for individual students with data collected and recorded for the purpose of assessment validation. In addition, students (as appropriate), teachers, administrators, and parents will be interviewed and in some cases surveyed about the validity and usefulness of assessment items; assessment-related materials such as reports, interpretation guides and professional development materials; and the technology enhancements used to help teachers collect evidence, score and interpret items, and report the results to families. The data collected under this grant will be used solely for research and assessment development/enhancement purposes.

Recruitment and Informed Consent

Subjects will be recruited from a sample of school districts from across the Consortium states. State representatives from the Department of Education will reach out to urban, suburban, and rural districts, pre-selected to include the wide range of student groups of interest in such as assessment: students with disabilities, English learners, and children who vary in gender, race, ethnicity, and socioeconomic status. Teachers who volunteer to participate in the enhancement of this assessment will be asked to assess at least 10 children in their class and participate in both pilot and field test activities over multiple years of the assessment enhancement process. Districts will send letters to the parents of identified students describing the research and asking for their consent and their willingness to provide information about their child as part of the assessment. All students who meet the criteria (i.e., are in grades K-3 and return signed consent letters) will be included in research activities.

Potential Risks

There are no real or perceived risks associated with students' or adults' participation in this research. Their participation will entail one or more administrations of a K-3 assessment. Students and their parents will be informed that the scores of these assessments will not be used in making any educational or programmatic decisions. Nor will anyone other than the researchers or test developers have access to the results. The data will be used strictly to determine the reliability and validity of the assessments in terms of measuring knowledge, skills, and abilities with respect to K-3 learning progressions. Therefore

no physical, psychological, social, or legal harm will come to subjects as a result of their participation in this research.

Protection against Risk

As mentioned above, the risks to human subjects involved in this research are virtually none. Nevertheless, precautions will be taken to prevent the disclosure of individual student test scores to individuals who are not part of the research team. In particular, all data (whether collected via paper or electronically) will be treated with the utmost sensitivity. If paper, it will be kept in a locked file cabinet in a secure location until such data can be entered into a spreadsheet, statistical software program, or online database. If electronic, the data will be stored on a secure server that is password protected and to which only a few key individuals on the research team have access. No one from the students' school districts will have access to the assessment data. Such precautions are likely to be highly effective in preventing the misuse of the data.

Importance of the Knowledge to be Gained

There is much to be gained from the enhancement of a valid and reliable assessment of children's knowledge, skills, and abilities at kindergarten entry through grade 3. Local school districts are currently using various kindergarten entry assessments as well as formative assessments in the early elementary grades. Still, a KEA-3 assessment with all the desired features—formative in nature, aligned with early learning and development standards and K-3 standards, covering the five essential domains, and usable by kindergarten through third grade teachers to truly inform instruction—does not exist. In addition, the adoption of the new Common Core standards in English language arts and mathematics and the Next Generation Science Standards by a majority of the 50 states makes the development of a KEA within the context of a K-3 formative assessment system especially important in preparing students to meet these new more rigorous standards. The results of a K-3 formative assessment system that includes as its first administration a KEA will provide states, districts, schools, teachers, and families with critical information on each child's learning and development profile and the degree to which children enter kindergarten ready to be successful in school.

Collaborating Sites

Research involving human subjects will likely take place in all of the states that are part of this assessment consortium: Arizona, District of Columbia, Delaware, Iowa, Maine, North Carolina, North Dakota, Oregon, and Rhode Island. In addition, South Carolina as a collaborating partner may opt to participate in some of the data collection activities funded with other than EAG monies. The selection of school districts and teachers from each state to participate in piloting and field-testing assessment-related materials (e.g., assessment items, PD materials, reports, technology enhancements) has not yet been made. The districts will play a major role in helping us to collect the data as they will be responsible for helping us identify teachers and children to pilot the assessments.