

# THE WILLIAM D. RUCKELSHAUS CENTER

UNIVERSITY OF WASHINGTON

## CONTRACT 2017-IA094 EXHIBIT A FOR-PROFIT SCHOOL SYSTEM STUDY SCOPE OF WORK

### FOCUS OF PROJECT

To objectively analyze and make recommendations about systemic overlaps and gaps in jurisdiction regarding for-profit post-secondary degree-granting institutions and private vocational schools in Washington state.

### BACKGROUND

The Washington State Legislature in its Fiscal Year 2017 Supplemental Budget provided funds to the Washington Student Achievement Council (WSAC) to administer this study in collaboration with the Washington State Workforce Training and Education Coordinating Board (WTB) and the Washington State Department of Licensing (DOL).

In May 2016, WSAC met with the state entity-affiliated The William D. Ruckelshaus Center (The Center) to discuss engaging its staff in managing the project. The Center is administrated by Washington State University (WSU) and co-affiliated with WSU and the University of Washington. The Center's reputation as a neutral third party will positively influence the collaboration, consensus, and successful shared outcomes of the project.

### SCOPE OF WORK

The Center will manage the project in two phases, as articulated in the budget proviso.

PHASE	PROJECT WORK	PERIOD OF PERFORMANCE
1A	Preliminary assessment and project plan	Contract fully executed – June 30, 2016
1B	Conduct a situation assessment (“ <i>assessment of perspectives</i> ”)	July 1, 2016 – January 1, 2017
1C	Coordinate an information-gathering and analysis stage (“ <i>determine if there are inconsistencies and discrepancies in the practices of the for-profit degree-granting institutions and private vocational schools ... ensure that data from for-profit degree-granting institutions and private vocational schools can be accurately compared to data from the community and technical colleges</i> ”)	July 15, 2016 – December 15, 2016

2	Facilitate meetings among relevant parties (If deemed appropriate in the situation assessment) to collaboratively generate and recommend solutions ( <i>“facilitated discussions amongst agencies, regulated entities, and stakeholders to reach agreed-upon recommendations”</i> )	January 1, 2017 – June 30, 2017
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The Center will use the information from affected and involved parties gained in the pre-assessment and situation assessment to fine-tune the parameters of the data-gathering (e.g., specifics of the types of information mentioned by the Legislature, and what entity is best-positioned to gather and report it). The assessment phases (1A and 1B) will also determine whether facilitated meetings are likely to produce consensus among key parties on specific final recommendations to the Legislature. The Center is not specifying at this time the name of the subcontractor(s) it may use for Phase 1C and 2.

**Project Details**

**Phase 1 - Preliminary Assessment and Project Plan, Situation Assessment, and Gathering & Analysis of Technical Information.**

Phase 1A: Preliminary Assessment and Project Plan

The Center will consult with the WSAC, WTB, DOL and other state agencies on issues to consider in planning the project, such as but not limited to which organizations to include and the importance of having an entity perceived as neutral organization conduct both the assessment and information-gathering phases. The Center staff will draft a project work plan, an initial list of entities to include in the situation assessment, and a set of interview questions. The Center will further refine the scope of work and associated budget.

<b>DELIVERABLES: Phase 1A</b>	<b>DUE DATE</b>
Project Plan	June 30, 2016
Draft list of initial parties (and individuals, where available) to interview for Phase 1B	June 30, 2016
Draft interview protocol for Phase 1B	June 30, 2016

Phase 1B: Situation Assessment

A situation assessment consists of a series of structured interviews to better understand and explore relevant issues and interests of involved parties, along with situation dynamics. It is a typical first step in designing a collaborative process that reveals useful information to inform next steps forward, whether that involves a collaborative process or not. The assessment culminates in a report that articulates major issues and key parties, documents interests and perspectives, and analyzes prospects for a collaborative process to resolve those issues.

The Center will identify and interview a balanced cross-section of parties and individuals (not to exceed 35 interviews) to:

- Articulate key concerns, issues, interests, and challenges along with opportunities to resolve them,

- Capture existing perspectives and key organizational attributes,
- Assess available information and identify entities well-positioned to fill gaps therein, and
- Identify common interests as the potential foundation for shared solutions.

The initial list of key parties and individuals to interview will be developed by The Center based on input from WSAC, WTB, DOL and the Northwest Career Colleges Foundation along with background research, reserving slots for additional parties identified by the initial interviewees. The Center will document the parties’ interests and perspectives in a concise summary report.

This project plan articulates tasks to be conducted by The Center-affiliated faculty. Exhibit C includes the resumes for key staff from The Center - proposed project manager Chris Page and team member Phyllis Shulman. The Center will present its findings and initial recommendations in a report to WSAC, WTB, DOL, other participating state agencies, the Washington State Legislature, and other interested parties on or before January 1, 2017.

The technical subcontractor may be supplied from the University of Washington and/or Washington State University faculty, staff, students or practitioners, or from non-university-affiliated entity(s). The Center will seek guidance in the assessment regarding which entity(s) will be acceptable to the full range of interests to gather and analyze information.

The situation assessment will inform the selection of a technical subcontractor and help ensure the data collection and analysis will provide enough context for key parties to feel sufficiently informed during development of shared solutions to address identified problems. The situation assessment will also guide whether and how Phase 2 (facilitated meetings) should be conducted—including what parties need to be included, how many meetings, which issues are ripe for agreement and which should be left out of discussions, and other factors that may be important in reaching agreement. The Center may be well-positioned to facilitate the second phase of the effort, if the assessment finds that 1) facilitated meetings would be productive, and 2) the relevant parties find The Center an acceptable convener. If not, The Center can subcontract the facilitation services.

<b>Situation Assessment Tasks: Phase 1B</b>	<b>Work to be Performed</b>	<b>Timeframe</b>
Assessment Design	The Center will consult with WSAC, WTB, DOL and others as needed to confirm interview protocols and add to the initial list of interviewees. Based on the preliminary assessment, this project plan assumes that no more than 35 interviews will be conducted.	July – August 2016
Assessment Interviews	The Center will conduct approximately one-hour interviews, via telephone or in person, to gather perspectives from key agency staff and other relevant identified parties. Questions would encompass participants’ issues, objectives, and priorities; catalogue common interests; identify issues of concern and areas of opportunity; and elicit information related to for-profit post-secondary education reporting and related	August – October 2016

	practices. To encourage candor, The Center will include in the report a list of interviewee names and affiliations, but not attribute specific statements or findings. Interviews will be conducted consistent with WSU human subject research protocols.	
Analyze Findings and Develop Assessment Report	The Center will analyze and synthesize interview information and perspectives, and provide a report with key findings and recommendations as required by the budget proviso. The report will summarize available information and analyze prospects for enhancing collaboration, including suggested tools, processes, and protocols if collaboration appears likely to produce agreed-upon solutions to identified issues.	October – November 2016
Present Findings and Recommendations	The Center proposes to deliver the findings and recommendations electronically and in person. Audiences could include WSAC, WTB, DOL, interviewees, and relevant committees of the Legislature. The Center may use a “soft rollout,” providing the initial report to interviewees to identify factual errors and/or omissions before finalizing. The presentations and discussion may be delivered to participant groups individually or jointly, as appropriate. This scope of work anticipates up to four presentations and up to two trips to Olympia.	December 1–16, 2016

<b>DELIVERABLE: Phase 1B</b>	<b>DUE DATE</b>
Situation Assessment Report delivered to WSAC, including: <ol style="list-style-type: none"> <li>1. Summary of the current regulations governing for-profit degree-granting and private vocational schools;</li> <li>2. Review of whether, and how, different standards are applied to the institutions and schools by different agencies;</li> <li>3. Recommended changes necessary to achieve consistent regulatory oversight and accountability of these institutions;</li> <li>4. Data collection and reporting practices by these institutions compared to community and technical colleges along with recommendations on the methods of collecting, analyzing, and reporting data—including what measurements to use (<i>informed by Phase 1C technical analysis</i>);</li> <li>5. Determination of whether there are inconsistencies and discrepancies in the practices of the for-profit degree-granting institutions and private vocational schools (<i>informed by Phase 1C technical analysis</i>);</li> <li>6. Recommendations to implement a cohesive method for guiding and assisting current and prospective students who have questions and concerns,</li> </ol>	December 15, 2016

including whether an ombuds position is needed—and if so, which state entity should house that position; 7. List of people (with organizational affiliations) interviewed for situation assessment; and 8. Interview questions used for situation assessment.	
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The Center will also present report findings to relevant committees of the Washington State Legislature, as requested.

Phase 1C: Gathering & Analysis of Technical Information

The budget proviso mandates this study “examine the data collection and reporting practices of for profit degree-granting institutions and private vocational schools compared to the data collection and reporting of the community and technical colleges ... determine if there are inconsistencies and discrepancies in the practices of the for-profit degree-granting institutions and private vocational schools ... make recommendations on the methods of collecting, analyzing, and reporting data, including what measurements to use, to ensure that data from for-profit degree-granting institutions and private vocational schools can be accurately compared to data from the community and technical colleges.”

While the situation assessment will provide a high-level overview of this body of information, this scope of work assumes the assessment will identify what information is needed to be collected and analyzed, along with an acceptable entity (perceived by key parties as unbiased) to collect additional information or provide analysis.

<b>Gathering &amp; Analysis of Technical Information Tasks: Phase 1C</b>	<b>Work to be Performed</b>	<b>Timeframe</b>
Contact and Manage Entity/Entities Identified as Acceptable Technical Subcontractors	After confirming with key parties the entity or entities best-positioned to conduct data collection and analysis, The Center will serve as a liaison with the prospective technical subcontractor, discussing and agreeing on the body of information and types of analysis and findings needed to underpin a collaborative decision-making process. The Center will manage the subcontractor, ensuring the timely production and synthesis of needed information.	July 15 – December 15, 2016
Gather and Analyze Needed Information	The technical subcontractor will conduct a detailed analysis to gather and report on needed data identified by the situation assessment, fulfilling the above requirements of the legislation. The Center will work with the technical subcontractor ensure the information is summarized clearly in a concise report.	August 15 – November 1, 2016

Communicate Information	The Center will work with the technical subcontractor to ensure the information is communicated clearly so it has utility for either a collaborative work group of key parties or for the Washington State Legislature (in the event circumstances do not support a facilitated set of meetings)	October 1 – December 15, 2016
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<b>DELIVERABLE: Phase 1C</b>	<b>DUE DATE</b>
Situation Assessment Report – technical analysis informs report	December 15, 2016

### Phase 2 - Facilitated Meetings

The situation assessment will determine if circumstances indicate a set of facilitated meetings are likely to be a constructive use of time and funding. The budget proviso does not mandate such proceedings, stating this phase *“may consist of facilitated discussions amongst agencies, regulated entities, and stakeholders to reach agreed-upon recommendations ... if deemed appropriate by the council.”* WSAC anticipates having a decision on whether or not to proceed with Phase 2 no later than December 16, 2016.

As noted, the situation assessment will determine if conditions appear “ripe” for collaboration to produce consensus on a set of recommendations that meet the needs of all key parties and address the inconsistencies in data collection/reporting, etc. If facilitated meetings look appropriate, The Center will also recommend an acceptable facilitator and specifics regarding a process likely to favor consensus. If The Center is acceptable to all parties as a facilitator for Phase 2, it will serve that role. If not, The Center will end its contracted involvement in this effort so WSAC can contract with whatever individual or entity is best-positioned to convene and facilitate the parties. The work tasks listed below assume The Center will be the agreed upon facilitator.

<b>Facilitated Meeting Tasks: Phase 2</b>	<b>Work to be Performed</b>	<b>Timeframe</b>
Convene Key Parties	The Center will assist WSAC in clearly communicating the purpose, composition, and specific work requested of a prospective Task Force or Committee, and suggest language and an approach to “frame” the facilitated discussion process ahead. This may take the form of “The Ruckelshaus Center (or other), on behalf of the Washington Student Achievement Council et al, invites ___ to participate in...”	January – February 2017
Facilitate Meetings	The Center would serve in a neutral role to enable the key parties to agree on ground rules and identify a shared vision, common interests, and an agreed-upon information base. The Center would then ensure constructive, solution-focused conversations using the latter three elements to	February – May 2017

	underpin the generation of options and agreement on recommendations. This includes developing agendas, planning meetings (by phone) with agency and/or stakeholder leaders as needed, and producing meeting summaries.	
Produce Summary Report	The Center would coordinate the development and agreement on a report from the Task Force or Committee to WSAC and other state agencies. The state agencies would then collaboratively present the report to relevant committees of the Washington State Legislature.	May – June 2017

<b>DELIVERABLE: Phase 2</b>	<b>DUE DATE</b>
Summary Report – Key results and outcomes of facilitated meetings	June 30, 2017