Technical Review Coversheet

Applicant: Ventura County Office of Education (S419C170016)
Reader #1: **********

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Technical Review Form

Panel #2 - PFS Panel - 2: 84.419C

Reader #1: **********
Applicant: Ventura County Office of Education (S419C170016)

Questions

Selection Criteria - Need for Project

1. The Secretary will consider the needs of the Target Population. In determining the need for the proposed project, the Secretary will consider the magnitude of the need of the Target Population for the services to be provided by a potential PFS project. Applicants should clearly state and demonstrate the extent of the problem facing the Target Population using data and other relevant information.

Strengths:
The applicant provides a robust, detailed description of their need for the proposed project. They include current, local data that demonstrates high percentages of poverty in the target community, high percentages of English Language Learners, high percentages of disparities in well-being among the children and families in the target community, a high number of children who lack access to high quality preschool programs, a high percentage of children who are not ready for Kindergarten and a growing deficit in public funding to support high quality preschool programs to meet the needs of their disadvantaged, higher risk children. The data provided shows that between 18% of their children under the age of six years live in poverty with some counties having poverty levels of 30% for families with young children. Additionally, 49% of the children ages 3 and 4 years old are from families at or below 400% of the federal poverty level. English Language Learners make up a significant portion of the target population with 66% of the families being served by the applicant currently who are Hispanic/Latino.
The applicant presents a strong and compelling illustration of the needs of the Target Population using data and needs assessment data. They explain in great detail the impact of the needs upon child readiness for Kindergarten and ensuing educational achievement outcomes.

The applicant also provides a clear explanation for the economic considerations that form the foundation of their interest in a Pay For Success model as they are experiencing significant, consistent declining financial resources that have been available from Tobacco Tax Funds and Race to the Top Early Learning Challenge supports. They state that there is a clear need to pursue alternative funding options and resources to meet the needs of children and families that cannot afford high quality preschool on their own.

Weaknesses:
No weaknesses found

Reader’s Score: 10

Quality of the Preschool Program Design - Quality of the Preschool Program Design

1. The Secretary will consider the quality of the design of the proposed preschool program. In determining the quality of the design of the proposed preschool program, the Secretary will consider the extent to which the intervention strategy is likely to improve student outcomes for the Target Population, based on quantitative, qualitative, or theoretical evidence, including the extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable and will demonstrate student success. In responding to this criterion, applicants should identify clearly specified and measurable outcomes for the preschool program and explain how these outcomes can be
achieved by the program. While these outcomes will inform the selection of Outcome Measures for the PFS project, they do not limit a grantee from evaluating additional Outcome Measures in the course of completing the Preschool PFS Feasibility Study.

Strengths:
The applicant provides a comprehensive explanation of what the purpose and anticipated outcomes will be for their Pay For Success Feasibility Study. They anticipate that the Study will help them to determine the benefits of an economic return on investment in providing high quality preschool programming for children who are disadvantaged and/or challenged by factors that prevent them from participating in programs that the parents need to pay tuition for and they anticipate that the Study will allow their Early Childhood Education service system to explore viable funding options to replace and supplement declining resources for their universal preschool program. They expect that the Study will demonstrate ways to provide a potential route for preserving services that would otherwise be lost with the ongoing revenue losses. They expect that the Study process will provide opportunities to engage new partners and potential financial stakeholders. And, they expect that the Study will demonstrate whether a Pay For Success model will be an appropriate financing option for universal preschool in their Target Community.

The applicant provides a solid description of their state QRIS system and the existing evaluation studies that are indicating positive impacts on child learning and school readiness that they anticipate will be further evaluated and analyzed via their proposed Feasibility Study. They project that the Study will allow their partnership to further determine the impacts that the high quality programming has on children by providing a vehicle for improving needed coordination between early learning and care providers, preschool providers and the local school districts. Proposed child learning outcomes include improved math, language and literacy skills by third grade.

Weaknesses:
No weaknesses found

Reader's Score: 25

Preschool PFS Partnership - Preschool PFS Partnership

1. The Secretary will consider the quality of the Preschool PFS Partnership. In evaluating a Preschool PFS Partnership, the Secretary will consider the following:

Reader's Score: 25

Sub Question

1. (c)(1) The quality of an existing Preschool PFS Partnership, including the history of the collaboration, or, if a Preschool PFS Partnership does not exist, the quality of the plan to form a Preschool PFS Partnership.

Strengths:
The applicant provides a clear description of their existing Preschool Partnership that includes the applicant organization that was established in 1998 to promote school readiness through investments in health, early learning and family strengthening for children prenatally through age five and the County Office of Education. The existing partnership includes county community-based health and human service organizations that provide a wide variety of services to families and early childhood education and care providers. They propose to leverage the PFS project to expand the partnership to include the County Departments of Child Welfare and Health, an external evaluator, a consultant with extensive early childhood Pay For Success experience to conduct the Feasibility Study, new early childhood service providers and other philanthropic and civic organizations. They will reach out to foundations,
Sub Question

businesses, local leaders and parents and involve them in the research phase and discussion portion of the project related to viable funding options and potential outcomes and return on investment.

The applicant proposes to expand the Partnership to include an external evaluator and a consultant with extensive early childhood Pay For Success experience to conduct the Feasibility Study.

Weaknesses:
No weaknesses found

Reader’s Score: 15

2. (c)(2) The extent to which the roles and responsibilities of members or proposed members of a Preschool PFS Partnership are clearly described and are appropriate and sufficient to successfully implement a PFS project.

Strengths:
The applicant provides a clear description of the roles and responsibilities of the PFS project members. The County Office of Education will be the direct recipient of the grant funds and the applicant agency will be the sub-recipient for the funds and will be responsible for administering and coordinating the grant activities. The applicant agency will serve as the lead agency for the PFS Feasibility Study.

The applicant describes the key personnel for the project and provides a clear, short description of their roles and responsibilities within the project. They will hire a Project Manager for the project specifically and an external evaluator. The applicant describes the required qualifications for each. The existing personnel that are assigned to the project have demonstrated strong related experience and expertise in managing similar projects and in early childhood education. The applicant includes a description of each existing person’s education and work credentials.

Weaknesses:
No weaknesses found

Reader’s Score: 10

Quality of the Work Plan - Quality of the Work Plan

The Secretary will consider the quality of the work plan. In determining the quality of the work plan, the Secretary will consider the following factors:

Reader’s Score: 21

Sub Question

1. (d)(1) The adequacy of the work plan to achieve the objectives of the proposed Feasibility Study project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks on time. Applicants should identify whether a contractor will conduct the Feasibility Study and, if appropriate, the extent to which the timeline for selecting and hiring the contractor is reasonable and sufficient for completing the project on time and within budget.
Sub Question

Strengths:
The applicant provides a clear, detailed description of their work plan for achieving the objectives of their proposed Feasibility Study. They include clearly defined responsibilities, timelines and milestones for the full project. They identify responsible parties for each of the planned eight tasks and they describe the discrete details of each task, making it easy to understand what will take place throughout the duration of the proposed project. The applicant proposes to hire a consultant to conduct the Feasibility Study and have clearly outlined how that consultant will work with the project leadership team. The selecting and hiring process for said consultant is reasonable and sufficient for completing the project on time and within budget.

Weaknesses:
The applicant’s plan for conducting a needs assessment and determining and selecting outcomes to measure in their Study is confusing to a minor degree. They articulate a plan to determine and select the project outcomes in months December 2017 - March 2018 and then conduct a needs assessment in months April 2018 - June 2018. They do not provide a clear explanation of how they will then incorporate any findings from the needs assessment into their established anticipated outcomes measurement plan.

Reader’s Score: 11

2. (d)(2) The adequacy of procedures for ensuring stakeholder feedback in the operation of the proposed Preschool PFS Feasibility Pilot. If the Feasibility Study includes the reduction in special education placement as a Financial Benefit, the extent to which the work plan includes outreach to and involvement of the representatives from the State and local special education community or individuals with special education expertise, including groups representing families.

Strengths:
The proposed procedures for engaging and ensuring stakeholder participation and feedback is clearly described and includes several in-person visits with the PFS Leadership Team during the Feasibility Study period. There will be two to three in-person meetings complemented with weekly or bi-weekly check-in phone calls. The PFS Partnership will engage stakeholders in three phases of the project: in the beginning to introduce local stakeholders to the concept of using a Pay For Success model for expanding and sustaining access to preschool and to gather information from the stakeholders relevant to the project work. The second opportunity for stakeholder involvement will include having service providers engaged in developing the access expansion plans and the third opportunity will be when the Project will share the final draft report to seek their input and feedback. Their feedback will then be incorporated into the final Feasibility Study Report.

The applicant states that they will not be intentionally looking to consider special education placement as a project outcome, however, they will engage members of the county special education community to be a part of the stakeholder group described above.

Weaknesses:
The applicant has not clearly defined or described the role of parents, business leaders and other potential stakeholders in the Feasibility Study process. Their explanation of the procedures for gathering their input is not fully developed beyond announcing the number of meetings or phone calls that may take place. The applicant does not explain what procedures or strategies will be followed or implemented for recruiting stakeholders and for keeping them engaged in the Study process.

Reader’s Score: 9

3. (d)(3) The extent to which the time commitments of the project director and team and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.
Sub Question

Strengths:
The applicant proposes to hire a project specific Project Manager to manage the day-to-day operations and implementation activities related to the Feasibility Study. That individual will be committed to the project at a rate of 0.5 FTE which is sufficient in relation to the proposed project activities and responsibilities. This position will be supported by the services of an external consultant with expertise in the Pay For Success financing model for early childhood education who will conduct the analysis of the Study data, an external evaluator who will evaluate the project as a whole, and the Project Director who will provide supervision and oversight.

Weaknesses:
The applicant proposes to have their agency’s Director of Program and Evaluation serve as the lead Project Director for the PFS project. This individual will be responsible for overseeing the project planning and implementation which will include the procurement process, contract negotiations, contract monitoring and partnership development with programs and community organizations for the Feasibility Study. They are projecting that this individual will be committed to the project at a rate of 0.1 FTE, which seems an insufficient time commitment in comparison to the scope of work for this role within the project. While they are proposing to hire a specific Project Manager to conduct the day to day operations, the Project Director still needs to be significantly involved in the implementation of the project. 0.1 FTE does not reflect enough time to provide good project oversight.

The applicant does not describe the time commitments of other key project leadership team members, making it difficult to fully understand how involved the leadership team will be in providing oversight and input.

Reader’s Score: 1

Quality of the Project Leadership and Team - Quality of the Project Leadership and Team

1. The Secretary will consider the quality of the project leadership and team. The Secretary will consider the extent to which the applicant has the project and financial management experience necessary to manage the Preschool PFS Feasibility Pilot, including:

Reader’s Score: 5

Sub Question

1. (e)(1) Managing and overseeing similar projects (e.g., PFS or other project related work, experience with early childhood education) with specific examples of prior accomplishments and outcomes; and

Strengths:
Applicant project management expertise and oversight experience is clearly described. The applicant, who is an independent public entity that was established by the County Board of Supervisors in 1998, is currently managing the distribution and monitoring of $11 million in state Tobacco Tax Funds for Early Childhood Education services annually. They are the lead agency responsible for the development of the Strategic Plan for said monies and the implementation agency for distribution and monitoring of the money. Further, the agency is responsible for 30 community agency contracts. There is a nine-member Commission that provides oversight to the agency. Commission members include the County School Superintendent, County Health Officer, Director of County Departments, a representative from the Child Care Planning Council, local university faculty and Executive Directors of major local non-profit organizations.

The implementation agency’s Executive Director is the founding Executive Director of that agency and has 30+ years of experience in organizational management and has worked in early childhood education for many years.
Sub Question
The proposed Project Director is the applicant agency’s Director of Program and Evaluation. She also has extensive experience and knowledge of business administration and Public Administration.

Weaknesses:
No weaknesses found

Reader’s Score: 3

2. (e)(2) Managing Federal grants, including plans for ensuring compliance with Federal guidelines.

Strengths:
The applicant most recently received and managed $2.6 million from their state’s Race to the Top Early Learning Challenge Grant to implement and expand the state QRIS in their county. The applicant describes the work that took place utilizing these funds, demonstrating a strong understanding of the quality rating system work and the tasks involved in implementing a project of that scope. Further, the applicant describes their work with the state Child Signature Program and Preschool for All funds that initiated in 2004 for the purposes of expanding preschool opportunities, improving teacher education and competencies and for accelerating school readiness activities in the county. Those funds were an additional $ 5.6 million.

The description of the applicant’s plans for managing grant funds and for ensuring compliance with Federal guidelines is thorough and demonstrates strong fiscal and accounting policies and procedures. There are several checks and balances in place to ensure appropriate expenditures, record keeping and ongoing monitoring by multiple parties.

Weaknesses:
No weaknesses found

Reader’s Score: 2

Budget Narrative - Budget Narrative

1. The Secretary will consider the adequacy of resources necessary to complete the Feasibility Study, including any philanthropic or other resources that may be contributed toward the project. In determining the adequacy of resources, the Secretary will consider the extent to which the budget will adequately support program activities and achieve desired outputs and outcomes.

Strengths:
The applicant presents a budget that reflects the proposed work plan. It is sufficient to support the proposed program activities and to achieve the desired outputs and outcomes. The applicant has provided a budget narrative that clearly explains each expenditure category and they provide the cost calculation for each. They include an in-kind match of $48,850.

Weaknesses:
No weaknesses noted

Reader’s Score: 10
Priority Questions

Competitive Preference Priority - Competitive Preference Priority

1. Competitive Priority: Outcome Measures Across Various Domains
   To meet this priority, an applicant must propose a Feasibility Study to evaluate if PFS is viable that
   would evaluate social and emotional or Executive Functioning Outcome Measures, or both. These
   potential outcome measures may be predictive of future school success, cost savings, cost avoidance,
   and other societal benefits, and may appropriate to include in a PFS project. (up to 5 points)

   Strengths:
   The applicant states that they will explore the possibility of using social and emotional outcomes in a Pay for Success
   model and that they will explore, through the proposed project, the use of the state’s established Developmental
   Continuum from Early Infancy to Kindergarten Entry instrument as a way to measure potential indicators of social-
   emotional development in preschool and early elementary education programs.

   Weaknesses:
   The applicant does not provide a description of how they will specifically explore the use of the Developmental Continuum
   instrument to evaluate if a Pay For Success model is a viable model that could include measuring social and emotional
developmental outcomes. Their explanation is vague.

   Reader’s Score: 3

Absolute Priority – Feasibility Study - Absolute Priority – Feasibility Study

1. Under this priority, the applicant must propose a Feasibility Study that will determine the viability of
   using a PFS approach to expand or improve a preschool program for a Target Population, and describe
   the potential Outcome Measures the applicant proposes to identify and evaluate for appropriateness for
   PFS. Any applicant that includes a Feasibility Study for a PFS project that proposes to reduce the need
   for special education and related services as an Outcome Measure must also include at least one other
   meaningful and substantive Outcome Measure of short-, medium-, or longterm student achievement,
   such as kindergarten readiness, reading and math growth or achievement, and improved social and
   emotional skills.

   Yes

   Reader’s Score: 0

Absolute Priority – Feasibility Study - Absolute Priority – Feasibility Study

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   using a PFS approach to expand or improve a preschool program for a Target Population, and describe
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   meaningful and substantive Outcome Measure of short-, medium-, or longterm student achievement,
   such as kindergarten readiness, reading and math growth or achievement, and improved social and
   emotional skills.
Strengths:
The applicant is proposing to conduct a Feasibility Study to determine the viability of using a Pay For Success approach to sustaining and expanding their universal preschool programming in their county. They have clearly woven the proposed Study into their project throughout their project narrative and they have included measurable tasks that will result in outcome measures for determining the viability of the model with their Target Population. The applicant is not projecting to reduce the need for special education or related services as a project outcome measure, however, they do plan to evaluate the impact of providing quality preschool services to the Target Population upon kindergarten readiness, reading and math achievement.

Weaknesses:
No weaknesses found

Reader’s Score: 0

Status: Submitted
Last Updated: 10/26/2016 01:22 PM
### Technical Review Coversheet

**Applicant:** Ventura County Office of Education (S419C170016)  
**Reader #2:** **********

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Strengths:
The data and other information included in this proposal were very clear and compelling, as follows: almost 6,500 children meet the preschool eligibility requirements in Ventura County, but are currently unserved, reportedly a 50% shortfall. Specific data supporting this statement included a study showing almost half of all children aged three-four from families whose incomes are under 400% of the free and reduced price lunch level have no access to publically supported school readiness programs.

The proposal also stated there are 10,500 children living in poverty are preschool age, and many have a high level of risk for academic challenges. The demographics of the children in need show racial diversity; over 21% are African-American and almost one out of every four are Hispanic. Over 1/3 of the households speak a language other than English. Large income gaps exist in the county, as well as a large proportion of parents with low educational attainment.

Weaknesses:
Although the declining revenues from Proposition 10 funding were explained in detail, it was unclear whether the CA State Preschool Program funds would be adequate to meet the gap. More clarity about the comparison between school readiness among preschool completers and unserved children would also have been helpful.

Reader’s Score: 9

Quality of the Preschool Program Design - Quality of the Preschool Program Design

1. The Secretary will consider the quality of the design of the proposed preschool program. In determining the quality of the design of the proposed preschool program, the Secretary will consider the extent to which the intervention strategy is likely to improve student outcomes for the Target Population, based on quantitative, qualitative, or theoretical evidence, including the extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable and will demonstrate student success. In responding to this criterion, applicants should identify clearly specified and measurable outcomes for the preschool program and explain how these outcomes can be achieved by the program. While these outcomes will inform the selection of Outcome Measures for the PFS project, they do not limit a grantee from evaluating additional Outcome Measures in the course of completing the Preschool PFS Feasibility Study.

Strengths:
The proposal identified key outcomes including language and literacy, mathematics, self-regulation and English language development. Extensive measurable goals were identified, such as professional development, increasing highly qualified teachers (HQT), inclusion of students with disabilities and at-risk students. The strategies for teacher-child interaction
included an independent assessment to gauge teacher-child interaction. This strategy should prove beneficial in fostering emotional growth among preschoolers and improving classroom organization. The interventions included in this proposal are theoretically sound, and should improve school readiness for the target populations.

The aforementioned interventions are supported by F5VC's information related to prior successes in preparing children for kindergarten. According to the proposal, 70% of preschool enrollees were deemed “school ready” across all domains of the Desired Results Developmental Profile (DRDP). Students’ progress showed the existing preschool program helps prepare children for kindergarten. In addition, the applicant proposes to measure outcomes in improved math, language and literacy skills by 3rd grade.

There is reportedly a robust local Quality Rating and Improvement Scale (QRIS) which is aligned to a statewide framework that is an evidence-based approach. This is an area of particular strength for this proposal. The narrative noted that the Pay for Success opportunity will allow them to evaluate and strengthen their data management/analysis and infrastructure, another very positive aspect.

Weaknesses:
It was unclear whether the one-to-eight classroom ratio included all instructional staff or only teachers. If the ratio reflects all instructional staff, then the goals for increasing the numbers of highly qualified teachers needed to be presented in more detail. The goal for improving professional development (PD) seemed somewhat unambitious (21 hours per year) and more detailed information about priorities for PD would have been helpful.

Reader's Score: 23

Preschool PFS Partnership - Preschool PFS Partnership

1. The Secretary will consider the quality of the Preschool PFS Partnership. In evaluating a Preschool PFS Partnership, the Secretary will consider the following:

Reader's Score: 22

Sub Question

1. (c)(1) The quality of an existing Preschool PFS Partnership, including the history of the collaboration, or, if a Preschool PFS Partnership does not exist, the quality of the plan to form a Preschool PFS Partnership.

Strengths:
The quality of existing preschool partnerships is an area of strength for this proposal. First 5 Ventura County (F5VC) has existed for at least several years, and has succeeded in increasing the available preschool slots to serve an additional 1,600 students annually for the past few years, the vast majority are children of Hispanic/Latino heritage.

The proposed pay for success feasibility study includes a high degree of collaboration between the Ventura County Office of Education (fiscal agent) and community organizations. Key partners, such as the Child Welfare and Health city agency, an evaluator, service providers and others, are already integrally involved in expanding access to high quality preschool services. The identified contractor has experience with pay for success models addressing preschool programming.
2. (c)(2) The extent to which the roles and responsibilities of members or proposed members of a Preschool PFS Partnership are clearly described and are appropriate and sufficient to successfully implement a PFS project.

**Strengths:**

This collaborative appears to be well-positioned to run a successful feasibility study, given the experiences and commitment of members of the partnership. Roles and responsibilities for the Project Manager were provided in sufficient detail, and included contract management, quality control, supporting partnerships, collecting and evaluating data and providing reports.

**Weaknesses:**

This section focused more on past experience and capabilities of known staff and less on the roles and responsibilities of the potential staff and consultants. More details about differentiation of roles would have been helpful. For example, the requirements for a potential evaluator were discussed, but the roles and responsibilities were not provided in detail. Similarly, the basic qualifications for a potential contractor, including experience in early childhood research and feasibility studies, were articulated, but more details about specific responsibilities were needed.

Quality of the Work Plan - Quality of the Work Plan

1. The Secretary will consider the quality of the work plan. In determining the quality of the work plan, the Secretary will consider the following factors:

**Strengths:**

The proposed work plan appears to be adequate to conduct a feasibility study on time and within budget. This potential partnership should be able to achieve important outcomes promoting early childhood education. The work plan included multiple steps in conducting the study, building from the current areas of strength and identifying barriers and needs. The work plan appears to be well-conceived and appropriate to address the potential benefits of a pay for success model.

The application includes information about selecting a contractor to conduct the feasibility study. The timeline for
selecting and hiring the contractor seems reasonable (4 months), and the priorities for selection of an evaluator also seem strong. The outcomes included identifying potential interventions, as well as identifying a system for determining potential monetized benefits. The development of the evaluation plan was incorporated into the work plan.

Weaknesses:
The task of selecting outcomes for the project seems to occur prior to a full needs assessment, the reverse of what would be expected, because needs assessment data should be a primary driver of selecting and prioritizing outcomes. Responsibilities could have been articulated with more detail, for example, instead of “F5VC,” who will be the responsible individual?

Reader’s Score:  10

2. (d)(2) The adequacy of procedures for ensuring stakeholder feedback in the operation of the proposed Preschool PFS Feasibility Pilot. If the Feasibility Study includes the reduction in special education placement as a Financial Benefit, the extent to which the work plan includes outreach to and involvement of the representatives from the State and local special education community or individuals with special education expertise, including groups representing families.

Strengths:
The proposal thoroughly articulated procedures for stakeholder feedback. Input will primarily be gathered from site visits with the consultant and frequent check-in calls. The proposal also committed to sharing a draft of the feasibility report with involved stakeholders, an important step in continuous quality improvement. The work plan did not identify reduction in special education placement as a potential financial benefit or outcome, and therefore it did not need to include outreach to, and involvement of, special education stakeholders.

Weaknesses:
The proposal identified service provider engagement but didn’t reference involving families, who might provide additional information to inform the project.

Reader’s Score:  9

3. (d)(3) The extent to which the time commitments of the project director and team and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

Strengths:
The time commitment of the Project Manager is likely to be reasonable, provided some of the in-kind donations include additional time from the F5VC Executive Director and/or Director of Program and Evaluation.

Weaknesses:
No time allotment was found for the Executive Director of F5VC, and only .1 FTE for the Director of Program and Evaluation. Perhaps additional time from these positions is being donated in-kind, but that needed to be articulated, if that is the case. The majority of the work is the responsibility of the as-yet-unhired project manager and the consultant team.

Reader’s Score:  1

Quality of the Project Leadership and Team - Quality of the Project Leadership and Team

The Secretary will consider the quality of the project leadership and team. The Secretary will consider the extent to which the applicant has the project and financial management experience necessary to manage the Preschool PFS Feasibility Pilot, including:
1. (e)(1) Managing and overseeing similar projects (e.g., PFS or other project related work, experience with early childhood education) with specific examples of prior accomplishments and outcomes; and

Strengths:
The F5VC partnership appears to include very experienced and capable members. Partners have extensive experience managing and overseeing preschool programs.

The local school administration will function in the role of fiscal agent, and is very experienced in providing educational services, administering programs, and providing professional development. The potential contractor has provided services for other pay for success programs, including those focused on preschool and other services for children and families.

F5VC reports significant success with expanding early childhood services over the past few years, serving an additional 1,600 students annually, the vast majority of the newly served children are of Hispanic/Latino heritage. The partnership has achieved success in establishing community-based services, a recognized best practice. F5VC's outcomes include expanding preschool services for 1,600 children and improving the quality of services, as demonstrated by significant growth on the Quality Rating and Improvement Scale.

F5VC focuses on family involvement, and provides services through 11 Neighborhoods for Learning, which include 25 family resource centers in underserved neighborhoods. This level of community involvement will bolster the feasibility of the proposed study.

Individuals involved in the feasibility study bring professional expertise in the areas of early childhood, school readiness and family involvement, as well as experience administering and evaluating programs. The proposed consultant brings experience conducting the process of other early childhood Pay for Success programs.

Weaknesses:

NA

Reader’s Score: 3

2. (e)(2) Managing Federal grants, including plans for ensuring compliance with Federal guidelines.

Strengths:
The Project Director and Executive Director have extensive administrative experience, and appear to have appropriate procedures for ensuring compliance, fulfillment of grants and appropriate fiscal management. There have been no material findings on past audits.

F5VC develops and oversees the County’s Early Childhood Strategic Plan. The organization is also a contractor for state preschool funds, “distributing and monitoring $11 million each year in California Proposition 10 funds, and creating collaborative partnerships that support young children’s early childhood health and development.” F5VC participated in the federal Race to The Top grant. Additionally, F5VC and a local Economic Development Collaborative collaborated to develop a Community Investment Loan Fund to build new facilities for preschool classrooms.

The narrative shows a solid foundation for the potential growth in preschool services through the pay for success feasibility study.
Budget Narrative - Budget Narrative

1. The Secretary will consider the adequacy of resources necessary to complete the Feasibility Study, including any philanthropic or other resources that may be contributed toward the project. In determining the adequacy of resources, the Secretary will consider the extent to which the budget will adequately support program activities and achieve desired outputs and outcomes.

Strengths:
This proposal appears to include well-conceived and adequate resources to complete the feasibility study. The partnership is expected to benefit significantly from almost $50,000 in services donated in-kind to support the pay for success feasibility study.

The two-year budget appears to be adequate for accomplishing the project. The costs for the evaluator and consultant appear to be reasonable, given the scope of the plan, as does the salary for the Project Manager. Appropriate line items take into account expected costs such as modest equipment purchases (computer and printer), travel, personnel costs and benefits. The costs for the contractor and evaluator appear to be sound. A 9% indirect cost line item appears to be cost-effective.

Weaknesses:
NA

Reader's Score: 10

Priority Questions

Competitive Preference Priority - Competitive Preference Priority

1. Competitive Priority: Outcome Measures Across Various Domains
To meet this priority, an applicant must propose a Feasibility Study to evaluate if PFS is viable that would evaluate social and emotional or Executive Functioning Outcome Measures, or both. These potential outcome measures may be predictive of future school success, cost savings, cost avoidance, and other societal benefits, and may appropriate to include in a PFS project. (up to 5 points)

Strengths:
The proposed feasibility study will evaluate social and emotional outcome measures.

Weaknesses:
More details about how the outcome measures will be put into effect would have strengthened this proposal.

Reader's Score: 4
1. Under this priority, the applicant must propose a Feasibility Study that will determine the viability of using a PFS approach to expand or improve a preschool program for a Target Population, and describe the potential Outcome Measures the applicant proposes to identify and evaluate for appropriateness for PFS. Any applicant that includes a Feasibility Study for a PFS project that proposes to reduce the need for special education and related services as an Outcome Measure must also include at least one other meaningful and substantive Outcome Measure of short-, medium-, or longterm student achievement, such as kindergarten readiness, reading and math growth or achievement, and improved social and emotional skills.

Yes

Reader’s Score: 0

Absolute Priority – Feasibility Study - Absolute Priority – Feasibility Study

1. Under this priority, the applicant must propose a Feasibility Study that will determine the viability of using a PFS approach to expand or improve a preschool program for a Target Population, and describe the potential Outcome Measures the applicant proposes to identify and evaluate for appropriateness for PFS. Any applicant that includes a Feasibility Study for a PFS project that proposes to reduce the need for special education and related services as an Outcome Measure must also include at least one other meaningful and substantive Outcome Measure of short-, medium-, or longterm student achievement, such as kindergarten readiness, reading and math growth or achievement, and improved social and emotional skills.

Strengths:

This proposal met the absolute priority of conducting a feasibility study to determine the viability of a pay for success model to expand/improve preschool programs in Ventura County. The outcome of reducing the need for special education and related services was not included in this proposal.

Weaknesses:

NA

Reader’s Score: 0

Status: Submitted
Last Updated: 10/27/2016 02:00 PM
## Technical Review Coversheet

**Applicant:** Ventura County Office of Education (S419C170016)  
**Reader #3:** **********

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## Absolute Priority – Feasibility Study

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Technical Review Form

Panel #2 - PFS Panel - 2: 84.419C

Reader #3: **********
Applicant: Ventura County Office of Education (S419C170016)

Questions

Selection Criteria - Need for Project

1. The Secretary will consider the needs of the Target Population. In determining the need for the proposed project, the Secretary will consider the magnitude of the need of the Target Population for the services to be provided by a potential PFS project. Applicants should clearly state and demonstrate the extent of the problem facing the Target Population using data and other relevant information.

Strengths:

The application provides a robust discussion of the need for high-quality early childhood interventions in the target area. The applicant uses a variety of indicators linked to educational disparities to demonstrate need, including poverty rates, parental educational attainment, and language spoken at home. The applicant has conducted needs assessments, including surveying local parents, to identify the specific target population in need of preschool interventions. Notably, the applicant commissioned a five year study of trends for families and children, and the findings strongly support the need for interventions (i.e. poverty is growing among kids, slots for preschool programming have not kept up with population growth, third grade reading scores are stagnant and worse among low-income students). The selection of target population is further supported by data on disparities in early childhood education access and participation rates among low-income children, reinforcing the need for expanded programming among this group. Additionally, the discussion draws on survey data in which target area parents overwhelmingly report that they need childcare in order for employment purposes, suggesting that expanded access to preschool programs will improve families’ economic wellbeing, which can in turn have positive effects on childhood outcomes.

Not only does the application demonstrate the need for preschool interventions, but the applicant also makes a compelling argument for the specific need for Pay for Success financing models. As tobacco revenues from Proposition 10 decline, there is a need to identify new and innovative mechanisms for funding early childhood programming – a strong case for studying the feasibility of a PFS model. Moreover, the applicant articulates the ways in which PFS financing align with their goals and needs: the model promotes cross-sector collaboration, focuses on outcomes, and offers a path to sustainable funding.

Weaknesses:

N/A

Reader’s Score: 10

Quality of the Preschool Program Design - Quality of the Preschool Program Design

1. The Secretary will consider the quality of the design of the proposed preschool program. In determining the quality of the design of the proposed preschool program, the Secretary will consider the extent to which the intervention strategy is likely to improve student outcomes for the Target Population, based on quantitative, qualitative, or theoretical evidence, including the extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable and will demonstrate student success. In responding to this criterion, applicants should identify clearly specified and measurable outcomes for the preschool program and explain how these outcomes can be
achieved by the program. While these outcomes will inform the selection of Outcome Measures for the PFS project, they do not limit a grantee from evaluating additional Outcome Measures in the course of completing the Preschool PFS Feasibility Study.

Strengths:
First 5 Ventura County (F5VC) is applying in partnership with Ventura County Office of Education, who will serve as the fiscal agent. F5VC demonstrates a strong commitment to implementing high-quality early childhood interventions. Notably, F5VC played a role in developing California’s Quality Rating and Improvement System (QRIS), a statewide framework for assessing and improving preschool programs. Per the application, the QRIS is comprised of research-based standards, including high qualifications for teachers, low student-to-teacher ratios, inclusion of students with disabilities and at-risk students, etc. The application provides examples of the requirements for achieving a high-tier score on the QRIS in different program elements, establishing the rigor of the assessment process. All of the F5VC-funded programs fall within the highest rating category on the QRIS, demonstrating the quality of the applicant’s program design.

The application also makes a strong case that the program will improve student outcomes. As part of the Race to the Top Early Learning Challenge, the QRIS was independently evaluated and validated to determine whether the rating system was correlated with improved outcomes for children. Per the application, the study found some correlation between QRIS-rated programs and impacts on literacy, math, and executive functioning scores. Another study found a stronger relationship between QRIS ratings and child outcomes. When paired with F5VC’s high ratings on the QRIS assessment, these studies suggest that F5VC’s program model is likely to achieve positive outcomes for the target population.

In addition to the theoretical case for F5VC’s likelihood of improving student outcomes, the applicant provides concrete evidence of the program’s positive impacts. For example, upon entry into preschool, only 20% of F5VC students were rated “school ready” across all domains of the Desired Results Developmental Profile (DRDP), an assessment tool that measures children’s learning and development. After completing an F5VC program, 70% of students were rated as “school ready,” demonstrating significant growth among program participants. The applicant acknowledges the shortcomings of this dataset (i.e. there is no comparison group to identify how much of the growth can be attributed to the preschool intervention), but the results are nonetheless promising and merit a more rigorous evaluation. The applicant also provides evidence of the broader impact of their program model on family behaviors. For example, 58% of parents report that since starting F5VC services, their child has been referred to a developmental screening, and three-quarters of children who had a concern identified in the screening received follow up services. These statistics contribute to the strong argument that the program model will achieve the desired outcomes for the target population.

Weaknesses:
While the applicant makes a strong case that the program design will improve outcomes for students, the application does not offer a well-developed discussion of the specific and measurable outcomes that could be included as part of the study. The applicant does state that the PFS study would provide an opportunity to “demonstrate outcomes such as improved Kindergarten readiness, increased mathematical, language and literacy skills in 3rd grade, and better high school graduation rates.” While the feasibility study would include identification of more specific outcome measures, it would have been helpful to include a more robust discussion of possible proposed outcomes in the application. For example, the application would have benefited from a brief overview of possible mechanisms and data sources for measuring such outcomes.

Reader's Score: 23

Preschool PFS Partnership - Preschool PFS Partnership

The Secretary will consider the quality of the Preschool PFS Partnership. In evaluating a Preschool PFS Partnership, the Secretary will consider the following:
Sub Question

1. (c)(1) The quality of an existing Preschool PFS Partnership, including the history of the collaboration, or, if a Preschool PFS Partnership does not exist, the quality of the plan to form a Preschool PFS Partnership.

Strengths:
The application outlines a strong existing collaboration focused on early childhood education and family wellness. F5VC has a long history of successful collaboration with county agencies, school districts, and local organizations to provide preschool programming, as well as complementary wellness services in underserved neighborhoods. For example, F5VC has been partnering with the Ventura County Health Care Agency and other community groups for 15 years to reduce barriers to accessing healthcare, dental services, behavioral counselling, developmental screening and other services among low-income families. Their collaborative efforts to provide intensive family supports have been recognized by the Director of the Ventura County Probation Agency as contributing to decreased juvenile justice involvement.

Though the partnership does not yet include experts on PFS financing models, the applicant demonstrates awareness of this shortcoming and states their intention to hire an intermediary/consultant to provide such expertise. Additionally, the applicant has been engaging in learning opportunities to enhance their knowledge of PFS (i.e. attending a conference on social impact models for early childhood programs and engaging with the Institute for Child Success, an expert in PFS). The applicant also indicates that the Institute for Childhood Success, an organization with significant expertise in PFS, has expressed interest in partnering with the applicant, which would further strengthen the partnership.

Weaknesses:
N/A

Reader’s Score: 15

2. (c)(2) The extent to which the roles and responsibilities of members or proposed members of a Preschool PFS Partnership are clearly described and are appropriate and sufficient to successfully implement a PFS project.

Strengths:
The project will be led by Claudia Harrison and Petra Puls, both of F5VC. Puls will serve as the Project Director for the PFS study, a role that she appears well-qualified to fulfill. She is currently responsible for program design and outcome monitoring for F5VC’s programming and was integral to the development of the QRIS assessment tool. Given her background in program evaluation and her focus on outcomes, Puls seems well-suited to lead a PFS project.

While the applicant has not yet filled the role of Project Manager, the applicant’s overview of the position description indicates an understanding of the necessary qualifications for such a role. Additionally, the applicant outlines a detailed process for selecting a consulting firm to conduct the feasibility study. The process requires interested parties to first submit a Letter of Qualification, demonstrating that the applicant is mindful of the highly specialized knowledge/services that are required to conduct a PFS feasibility study. Promisingly, the Institute for Childhood Success, an organization with significant expertise in both PFS and educational outcomes, has already expressed interest in partnering with the applicant on a PFS feasibility study.
Quality of the Work Plan - Quality of the Work Plan

1. The Secretary will consider the quality of the work plan. In determining the quality of the work plan, the Secretary will consider the following factors:

Strengths:

The application provides a specific and reasonable timeline for project tasks, and clearly delineates the party responsible for each task. The work plan is comprehensive and accounts for the key components of a feasibility study (note: it is clear that the applicant has consulted published guidance on best practices for structuring feasibility studies in organizing their work plan). The work plan is thoughtful and thorough, including both quantitative analysis (i.e. projections of public value and cost-benefit analysis, determining baseline outcomes measures, etc.) and qualitative analysis (i.e. conducting site visits with early childhood education (ECE) providers, assessing provider capacity to expand, meeting with local philanthropies and government officials to solicit feedback and determine willingness for PFS, consulting with experts on early childhood education, etc.) Tasks are aligned with these key elements, and each task requires a specific “deliverable.” For example, the applicant recognizes the need to include an assessment of challenges or barriers to implementing a PFS project, such as statutory/regulatory barriers that might impede the use of PFS financing, and develop strategies/solutions to address them. In alignment with this task, the project plan requires the development of a “landscape memo” as a deliverable. The specificity of the project plan, including the requirement to produce deliverables, gives confidence that the applicant will set clear expectations of partners involved in the project.

The applicant clearly specifies the intention to hire a contractor, and provides a reasonable timeline for doing so. The budget meets the requirements of the solicitation, as the applicant proposes to use $397,000 in federal funding to execute the project plan (under the $400,000 limit).

Weaknesses:

N/A

Reader's Score: 22
Sub Question

individuals with special education expertise, including groups representing families.

Strengths:

Promisingly, the applicant proposes a three phase plan for engaging stakeholders throughout the course of the project. The applicant indicates a commitment to engaging stakeholders first at the outset of the project, then leveraging their expertise during key points in the development of the plan, and then finally soliciting feedback on the final draft of the study. These procedures suggest that the applicant will involve local stakeholders throughout the PFS feasibility study.

The applicant does intend to explore possible outcome measures related to reduction of need for special education services. Nonetheless, the applicant indicates a commitment to ensuring that the special education community’s feedback is incorporated into the project to ensure that the needs of these students are met.

Weaknesses:

The application would benefit from more detail on the specific groups of stakeholders that will be involved, or the procedures for outreach/engagement. The applicant states that stakeholders will be consulted “during the most relevant parts of the study,” but provides only one example of what this would include (“for example, service providers will be heavily engaged in developing the expansion plan”) To gain a better sense of the scope of the engagement plan, it would have been helpful to see more concrete plans for the types of stakeholders that will be involved, and the “relevant parts of the study” they will be involved in.

Reader’s Score: 9

3. (d)(3) The extent to which the time commitments of the project director and team and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

Strengths:

The applicant intends to hire a contracted intermediary and evaluator in an effort to ensure that time commitments are distributed across personnel. The applicant will also hire a Project Manager to help the partnership meet the stated objectives.

Weaknesses:

The partnership intends to hire a Project Manager to oversee the daily operations of the project. However, this position is part-time (0.5 FTE), which may be insufficient given the complex and extensive duties assigned to the role (which include contract management and oversight, quality control, developing partnerships with local organizations, data collection and evaluation, reporting to funders, and engaging community leadership). Likewise, Petra Puls will serve as the Project Director, however she will only be devoting 10% of her time to the project (reflected by the in-kind dedication of 0.1 FTE). Given the scope of duties assigned to the Project Director, this time commitment may be inadequate – especially given that the Project Manager will only be working part time. Finally, the application does not specify the time commitment of the Executive Director, who is described as one of the “key staff” on the project.

Reader’s Score: 1

Quality of the Project Leadership and Team - Quality of the Project Leadership and Team

1. The Secretary will consider the quality of the project leadership and team. The Secretary will consider the extent to which the applicant has the project and financial management experience necessary to manage the Preschool PFS Feasibility Pilot, including:
Sub Question

1. (e)(1) Managing and overseeing similar projects (e.g., PFS or other project related work, experience with early childhood education) with specific examples of prior accomplishments and outcomes; and

Strengths:
F5VC has a history of successful oversight and management of early childhood education programs. Their experience is demonstrated throughout the application through data such as increased school readiness among F5VC participants, high ratings on statewide assessments of preschool programs, etc. The applicant also demonstrates experience in managing complex initiatives of similar scope, such as California’s Race to the Top Early Learning Challenge, suggesting that F5VC is qualified to oversee this project.

Weaknesses:
N/A

Reader’s Score: 3

2. (e)(2) Managing Federal grants, including plans for ensuring compliance with Federal guidelines.

Strengths:
The application provides a thorough overview of procedures for monitoring compliance with federal grants. The fiscal agent for the grant would be Ventura County Office of Education, with F5VC as the subrecipient. Importantly, neither entity has had material findings on audits since its inception. The application also identifies a key fiscal staff person with experience in overseeing management of fiscal operations, procurement and contracting, grant compliance, etc.

Weaknesses:
N/A

Reader’s Score: 2

Budget Narrative - Budget Narrative

1. The Secretary will consider the adequacy of resources necessary to complete the Feasibility Study, including any philanthropic or other resources that may be contributed toward the project. In determining the adequacy of resources, the Secretary will consider the extent to which the budget will adequately support program activities and achieve desired outputs and outcomes.

Strengths:
The outlined budget was developed in coordination with organizations with experience conducting feasibility studies to help ensure that estimates were reasonable and sufficient to achieve the objectives. The budget worksheet and narrative reflect this effort, offering a clear breakdown of the uses of funds annually. In particular, the applicant indicates that budget estimates contracting with an evaluator and intermediary were determined based on anticipated and customary rates for such work, suggesting that the resources allocated for these integral pieces of the project will be sufficient to achieve the outcomes. The budget estimates fit within the federal award amounts, although it may be strategic for the applicant to explore non-Federal support as well to ensure that activities will be supported in the event that activities exceed budget estimates.
Priority Questions

Competitive Preference Priority - Competitive Preference Priority

1. Competitive Priority: Outcome Measures Across Various Domains
   To meet this priority, an applicant must propose a Feasibility Study to evaluate if PFS is viable that would evaluate social and emotional or Executive Functioning Outcome Measures, or both. These potential outcome measures may be predictive of future school success, cost savings, cost avoidance, and other societal benefits, and may appropriate to include in a PFS project. (up to 5 points)

Strengths:
The partnership will explore incorporating the DRDP instrument into the PFS project, which includes a “Self and Social Development” measure to assess “identity of self in relation to others, social and emotional understanding, relationships and social interactions with familiar adults, relationships and interactions with peers, and symbolic and sociodramatic play.” Thus, the application addresses the competitive priority by considering measures of social and emotional outcomes.

Weaknesses:
N/A

Reader’s Score: 5

Absolute Priority – Feasibility Study - Absolute Priority – Feasibility Study

1. Under this priority, the applicant must propose a Feasibility Study that will determine the viability of using a PFS approach to expand or improve a preschool program for a Target Population, and describe the potential Outcome Measures the applicant proposes to identify and evaluate for appropriateness for PFS. Any applicant that includes a Feasibility Study for a PFS project that proposes to reduce the need for special education and related services as an Outcome Measure must also include at least one other meaningful and substantive Outcome Measure of short-, medium-, or longterm student achievement, such as kindergarten readiness, reading and math growth or achievement, and improved social and emotional skills.

Yes

Reader’s Score: 0

Absolute Priority – Feasibility Study - Absolute Priority – Feasibility Study

1. Under this priority, the applicant must propose a Feasibility Study that will determine the viability of using a PFS approach to expand or improve a preschool program for a Target Population, and describe the potential Outcome Measures the applicant proposes to identify and evaluate for appropriateness for PFS. Any applicant that includes a Feasibility Study for a PFS project that proposes to reduce the need for special education and related services as an Outcome Measure must also include at least one other meaningful and substantive Outcome Measure of short-, medium-, or longterm student achievement,
such as kindergarten readiness, reading and math growth or achievement, and improved social and emotional skills.

Strengths:
The applicant meets the absolute priority by proposing a feasibility study to determine the viability of using PFS to expand preschool programming for a target population. The applicant does not plan to explore outcome measures related to the reduction of need for special education.

Weaknesses:
N/A

Reader’s Score: 0

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