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**QUESTIONS WILL BE RECEIVED THROUGH FEBRUARY 18<sup>th</sup> – MIDNIGHT EST**

**PROPOSALS WILL BE RECEIVED UNTIL MARCH 5<sup>th</sup>, 12:00 pm EST<sup>1</sup>**

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<sup>1</sup> PROPOSALS RECEIVED AFTER THE DATE AND TIME PROVIDED ABOVE WILL NOT BE CONSIDERED. IT IS THE RESPONDENT'S SOLE RESPONSIBILITY TO ENSURE TIMELY DELIVERY OF THE PROPOSAL.

**SECTION 1 GENERAL INFORMATION AND STANDARD TERMS AND CONDITIONS**

**1.1. OVERVIEW**

BridgeValley Community and Technical College, hereinafter referred to as the “College”, is accepting competitive sealed proposals from qualified vendor(s) to serve as an external evaluator for a multi-million-dollar federal grant.

**1.2. SCHEDULE OF EVENTS**

<b>02/07/2024</b>	Release bid to public. Bid will be released to public repository’s, advertised in local media, by direct mailing, and wvOASIS Legal Notices.
<b>02/18/2024</b>	Questions and inquiries regarding any aspect of the solicitation is due by 12 o’clock, midnight.
<b>02/21/2024</b>	Responses to questions and inquiries received will be issued as an Addendum.
<b>03/05/2024 12:00 p.m. EST</b>	<b>BIDS DUE</b>
<b>03/05/2024 1:00 p.m. EST (promptly)</b>	Bids publicly opened and read aloud.
<b>03/15/2024</b>	Anticipated Contract Award

**1.3. Respondent Point of Contact**

The Respondent, or anyone on the Respondent’s behalf, is not permitted to make any contact whatsoever with any member of the Board of Governors or College personnel as it relates to the requested services, terms and conditions as set forth in this solicitation. Violation of this clause may result in a rejection of the bid. The individual(s) named as “Buyer” is the sole contact for any and all inquiries after the solicitation has been released for bid.

All requests for clarification, inquiries or questions regarding the specifications or proposal submission must be received in writing by 12 o’clock, midnight, the 18th of February, 2024 to: Angela Bradshaw, [angela.bradshaw@bridgevalley.edu](mailto:angela.bradshaw@bridgevalley.edu). Please reference **RFP BV2324-004** in the subject line of all communications.

Changes or revisions to this solicitation will be made by an official addendum issued by the College. The Respondent should acknowledge receipt of all addenda issued with this solicitation through acknowledgement on the Cover Page (Exhibit A). Failure to acknowledge addenda may result in bid disqualification.

**1.4. Posting of Information**

The solicitation and any subsequent issued addendums will be available by accessing the following URL: <https://www.bridgevalley.edu/purchasing-information>.

**1.5. Proposal Submission**

In accordance with West Virginia Code §5A-3-11, proposals must be received by the College’s Office of Financial Affairs prior to the date and time of the due date as specified in above Section 1.2, Schedule of Events. Failure to deliver or the non-receipt of a bid by the date and time specified shall result in its rejection from the solicitation process.

**Respondents to this solicitation shall submit exhibits annotated REQUIRED.**

An ORIGINAL plus three copies by mail by 12:00 p.m., (EST), on the 5th of March, 2024 to:

BridgeValley Community & Technical College  
Office of Financial Affairs  
2001 Union Carbide Drive  
South Charleston, WV 25303

The outside of the envelope or package(s) should be clearly marked:

Buyer: Aquino/Bradshaw  
Proposal: RFP BV2324-004  
Opening Date: 03/05/2024  
Opening Time: 1:00 p.m. EST (Promptly)

**SEALED WRITTEN BIDS WILL ONLY BE ACCEPTED. VERBAL QUOTES OR BIDS SUBMITTED VIA FAX, EMAIL OR ANY OTHER MEANS WILL NOT BE ACCEPTED, UNLESS OTHERWISE NOTED.**

**1.6. Rejection of Proposals**

The College shall select the best overall proposal according to the criteria considered for contract award. However, the CPO reserves the right to accept or reject any or all proposals, in part or in whole at his/her discretion. The CPO reserves the right to withdraw this solicitation at any time and for any reason. Submission of, or receipt by the CPO confers no rights upon the Respondent nor obligates the College in any manner.

**1.7. Conflict of Interest**

By signing the bid, the Respondent affirms that it and its’ officers, members and employees have no actual or potential conflict of interest, beyond any conflicts disclosed within the submitted bid. Respondent will not acquire any interest, direct or indirect, that would conflict or compromise in any manner or degree with the performance of its services under this contract. If any potential conflict is later discovered or if one arises, the Respondent must disclose it to the College promptly.

**1.8. Independent Proposal**

A bid will not be considered for award if the commission/price was not arrived at independently, without collusion, consultation, communication, or agreement as to any matter relating to such commission/prices with any other offer or with any competitor. The commission/price quoted in the Respondent’s bid will not be subject to any decrease/increase and will be considered firm for the life of the contract unless specific provisions for adjustment have been provided for in the original contract.

**1.9. Economy of Preparation**

Bids should be prepared simply and economically, providing a straightforward, concise description of Respondent's abilities to satisfy the requirements of the solicitation. Emphasis should be placed on completeness and clarity of content.

**1.10. Verbal Communications**

Discussions and/or interviews may be held with a Respondent(s) under final consideration prior to selection for award; however, an award may be issued without such discussions or interviews.

**1.11. Oral Statements and Commitments**

Respondent must clearly understand that any verbal representations made or assumed to be made during any oral discussions held between Respondent's representatives and any College personnel *are not* binding. Only the information issued in writing and added to the solicitation specifications filed by an official written addendum are binding.

**1.12. Incurring Costs**

Neither the College nor any of its employees or officers shall be held liable for any expenses incurred by any Respondent responding to this solicitation for expenses to prepare, deliver the proposal, or to attend any mandatory or non-mandatory pre-bid meeting or oral presentations.

**1.13. Disclosure**

All documents submitted in response to this solicitation and any documents created as a result of this solicitation are considered public record. All bids, proposals or offers submitted shall become public information and will be available for inspection during normal business hours at the College. The only exception for public record is disclosure information as provided in WV Code § 29B-1-4. Primarily, only trade secrets are considered exempt from public disclosure.

**1.14. Bid Opening and Evaluation Process**

At the date and time specified, each proposal will be opened and read aloud. Once opened, each proposal will be reviewed by the CFO/CPO to make any determination, if applicable, of the Resident Vendor and/or Small, Women-Owned, or Minority-Owned Preference; such preference is an evaluation method only and applies only to the cost in accordance with West Virginia State Code.

*Evaluation: Preference*

*Resident Vendor*

Preference may only be granted upon written request and only in accordance with the West Virginia Code §5A-3-37 and the West Virginia Code of State Rules. Respondent's failure to submit the Vendor Preference Certificate form, when applicable, with its proposal will result in denial of Preference. Preference does not apply to construction projects.

*Small, Women-Owned, or Minority-Owned Respondent (SWM)*

For any solicitation publicly advertised, in accordance with West Virginia Code §5A-3-37(a)(7) and W. Va. CSR §148-22-9, any non-resident Vendor certified as a small, women-owned, or minority-owned business under W. Va. CSR §148-22-9 shall be provided the same preference made available to any resident Vendor. Any non-resident small, women-owned, or minority-owned business must identify itself as such in writing by submitting Form WV-1 "Vendor Registration & Disclosure Statement and Small-, Women-, & Minority-Owned Business Certification" with its bid, and must be properly certified under W. Va. CSR §148-22-9 prior to contract award to receive the preferences made available to resident Vendors.



Applicable preference forms can be obtained from the State of WV Purchasing website <http://www.state.wv.us/admin/purchase/forms.html> .

**1.15. Contract**

The CFO/CPO will perform a final review and award based upon the overall services, qualifications, vendor preference, if applicable, and cost. ***Any contract resulting in an award from this solicitation is not valid until properly approved and executed by the CFO/CPO of the College and approved as to form, if required, by the Attorney General.***

The issued contract, by order of precedence, is the Cover Page, a Schedule of Fees, the solicitation and any addendum, and the Respondent's proposal along with all required exhibits in response to the solicitation.

**1.16. Term of Contract & Renewals**

The contract shall be effective upon receipt of approval as-to-form from the WV Attorney General and shall remain in effect for the duration of the grant period.

**1.17. Contract Changes**

Any changes to the original contract will be made via a Change Order issued by the College. No change is official until a signed Change Order is issued and received by the Respondent.

**1.18. Contract Termination for Unavailability of Funds**

If funds are not appropriated or allocated for the services provided under the contract, the College may terminate the contract at the end of the affected current fiscal period without charge or penalty. The College shall give the Respondent written notice of such non-appropriation or non-allocation of funds as soon as possible after the College receives notice.

**1.19. Contract Termination for Failure to Perform**

The College may terminate the contract resulting from this solicitation immediately at any time the Respondent fails to meet the terms of the contract.

**1.20. Invoices**

Invoices are to be submitted in arrears. Payment against invoices prior to receipt of services and an assessment of interest or late fees for late payments is prohibited by State law. Invoices properly prepared and submitted in accordance with the terms and conditions of the contract are typically paid within a thirty (30) day timeframe.

**1.21. Governing Law**

The contract shall be governed by the laws of the State of West Virginia.

## SECTION 2 ELIGIBILITY REQUIREMENTS

### 2.1. Respondent Registration [WV Code § 5A-3-12]

The West Virginia Code requires that all Respondents be registered (Exhibit E) with the WV Department of Administration, Purchasing Division, prior to receiving a purchase order for competitive products and/or services exceeding \$25,000.

Additional Respondent registration information can be obtained at:

<http://www.state.wv.us/admin/purchase/RespondentReg.html>

### 2.2. Debarment [WV Code §5A-3-33 through §5A-3-33F]

Respondents that have been debarred by the federal government are not eligible to offer on or receive contracts to supply goods or services to the state and its subdivision for a specified period of time.

### 2.3. West Virginia Secretary of State

The Respondent must comply with the requirements of the West Virginia Secretary of State, and should provide a copy of their business license with the proposal. For more information, contact the WV Secretary of State or visit <https://sos.wv.gov/Pages/default.aspx>.

### 2.4. Taxpayer Identification Information

The Internal Revenue Service (IRS) requires the College to request a taxpayer identification number (TIN) for tax reporting purposes. IRS Form W9 (Exhibit D) is used to obtain this information.

### 2.5. WV Agreement Addendum (WV-96)

The WV-96 is attached to demonstrate the State law and guidelines which must be adhered to in any contracts presented to the College for execution (Exhibit B). A copy of additional terms and conditions that a firm wishes to offer for consideration should be enclosed with the proposal. The West Virginia Attorney General's Office must accept or reject proposed modifications to the WV-96.

### 2.6. Purchasing Affidavit [WV State Code §5A-3-10a]

WV State Code requires all Respondents to submit an affidavit regarding any debt owed to the State. The Affidavit (Exhibit C) should be completed, signed, and returned with the Respondent's proposal.

### 2.7. Cover Page

The Cover Page (Exhibit A) includes the RFP Number, Addenda Received check boxes, name(s) of oral presentation attendee(s), when applicable, the Respondent's business name, business address and telephone number, a contact name and e-mail address. It also includes a signature line and date for the individual authorized to obligate the business.

## SECTION 3      **Background Information**

### **3.1.      Location**

The College has two campus locations:

*SOUTH CHARLESTON CAMPUS*  
2001 Union Carbide Drive  
South Charleston, WV 25303

*MONTGOMERY CAMPUS*  
619 2nd Avenue  
Montgomery, WV 25136

Operating Hours:            Monday – Friday, 8:00 a.m. – 5:00 p.m.

### **3.2.      About the College**

BridgeValley assists students in achieving their educational goals. BridgeValley meets the higher education, workforce development, and training needs for industries ranging from healthcare to manufacturing.

#### Mission Statement

BridgeValley Community and Technical College promotes student success, prepares a skilled workforce, and builds tomorrow's leaders by providing access to quality education.

#### Vision Statement

BridgeValley Community and Technical College will be the college of opportunity for a diverse learner population, offering leading-edge technology, innovative ideas, and dynamic service to our students and our communities.

#### Value Statements

Faculty, staff, and administrators share a common set of values that guides the College in fulfilling its mission. These values influence our actions, guide our decisions, mold our policies, and determine our strategic planning.

1. Excellence in Education. We are dedicated to excellence in education and will develop and retain innovative and supportive faculty and staff; maintain facilities equipped with current technology; and deliver a variety of impactful academic and occupational programs based on tolerance of diverse cultural backgrounds and appreciation of divergent points of view.
2. Foster and Promote Achievement and Accessibility. We are committed to providing the skills and resources students need to achieve their educational, career and/or personal goals, and we are committed to open access and affordability of higher education for all of our students.
3. Respect for Diversity. We are dedicated to fostering a learning community in which all individuals are valued and supported; promoting a culture of respect that honors the dignity of every individual; and allowing zero tolerance for disrespect. We believe that everyone should have the opportunity to learn and succeed in the classroom, in the workplace, and in the community.
4. Practice Accountability. We are committed to efficient and effective management of human and financial resources that will maintain public trust through professional integrity and fiscal responsibility.
5. Quality of Work and Learning Environment. As a college fostering and promoting the dignity of each person, BridgeValley strives to provide an environment that is free of harassment. We make a commitment to treat all members of our communities with mutual respect and nurture relationships within the college and community that allow us to grow our knowledge, aid personal progress, expand our reach, and strengthen our impact on those

- we serve. We believe that our community members are accountable for their actions and should be held to high standards.
6. Contribution to Community and Economic Development. We are committed to serving the academic, occupational, and enrichment needs of our communities; enhancing quality of life; and supporting economic development through effective business, government, community, and industry partnerships and collaborations.
  7. Commitment to Supporting Our Local Communities. We strive to be a positive and transformative force in the places we call home by providing resources and programs that enable our neighbors to rejuvenate and reimagine our neighborhoods, interact with and understand our natural and built environments, and participate in and develop our local economy. Championing the arts, cultivating an entrepreneurial spirit, and collaborating with the new and existing industries, the college will be the primary convener and facilitator necessary to support a creative and enduring community.

## SECTION 4 SCOPE OF SERVICES

### 4.1. Project

The College was awarded a multi-million-dollar grant from the U.S. Department of Education to provide financial support for the development and implementation of a comprehensive plan to redesign our advising model to improve retention of students enrolled in courses with high withdrawal rates and poor academic performance. The College, as mandated within the grant award, is to solicit services from an external evaluator to assist with the development and implementation of the comprehensive plan which shall also aid in the assurance that subsequent outcomes prove successful.

The overarching goal of the grant is to redesign our advising model to better serve students and improve their academic success; the grant proposal is available as Exhibit F of this document.

#### GRANT OBJECTIVES

- **Strengthening Academic Programs**  
BridgeValley will address outcomes in classes with high DFW rates by providing wraparound services from ASCEND and providing intentional advising through an integrated coaching model supported by updated advising software.
- **Strengthening Institutional Management**  
BridgeValley will address student poverty and other socioeconomic barriers by expanding ASCEND strategies, expanding access to science lab facilities, and increasing adoption of data-driven decision making.
- **Strengthening Fiscal Stability**  
BridgeValley will enhance long-term stability by creating an endowed student opportunity fund to support ASCEND support services and student emergency expenses.

#### PROPOSED MAJOR ACTIVITIES TO ACHIEVE GRANT OBJECTIVES

- Build capacity to scale and integrate a comprehensive student coaching and support model across the institution.
- Increase student success rates in healthcare pathways by maximizing lab facilities and delivering science boot camps.
- Provide targeted professional development for coaches and faculty that will be enhanced using a train-the-trainer delivery model.
- Establish an endowed student scholarship opportunity fund through the BridgeValley Foundation.

### 4.2. Bid Requirements

#### I. *Evaluator's Role*

In broad terms, the external evaluator shall: (1) develop a formative and summative evaluation framework for the COMPASS project; (2) work with BridgeValley CTC faculty and staff, including the Project Director and the implementation team, to implement the evaluation framework; and (3) evaluate the effectiveness of the COMPASS project and make recommendations for adjustments and improvements.

The evaluator will provide both formative and summative evaluation reports using both quantitative and qualitative measures. The Department of Education expects the project to be institutionalized by the end of the grant term; therefore, the external evaluator's work will be critical in meeting this goal.

II. *Evaluator's Qualifications*

The evaluator must have five (5) years' experience evaluating federally funded projects; a strong background in evaluation procedures in higher education; an understanding of Title III regulations; familiarity with the College's operating structure; experience in post-secondary accreditation; and knowledge of the best practices in academic programs and evaluations.

III. *Major Activities*

The external evaluator will be expected to engage in four major activities: (1) establish a framework to evaluate the impact of the COMPASS project consistent with the grant proposal (see Appendix A) and U.S. Department of Education requirements; (2) work with project staff to implement the evaluation framework, including ensuring that key data are properly defined, documented, and collected; (3) prepare formative evaluation reports and review them with the project director and key staff quarterly; and (4) prepare evaluation reports for submission to the U.S. Department of Education annually.

IV. *Major Tasks*

Major tasks expected to be performed by the external evaluator in conjunction with the College implementation team, include, but are not limited to, the following:

- **April 2024.** Task: Participate in an initial meeting with project staff and key stakeholders for training and orientation. Methods: On-site visit of external evaluator to meet with project staff to orient all participants to evaluation processes and their roles and responsibilities.
- **May - June 2024.** Task: Establish internal Title III operating policies and guidelines. Methods: Title III project staff and evaluator develop a draft policy manual to administer the grant activities.
- **May – July 2024.** Task: Establish the details of the research methodology. Methods: Evaluator provides information on appropriate methodologies; recommends procedures for evaluating the activity outputs and outcomes.
- **October - November *ANNUALLY*.** Task: Establish detailed procedures to implement research methodology. Methods: project staff and evaluator determine the baseline and project data collection methods and time frames, define analysis methods including statistical techniques, assign responsibilities.
- **Monthly and Quarterly, *EACH GRANT YEAR*.** Task: Conduct formative evaluation for activity objectives. Methods: Review performance indicators and implementation strategies, note steps accomplished, reasons for steps not accomplished, and plans to address delays.
- **February, *EACH GRANT YEAR*.** Task: Conduct mid-year fiscal review. Methods: A review and reconciliation of annual project expenditures.
- **January and June, *EACH GRANT YEAR*.** Task: Collect and analyze baseline and project data to measure achievement objectives. Methods: Staff and evaluator calculates achievements of objectives, applying statistical methods when appropriate for analysis.

- **Quarterly and Annually, EACH GRANT YEAR.** Task: Present quarterly and annual reports to the President. Methods: Compilation of staff reports and reports from the evaluator are reviewed with the President.
- **November to December, EACH GRANT YEAR.** Task: Review and finalize institutionalization plan. Methods: Project and the College administration and faculty work together to ensure progress toward institutionalizing the activities of the grant.

V. *Other Requirements*

- The external evaluator shall foster collaboration and evaluation relevance. The external evaluator shall be expected to meet with BridgeValley faculty, staff, and key stakeholders regularly.
- Provide information of appropriate methodologies (such as those used by other Colleges for similar purposes) and recommend research designs for evaluation.
- Provide information on appropriate documentation to verify compliance with Federal regulations.
- Train project staff on effective evaluation processes.
- Examine progress of project administration and evaluation; and make specific recommendations for improvement.

VI. *Evaluator's Point of Contact*

The external evaluator's primary liaison will be the Project Coordinator. The secondary liaison will be the BridgeValley Director of ASCEND.

VII. *Contract Performance Period*

The contract shall be effective upon receipt of approval as-to-form from the WV Attorney General and shall remain in effect for the duration of the grant period; contingent upon both the project's successful operation and continued funding from the U.S. Department of Education.

VIII. *Work Product*

Data collection methods (e.g., surveys, interview protocols) developed and quantitative and qualitative data collected for the purpose of conducting this evaluation shall be retained as the property of the College.

## SECTION 5 RESPONDENT RESPONSES AND EVALUATION CRITERIA

### 5.1. Cover Page

As provided in Section 2 of this RFP as an eligibility requirement, the Cover Page includes the solicitation number, addenda acknowledgement(s), name(s) of oral presentation attendee(s), the Respondent's business name, business address and telephone number, a contact name and e-mail address. It also includes a signature line and date for the individual authorized to obligate the business.

### 5.2. Letter of Transmittal

Limit to one or two pages.

- Briefly state the Respondent's understanding of the RFP and the commitment to successfully provide requested services.
- Provide a list of team member names that will be authorized to make representations for the Respondent, their respective titles and contact information.

### 5.3. Table of Contents

Clearly identify the material by sections and page number(s).

#### SECTION I. Evaluation Plan

Describe the process you will undertake to evaluate the COMPASS project, including addressing the services required to be performed in Section 3 of this RFP and the grant proposal (Appendix A). The evaluation process shall include: (1) an overview of the principles and methodologies that will be used to complete the work; (2) a summary of proposed data identification, documentation and collection procedures; (3) a list of proposed measures and variables; (4) a summary of data analysis procedures; and (5) a timeline for conducting and completing the evaluation project that includes dates for deliverables.

#### SECTION II. Qualifications and Experience

Include a description of the qualifications and experience of the lead evaluator and any other evaluators (not to exceed two (2) pages per evaluator). Provide a reference list of current and/or past clients with current contact information included.

#### SECTION III. Financial **\*\*See Section 5, Subsection 4**

Provide a fee and expense proposal broken down by fiscal year and tied to each major deliverable identified in your evaluation plan.

### 5.4. FINANCIAL

The Financial component of the proposal shall be provided in a ***separate sealed envelope*** and labeled as "FINANCIALS". The proposal must identify and detail any and all fee structures. Proposed fee structures are to be fully inclusive of all services and expenses including travel.

### 5.5. Evaluation Process

Proposals will be evaluated in two parts, technical and financial. The technical component, consisting of Section I and Section II above, will be performed by a committee of college staff and the COMPASS Project Director. The recommendation of the successful Respondent based upon the technical scoring will be made by consensus of the Evaluation Committee and the COMPASS Project Director. The financial component will be performed by the College's Chief Financial Officer or his/her designee; and, points awarded for the financial component



combined with the technical scoring to obtain the overall score. The criteria and the assigned weight factors are provided in Section 5, Subsection 6 of this solicitation.

**5.6. Evaluation Criteria**

The following are the factor and point values:

Evaluation Plan	50 Points Possible
Experience and Qualifications	30 Points Possible
Financial	<u>20 Points Possible</u>
Total	100 Points Possible

Sealed financial proposals will be evaluated by use of the following formula:

$$\frac{\text{Lowest Cost Proposal}}{\text{Price of Proposal being Evaluated}} \times 20 = \text{Financial Score}$$

**5.7. Minimum Acceptable Score**

Respondents must score a minimum of 85% (68 points) of the total technical (Evaluation Plan, Experience and Qualifications) points possible in order to be eligible for further consideration and to continue in the evaluation process. All Respondents not attaining the minimum acceptable score (MAS) shall be disqualified and removed from further consideration.

The College may select the successful Respondent’s proposal based on best value purchasing which is not necessarily the lowest price submitted by a Respondent. Cost is considered, but is not the sole determining factor for award; discussions or interviews may be held to promote understanding of the College’s requirements and the offerors’ proposals, and to facilitate arriving at a contract that will be most advantageous to the College. The College does reserve the right to accept or reject any or all of these proposals, in whole or in part, if to do so is in the best interests of the College.

Respondent’s failure to provide complete and accurate information may be considered grounds for disqualification. The College reserves the right to ask Respondents for additional information to clarify their proposals. Nothing may be added to alter the written solution or method contained in the original proposal after bid opening. Presentations may be requested, at the discretion of the Evaluation Committee.

## **SECTION 6      ADDITIONAL INFORMATION**

- 6.1.** By submitting a proposal in response to this RFP, the Respondent shall be deemed to have accepted all the terms, conditions, and requirements set forth herein unless otherwise clearly noted and explained in writing. Any exception(s) or additional terms and conditions a Respondent wishes to offer for consideration must be clearly itemized and explained. Otherwise, the RFP in total shall be incorporated into the contract by reference. The College may accept or reject the Respondent's proposed exceptions as it deems appropriate and in the best interests of the College.

**RFP COVERPAGE**

The undersigned declares that he/she has read **BV2324-003** and that the following proposal is submitted as a good faith response. The undersigned declares that he/she has the authority to obligate the company and that all mandatory requirements were met.

**ORAL PRESENTATION VERIFICATION**

Attendee Name/Title \_\_\_\_\_

Attendee Name/Title \_\_\_\_\_

The undersigned acknowledges receipt of the following addenda, if released. If no addenda are released, this section is to be left blank:

Addendum 1 \_\_\_\_\_ (initial receipt)

Addendum 2 \_\_\_\_\_ (initial receipt)

Addendum 3 \_\_\_\_\_ (initial receipt)

\_\_\_\_\_  
(Signature of Signee)

\_\_\_\_\_  
(Print Name of Signee)

\_\_\_\_\_  
(Title)

\_\_\_\_\_  
(Company Name)

\_\_\_\_\_  
(Street Address)

\_\_\_\_\_  
(City, State, Zip)

\_\_\_\_\_  
(Telephone Number)

\_\_\_\_\_  
(E-mail)

**STATE OF WEST VIRGINIA  
ADDENDUM TO VENDOR'S STANDARD CONTRACTUAL FORMS**

State Agency, Board, or Commission (the "State"):

Vendor:

Contract/Lease Number ("Contract"):

Commodity/Service:

The State and the Vendor are entering into the Contract identified above. The Vendor desires to incorporate one or more forms it created into the Contract. Vendor's form(s), however, include(s) one or more contractual terms and conditions that the State cannot or will not accept. In consideration for the State's incorporating Vendor's form(s) into the Contract, the Vendor enters into this Addendum which specifically eliminates or alters the legal enforceability of certain terms and conditions contained in Vendor's form(s). Therefore, on the date shown below each signature line, the parties agree to the following contractual terms and conditions in this Addendum are dominate over any competing terms made a part of the Contract:

1. **ORDER OF PRECEDENCE:** This Addendum modifies and supersedes anything contained on Vendor's form(s) whether or not they are submitted before or after the signing of this Addendum. **IN THE EVENT OF ANY CONFLICT BETWEEN VENDOR'S FORM(S) AND THIS ADDENDUM, THIS ADDENDUM SHALL CONTROL.**

2. **PAYMENT** – Payments for goods/services will be made in arrears only upon receipt of a proper invoice, detailing the goods/services provided or receipt of the goods/services, whichever is later. Notwithstanding the foregoing, payments for software licenses, subscriptions, or maintenance may be paid annually in advance.

Any language imposing any interest or charges due to late payment is deleted.

3. **FISCAL YEAR FUNDING** – Performance of this Contract is contingent upon funds being appropriated by the WV Legislature or otherwise being available for this Contract. In the event funds are not appropriated or otherwise available, the Contract becomes of no effect and is null and void after June 30 of the current fiscal year. If that occurs, the State may notify the Vendor that an alternative source of funding has been obtained and thereby avoid the automatic termination. Non-appropriation or non-funding shall not be considered an event of default.

4. **RIGHT TO TERMINATE** – The State reserves the right to terminate this Contract upon thirty (30) days written notice to the Vendor. If this right is exercised, the State agrees to pay the Vendor only for all undisputed services rendered or goods received before the termination's effective date. All provisions are deleted that seek to require the State to (1) compensate Vendor, in whole or in part, for lost profit, (2) pay a termination fee, or (3) pay liquidated damages if the Contract is terminated early.

Any language seeking to accelerate payments in the event of Contract termination, default, or non-funding is hereby deleted.

5. **DISPUTES** – Any language binding the State to any arbitration or to the decision of any arbitration board, commission, panel or other entity is deleted; as is any requirement to waive a jury trial.

Any language requiring or permitting disputes under this Contract to be resolved in the courts of any state other than the State of West Virginia is deleted. All legal actions for damages brought by Vendor against the State shall be brought in the West Virginia Claims Commission. Other causes of action must be brought in the West Virginia court authorized by statute to exercise jurisdiction over it.

Any language requiring the State to agree to, or be subject to, any form of equitable relief not authorized by the Constitution or laws of State of West Virginia is deleted.

6. **FEES OR COSTS:** Any language obligating the State to pay costs of collection, court costs, or attorney's fees, unless ordered by a court of competent jurisdiction is deleted.

7. **GOVERNING LAW** – Any language requiring the application of the law of any state other than the State of West Virginia in interpreting or enforcing the Contract is deleted. The Contract shall be governed by the laws of the State of West Virginia.

8. **RISK SHIFTING** – Any provision requiring the State to bear the costs of all or a majority of business/legal risks associated with this Contract, to indemnify the Vendor, or hold the Vendor or a third party harmless for any act or omission is hereby deleted.

9. **LIMITING LIABILITY** – Any language limiting the Vendor's liability for direct damages to person or property is deleted.

10. **TAXES** – Any provisions requiring the State to pay Federal, State or local taxes or file tax returns or reports on behalf of Vendor are deleted. The State will, upon request, provide a tax exempt certificate to confirm its tax exempt status.

11. **NO WAIVER** – Any provision requiring the State to waive any rights, claims or defenses is hereby deleted.

- 12. **STATUTE OF LIMITATIONS** – Any clauses limiting the time in which the State may bring suit against the Vendor or any other third party are deleted.
- 13. **ASSIGNMENT** – The Vendor agrees not to assign the Contract to any person or entity without the State’s prior written consent, which will not be unreasonably delayed or denied. The State reserves the right to assign this Contract to another State agency, board or commission upon thirty (30) days written notice to the Vendor. These restrictions do not apply to the payments made by the State. Any assignment will not become effective and binding upon the State until the State is notified of the assignment, and the State and Vendor execute a change order to the Contract.
- 14. **RENEWAL** – Any language that seeks to automatically renew, modify, or extend the Contract beyond the initial term or automatically continue the Contract period from term to term is deleted. The Contract may be renewed or continued only upon mutual written agreement of the Parties.
- 15. **INSURANCE** – Any provision requiring the State to maintain any type of insurance for either its or the Vendor’s benefit is deleted.
- 16. **RIGHT TO REPOSSESSION NOTICE** – Any provision for repossession of equipment without notice is hereby deleted. However, the State does recognize a right of repossession with notice.
- 17. **DELIVERY** – All deliveries under the Contract will be FOB destination unless the State expressly and knowingly agrees otherwise. Any contrary delivery terms are hereby deleted.
- 18. **CONFIDENTIALITY** – Any provisions regarding confidential treatment or non-disclosure of the terms and conditions of the Contract are hereby deleted. State contracts are public records under the West Virginia Freedom of Information Act (“FOIA”) (W. Va. Code §29B-a-1, et seq.) and public procurement laws. This Contract and other public records may be disclosed without notice to the vendor at the State’s sole discretion.

Any provisions regarding confidentiality or non-disclosure related to contract performance are only effective to the extent they are consistent with FOIA and incorporated into the Contract through a separately approved and signed non-disclosure agreement.

- 19. **THIRD-PARTY SOFTWARE** – If this Contract contemplates or requires the use of third-party software, the vendor represents that none of the mandatory click-through, unsigned, or web-linked terms and conditions presented or required before using such third-party software conflict with any term of this Addendum or that it has the authority to modify such third-party software’s terms and conditions to be subordinate to this Addendum. The Vendor shall indemnify and defend the State against all claims resulting from an assertion that such third-party terms and conditions are not in accord with, or subordinate to, this Addendum.
- 20. **AMENDMENTS** – The parties agree that all amendments, modifications, alterations or changes to the Contract shall be by mutual agreement, in writing, and signed by both parties. Any language to the contrary is deleted.

Notwithstanding the foregoing, this Addendum can only be amended by (1) identifying the alterations to this form by using *Italics* to identify language being added and ~~strikethrough~~ for language being deleted (do not use track-changes) and (2) having the Office of the West Virginia Attorney General’s authorized representative expressly agree to and knowingly approve those alterations.

State: \_\_\_\_\_  
By: \_\_\_\_\_  
Printed Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Date: \_\_\_\_\_

Vendor: \_\_\_\_\_  
By: \_\_\_\_\_  
Printed Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Date: \_\_\_\_\_

STATE OF WEST VIRGINIA  
Purchasing Division

**PURCHASING AFFIDAVIT**

**MANDATE:** Under W. Va. Code §5A-3-10a, no contract or renewal of any contract may be awarded by the state or any of its political subdivisions to any vendor or prospective vendor when the vendor or prospective vendor or a related party to the vendor or prospective vendor is a debtor and: (1) the debt owed is an amount greater than one thousand dollars in the aggregate; or (2) the debtor is in employer default.

**EXCEPTION:** The prohibition listed above does not apply where a vendor has contested any tax administered pursuant to chapter eleven of the W. Va. Code, workers' compensation premium, permit fee or environmental fee or assessment and the matter has not become final or where the vendor has entered into a payment plan or agreement and the vendor is not in default of any of the provisions of such plan or agreement.

**DEFINITIONS:**

**“Debt”** means any assessment, premium, penalty, fine, tax or other amount of money owed to the state or any of its political subdivisions because of a judgment, fine, permit violation, license assessment, defaulted workers' compensation premium, penalty or other assessment presently delinquent or due and required to be paid to the state or any of its political subdivisions, including any interest or additional penalties accrued thereon.

**“Employer default”** means having an outstanding balance or liability to the old fund or to the uninsured employers' fund or being in policy default, as defined in W. Va. Code § 23-2c-2, failure to maintain mandatory workers' compensation coverage, or failure to fully meet its obligations as a workers' compensation self-insured employer. An employer is not in employer default if it has entered into a repayment agreement with the Insurance Commissioner and remains in compliance with the obligations under the repayment agreement.

**“Related party”** means a party, whether an individual, corporation, partnership, association, limited liability company or any other form or business association or other entity whatsoever, related to any vendor by blood, marriage, ownership or contract through which the party has a relationship of ownership or other interest with the vendor so that the party will actually or by effect receive or control a portion of the benefit, profit or other consideration from performance of a vendor contract with the party receiving an amount that meets or exceed five percent of the total contract amount.

**AFFIRMATION:** By signing this form, the vendor's authorized signer affirms and acknowledges under penalty of law for false swearing (*W. Va. Code §61-5-3*) that neither vendor nor any related party owe a debt as defined above and that neither vendor nor any related party are in employer default as defined above, unless the debt or employer default is permitted under the exception above.

**WITNESS THE FOLLOWING SIGNATURE:**

Vendor's Name: \_\_\_\_\_

Authorized Signature: \_\_\_\_\_ Date: \_\_\_\_\_

State of \_\_\_\_\_

County of \_\_\_\_\_, to-wit:

Taken, subscribed, and sworn to before me this \_\_\_\_ day of \_\_\_\_\_, 20\_\_.

My Commission expires \_\_\_\_\_, 20\_\_.

**AFFIX SEAL HERE**

**NOTARY PUBLIC** \_\_\_\_\_

*Purchasing Affidavit (Revised 08/01/2015)*

# Request for Taxpayer Identification Number and Certification

**Give Form to the  
 requester. Do not  
 send to the IRS.**

▶ Go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9) for instructions and the latest information.

<b>Print or type. See Specific Instructions on page 3.</b>	<b>1</b> Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
	<b>2</b> Business name/disregarded entity name, if different from above	
	<b>3</b> Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only <b>one</b> of the following seven boxes. <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ▶ _____ <b>Note:</b> Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is <b>not</b> disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner. <input type="checkbox"/> Other (see instructions) ▶ _____	
	<b>4</b> Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ <small>(Applies to accounts maintained outside the U.S.)</small>	
	<b>5</b> Address (number, street, and apt. or suite no.) See instructions.	
	Requester's name and address (optional)	
	<b>6</b> City, state, and ZIP code	
<b>7</b> List account number(s) here (optional)		

## Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

**Note:** If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

<b>Social security number</b>									
-				-					
<b>or</b>									
<b>Employer identification number</b>									
-									

## Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

<b>Sign Here</b>	Signature of U.S. person ▶	Date ▶
------------------	----------------------------	--------

## General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

**Future developments.** For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9).

### Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

*If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.*

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting*, later, for further information.

**Note:** If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States.

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

**Foreign person.** If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Pub. 515, *Withholding of Tax on Nonresident Aliens and Foreign Entities*).

**Nonresident alien who becomes a resident alien.** Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items.

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

**Example.** Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

## Backup Withholding

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS 24% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

**Payments you receive will be subject to backup withholding if:**

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the instructions for Part II for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code*, later, and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships*, earlier.

## What is FATCA Reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code*, later, and the Instructions for the Requester of Form W-9 for more information.

## Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

## Penalties

**Failure to furnish TIN.** If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

**Civil penalty for false information with respect to withholding.** If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.



**Criminal penalty for falsifying information.** Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

**Misuse of TINs.** If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

## Specific Instructions

### Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account (other than an account maintained by a foreign financial institution (FFI)), list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9. If you are providing Form W-9 to an FFI to document a joint account, each holder of the account that is a U.S. person must provide a Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

**Note: ITIN applicant:** Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or “doing business as” (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C corporation, or S corporation.** Enter the entity’s name as shown on the entity’s tax return on line 1 and any business, trade, or DBA name on line 2.

d. **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.

e. **Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a “disregarded entity.” See Regulations section 301.7701-2(c)(2)(iii). Enter the owner’s name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner’s name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity’s name on line 2, “Business name/disregarded entity name.” If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

### Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

### Line 3

Check the appropriate box on line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box on line 3.

IF the entity/person on line 1 is a(n) . . .	THEN check the box for . . .
• Corporation	Corporation
• Individual • Sole proprietorship, or • Single-member limited liability company (LLC) owned by an individual and disregarded for U.S. federal tax purposes.	Individual/sole proprietor or single-member LLC
• LLC treated as a partnership for U.S. federal tax purposes, • LLC that has filed Form 8832 or 2553 to be taxed as a corporation, or • LLC that is disregarded as an entity separate from its owner but the owner is another LLC that is not disregarded for U.S. federal tax purposes.	Limited liability company and enter the appropriate tax classification. (P= Partnership; C= C corporation; or S= S corporation)
• Partnership	Partnership
• Trust/estate	Trust/estate

### Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space on line 4 any code(s) that may apply to you.

#### Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys’ fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

- 1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2—The United States or any of its agencies or instrumentalities
- 3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5—A corporation
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission
- 8—A real estate investment trust
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10—A common trust fund operated by a bank under section 584(a)
- 11—A financial institution
- 12—A middleman known in the investment community as a nominee or custodian
- 13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt payees 1 through 5 <sup>2</sup>
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

<sup>1</sup> See Form 1099-MISC, Miscellaneous Income, and its instructions.

<sup>2</sup> However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

**Exemption from FATCA reporting code.** The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

B—The United States or any of its agencies or instrumentalities

C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

G—A real estate investment trust

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940

I—A common trust fund as defined in section 584(a)

J—A bank as defined in section 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

**Note:** You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

### Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns. If this address differs from the one the requester already has on file, write NEW at the top. If a new address is provided, there is still a chance the old address will be used until the payor changes your address in their records.

### Line 6

Enter your city, state, and ZIP code.

## Part I. Taxpayer Identification Number (TIN)

**Enter your TIN in the appropriate box.** If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN.

If you are a single-member LLC that is disregarded as an entity separate from its owner, enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

**Note:** See *What Name and Number To Give the Requester*, later, for further clarification of name and TIN combinations.

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at [www.SSA.gov](http://www.SSA.gov). You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at [www.irs.gov/Businesses](http://www.irs.gov/Businesses) and clicking on Employer Identification Number (EIN) under Starting a Business. Go to [www.irs.gov/Forms](http://www.irs.gov/Forms) to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to [www.irs.gov/OrderForms](http://www.irs.gov/OrderForms) to place an order and have Form W-7 and/or SS-4 mailed to you within 10 business days.

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

**Note:** Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

**Caution:** A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

## Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, 4, or 5 below indicates otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code*, earlier.

**Signature requirements.** Complete the certification as indicated in items 1 through 5 below.

**1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.**

You must give your correct TIN, but you do not have to sign the certification.

**2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.**

You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

**3. Real estate transactions.** You must sign the certification. You may cross out item 2 of the certification.

**4. Other payments.** You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

**5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), ABLE accounts (under section 529A), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

**What Name and Number To Give the Requester**

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account) other than an account maintained by an FFI	The actual owner of the account or, if combined funds, the first individual on the account <sup>1</sup>
3. Two or more U.S. persons (joint account maintained by an FFI)	Each holder of the account
4. Custodial account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
5. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee <sup>1</sup>
b. So-called trust account that is not a legal or valid trust under state law	The actual owner <sup>1</sup>
6. Sole proprietorship or disregarded entity owned by an individual	The owner <sup>3</sup>
7. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor*
For this type of account:	Give name and EIN of:
8. Disregarded entity not owned by an individual	The owner
9. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
10. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
11. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
12. Partnership or multi-member LLC	The partnership
13. A broker or registered nominee	The broker or nominee

For this type of account:	Give name and EIN of:
14. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
15. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

<sup>1</sup> List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

<sup>4</sup> List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships*, earlier.

\*Note: The grantor also must provide a Form W-9 to trustee of trust.

Note: If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

**Secure Your Tax Records From Identity Theft**

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Pub. 5027, Identity Theft Information for Taxpayers.

Victims of identity theft who are experiencing economic harm or a systemic problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

**Protect yourself from suspicious emails or phishing schemes.**

Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to [phishing@irs.gov](mailto:phishing@irs.gov). You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at [spam@uce.gov](mailto:spam@uce.gov) or report them at [www.ftc.gov/complaint](http://www.ftc.gov/complaint). You can contact the FTC at [www.ftc.gov/idtheft](http://www.ftc.gov/idtheft) or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see [www.IdentityTheft.gov](http://www.IdentityTheft.gov) and Pub. 5027.

Visit [www.irs.gov/IdentityTheft](http://www.irs.gov/IdentityTheft) to learn more about identity theft and how to reduce your risk.

## Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.

**STATE OF WEST VIRGINIA - PURCHASING DIVISION**

**VENDOR REGISTRATION AND DISCLOSURE STATEMENT  
AND SMALL, WOMEN-, AND MINORITY-OWNED BUSINESS  
CERTIFICATION APPLICATION**

---

Before a vendor is eligible to sell goods and/or services to the State of West Virginia, the **West Virginia Code §5A-3-12** requires all vendors to have on file with the West Virginia Purchasing Division a completed Vendor Registration and Disclosure Statement. All vendors wishing to participate in the competitive bid process and receive purchase orders from the State of West Virginia exceeding \$5,000 in aggregate across all state agencies are required to complete the Vendor Registration and Disclosure Statement (WV-1 form) and pay a **\$125.00** annual fee. Payment of the annual fee includes email notifications on bid opportunities based on the commodities and services selected upon registering in the Vendor Self-Service (VSS) portal at **wvOASIS.gov**. Please complete this form in its **ENTIRETY** and return it with a check or money order made payable to the **STATE OF WEST VIRGINIA** in the amount of **\$125.00**. Incomplete forms may not be processed and may be returned to the vendor. Please send completed form and payment to:

**Purchasing Division - Vendor Registration  
2019 Washington Street East  
Charleston, WV 25305-0130**

Whenever a change occurs in the information submitted, such change shall be reported immediately in the same manner as required in the original disclosure statement (**West Virginia Code §5A-3-12**). Vendors doing business with the State of West Virginia are expected to abide by the **Vendor Code of Conduct** available online at **[www.state.wv.us/admin/purchase/vrc/vendorconduct.pdf](http://www.state.wv.us/admin/purchase/vrc/vendorconduct.pdf)**.

**Privacy Notice:** The Purchasing Division is required to collect certain information as stated in **West Virginia Code §5A-3-12**, other applicable sections of the **West Virginia Code**, the Vendor Registration and Disclosure Statement forms, and other documents to facilitate the state bidding and contract administration processes. This information is stored in a secure environment, but unless specifically protected under state law, any information provided may be inspected by or disclosed to the public.

Vendors are also required to be licensed and in good standing in accordance with any and all state and local laws and requirements by any state or local agency of West Virginia, including, but not limited to, the West Virginia Secretary of State's Office, the West Virginia Tax Department, West Virginia Insurance Commission, or other state agencies or political subdivisions. Failure to do so may result in delay of or disqualification from a contract award pursuant to **West Virginia Code of State Rules §148-1-6.1.7**.

Should you need additional information relating to vendor registration, please visit **[www.state.wv.us/admin/purchase/VendorReg.html](http://www.state.wv.us/admin/purchase/VendorReg.html)**. Questions concerning this Vendor Registration and Disclosure Statement may be directed to the Purchasing Division at (304) 558-2311.

VENDOR REGISTRATION AND DISCLOSURE STATEMENT AND SMALL, WOMEN-, AND MINORITY-OWNED BUSINESS CERTIFICATION APPLICATION

**PLEASE TYPE OR CLEARLY PRINT ALL INFORMATION**  
*To Be Completed by the Vendor and Returned to the Purchasing Division*

---

**1. Legal Name of Company/Individual** \_\_\_\_\_

**Ordering Address** \_\_\_\_\_

(Please provide a physical address, not a post office box.) \_\_\_\_\_

**Payment Address** \_\_\_\_\_

City, State, Zip \_\_\_\_\_

Telephone Number \_\_\_\_\_ Fax Number \_\_\_\_\_

Principle Contact Person \_\_\_\_\_ E-mail \_\_\_\_\_

Contact's Telephone Number \_\_\_\_\_ Contact's Fax Number \_\_\_\_\_

**DBA, if any** \_\_\_\_\_

**Ordering Address** \_\_\_\_\_

**Payment Address** \_\_\_\_\_

City, State, Zip \_\_\_\_\_

Telephone Number \_\_\_\_\_ Fax Number \_\_\_\_\_

Principle Contact Person \_\_\_\_\_ E-mail \_\_\_\_\_

Contact's Telephone Number \_\_\_\_\_ Contact's Fax Number \_\_\_\_\_

---

**2. Vendor Tax Classification:**

- |  |  |
|--|--|
| <input type="checkbox"/> Individual      | <input type="checkbox"/> Government              |
| <input type="checkbox"/> Sole Proprietor | <input type="checkbox"/> Medical Corporation     |
| <input type="checkbox"/> Partnership     | <input type="checkbox"/> Attorney Corporation    |
| <input type="checkbox"/> Corporation     | <input type="checkbox"/> Non-Profit Organization |
| <input type="checkbox"/> Board Member    | <input type="checkbox"/> Payroll                 |
| <input type="checkbox"/> Trust           | <input type="checkbox"/> Employee                |
| <input type="checkbox"/> Estate          |  |

VENDOR REGISTRATION AND DISCLOSURE STATEMENT AND SMALL, WOMEN-, AND MINORITY-OWNED BUSINESS CERTIFICATION APPLICATION

**PLEASE TYPE OR CLEARLY PRINT ALL INFORMATION**  
*To Be Completed by the Vendor and Returned to the Purchasing Division*

**3. Taxpayer Identification Number (TIN):** If you have an Identification Number, enter it below. All partnerships, corporations, or companies with employees must have an EIN.

EIN

If you do not have a EIN, please enter Social Security number (SSN), Individual Taxpayer Identification Number (ITIN) or Adoptive Identification Number (ATIN) and check the correct below.

- (SSN , ITIN , ATIN )

**4. (A) Small, Women-Owned, Minority-Owned Businesses**

**West Virginia Code** §5A-3-59 establishes a procurement certification program in West Virginia for small, women-, and minority-owned businesses. Requirements related to the certification program are provided in the **West Virginia Code of State Rules** §148-2-1 et seq. Note that this certification provides nonresident vendors preference that is equivalent to competing resident (West Virginia) vendors that have applied for resident vendor preference, in accordance with **West Virginia Code** §5A-3-37. This certification may assist resident small, women-, and minority-owned businesses when soliciting business in other states. If you are renewing your two-year SWAM business certification status, please indicate the appropriate designation below.

**Certification of Status** (Check all those which apply)

- Minority-owned Business** [1] means a business concern that is at least fifty-one percent owned by one or more minority individuals or in the case of a corporation, partnership, or limited liability company or other entity, at least fifty-one percent of the equity ownership interest in the corporation, partnership, or limited liability company or other entity is owned by one or more minority individuals and both the management and daily business operations are controlled by one or more minority individuals.
- A “minority individual” means an individual who is a citizen of the United States or a noncitizen who is in full compliance with United States immigration law and who satisfies one or more of the following definitions:
    - **African American** means a person having origins in any of the original peoples of Africa and who is regarded as such by the community of which this person claims to be a part.
    - **Asian American** means a person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent or the Pacific Islands, including, but not limited to, Japan, China, Vietnam, Samoa, Laos, Cambodia, Taiwan, Northern Mariana, the Philippines, a U.S. territory of the Pacific, India, Pakistan, Bangladesh, or Sri Lanka and who is regarded as such by the community of which this person claims to be a part.
    - **Hispanic American** means a person having origins in any of the Spanish-speaking peoples of Mexico, South or Central America, or the Caribbean Islands or other Spanish or Portuguese cultures and who is regarded as such by the community of which this person claims to be a part.
    - **Native American** means a person having origins in any of the original peoples of North America and who is regarded as such by the community of which this person claims to be a part or who is recognized by a tribal organization.

VENDOR REGISTRATION AND DISCLOSURE STATEMENT AND SMALL, WOMEN-, AND MINORITY-OWNED BUSINESS CERTIFICATION APPLICATION

**PLEASE TYPE OR CLEARLY PRINT ALL INFORMATION**  
*To Be Completed by the Vendor and Returned to the Purchasing Division*

- Small Business** [2] means a business, independently owned or operated by one or more persons who are citizens of the United States or noncitizens who are in full compliance with United States immigration law, which, together with affiliates, has two hundred fifty or fewer employees, or average annual gross receipts of \$10 million or less averaged over the previous three years.
- Women-owned Business** [3] means a business concern that is at least fifty-one percent owned by one or more women who are citizens of the United States or noncitizens who are in full compliance with United States immigration law, or in the case of a corporation, partnership or limited liability company or other entity, at least fifty-one percent of the equity ownership interest is owned by one or more women who are citizens of the United States or noncitizens who are in full compliance with United States immigration law, and both the management and daily business operations are controlled by one or more women who are citizens of the United States or noncitizens who are in full compliance with United States immigration law.

**(B) Other Federal Designations**

Additionally, by providing the following information, I represent that this enterprise is a small business as defined by the **Code of Federal Regulations**, Title 13, Part 121, as appended - which contains detailed industry definitions and related procedures - and/or the characteristics of the enterprise's control, operation and/or ownership are accurately reflected in the information provided. *Check all that apply.*

- Disabled Small Business Ownership [4]
- Veteran Small Business Ownership [5]

**5. Commodity Codes:** You may register for commodity codes for the products and services that you offer, which will provide you with bid opportunity alerts and notifications should you become a paid registered vendor. To perform this function, visit the Vendor Self-Service (VSS) Portal at **wvOASIS.gov**.

6. What is the latest Dun & Bradstreet number and rating on the vendor? \_\_\_\_\_

7. Is the vendor acting as an agent for some other individual, firm or corporation? If yes, attach statement of the principal authorizing such representation.  **No**  **Yes**

By signing below and submitting this form, the vendor certifies and acknowledges that: 1) it has obtained all licenses, certifications, and authorizations necessary to lawfully conduct business in the state of West Virginia; and 2) that the assertions made by completing this form and delivering it to the Purchasing Division are accurate and true in accordance with the applicable law and rules. As authorized agent of the vendor named herein, I do solemnly swear that the above information is true and complete, in accordance with **West Virginia Code** §5A-3-12(e).



In the event that the vendor is applying for certification as a small, women-, or minority-owned business, the vendor's signature below further certifies that: 1) the state in which the vendor has its headquarters or principal place of business does not deny a like certification to a West Virginia based small, women-owned, or minority-owned business; 2) the state in which the vendor has its headquarters or principal place of business does not provide a preference to small, women-owned, or minority-owned firms that is unavailable to West Virginia based businesses; and, 3) that it has read and understands this form, along with the law and rules governing certification as a small, women-owned, or minority-owned business.

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*Authorized Agent of Vendor (Print Name)*

---

*Authorized Agent (Signature)*

---

*Title*

---

*Date*

<b>PURCHASING DIVISION USE ONLY</b>
Vendor ID: _____
Check No. : _____
Memo No. : _____
Date: _____
Entered by: _____

**Application for Federal Assistance SF-424**

* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
--	--	--

* 3. Date Received: <input type="text" value="05/19/2023"/>	4. Applicant Identifier: <input type="text"/>
--	--

5a. Federal Entity Identifier: <input type="text"/>	5b. Federal Award Identifier: <input type="text"/>
--	---

**State Use Only:**

6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>
---	---

**8. APPLICANT INFORMATION:**

* a. Legal Name: <input type="text" value="BridgeValley Community &amp; Technical College"/>	
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="465109796"/>	* c. UEI: <input type="text" value="SMZLQ48FEJF4"/>

**d. Address:**

* Street1: <input type="text" value="2001 Union Carbide Dr"/>
Street2: <input type="text"/>
* City: <input type="text" value="South Charleston"/>
County/Parish: <input type="text"/>
* State: <input type="text" value="WV: West Virginia"/>
Province: <input type="text"/>
* Country: <input type="text" value="USA: UNITED STATES"/>
* Zip / Postal Code: <input type="text" value="25303-2735"/>

**e. Organizational Unit:**

Department Name: <input type="text"/>	Division Name: <input type="text"/>
---------------------------------------	-------------------------------------

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

Prefix: <input type="text" value="Dr."/>	* First Name: <input type="text" value="Todd"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Jones"/>	
Suffix: <input type="text"/>	

Title: <input type="text" value="Vice President of Student Affairs"/>
---

Organizational Affiliation: <input type="text"/>
--

* Telephone Number: <input type="text" value="304-734-6608"/>	Fax Number: <input type="text" value="304-734-6697"/>
---	---

* Email: <input type="text" value="todd.jones@bridgevalley.edu"/>
---

**Application for Federal Assistance SF-424**

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

H: Public/State Controlled Institution of Higher Education

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

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

Department of Education

**11. Catalog of Federal Domestic Assistance Number:**

84.031

CFDA Title:

Higher Education Institutional Aid

**\* 12. Funding Opportunity Number:**

ED-GRANTS-032323-001

\* Title:

Office of Postsecondary Education (OPE): Higher Education Programs (HEP): Strengthening Institutions Program (SIP), Assistance Listing Number 84.031A

**13. Competition Identification Number:**

84-031A2023-1

Title:

FY23 Strengthening Institutions Program Competition

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

1236-Areas Affected by the Project.pdf

Add Attachment

Delete Attachment

View Attachment

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

BridgeValley Title III COMPASS

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View 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="2,226,000.00"/>
* b. Applicant	<input type="text" value="445,200.00"/>
* 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="2,671,200.00"/>

**\* 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 18, 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:

**Areas Affected by the Project**

*COMPASS* will serve participants from eight Appalachian counties in south-central West Virginia (WV): Cabell, Clay, Fayette, Kanawha, Mason, Putnam, Raleigh and Wayne.



# BridgeValley Community and Technical College

TITLE III COMPASS

Additional Congressional Districts:

WV-003



**U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION  
NON-CONSTRUCTION PROGRAMS**

OMB Number: 1894-0008  
Expiration Date: 09/30/2023

Name of Institution/Organization

BridgeValley Community & Technical College

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)	Project Year 6 (f)	Project Year 7 (g)	Total (h)
1. Personnel	130,000.00	190,000.00	190,000.00	190,000.00	190,000.00			890,000.00
2. Fringe Benefits	40,300.00	58,900.00	58,900.00	58,900.00	58,900.00			275,900.00
3. Travel	16,420.00	6,910.00	6,910.00	6,910.00	6,910.00			44,060.00
4. Equipment	12,960.00							12,960.00
5. Supplies	91,130.00	35,000.00	35,000.00	35,000.00	35,000.00			231,130.00
6. Contractual	26,000.00	26,000.00	26,000.00	26,000.00	26,000.00			130,000.00
7. Construction								
8. Other	128,390.00	128,390.00	128,390.00	128,390.00	128,390.00			641,950.00
9. Total Direct Costs (lines 1-8)	445,200.00	445,200.00	445,200.00	445,200.00	445,200.00			2,226,000.00
10. Indirect Costs*								
11. Training Stipends								
12. Total Costs (lines 9-11)	445,200.00	445,200.00	445,200.00	445,200.00	445,200.00			2,226,000.00

**\*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:

- (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:  To:  (mm/dd/yyyy)  
 Approving Federal agency:  ED  Other (please specify):   
 The Indirect Cost Rate is  %.
- (3) If this is your first Federal grant, and you do not have an approved indirect cost rate agreement, are not a State, Local government or Indian Tribe, and are not funded under a training rate program or a restricted rate program, do you want to use the de minimis rate of 10% of MTDC?  Yes  No If yes, you must comply with the requirements of 2 CFR § 200.414(f).
- (4) If you do not have an approved indirect cost rate agreement, do you want to use the temporary rate of 10% of budgeted salaries and wages?  
 Yes  No If yes, you must submit a proposed indirect cost rate agreement within 90 days after the date your grant is awarded, as required by 34 CFR § 75.560.
- (5) 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  %.
- (6) For Training Rate Programs (check one) -- Are you using a rate that:  
 Is based on the training rate of 8 percent of MTDC (See EDGAR § 75.562(c)(4))? Or,  Is included in your approved Indirect Cost Rate Agreement, because it is lower than the training rate of 8 percent of MTDC (See EDGAR § 75.562(c)(4))?

Name of Institution/Organization BridgeValley Community & Technical College	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)	Project Year 6 (f)	Project Year 7 (g)	Total (h)
1. Personnel								
2. Fringe Benefits								
3. Travel								
4. Equipment								
5. Supplies								
6. Contractual								
7. Construction								
8. Other	89,040.00	89,040.00	89,040.00	89,040.00	89,040.00			445,200.00
9. Total Direct Costs (lines 1-8)	89,040.00	89,040.00	89,040.00	89,040.00	89,040.00			445,200.00
10. Indirect Costs								
11. Training Stipends								
12. Total Costs (lines 9-11)	89,040.00	89,040.00	89,040.00	89,040.00	89,040.00			445,200.00

**SECTION C - BUDGET NARRATIVE (see instructions)**



Name of Institution/Organization BridgeValley Community & Technical College	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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**IF APPLICABLE: SECTION D - LIMITATION ON ADMINISTRATIVE EXPENSES**

- (1) List administrative cost cap (x%):
- (2) What does your administrative cost cap apply to?  (a) indirect and direct costs or,  (b) only direct costs

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Project Year 6 (f)	Project Year 7 (g)	Total (h)
1. Personnel Administrative	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
2. Fringe Benefits Administrative	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
3. Travel Administrative	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
4. Contractual Administrative	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
5. Construction Administrative	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
6. Other Administrative	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
7. Total Direct Administrative Costs (lines 1-6)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
8. Indirect Costs	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
9. Total Administrative Costs	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
10. Total Percentage of Administrative Costs	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**U.S. Department of Education Supplemental Information for the SF-424  
Application for Federal Assistance**

OMB Number: 1894-0007  
Expiration Date: 12/31/2023

**1. Project Director:**

Prefix: Dr.	* First Name: Todd	Middle Name:	* Last Name: Jones	Suffix:
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Project Director Level of Effort (percentage of time devoted to grant):

**Address:**

* Street1:	2001 Union Carbide Dr
Street2:	
* City:	South Charleston
County:	Kanawha
* State:	WV: West Virginia
* Zip Code:	25303-2735
Country:	USA: UNITED STATES

* Phone Number (give area code)	Fax Number (give area code)
304-734-6608	304-734-6697

\* Email Address:

Alternate Email Address:

**2. New Potential Grantee or Novice Applicant:**

a. Are you either a new potential grantee or novice applicant as defined in the program competition's notice inviting applications (NIA)?

Yes     No

**3. Qualified Opportunity Zones:**

If the NIA includes a Qualified Opportunity Zones (QOZ) Priority in which you propose to either provide services in QOZ(s) or are in a QOZ, provide the QOZ census tract number(s) below:

<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

**4. 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) #(s):  1  2  3  4  5  6  7  8

No Provide Assurance #(s), 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.

Add Attachment

Delete Attachment

View Attachment

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## 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**

BridgeValley Community & Technical College

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

Prefix: Ms. \* First Name: Cathy Middle Name: L

\* Last Name: Aquino Suffix:

\* Title: CFO

\* SIGNATURE: Cathy L Aquino

\* DATE: 05/19/2023

## NOTICE TO ALL APPLICANTS

OMB Number: 1894-0005  
Expiration Date: 06/30/2023

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.

(4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students.

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](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0005.

**Optional - You may attach 1 file to this page.**

1235-BV\_TitleIISIP\_GEPASTatement .pdf

Add Attachment

Delete Attachment

View Attachment

## BridgeValley Community and Technical College Section 427 of GEPA

BridgeValley Community and Technical College (BV) is committed to providing an environment that emphasizes the dignity and worth of every member of its community and is free from harassment and discrimination based on race, color, religion, national origin, service in the uniformed services (as defined in state and federal law), veteran status, sex, age, pregnancy, physical or mental disability or genetic information. Such an environment is necessary to maintain a healthy learning, working, and living atmosphere. Accordingly, all acts of discrimination, harassment and sexual misconduct are strictly prohibited.

In keeping with this policy, BV's COMPASS program is open to all eligible students as defined in the Title III SIP proposal. No students will be excluded on the basis of classifications mentioned in the previous paragraph. COMPASS services are designed to address persistent needs of BV's underserved and underrepresented students. Services will be available to all COMPASS participants enrolled in any courses, regardless of whether they are enrolled full-time or part-time students.

BV and the COMPASS program staff will take additional measures to ensure equitable access to, and participation in, the proposed program for those with special need. These strategies include:

- Explicit statements in all marketing material that all services are available to all students regardless of gender, race, national origin, color, disability, or age.
- All on-campus programs and services will be held in venues or facilities that are handicap accessible and ADA compliant;
- Transportation services will be provided (free of charge) to all students as requested, including students who experience mobility barriers, and;
- All students will have full access to the BV Accessibility Services Office, which assists the college in creating an accessible community where students with disabilities have an equal opportunity to fully participate in their educational experience. Services available through the Accessibility Services Office include, but are not limited to:
  - Extended Test Time
  - Alternative Testing Location
  - Note-Taking
  - Test Reader/Writer
  - Recording of Class Lectures
  - Sign Language Interpreter
  - Priority Seating
  - Use of Tablet
  - Waiver of Absence Policy
  - Handicapped Parking

## Project Narrative File(s)

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\* **Mandatory Project Narrative File Filename:**

[Add Mandatory Project Narrative File](#)

[Delete Mandatory Project Narrative File](#)

[View Mandatory Project Narrative File](#)

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

[Add Optional Project Narrative File](#)

[Delete Optional Project Narrative File](#)

[View Optional Project Narrative File](#)

**BridgeValley Community and Technical College Title III SIP: Creating Opportunities,  
Maximizing Performance, Assistance, & Student Success (COMPASS)**

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**Competitive Preference Priority (Attachment)**

**Invitational Priority (Attachment)**



## Project Narrative

### Introduction and Overview of BridgeValley Community and Technical College



BridgeValley Community and Technical College (BV) serves 1,702 students (929 full-time, 689 part-time, and 84 non-credit)

through campuses in South Charleston and Montgomery, West Virginia. BV is dedicated to the mission of promoting student success, preparing a skilled workforce, and building tomorrow's leaders by providing access to affordable, quality education. Faculty and staff are guided by the college's vision statement: *BridgeValley Community and Technical College will be the college of opportunity for a diverse learner population, offering leading-edge technology, innovative ideas, and dynamic service to our students and our communities. BridgeValley is passionate about student success and meeting the needs of the local economy.*

BV serves eight Appalachian counties in south central West Virginia (Cabell, Clay, Fayette, Kanawha, Mason, Putnam, Raleigh and Wayne). Some of these counties are extremely rural, with populations who experience high levels of poverty and low levels of educational attainment. The entire state, and BV's service region, has historically depended on the coal industry and other legacy occupations that are now contracting or becoming obsolete. The resulting poverty statistics in the region are staggering; Clay County has a poverty rate of 63.6 %, nearly five times the U.S. national average poverty rate of 12.8%. All but one of the counties in BV's service area have household poverty rates below the national average.

BV offers affordable and accessible postsecondary education options to address financial barriers for students from the region's high poverty areas. The college is one of 9 institutions in West Virginia participating in the WV Invests Grant program, a state-funded program designed to help more West Virginians earn credentials leading to in-demand careers. This program pays

for any amount up to the total cost of a student’s tuition, mandatory fees, and approved academic program fees not already covered by other state or federal grants.

BV’s unique programs and services are designed to maximize access and success. The college recently launched the ASCEND Program for students in nursing, manufacturing, and information technology by replicating the City University of New York’s evidence-based Accelerated Study in Associate Programs (ASAP) model. ASAP has been replicated at community colleges across the U.S. as a successful model to improve retention and completion through providing financial resources and comprehensive support services.

BV understands that educating the people of the region to help them gain and keep employment is key to creating positive generational impacts for individuals, families, and the state. Therefore, the college strives to keep postsecondary education affordable. The National Center for Education Statistics reports the average net price for students to attend BridgeValley is \$6,367 per year, which is less than half the average cost of \$14,205 per year for West Virginia postsecondary institutions. BV is more affordable than 76% of colleges in the state and less expensive than 72% of colleges nationwide.

**BridgeValley Student Snapshot**

<b>Table 1: BridgeValley Student Snapshot</b>						
<b>Ethnicity</b>	88% White	5% Black/ African American	2% Hispanic	1% Asian	1% Native American	4% unknown
Percent of students receiving Pell grants: 53%						
Average Financial aid packages: \$5,147						
Percentage of Traditional Students (Age 24 & under): 56%						
Percentage of Adult Students (Age 25 & over): 44%						
Associate degree graduation rates: 18% within 2 Years 33% within 3 Years						

BridgeValley offers a wide range of associate degrees, diplomas, and short-term credential options to meet the needs of the current and emerging workforce in the region.

<b>Table 2: BV Academic Programs</b>	
<b>Associate Degree Programs</b>	<b>Certificates and Credentials</b>
<b>Nursing</b>	
Emergency Medical Services LPN RN	Patient care technician CNA
<b>Technical Studies and Contract Programs</b>	
Highway Engineering Technician - Bridge Highway Engineering Technician - Construction HVAC	Lineman Commercial roofing Fire science HVAC Commercial Driver's License (CDL)
<b>Technology</b>	
Advanced Manufacturing Technician - Fabrication Advanced Manufacturing Technician - Maintenance Computer Science Technician - Software Computer Science Technician - Web Design Cyber Security & Net Tech Diesel Technician Engineering Technician - Civil Engineering Technician - Electrician Engineering Technician - Mechanical Instrumentation technician - Gas measurement Process Tech Welding	Chemical Operator Computer Maintenance & Networking Diesel Welding Programmable Logic Controllers
<b>General Education &amp; Professional Programs</b>	
Accounting and Bookkeeping Board of Governors Business Administration Criminal Justice Early Childhood Education Elementary Education Paralegal Studies	Entrepreneurship Real estate SHRM
<b>Health</b>	
Dental Hygiene Sonography Cardiac Sonography Vascular Health Sciences Healthcare Management Human Services and Rehabilitative Studies - Addictions Human Services and Rehabilitative Studies - Youth Medical Laboratory Technician Veterinary Technician	Medical coding Central sterile technician Medical assisting Phlebotomy

## **Section A: Quality of the Comprehensive Development Plan**

### **Process Used to Identify Institutional Strengths and Weaknesses**

BridgeValley CTC began a formal strategic planning process in January 2020. A college-wide Strategic Planning Committee was formed, and West Virginia University Extension staff were engaged as facilitators. The committee had representatives from faculty, staff, students, industry/business partners, and community representatives. Soon after the process started, momentum was impacted by the global COVID-19 pandemic. During Spring 2020 the committee participated in four days of virtual meetings.

The committee identified four key areas to address: **Recruitment, Retention, Completion, and Fundraising**. A “champion” was selected for each area and was tasked with convening a working team. The committee used appreciative inquiry methodology to create a process that was conducive to open dialog, encouraged stakeholders at all levels to contribute, and foster ownership in the process.

Early in the planning process, the committee used a **Strengths, Opportunities, Aspirations, and Results** exercise to gather input from internal and external stakeholders. The surveys collected input that informed further planning. In addition to challenges presented by the pandemic, BV experienced changes in leadership during 2020-2021. These circumstances resulted in a pause in the strategic planning process. When Dr. Casey Sacks assumed the role of President of BV in June 2021, she quickly reconvened and reorganized the planning committee. The Strategic Plan was updated, and a consulting group was brought in to facilitate a planning retreat in July 2022 to help implement plan strategies.

During the last 12 months, each team has met regularly to develop a discovery plan and provide frequent progress reports to the overall Strategic Planning Committee. The committee

and sub-group teams collect, review, and analyze data to determine the college’s strengths, weaknesses, and significant problems of academic programs, institutional management, and fiscal stability. The planning process now has fresh momentum, energy, and buy-in.

In fall 2021 BridgeValley engaged Swim Digital Group (Swim) to evaluate the current student experience through an analysis of communications, technology, and processes related to recruitment, enrollment and onboarding. To support the institutional commitment to access and engagement across all cultural and age dynamics, Swim was tasked with completing research into institutional processes, communications and the environment that students experience at BridgeValley. Swim was also tasked with providing recommendations to drive enrollment and solidify BVCTC’s commitment to the student experience. The final report reflects the findings from each research area and method and outlines recommendations based on those findings.

<b>Findings (Weaknesses)</b>	<b>Recommendation</b>	<b>Current Status</b>
BV organizational structure does not lend itself to clear roles and responsibilities related to the student experience. Staff and students are unclear about which departments have the responsibility, and departments overlap in how they serve students. Some areas receive little to no engagement.	To better align student services functions Swim recommended reorganization of departments and teams within the Student Affairs division, specifically those departments that report to the AVP of Enrollment Services, Dean of Students, and Registrar.	The BV Student Affairs Division has been redesigned.
Lack of consistency in tracking students as they move through the onboarding and enrollment processes, and inconsistent touch points as students move through the processes.	Implement a streamlined enrollment funnel with a clear definition of the student profile in each phase, the departments responsible for each phase of the funnel, and the defined conversion triggers between each phase - from the prospect stage until graduation.	A streamlined funnel has been created with appropriate departmental responsibility defined.
Students have challenges navigating BV’s onboarding and enrollment processes. Students expressed concerns about staff responsiveness when trying to contact Admissions, Financial Aid, and Advising departments.	To create a more comprehensive student communication strategy, Swim recommended that BV take a holistic approach to building student communications supported by a Student Communications Specialist and defining the enrollment funnel.	A holistic approach to student communication has been developed and is supported by a communications specialist.
There is a gap in BV’s use of the data available in strategic goal-setting related for enrollment.	Support a culture shift at an institutional level that empowers staff to use a data-driven approach.	A data dashboard is in the development stage.

BV continues to engage with Swim Digital Group to facilitate operationalization of strategic plan initiatives to move the needle on student success. To accomplish this, Swim has completed data research and discovery, deep dives sessions, secret student experiences, student focus groups, student surveys, and a communications and marketing audit.

One weakness that was uncovered when the strategic planning process began was that the college did not utilize a strategic approach to collecting and leveraging data that facilitates and supports data-driven enrollment and retention strategies. A resulting priority action for the strategic planning teams was to work with the college's Institutional Research Department to build a college-wide data dashboard that is accessible to all employees. The teams have incorporated recommendations from the Swim report, including: creating KPIs for job performance; incorporating milestones for degree/program completion; creating measurements for conversions from inquiry to applicant and to measure from applicant to enrolled; creating a clear structure that encourages students to participate and engage in new student orientation; creating goals associated with graduation rates; and tracking student success indicators that impact retention and persistence.

These and other factors are key drivers for the college's Title III SIP project, **Creating Opportunities, Maximizing Performance, Assistance, & Student Success (COMPASS)**. Title III SIP goals, activities, and objectives are aligned with the work and goals of the four subgroups to accelerate the momentum of the Strategic Planning Committee and build transformative, systemic change.

## (1) Strengths, Weaknesses, and Significant Problems

Table 5: BV Academic Programs	
<b>Strengths – Academic Programs (SAP)</b>	
<b>SAP.1:</b> The ASCEND program (evidence based, scalable, replicable) increases support for underserved students in specific programs of study (Manufacturing, IT, and Nursing).	
<b>SAP.2:</b> Programs and career pathways are aligned to regional labor market needs.	
<b>SAP.3:</b> The registrar is leveraging technology to more effectively schedule courses on campus to maximize time and courses needed so students can complete degrees on time.	
<b>Weaknesses - Academic Programs (WAP)</b>	
<b>WAP.1:</b> Pass rates are low in commonly sequenced general education courses.	
<b>WAP.2:</b> Professional advisors' and faculty advisors' functions and communication are not integrated or seamless.	
<b>WAP.3:</b> Student retention rates are too low ( <i>see Table 6, BV Retention Data</i> ).	
<b>WAP.4:</b> The number of students graduating with associate degrees within three years is too low.	
<b>Significant Problems – Academic Programs: (SPAP)</b>	
<b>SPAP.1:</b> BV's current advising model does not support students throughout their experience.	
<b>SPAP.2:</b> Professional advisors' caseloads are unmanageable (up to 425 students per advisor).	
<b>SPAP.3:</b> Significant external barriers (e.g., family responsibilities, jobs, transportation) impact student attendance and results in lower retention and completion.	

Table 6: BV Retention Data			
Fall 2021	Spring 2022	Student Count	Fall 2022
Student Count		Student Count	
1,542	1,041: Fall-to-Spring Retention = <b>67.51%</b>	689	Fall-to-Fall Retention = <b>44.68%</b>
Fall 2020	Spring 2021	Student Count	Fall 2021
1,673	1,148: Fall-to-Spring Retention = <b>68.62%</b>	774	Fall-to-Fall Retention = <b>46.26%</b>
Fall 2019	Spring 2020	Student Count	Fall 2020
1,763	1,204: Fall-to-Spring Retention = <b>68.29%</b>	820	Fall-to-Fall Retention = <b>46.51%</b>

### Academic Programs: Discussion

*Strengths:* BV is an open access institution; the college welcomes all students to assist them in achieving their educational goals. Programs and services create accessible, industry-informed opportunities, making BV a significant asset for the region's current and future workforce.

Despite the fact that West Virginia ranks 50<sup>th</sup> in the U.S. in cultural and socioeconomic diversity (the state's population is 92.5% white),<sup>1</sup> BV's student population is 88% white, meaning the

<sup>1</sup> American Community Survey data. Ret. April 2023 from <https://www.census.gov/>

college's population is 33% more diverse than regional demographics would indicate. BV has the unique challenge of meeting the diverse needs of students who experience poverty or low income and/or who live in highly rural areas with limited access to education. The college is dedicated to increasing opportunities for students traditionally underrepresented and underserved.

Targeted programs at BV such as ASCEND, GEAR UP, and AmeriCorps increase opportunities for students who otherwise would be left out. ASCEND is currently implemented in specific programs; to broaden the scope of ASCEND, COMPASS will be used to target courses with high D/F/W (withdraw) rates so that any student in those classes can access supportive services.

#### *Weaknesses and Significant Problems*

BV data on student outcomes point to an opportunity to improve performance through a systemic shift in the way academic advising is delivered and managed. In the college's current model, advising is primarily a registration function rather than a holistic approach that supports students throughout their experience. BV students begin their college experience assigned to a professional (staff) advisor to support intake and registration, but advisors have very high caseloads, impeding their ability to meet with students more than once per month. After students are registered and decide on a program of study, they are given a warm hand-off to a faculty advisor. This process is inconsistent and results in gaps in advising, particularly from spring to fall since faculty members are off for summer, a crucial time for advising as students prepare for fall semester.

Retention data (*see Table 6*) point to a significant need to address DFW rates (students who receive a grade of D, F or who withdraw from a class). High DFW rates in "gatekeeper classes"



such as English and math are a significant factor contributing to deficits in student retention and completion. Every degree seeking student at BV takes at least one math and one English class; typical annual enrollment in English exceeds 900 and math exceeds 800. Most students in a health pathway also take a number of additional biological science classes to be considered in the selective admissions process; annual enrollments in these classes exceed 1,000 students annually. Unsuccessful attempt rates (DFW) in these classes range from 29% in the biological sciences to 39% and 41% in math and English, respectively.

BridgeValley has also identified the current advising system as a significant weakness and is positioned to redefine the advising model, moving from an upfront registration function to a comprehensive model incorporating coaching and mentorship that supports students throughout their entire college experience. Additionally, the current advising software does not offer comprehensive functionality that is necessary for data sharing and tracking. The current software is cumbersome to use for both advisors and students, and faculty advisors have been unable to incorporate it into their advising sessions with students. An advising software package that meets the needs of the whole college community is crucial to be able to track advising sessions, track student progress toward goals, and make data-driven decisions for student success.

The success of ASCEND's coaching model and other effective strategies supports the college's intention to expand and redefine the advising framework. Rather than "handing off" students to faculty, a coaching model will integrate professional advisors with faculty, creating an essential shift from *handing off* to *teaming up*. Moving to this type of model will require a philosophical shift for advisors and faculty with a deliberate focus on instilling a culture of collaboration between these groups. To accomplish this type of institution-wide culture change, faculty and professional advisors will need training and support.

<b>Table 7: BV Institutional Management</b>
<p><b>Strengths – Institutional Management (SIM)</b></p> <p><b>SIM.1:</b> The college has strong partnerships with employers and community partners and continues to expand those relationships.</p> <p><b>SIM.2:</b> Strategic Planning process has institutional buy-in, is cross-departmental and embedded in college culture.</p> <p><b>SIM.3:</b> New leadership has created stability and prioritized reengagement and expansion college-wide.</p>
<p><b>Weaknesses – Institutional Management (WIM)</b></p> <p><b>WIM.1:</b> Challenges in addressing the unique socioeconomic and environmental factors of the region’s populations (high poverty, opioid abuse, rurality, job losses, etc.)</p> <p><b>WIM.2:</b> Need to increase the scope of ASCEND to courses with high DFW rates.</p>
<p><b>Significant Problems – Institutional Management (SPIM)</b></p> <p><b>SPIM.1:</b> BV has limited ability to expand high demand courses to meet workforce needs in the healthcare sector due to lack of science facilities (labs) and equipment.</p> <p><b>SPIM.2:</b> BV currently experiences uneven data-driven decision making across the institution.</p>

### **Institutional Management: Discussion**

*Strengths:* The strength of the strategic planning process and momentum supported by the college’s new leaders has been described previously. Another significant strength is the college’s strong history of forming innovative and collaborative partnerships with employers and high schools to enrich the workforce pipeline. The core values of the college reflect a philosophy that education must serve the needs of students not only to meet the workforce needs of the community but to improve the lives of all those who live within the region. BridgeValley is committed to partnering and supporting relationships with community stakeholders and to providing educational opportunities to build a skilled workforce for local employers. Strong partnerships help BV to identify and hire employers to serve as part-time adjunct faculty in the college’s programs. This assures the company that students will learn the exact skills needed for employment. The college’s commitment to its community and employer stakeholders is a recognized strength in the region.

BV has developed unique strategies to respond to the needs of the college’s students and stakeholders. BV works diligently to address barriers and provide education and training that prepares the current and future workforce for family-sustaining jobs with local employers.

BV understands that educating the people of the region to help them gain and keep employment is key to creating positive generational impacts for individuals, families, and the state. BV's programs are developed and aligned with local industry needs to provide sustainable local employment with opportunities for growth and career advancement. Partnerships with local employers ensure that programs meet local industry demands. One of BridgeValley's most comprehensive current partnerships is as member of a consortium of West Virginia postsecondary institutions that was awarded a Strengthening Community Colleges (SCC) Training Grant from the U.S. Department of Labor. One of only 13 grants funded nationwide, the consortium was awarded \$6.5 million, the largest award during that round of funding. SCC is designated to assist community colleges in increasing access and equity to educational and economic opportunities. The project, Pathways to Nursing Success, encompasses three West Virginia community colleges, four workforce development system partners and six healthcare employers, including the two largest hospital networks in the state. The SCC project is just one example of many strong collaborative partnerships across the college that connect BV programming to community success.

*Weaknesses:* The rural nature of BV's service delivery area establishes BV as one of the few educational resources available to residents, demanding that the college create affordable and accessible education and training programs and services. West Virginia has been hard hit by societal issues such as poverty, the opioid epidemic, the loss of coal-industry related jobs, and teen pregnancy - and BV's service district is no exception. According to Centers for Disease Control, West Virginia has the highest rate of overdose deaths per capita in the U.S. The state has the sixth highest teen pregnancy rate in the county, as well as the least educated workforce.

Trends and data from these sources indicate that overall West Virginia's college-going rate –

the number of high school seniors who enroll in either a community college or a four-year institution after graduation – dipped to 45.9 percent for the graduating class of 2021. This was down from 48.2 percent in 2020 and 50.5 percent in 2019. Enrollment in West Virginia’s public two-year institutions decreased by 15.9% from academic year 2019-2020 to 2020-2021 (pandemic years), and then increased by 4.1% between 2020-2021 and 2021-2022. Overall, enrollment has not recovered from losses during the COVID 19 pandemic. The number of certificates and degrees awarded (3,494) by WVA two-year institutions for the 2021-2022 academic year was down 8% from the previous academic year.<sup>2</sup>

West Virginia ranks 47<sup>th</sup> in the U.S. in healthcare access, 45<sup>th</sup> in educational attainment, 48<sup>th</sup> in economic indicators, and 50<sup>th</sup> (last) in infrastructure. These and other socioeconomic factors create significant barriers to employment for in the region. Because the region is heavily influenced by the coal industry, and opportunities in coal continue to decline, many people no longer have access to the type of employment that has sustained their families for generations. In 2011, 23,307 West Virginians worked in coal mines; by 2023, that number had decreased to only 11,511.<sup>3</sup> BV’s career training options are crucial to helping displaced coal industry workers learn new skills they need to pivot to more sustainable types of employment. Efforts to combat the systemic issues facing BV’s underrepresented students is an enduring challenge, and the magnitude of these intersecting distress points exceeds what a single institution can address without additional support and external sources of funding.

Until recently, outreach to strategic partners and employers has been inadequately coordinated at BV. There has not been a comprehensive plan to guide and consolidate outreach

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<sup>2</sup> 2022 West Virginia Higher Education Almanac. Ret. from <https://www.wvhepc.edu/resources/data-portal/>

<sup>3</sup> Ret. March 2023 from <https://www.statistica.com/en/>

and partnerships. While academic programs have always had advisory committees, it has only recently been that Academic Deans have been tasked with outcomes related to those employer partnerships. Deans are now evaluated on the number of learn and earn programs they have in their division, the number of employer partners they are serving with incumbent worker training, and the engagement they promote with their employer partners with the college foundation.

These shifts in the evaluation of key academic leaders are to help increase the number of employer engagement opportunities for students and strengthen institutional outcomes associated with key strategic priorities of enrollment, retention, completion, and fundraising.

#### *Significant Problems*

As previously discussed in this narrative, West Virginia has intersecting distress factors including persistent poverty, lack of access to services, and systemic barriers to quality education. These distress points are more strongly and routinely felt by the region's underrepresented populations. BV's Title III COMPASS program will implement strategic complementary activities to affect comprehensive, institution-wide changes to the way the college addresses these factors and facilitates success in college.

*Uneven data-driven decision making across the college:* The college has a gap in the use of the data available in strategic goal-setting related for enrollment. Swim's research found that BridgeValley was not using a strategic approach to collecting and leveraging data to allow it to inform enrollment and retention strategies. Based on Swim reports, it is evident that the College has a large amount of data available to be used, but it seems to be based on interactions, not the outcomes of staff and faculty activities. The research recommends that the college needs to "undergo the culture shift at an institutional level that empowers staff to use a data-driven

approach.” Through strategies, the college will be better positioned to make strategic decisions that will move the needle for student enrollment, retention, and completion.

Limited capacity to serve students in healthcare pathways: Another institutional weakness is the college’s limited capacity to offer high-demand science courses due to lack of facilities (labs), equipment, and faculty. Microbiology is required for these healthcare pathway programs and is also one of the courses with a high DFW rate, a deficit that will be addressed in COMPASS.

In West Virginia, as across the U.S., the healthcare sector is experiencing a significant gap between the number of available positions and the number of qualified candidates to fill them. BV has 17 healthcare pathway programs to prepare students for in-demand, well-paying jobs without having to leave the state or the community to work in family-sustaining jobs.

BV’s South Charleston campus currently has one microbiology lab suitable for a maximum of 16 microbiology students at a time. This lab is chiefly used for instruction within the Medical Laboratory Technology (MLT) program while the MLT program cohort is off campus in clinical placements during the Spring semester. The lack of training equipment beyond this singular lab means that BV has capacity limitations in its ability to sustain accelerated learning pathways in healthcare programs. To increase capacity in MLT and other healthcare programs, a microbiology lab must be retrofitted and equipped so that it can be utilized in both the Fall and Spring terms, expanding microbiology capacity to serve more students in all other programs requiring the course.

Health programs at BridgeValley have an excellent track record of job placement. For example, over the last four years, the job placement rate for graduates of the MLT and Nursing programs has been 100%, and sonography, phlebotomy, and respiratory therapy all boast better

than 90% placement rates. Demand for healthcare workers is on the rise. Recent outreach to three local healthcare providers showed an immediate need for 46 additional MLT program graduates and every hospital in the region is currently employing travel nurses due to the lack of locally qualified nurses. Equipping an additional lab will allow BV to optimize space and serve students more expeditiously. This will speed students' time to completion in required courses and allow them to enter their chosen career training more quickly and with less cost. The outfitting of a microbiology lab will also increase hands on study, ensuring more efficient and thorough coverage of the course level learning outcomes.

<p><b>Table 8: BV Fiscal Stability</b></p> <p><b>Strengths – Fiscal Stability (SFS)</b></p> <p><b>SFS.1:</b> BV has been awarded multiple Federal grants to improve programs, and state funding (WV Invests, advanced grants, technical program development grants, and learn and earn grants) provide support for students and workforce programming.</p> <p><b>SFS.2:</b> Staff have capacity and experience managing, tracking, meeting performance outcomes, and reporting for all grants and cooperative agreements.</p> <p><b>SFS.3:</b> BV implements braided funding to maximize resources and increase leverage capacity.</p> <p><b>Weaknesses – Fiscal Stability (WFS)</b></p> <p><b>WFS.1:</b> COVID relief funding that provided some sustainability is no longer available.</p> <p><b>Significant Problems – Fiscal Stability (SPFS)</b></p> <p><b>SPFS.1:</b> Fundraising efforts are not consolidated or diversified.</p> <p><b>SPFS.2:</b> The college is only nine years old, so the lack of a strong, developed alumni base limits fundraising opportunities and prevents immediate growth.</p>
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**Fiscal Stability: Discussion**

*Strengths:* During the past three years, BV has achieved many significant outcomes and programmatic improvements by managing multiple large federal grants, including: (1) two U.S. Department of Education grants totaling \$9,102,371, (2) three U.S. Department of Labor grants totaling \$3,397,359, (3) a U.S. Department of Commerce-Economic Development Administration grant of \$1,150,987, and (4) a National Science Foundation Advanced Technician Education grant of \$157,741. BV has developed systems and procedures to ensure

fiscal and programmatic accountability, and built the institutional capacity and infrastructure required to successfully manage, scale, and sustain grant-funded projects and programs.

BV is one of nine institutions in West Virginia participating in the WV Invests Grant program, a state-funded program designed to help more West Virginians earn credentials leading to in-demand careers. This program pays for any amount up to the total cost of a student's tuition, mandatory fees, and approved academic program fees. BV is also one of nine colleges eligible for state grants that help purchase equipment for new programs (through the WV Advanced Grant) and a state grant that provides a wage match to employers who hire students in associate degree programs for work-based learning opportunities (through Learn & Earn grant).

*Weaknesses:* BridgeValley received US Department of Education CARES Act and CARES Act Higher Education Emergency Relief funds that provided emergency funding to sustain operations through the pandemic. COVID funding that provided some capacity to implement innovative course delivery and student supports is no longer available. *See Attachment: Invitational Priority for more information about how BV is moving forward to address chronic retention and student achievement gaps that were amplified during the pandemic.*

*Significant Challenges:* The Strategic Planning process revealed a current state of disparate fundraising efforts at the college. A fundraising subcommittee was established as one of four core strategic priorities to move the college to a targeted, intentional fund development plan. BV has a college foundation but until recently has not been able to secure sufficient match funds to establish a viable endowment for institutional stability. The Foundation and fundraising committee are working together to move forward on establishing and seeding an endowment investment fund.



**2) The goals for the institution’s academic programs, institutional management, and fiscal stability are realistic and based on comprehensive analysis.**

BV’s Title III goals consider the strengths, weaknesses, and significant problems identified by the college’s strategic planning process and support the three Title III SIP pillars of *academic programs, institutional management, and fiscal stability*.

BV is requesting Title III funding for the **Creating Opportunities, Maximizing Performance, Assistance, & Student Success (COMPASS)** program, which will increase the scope of BV’s evidence-based student support program (ASCEND), increase student success, and address institutional capacity and stability through alignment with BV’s strategic plan. **Key activities of COMPASS** include: *1) building capacity to scale and integrate a comprehensive student coaching and support model across the institution, 2) targeted professional development for coaches and faculty that will be enhanced using a train-the-trainer delivery model, 3) increasing student success rates in healthcare pathways by maximizing lab facilities and delivering science boot camps, and 4) establishing an endowed student opportunity fund at the BridgeValley Foundation.*

Eligibility for the COMPASS program will be determined first by enrollment in one or more English, biology and/or mathematics courses. All students enrolled in one or more of these courses will be given the opportunity to opt in on a first come first served basis. Up to 125 students each semester (250 enrollments per year) will be accepted into the COMPASS program. In order to be eligible for participation incentives, students must attend the appropriate boot camp (as determined by the course or courses to be taken in the upcoming semester). Once the student has satisfactorily completed a boot camp and has attended the first day of the corresponding class, the student will receive the first \$25 stipend. To remain eligible to earn

monthly stipends, COMPASS students will be required to meet with their success coach a minimum of two times per month for the duration of the term.

COMPASS will build upon the strengths and address weaknesses and significant problems discussed above. The project design is evidence-based, drawing on best practices and models in student services, academic affairs, and foundation/fiscal affairs. Title III goals are shown below.

<b>Table 9: COMPASS Title III SIP Institutional Goals</b>
<b>Institutional Goal 1-Academic Programs:</b> BV will address outcomes in classes with high DFW rates by providing wraparound services from ASCEND and providing intentional advising through an integrated coaching model supported by updated advising software.
<b>Institutional Goal 2-Institutional Management:</b> BV will address student poverty and other socioeconomic barriers by expanding ASCEND strategies, expanding access to science lab facilities, and increasing adoption of data-driven decision making.
<b>Institutional Goal 3-Fiscal Stability:</b> BV will enhance long-term stability by creating an endowed student opportunity fund to support ASCEND support services and student emergency expenses.

<b>Table 10: Title III and Institutional Performance Measures</b>
<b>Title III Required Performance Measures</b>
<b>Performance Measure 1:</b> The number of full-time degree-seeking students enrolled at BV will increase by 2% annually over the 5-year grant period.
<b>Performance Measure 2:</b> The percentage of first-time, full-time degree seeking students who are retained from Spring semester of their first year to Fall semester of the second year will be increased by 2% annually over the five-year grant period.
<b>Performance Measure 3:</b> The percentage of students who complete an associates degree within three years of first enrollment will increase to 50% by the end of the Title III grant period.
<b>BV Institutional Performance Measures for COMPASS (annual metrics are in Table 11)</b>
<ul style="list-style-type: none"> <li>● Pass rates for historically high failure courses will increase through advising interventions and ASCEND supportive services.</li> <li>● The number of students enrolled in microbiology will increase each semester.</li> <li>● Students are retained between semesters where they are currently dropping out with advising issues.</li> <li>● BV personnel will demonstrate increased institutional use of data to inform enrollment, retention, completion, fundraising strategies.</li> <li>● ASCEND services will be institutionalized with the endowed fund for supportive services.</li> </ul>

**3) The annual objectives are measurable, related to institutional goals, and if achieved, will contribute to the growth and self-sufficiency of the institution.** All Title III Program Objectives are aligned to the BV Strategic Plan and the four subcommittees' recommendations.

<b>Table 11: BV COMPASS Project Annual Objectives</b>
<b>Year 1 Objectives</b>
Objective 1.1: By the end of Y1, students enrolled in high DFW courses will all be given the opportunity to participate in ASCEND and use a pilot of the COMPASS coaching model; at least 15% of eligible students will participate during Y1.
Objective 1.2: By the end of Y1, incumbent professional advisors and faculty will complete professional development in the new coaching model and develop train-the-trainer modules.
Objective 1.3: By the end of Y1, the BV Microbiology Lab will be retrofitted and equipped and ready for student use.
Objective 1.4: By the end of Y1, students who participate in ASCEND and COMPASS coaching will be retained at 10% more than students who are not receiving coaching.
Objective 1.5: By the end of Y1, faculty teaching high DFW courses will all access the college shared data drive to look at student retention and completion outcomes tied to their courses.
Objective 1.6: By the end of Y1, an endowment fund for student success will be created. Funds from Title III will be matched with unrestricted funds from Toyota to create the initial fund pool.
<b>Year 2 Objectives</b>
Objective 2.1: By the end of Y2, 50% of BV students enrolled in high DFW courses will be served through the revised coaching model and science boot camps.
Objective 2.2: By the end of Y2, 8 professional (staff) coaches will complete professional development and serve as advisors for all students.
Objective 2.3: By the end of Y2, students in health programs requiring Microbiology will increase first attempt successful completion by 5% from baseline.
Objective 2.4: By the end of Y2, students who participate in ASCEND and COMPASS coaching will continue to be retained at 10% more than students who are not receiving coaching.
Objective 2.5: By the end of Y2, BV's data dashboards will be fully operational, and staff will be trained in the use of dashboards for data analysis and how to leverage information for student success.
<b>Year 3 Objectives</b>
Objective 3.1: By the end of Y3, 100% of students enrolled in a high DFW course will participate in coaching, beginning at enrollment.
Objective 3.2: By the end of Y3, students in health programs requiring Microbiology will increase first attempt successful completion by 5% from the previous year.
Objective 3.3: By the end of Y3, the number of faculty and staff who participate in student-centered professional development will increase to 95%.
Objective 3.4: By the end of Y3, students who participate in ASCEND and COMPASS coaching will continue to be retained at 10% more than students who are not receiving coaching.
Objective 3.5: At the close of Y3, the evaluator will complete a formative evaluation to document successful progress toward all COMPASS objectives.
Objective 3.6: By the close of Y3, a 10-year plan to grow the endowment fund for student success will be completed.
<b>Year 4 Objectives</b>
Objective 4.1: At the close of Year 4, the COMPASS model will be embedded in college culture so that all students at the college in a degree granting program will be involved in the coaching model from first enrollment through graduation.
Objective 4.2: By the end of Y4 students who participate in ASCEND and COMPASS coaching will continue to be retained at 10% more than students who are not receiving coaching.
Objective 4.3: By the end of Y4, students in health programs requiring Microbiology will increase first attempt successful completion by 5% from YR3.
Objective 4.4: Contributions to the supportive services endowment fund will be increased through targeted fundraising activities.
<b>Year 5 Objectives</b>
Objective 5.1: Evaluations will show increased faculty and staff competence and confidence in implementing student success strategies.

Objective 5.2: By the close of the Title III grant, BV will demonstrate increased institutional use of data to inform enrollment, retention, completion, and fundraising strategies.

Objective 5.3: A summative project evaluation will document successful attainment of student, staff, and institutional objectives and Title III performance measures.

Objective 5.4: ASCEND and COMPASS services will be institutionalized with the endowment fund for supportive services.

#### **(4) Methods and Resources to Institutionalize Practices and Improvement**

The BridgeValley leadership team including the College President and the Chief Financial Officer have been actively involved in the development of the COMPASS application and are thus cognizant of the college's responsibility to integration of Title III improvements to sustain project outcomes throughout the grant period and upon closeout. They have approved institutionalizing COMPASS activities that the evaluation and student performance data demonstrate as effective. This commitment will increase adoption and continuous improvement of the practices in this application. As demonstrated in this proposal's comprehensive development plan, Title III project objectives support and align with BV's institutional strategic goals and are informed by institutional data and research.

BV's strategic planning teams are working to define best practices, sustainable models, and procedures to identify priority programs and services that can be institutionalized to sustain resources for underrepresented and underserved West Virginia students. Title III grant funding and activities will provide a relevant framework and system under which to build and scale interdisciplinary, system-wide processes culture to promote student success. BV is committed to institutionalizing COMPASS programs and activities incrementally across the grant performance period and follow-on years. This plan was approved by the college president, and is reasonable and achievable based on these assumptions:

- 1) The transition from recruitment-based advising services to a coaching model that follows students throughout their college experience will result in increased student retention that increases institutional resources and revenues.*
- 2) The initial expenses associated with the student advising software, professional development, and staff training will decrease after initial purchase and rollout; ongoing licensing fees and upgrades will be institutionalized.*
- 3) Procurement of equipment is an up-front expense in the first year of the project. Funding has been requested from several non-Federal sources to retrofit the lab so that the new equipment can be quickly installed (the Governor has already funded existing lab deferred maintenance requirements for the upcoming year). Deferred maintenance and repairs to the equipment will be institutionalized as appropriate and allowable.*

### **Institutionalizing Personnel**

The staffing plan for the Title III performance period is outlined in *Section E: Quality of Key Personnel*. BV proposes Title III grant funds to support five new hires dedicated to the project: one full-time project coordinator and four full-time success coaches. Grant funds are also requested for 50% of an incumbent staff position to provide cross-institutional coordination of COMPASS initiatives. Time and effort reporting will be required for all grant-funded positions.

The staffing plan dedicates leveraged time and effort of several incumbent staff to ensure that the Title III project has adequate capacity and is able to carry out all activities to fidelity. The percentage of each staff's time was deemed necessary to successfully implement grant activities and support. As the project is implemented, BV anticipates that some time requirements for incumbent staff will decrease as they are able to delegate responsibilities to funded positions. By increasing partnerships with community-based organizations' local workforce development

boards, BV will have new opportunities to leverage external sources to sustain some aspects of the project such as wraparound services for underserved students.

### **Institutionalizing Practices and Improvements**

#### **Practice/Improvement: Advising software**

*Plan to Institutionalize:* Initial costs for software, licensing, and training, as well as annual licensing requirements for the Title III performance period, will be paid with Title III funds. The BV operating budget will be used for costs associated with annual fees and upgrades, following initial expenditures covered by Title III.

#### **Practice/Improvement: Expansion of ASCEND Coaching through COMPASS**

*Plan to Institutionalize:* The Title III grant will support staffing positions needed to implement and operationalize COMPASS activities that focus on expanding the comprehensive coaching model to new programs in order to serve more students. Key positions may be institutionalized over time. Through an evaluative process as the project matures, the college will determine whether there are functions or resources that may be provided by community-based partners and/or paid for through institutional budgets or state or foundation grants.

#### **Practice/Improvement: Staff Professional Development**

*Plan to Institutionalize:* Incumbent staff and faculty advisors will participate in targeted professional development during Y1 and will then train new COMPASS coaches. Curriculum will be available to other faculty through the college's learning management system, allowing scaling to new faculty and programs. As the project develops, a cloud-based training library (available through the data dashboard) will provide 24/7 access and minimize costs for in-person meetings, conferences, and travel.

## **Practice/Improvement: BV Fundraising Plan**


*Plan to Institutionalize:* As discussed, the Fundraising subcommittee of the Strategic Planning Team has identified goals for diversifying the College's and the foundation's revenue streams and for acquiring new sources of funding. The CFO and institutional leadership group are working with the committee to braid funding for projects such as Title III SIP to sustain the SIP activities. The braided funding model leverages federal, state, and foundation funding with college discretionary funding, fundraising revenues, and gifts. Through the COMPASS project, the college will expand and leverage endowment strategies and provide information to update college employees and stakeholders. BV is committing match dollars to endow a fund that will complement the ASCEND program and provide resources to students well into the future.

Sustaining the innovations and momentum of COMPASS will require the development of a comprehensive sustainability plan early in the grant period. The program coordinator and key project staff will be "at the table" with college administrators, faculty, and student services staff throughout the performance period to communicate program successes and mitigate challenges to fully integrate project activities. The evaluator will work with project staff and industry sector partners to analyze outcomes and flag areas which require attention.

By reviewing performance outcomes and strategy implementation, the expertise of the external evaluator will provide significant support to the sustainability and scalability of strategies that demonstrate impact. Reports from the project evaluator coupled with internal analyses of student performance measures will help BV determine the feasibility of continuing aspects of the project using institutional dollars. Sustainability will be supported by ongoing data collection that demonstrates program efficiencies and effectiveness, integrating community feedback loops and increasing collaborative partnerships to maximize resources.

**Section B: Quality of the Project Design**

The Project Logic Model and supporting narrative demonstrate that the objectives are (1) realistic and defined in terms of measurable results; and (2) directly related to the problems to be solved and to the goals of the comprehensive development plan.

 <b>BridgeValley Community and Technical College COMPASS (Title III SIP)</b> <b>Logic Model</b>					
Inputs	Activities	Outputs (Deliverables)	Short-term Outcomes	Long-term Outcomes	Impacts
<p><b>Strengths</b></p> <ul style="list-style-type: none"> <li>-BV Strategic Planning process is supported by new leadership and has increased traction</li> <li>-Student services model (ASCEND) is scalable and evidence-based</li> <li>-Experienced advising staff</li> <li>-Leveraged technology increases efficiencies</li> <li>-Braided funding and leveraged resources</li> </ul>	<ul style="list-style-type: none"> <li>-Create capacity for COMPASS activities by hiring a project coordinator and 4 success coaches</li> <li>-Scale ASCEND model to new BV programs with high DFW rates</li> <li>ASCEND replication for high DFW courses includes participation incentives, wraparound supports, and emergency funds for at-risk students</li> <li>-Enhanced professional development and</li> </ul>	<ul style="list-style-type: none"> <li>-4 new success coaches and project coordinator to ensure capacity and reduced high caseloads</li> <li>-Formative and summative evaluations</li> <li>-Increased access to ASCEND student success model</li> <li>-7% of students receive at least one wraparound service</li> <li>-Redesigned and scaled evidence-based coaching model</li> <li>-Train-the-trainer modules for faculty and staff professional development</li> </ul>	<p><b>By end of Y1</b></p> <ul style="list-style-type: none"> <li>-The number of full-time degree-seeking students increases by 2% from baseline</li> <li>-The percentage of first-time, full-time degree-seeking students who are retained from Spring semester of their first year to Fall semester of the second year will have increased by 2% from baseline</li> <li>-Pass rates for historically high failure courses increase by 10%</li> <li>-Microbiology lab usage increases by 33%</li> <li>- Integration of new coaching model is in process</li> <li>-COMPASS success coaches are adopting ASCEND strategies</li> <li>-Professional development is delivered via train-the-trainer to new coaches</li> <li>-Endowment fund is established</li> </ul> <p><b>By end of Y2</b></p> <ul style="list-style-type: none"> <li>-The number of full-time degree-seeking students increases by 2% from Y1</li> </ul>	<p><b>After SIP Grant Period:</b></p> <ul style="list-style-type: none"> <li>-Effective programs and services will be institutionalized for sustainability.</li> <li>-The project will add to the research on promising or effective student success models.</li> <li>-Student success indicators for all performance measures will stabilize.</li> <li>-BV will demonstrate increased institutional use</li> </ul>	<ul style="list-style-type: none"> <li>-BV's student-focused culture will result in increased enrollment and corresponding revenue.</li> <li>-Coaching and student success models can be scaled or replicated to give more at-risk students access.</li> <li>-Facilities are in use and functioning to benefit all stakeholders.</li> <li>-Investment interest earned on endowed fund will provide</li> </ul>



<p>-Increased grant funding</p> <p><b><u>Weaknesses</u></b></p> <p>-Advising is primarily a registration function rather than a model that supports students throughout their experience</p> <p>-Professional advisors' caseloads are unmanageable</p> <p>-Lack of coordination between staff and faculty advisors causes gap in service</p> <p>-Socioeconomic factors impact student attendance and success</p> <p>- Lack of an institutional dashboard and advising software limit</p>	<p>train-the-trainer activities for coaches and faculty</p> <p>-New advising software integration and support</p> <p>-Upgrades to Microbiology lab to optimize usage and improve student access</p> <p>-Science boot camps for high DFW students</p> <p>-Establishment of endowed student opportunity fund at BV Foundation</p>	<p>-100% of professional advisors complete training in new system</p> <p>-90%of full-time faculty complete PD</p> <p>-100% of faculty advisors and staff trained on advising software</p> <p>-Lab updates and new equipment increases student access by 33%</p> <p>-Participation incentives, wraparound supports, and emergency funds for at-risk students</p> <p>-Endowed student opportunity fund</p>	<p>-The percentage of first-time, full-time degree-seeking students who are retained from Spring semester of their first year to Fall semester of the second year will have increased by 2% from Y1</p> <p>-Pass rates for historically high failure courses increase by 2% from Y1</p> <p>-COMPASS success coaches coaching model is fully functional</p> <p>-Advising software is fully functional and used by all coaches and advisors</p> <p>-Students with high DFW rates participate in summer science boot camps</p> <p>-250 students receive COMPASS supports annually</p> <p><b><u>By end of Y3</u></b></p> <p>-The number of full-time degree-seeking students increases by 2% from Y2</p> <p>-The percentage of first-time, full-time degree-seeking students who are retained from Spring semester of their first year to Fall semester of the second year will have increased by 2% from Y2</p> <p>-Pass rates for historically high failure courses increase by 2% from Y2</p> <p>-250 students receive COMPASS supports annually</p> <p><b><u>By end of Y4</u></b></p> <p>-The number of full-time degree-seeking students increases by 2% from Y3</p>	<p>of data to inform enrollment, retention, completion, and fundraising strategies.</p> <p>-Facilities will be optimized to serve more students and accelerate time to completion.</p> <p>-Fundraising for sustainability will become integral to institutional and community culture</p> <p>-BV will move the needle to increase student success by addressing socioeconomic barriers to success</p> <p>-ASCEND and COMPASS services will be institutionalized with the endowment fund for supportive services.</p>	<p>support services for underserved students.</p>
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<p>access and data-driven decisions</p> <p>-Lab facilities are not equipped to maximize usage</p> <p>-College lacks a coordinated fundraising plan that includes endowment</p> <p>-Limited alumni base inhibits fundraising for immediate growth</p>			<p>-The percentage of first-time, full-time degree-seeking students who are retained from Spring semester of their first year to Fall semester of the second year will have increased by 2% from Y3</p> <p>-Pass rates for historically high failure courses increase by 2% from Y1</p> <p>-Students with high DFW rates participate in summer science boot camps</p> <p>-All BV students will receive COMPASS supports, including advising or ASCEND</p> <p><b>By end of Y5 (Project Close)</b></p> <p>- The percent of students who complete an associate degree within three years of first enrollment will be 50% by the end of the grant period</p> <p>-The number of full-time degree-seeking students increases by 2% from Y4</p> <p>- The percentage of first-time, full-time degree-seeking students who are retained from Spring semester of their first year to Fall semester of the second year will have increased by 2% from Y4</p> <p>-BV will demonstrate increased institutional use of data to inform enrollment, retention, completion, and fundraising strategies</p> <p>-The endowed student opportunity fund will demonstrate incremental growth</p>		
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## Logic Model Narrative

Table 12: Key Assumptions and Supporting Evidence	
Assumption	Evidence and Citations
1. Increasing the scope of ASCEND and using evidence-based strategies will positively impact student performance measures across the college.	<p><b>BV's ASCEND program, a replication of the CUNY ASAP model, showed Moderate evidence from What Works Clearinghouse.</b> The COMPASS program will increase the scope of ASCEND to new programs and therefore will increase the number of students who receive intensive support. ASAP has been rigorously evaluated and is listed in the U.S. Department of Education's What Works Clearinghouse as demonstrating positive effects for attainment; access and enrollment; and credit accumulation and persistence.<sup>4</sup> ASAP has been replicated at community colleges across the U.S. as a successful model to improve retention and completion for community college students through providing financial resources and comprehensive support services. MDRC found that ASAP students' three-year graduation rates rose by 18% (from 22% to 40%) and six-year graduation rates rose by 10%. An evaluation of the program at three Ohio colleges also reported positive findings about ASAP, indicating the program can be replicated and adapted for local contexts.<sup>5</sup></p> <p>ASAP students were more likely than the control group to be engaged in advising, tutoring and career services; 63% of ASAP students used tutoring services during the first year of the programs, compared with 45% in the control group. ASAP students also met with their advisor an average of 13 times a semester, compared with five times for control group students.<sup>6</sup></p> <p>Subgroups of students (grouped by need for development education, gender, race, age, and high school diploma or equivalent, etc.) also increased their graduation rates, demonstrating that the program is effective for a variety of students.<sup>7</sup> The follow-up study found that in addition to helping students graduate faster, the program also helped some students who otherwise would have never graduated to earn a degree.<sup>8</sup> ASAP has undergone 2 randomized controlled trials - one with a sample of 896 students at CUNY community colleges, and one with a sample of 1,501 students at three Ohio community colleges. The studies found sizable, statistically significant increases in college graduation rates. For example, 8 years after random assignment in the CUNY study, 55% of ASAP students had graduated with a 2-year or 4-year degree, versus 44% of control group students.<sup>9</sup></p>
2. Shared and integrated data systems and advising software increase the institution's ability and	<p><b>Strong Evidence as part of WWCH's Recommendation 2 for Effective Advising for Postsecondary Students:</b> Technology is best used to facilitate and enhance advising, not to replace advisors. Instead, technology can be used to improve advising by making it more efficient to receive, share, and act upon information about student progress. An institution's initial investment in technology could pay off when advisors are able to use real-time data and tools to identify student needs and connect them to academic and</p>

<sup>4</sup> What Works Clearinghouse, Institute of Education Sciences, U.S. Department of Education. (2019, November). *Supporting postsecondary success intervention report: Accelerated Study in Associate Programs*. Retrieved from <https://whatworks.ed.gov>

<sup>5</sup> Azurdia, G., & Galkin, K. (2020). *An eight-year cost analysis from a randomized controlled trial of CUNY's Accelerated Study in Associate Programs*. New York, NY: MDRC.

<sup>6</sup> Miller, C., Headlam, C., Manno, M., & Cullinan, D. (2020). *Increasing community college graduation rates with a proven model: Three-year results from the Accelerated Study in Associate Programs (ASAP) Ohio Demonstration*. New York, NY: MDRC.

<sup>7</sup> Ibid.

<sup>8</sup> Ibid.

<sup>9</sup> Azurdia, G., & Galkin, K. (2020). *An eight-year cost analysis from a randomized controlled trial of CUNY's Accelerated Study in Associate Programs*. New York, NY: MDRC.

<p>capacity to make data-driven decisions</p>	<p>non-academic supports that promote their progress and success in college. These tools could be especially relevant with the increases of remote teaching and learning.<sup>10</sup> Efforts to close equity gaps necessitate a deep understanding of where disparities in access and outcomes exist, as well as of the extent to which the disparities are increasing or decreasing. Without such awareness, reform efforts may result in actions that reinforce existing inequities. Thus, colleges should aim to build and improve data systems that allow them to track and analyze education, earnings, and employment outcomes that are disaggregated by race/ethnicity, gender, age, socioeconomic status, and other such characteristics. They also should seek to integrate data on students in credit and noncredit courses and programs into institutional, and where available, statewide data systems.<sup>11</sup></p>
<p>3. Targeted professional development is necessary to gain buy-in and engagement for the cultural shift in advising</p>	<p>Strong Evidence as part of WWCH’s Recommendation 2 for Effective Advising for Postsecondary Students: To the extent that advisors are required to transform their practices, professional development can help. If advisors and other support staff are expected to form ongoing relationships with students, training on how best to do so can help advisor-student relationships be more fruitful. Recommendation 2 in the WWC practice guide Strategies for Postsecondary Students in Developmental Education offers detailed strategies for training advisors. These include training faculty and staff in “the college’s concept and definition of the advising process, the informational aspects of advising, and the relationship skills involved in supporting students’ decision making.”<sup>12</sup></p>
<p>4. Wraparound and emergency services increase student success</p>	<p>A growing body of research suggests that reducing equity gaps in retention and completion likely will require that colleges support students by offering wraparound and holistic services throughout students’ career pathway.<sup>13</sup> Several experimental studies have shown that strategies such as delivering comprehensive supports through individualized and proactive coaching, as well as through bundling and sequencing supports, significantly improve rates of persistence and degree completion<sup>14</sup>. The literature also suggests that the “supports should be delivered both one-on-one and in small group settings, and that the supports should be more intentionally integrated into the student experience so they are unavoidable as students’ progress along their career pathway—from intake to completion.”<sup>15</sup></p>

<sup>10</sup> Karp, M., Ackerson, S., Cheng, et al. (2021). *Effective advising for postsecondary students: A practice guide for educators* (WWC 2022003). Washington, DC: National Center for Education Evaluation and Regional Assistance (NCEE), Institute of Education Sciences, U.S. Department of Education. <https://whatworks.ed.gov>

<sup>11</sup> Mehl, G., Wyner, J., Barnett, E, Fink, J. & Jenkins, D. (2020). *The Dual Enrollment Playbook. A Guide to Equitable Acceleration for Students*. Aspen Institute.

<sup>12</sup> Miller, Cynthia; Headlam, Camielle; Manno, Michelle; Cullinan, Dan (2020). *Increasing Community College Graduation Rates with a Proven Model: Three-Year Results from the Accelerated Study in Associate Programs (ASAP) Ohio Demonstration* MDRC. Retrieved from: <https://eric.ed.gov/?id=ED603027>

<sup>13</sup> Ibid.

<sup>14</sup> Valentine, A., Jessa Lewis, A., Price, D. *Coaching to Completion: Impacts of Success Coaching on Community College Student Attainment in North Carolina*. (2023) The Review of Higher Education

<sup>15</sup> Cotner, H., Bragg, D., Cheng, I., Costelloe, S., Freeman, B., Goold, G., Heiser, E., Lemire, S., Miller, D.G., Porowski, A., Van Noy, M., & Yadav, E. (2021). *Designing and delivering career pathways at community colleges: A practice guide for educators* (WWC 2021007). Washington, DC: National Center for Education Evaluation and Regional Assistance (NCEE), Institute of Education Sciences, U.S. Department of Education. <https://whatworks.ed.gov>

### **Section C: Quality of Activity Objectives**

Table 13 demonstrates the extent to which the objectives are; *1) realistic and defined in terms of measurable results; and 2) directly related to the problems to be solved and to the goals of the comprehensive development plan.* More information about alignment to Weaknesses and Significant Problems identified in the Comprehensive Development Plan is shown in Table 15.

<b>Table 13: COMPASS Activity Objectives and Measurable Performance Indicators</b>	
<b>Annual Activity Objectives</b>	<b>Performance Indicators</b>
<b>Year 1: 2023-2024</b>	
Students enrolled in high DFW courses will be identified to participate in ASCEND and use a pilot of the COMPASS coaching model	<ul style="list-style-type: none"> <li>● 4 Success Coaches hired and trained, and cohorts of students assigned to each coach.</li> <li>● The number of full-time degree-seeking students increases by 2% from baseline</li> <li>● The percentage of first-time, full-time degree-seeking students who are retained from Spring semester of their first year to Fall semester of the second year increases by 2% from baseline</li> <li>● At least 15% of eligible students participate during Y1.</li> </ul>
Incumbent professional advisors and faculty will complete professional development in the new coaching model and develop train-the-trainer modules.	<ul style="list-style-type: none"> <li>● 4 incumbent professional advisors complete NACADA training in coaching methods</li> <li>● Incumbent professional advisors provide train-the-trainer modules for 4 new coaches</li> </ul>
The BV Microbiology Lab will be retrofitted and equipped and ready for student use.	<ul style="list-style-type: none"> <li>● New equipment is procured and installed</li> <li>● Microbiology lab usage increases by 33%</li> </ul>
ASCEND and COMPASS coaching will be scaled to impact more students.	<ul style="list-style-type: none"> <li>● Pass rates for historically high failure courses increase through coaching interventions.</li> <li>● Coaching interventions increase student retention rates by 10%</li> </ul>
The shared data drive will be available to faculty teaching high DFW courses	<ul style="list-style-type: none"> <li>● Faculty utilize shared data systems to identify students needing support and/or interventions</li> </ul>
An endowment fund for student success will be created.	<ul style="list-style-type: none"> <li>● Funds from Title III are matched with unrestricted funds from Toyota to create the initial fund pool.</li> </ul>
<b>Year Two: 2024-2025</b>	
Students enrolled in high DFW courses will be served through the revised coaching model and science boot camps.	<ul style="list-style-type: none"> <li>● 50% of BV students enrolled in high DFW courses will be served through the revised coaching model and science boot camps.</li> <li>● Incentivizing participation in bootcamps will result in higher participation rates.</li> </ul>
Professional coaches will complete professional development and serve as advisors for all students.	<ul style="list-style-type: none"> <li>● All professional coaches will participate annually in student success focused professional development</li> <li>● All coaches (8) will implement new functions of the coaching model.</li> </ul>
Microbiology lab and science boot camps will be accessible and available to more students.	<ul style="list-style-type: none"> <li>● Students requiring Microbiology will increase first attempt successful completion by 5% from baseline.</li> <li>● Students with DFW in science will participate in science boot camps to improve grades.</li> </ul>
Coaching improvements will increase retention rates.	<ul style="list-style-type: none"> <li>● Students who participate in ASCEND and COMPASS coaching will continue to be retained at 10% more than students who are not receiving coaching.</li> </ul>

Data dashboards will increase data-driven decision making	<ul style="list-style-type: none"> <li>Data dashboards will be fully operational, and staff will be trained in the use of dashboards for data analysis and how to leverage information for student success.</li> </ul>
<b>Year Three: 2025-2026</b>	
All students in a high DFW courses will be served through the COMPASS/ASCEND coaching model	<ul style="list-style-type: none"> <li>100% of students enrolled in a high DFW course will participate in coaching beginning at enrollment.</li> <li>The number of full-time degree-seeking students increases by 2% from Y2</li> <li>The percentage of first-time, full-time degree-seeking students who are retained from Spring semester of their first year to Fall semester of the second year will have increased by 2% from Y2</li> <li>The percent of students who graduate with an associate's degree will increase by 2% from Y1 baseline.</li> </ul>
Microbiology completion rates will improve due to increased access to lab and complementary interventions	<ul style="list-style-type: none"> <li>Students in health programs requiring Microbiology will increase first attempt successful completion by 5% from the previous year.</li> </ul>
Professional development modules delivered using a train-the-trainer model will increase efficacy and implementation of COMPASS strategies	<ul style="list-style-type: none"> <li>95% of BV faculty and staff will participate in student-centered professional development</li> </ul>
Coaching will be expanded to new programs to serve additional BV students.	<ul style="list-style-type: none"> <li>COMPASS success coaching will be available to students in new programs</li> <li>Students who receive coaching will continue to be retained at a 10% higher rate than students who do not receive coaching.</li> </ul>
A formative evaluation will document successful progress toward all COMPASS objectives.	<ul style="list-style-type: none"> <li>Evaluation results will demonstrate increased student year-to-year retention, increased degree attainment, lower DFW rates, integration and adoption of the success coaching model, and effectiveness of professional development.</li> <li>Assessment of financial data will demonstrate progress on endowment funding.</li> </ul>
A plan to grow the endowment fund for student success will be completed.	<ul style="list-style-type: none"> <li>A ten-year plan to increase, manage, and utilize the student endowment fund will be presented to BV administrators, the college Foundation, and other stakeholders.</li> </ul>
<b>Year Four: 2026-2027</b>	
The COMPASS program will be expanded and available to all students.	<ul style="list-style-type: none"> <li>All students at the college in a degree granting program will be involved in the coaching model from first enrollment through graduation.</li> <li>The number of full-time degree-seeking students increases by 2% from Y3</li> <li>The percentage of first-time, full-time degree-seeking students who are retained from Spring semester of their first year to Fall semester of the second year will have increased by 2% from Y3</li> <li>The percent of students who graduate with an associate's degree will be 2% higher than Y1 baseline.</li> <li>IR data regarding impact on DFW rates for targeted courses will demonstrate an across-the-board impact on DFW rates.</li> </ul>
Coaching improvements will increase retention rates in new programs.	<ul style="list-style-type: none"> <li>Students who participate in ASCEND and COMPASS coaching will continue to be retained at 10% more than students who are not receiving coaching.</li> </ul>

The increase in students completing Microbiology on first attempt will correlate to a decrease in time to degree completion in health programs.	<ul style="list-style-type: none"> <li>By the end of Y4, students in health programs requiring Microbiology will increase first attempt successful completion by 5% from Y3.</li> </ul>
Contributions to the supportive services endowment fund will be increased through targeted fundraising activities.	<ul style="list-style-type: none"> <li>The BV Foundation will demonstrate a 5% increase in endowment contributions over the initial investment.</li> <li>The endowment subcommittee will have developed a fund development plan to disseminate to stakeholders.</li> </ul>
<b>Year Five: 2027-2028</b>	
Evaluations will show increased faculty and staff competence and confidence in implementing student success strategies.	<ul style="list-style-type: none"> <li>Eight faculty members will have provided mentoring and oversight for industry-specific student internships by the close of the grant period.</li> </ul>
Increased institutional use of data will improve enrollment, retention, completion, and fundraising.	<ul style="list-style-type: none"> <li>Faculty and staff will have access to an electronic repository of five years of professional development activities.</li> <li>Online learning communities of faculty and staff will be developed in support of student success strategies.</li> <li>Staff adoption and use of technology-based student advising services will result in enhanced cross-departmental communication.</li> </ul>
Title III performance measures will be attained, or mitigation strategies will be implemented where needed.	<ul style="list-style-type: none"> <li>Evaluation results will demonstrate increased student year-to-year retention, associate degree attainment, and integration and adoption of student success platforms and professional development.</li> <li>The number of full-time degree-seeking students enrolled at BV will have increased 2% annually over the 5-year grant period.</li> <li>The percentage of first-time, full-time degree-seeking students who are retained from Spring semester of their first year to Fall semester of the second year will have increased by 2% annually over the 5-year period.</li> <li>The percentage of students who complete an associate degree within three years of first enrollment will increase by to 50% by the end of the Title III grant <del>to</del> period.</li> </ul>
A plan to sustain ASCEND and COMPASS services will be developed.	<ul style="list-style-type: none"> <li>The endowment committee will update and disseminate the 10-year plan to increase and sustain the endowed student opportunity fund.</li> <li>A minimum of three additional sources of endowment match funding will be identified to sustain Title III investments.</li> </ul>



**Section D: Quality of Implementation Strategy**

Table 14 demonstrates the extent to which: (1) *The implementation strategy for each activity is comprehensive; and (2) The timetable for each activity is realistic and likely to be attained.* The table shows implementation throughout the five-year Title III SIP grant program. The table expands on the logic model and includes the primary grant program staff that will carry out each task in order to meet annual objectives and overall goals. Expected results further integrate with the project evaluation plan.

<b>Table 14: COMPASS Implementation Activities, Timeline, and Implementers</b>		
<b>Activity</b>	<b>Timeline</b>	<b>Implementer(s)</b>
<b>Project Launch and Capacity Building Activities</b>		
Title III SIP Project Coordinator hired and on-boarded	By 12/31/23	-Director of Human Resources -COMPASS Co-Directors (Dixon/Jones)
Success coaches (4) hired and trained	By 4/1/24	-Director of Human Resources -COMPASS Co-Directors (Dixon/Jones)
<b>Transition from Advising to Coaching Activities</b>		
<b>Activity</b>	<b>Timeline</b>	<b>Implementer(s)</b>
<b>Coaching Model Process Activities</b>		
<i>Pre-enrollment:</i> Success coaches help students navigate the enrollment process, including registering for classes, financial aid sign-up, and assessing students on an advisement checklist	All Coaching Process Activities will begin 10/1/24 and will continue throughout the rest of the grant period.	BV Institutional Research Office (to track all student performance outcomes), Chairs of Strategic Planning Committees, VP of Student Affairs/COMPASS Co-director, COMPASS Program Coordinator, Dean of Students, Advising Coordinator, coaches
<i>First and second semester of student enrollment:</i> Success coaches meet with students once each month or as requested to provide referrals to wraparound or emergency services, individualized success plans, interventions		
<i>Second year of student enrollment:</i> Success coaches meet with returning students twice per semester, and with first year students using Y1 protocols.		
<i>Completion Coaching:</i> Case management is provided by completion coaches who help the student prepare for employment. Case management continues after graduation with completion coaches checking in quarterly to track employment placement and retention.		



<b>Complementary Student Success Strategies</b> -Incentives, textbook assistance -Rideshare vouchers, emergency funds	Services for students will begin 10/1/23 and continue through the end of the grant	COMPASS Program Coordinator, Coaches, Faculty
<b>Data Dashboard and Advising Software Activities</b>		
<b>Activity</b>	<b>Timeline</b>	<b>Implementers</b>
Planning committee recommends advising software	By 6/30/24	Planning committees, IT
Advising software is procured	By 10/1/24	Purchasing, IT
Advising software installed and operationalized	By 12/31/24	IT
COMPASS staff and faculty trained on functions of advising software	All coaches/advisors trained by 2/1/25	COMPASS Coordinator, Advising Coordinator, IT, Director of Student Success
<b>Professional Development Activities and Train-the-Trainer to Scale Professional Development</b>		
Incumbent advisors attend professional development (NACADA, other) with a focus on gaining strategies to implement a comprehensive coaching model. Areas of focus may include DEI&A, coaching and mentoring for special populations (e.g., underserved, underrepresented, veterans), early alert systems, coaching to fidelity, evidence-based interventions.	10/1/23-6/1/24	Incumbent success advisors, ASCEND staff
The advisors who have completed professional development activities will design training modules for new coaches and faculty. These trainers will develop a training schedule and work with other BV staff (see implementers) to deliver professional development. As new coaches and faculty are trained, they will become trainers for other colleagues as the program expands.	4/1/24-ongoing through grant period	Success coaches, Institutional Research, Information Technology, Academic Deans, Director of Instructional Technology and Library Services, Academic Technology Coach, Faculty
An online repository of professional development activities will be built and made available to new and continuing staff and faculty.	4/1/24-ongoing through grant period	Institutional Research, Information Technology, Academic Deans, Director of Instructional Technology and Library Services, Academic Technology Coach
PD Focus on sustaining student success, completion, and retention. <ul style="list-style-type: none"> <li>• Topics will include a Title III project review of performance measures, activities, impact, best practices, mitigation of challenges, and planning for sustainability n.</li> <li>• The online professional development repository will be updated to include Year 5 training, creating an accessible five-year archive of professional development.</li> </ul>	10/1/27-10/1/28	
<b>Upgrades to Micro Lab and Science Bootcamps for Increased Student Success in Health Programs</b>		
<b>Activity</b>	<b>Timeline</b>	<b>Implementers</b>
Lab equipment and supplies will be procured (see budget narrative for description)	By 12/1/23	Dean of General Education/COMPASS Co-Director (Dixon), BV Business Office, Administrative assistant to Dean

Lab will be retrofitted with leveraged funding from State funding	By 2/1/24	BV Facilities/Maintenance staff
Equipment will be installed and tested	By 3/1/24	Facilities staff, Microbiology faculty
Students will have increased access to lab	By 6/1/24	
<b>BV Fundraising Committee and Foundation Activities to Support and Sustain COMPASS</b>		
<b>Activity</b>	<b>Timeline</b>	<b>Implementers</b>
Convene a team and facilitate a process to establish a student opportunity endowed fund. The team will be composed of representatives from the BV Fundraising Committee, BV Foundation, college administration, alumni, and community partners (e.g., partners with fiscal management or capital campaign experience. Team will research models of postsecondary endowments and investment strategies.	By 1/1/24	BV strategic plan Fundraising Committee, BV Foundation Director, CFO, community partners, college alumni, Swim Consulting, BV administration
The team (above) will produce a PowerPoint or brief to disseminate to BV stakeholders to introduce the endowment fund.	By 9/30/24	Implementers above, Director of Outreach and Communication
The team will cultivate new endowment fund gifts and contributions	Starting 10/1/25 and continuing to close of grant period and in follow-on years as a sustainability activity	Team named above
<b>Evaluation and Project Management Activities</b>		
Detailed data collection procedures and formative and summative evaluation plans as outlined in Quality of Evaluation Plan	Beginning upon award and ongoing throughout grant period	External Evaluator, COMPASS Co-Directors, COMPASS Program Coordinator, Success coaches, faculty, students, Institutional Research
<ul style="list-style-type: none"> <li>• Convene internal COMPASS Title III management team</li> <li>• Disseminate COMPASS information to relevant stakeholders</li> <li>• Support full integration of COMPASS activities into BV operations and culture</li> <li>• Ensure that the Title III project is in compliance with all U.S. Dept. of Education requirements, including budgeting for allowable activities and delivering annual performance reports.</li> </ul>	By 10/1/23 By 11/1/23 and ongoing By 10/1/26  10/1/23-project close-out	COMPASS Co-Directors, COMPASS Project Coordinator, Institutional Research, Strategic Planning Committees, CFO, Director of Outreach and Communication

**Table 15 addresses Section D Criterion 2: Describes a rationale for the implementation activities and how the activities are supported by relevant studies or projects. Rationale and evidence are linked to the Logic Model and Logic Model Narrative.**

<b>Table 15. COMPASS Implementation Activities are Evidence-based and Related to the Problems</b>	
<b>Activity Category</b>	<b>Rationale and Relationship to Comprehensive Development Plan Weakness or Significant Problem</b>
Integration of intensive coaching and ASCEND strategies	See Logic Model Narrative, Evidence supporting Assumption 1. <b>Weaknesses - Academic Programs (WAP)</b> <b>WAP.1:</b> Pass rates are low in commonly sequenced general education courses. <b>WAP.2:</b> Professional advisors' and faculty advisors' functions and communication are not integrated nor seamless. <b>WAP.3:</b> Student retention rates are too low (see Table 6, BV Retention Data). <b>WAP.4:</b> The number of students graduating with associate degrees within three years is too low. <b>Significant Problems – Academic Programs: (SPAP)</b> <b>SPAP.1:</b> BV's current advising model does not support students throughout their experience. <b>SPAP.2:</b> Professional advisors' caseloads are unmanageable (up to 425 students per advisor).
Data dashboard and advising software to increase data-driven decision making	See Logic Model Narrative, Evidence supporting Assumption 2. <b>Significant Problems – Institutional Management (SPIM)</b> <b>SPIM.2:</b> BV currently experiences uneven data-driven decision making across the institution.
Professional development for coaches and faculty	See Logic Model Narrative, Evidence supporting Assumption 3. <b>Significant Problems – Academic Programs: (SPAP)</b> <b>SPAP.1:</b> BV's current advising model does not support students throughout their experience. <b>SPAP.2:</b> Professional advisors' caseloads are unmanageable (up to 425 students per advisor).
Wraparound Services, Emergency Funds, and participation incentives for students	See Logic Model Narrative, Evidence supporting Assumption 4. <b>Weaknesses – Institutional Management (WIM)</b> <b>WIM.1:</b> Challenges in addressing the unique socioeconomic and environmental factors of the region's populations (high poverty, opioid abuse, rurality, job losses, etc.) <b>WIM.2:</b> Need to increase the scope of ASCEND to other programs with high DFW rates. <b>Significant Problems – Academic Programs: (SPAP)</b> <b>SPAP.3:</b> Significant external barriers (e.g., family responsibilities, jobs, transportation) impact student attendance and results in lower retention and completion.
Endowed student opportunity fund	Benefits of endowments are demonstrated by evidence: <ul style="list-style-type: none"> <li>● Endowments allow institutions to deliver greater value and attain higher levels of quality than would otherwise be possible.</li> <li>● Reliable long-term support from an endowment enables institutions to increase student aid, make commitments to senior faculty, initiate pioneering research, develop stronger teaching programs, invest in new technologies, and maintain their libraries, laboratories, and other physical assets.</li> </ul>

<ul style="list-style-type: none"> <li>Institutions need long time horizons to make capital improvements, build strengths in emerging academic fields, and adapt to the changing needs and interests of their students and the broader society.<sup>16</sup></li> </ul> <p><b>Significant Problems – Fiscal Stability (SPFS)</b>  <b>SPFS.1:</b> Fundraising efforts are not consolidated or diversified.  <b>SPFS.2:</b> The college is only nine years old, so the lack of a strong, developed alumni base limits fundraising opportunities and prevents immediate growth.</p>
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**Section E: Quality of Key Personnel**

BV has developed a staffing plan and identified key personnel who can successfully implement and manage all activities of the COMPASS program. The staffing plan below shows both grant-funded and leveraged positions with percentage of time to the project. The institution and project organizational charts show the placement of the project within the college. Project staff will have the capacity, expertise, and qualifications to successfully meet all project outcomes.

<b>Table 16: COMPASS Staffing Plan</b>		
<b>Title III Grant-funded Positions</b>		
<b>Name/Title</b>	<b>Role/Commitment</b>	<b>Project Focus/ Activities</b>
New Hire (see position description below)	COMPASS Project Coordinator 1.0 FTE to project year 1-5	Project management, coordination, and implementation (see responsibilities below)
Renee Lester Director of Student Success/Student Affairs	COMPASS Student Advising Coordinator .50 FTE to project years 1-5	Coordination of COMPASS coaching and professional development activities
Student Success Coaches/Advisors (4 positions)	4 COMPASS Success Coaches @ 1.0 FTE per position beginning Q3 of year 1 and continuing through year 5	Implementation of coaching model, interface with program advisor, tracking students, providing access to textbook assistance, emergency funding, rideshare vouchers, and incentives for students
WorkEd Consulting	External Evaluator	Project evaluation, reporting, dissemination
<b>Leveraged BV Personnel Committed to Title III SIP Activities</b>		
Dr. Todd Jones Vice President of Student Affairs	Title III SIP Project Co-director .05 FTE to project (all years)	Project oversight and integration: student advising and support activities
Kristi Dixon Dean of General Education	Title III SIP Project Co-director .05 FTE to project (all years)	Project oversight and integration: academics and faculty professional development

<sup>16</sup> Understanding College and University Endowments. (2021). American Council on Education. Retrieved from <https://www.acenet.edu>

Adam Ferrell IT Director	Institutional Technology .05 FTE to project years 1-5	Development and integration data dashboard, implementation and training related to advising software
James McDougal Dean of Students	Title III SIP Manager .05 FTE to project (all years)	Direct oversight of COMPASS Project Director and Success Coaches
James Fauver Chief Student Systems Officer and Institutional Research	Student Systems Administrator .05 FTE to project years 1-5	Development, integration, and coordination of data, reporting, analysis, and compliance
Incumbent Professional Advisors (4 advisors)	4 advisors x .10 FTE per advisor to Title III COMPASS activities	Planning and implementation of new coaching model, provision of train-the-trainer programs for all Success Coaches
<b>Andrea Petry</b> Director, BV Foundation	Time as required to implement endowment related Title III initiatives	Collaborate with fundraising subcommittee of the Strategic Planning committee to support endowment investing activities
Katrina Witt Director of Human Resources	Time as required for staff recruitment and hiring	Human resources support to achieve staff capacity for COMPASS activities
Cathy Aquino Chief Financial Officer	Time as requested for fiscal management and accountability	AOR for grants.gov, coordination with project team to prepare required financial reports, coordination with Dept. of Ed. Program officer as needed for fiscal matters

**Table 17: BV Title III SIP (COMPASS) Key Personnel Qualifications**

**Compass Project Coordinator (new hire, 1.0 FTE, 12-months, grant funded).** Reporting to the Dean of Students, the Title III Project Coordinator will effectively implement and coordinate academic and support services for students served through Title III programs. The position is responsible for onboarding, engaging, and seeing students through to successful completion.

**Responsibilities**

- Develops and monitors a comprehensive program of academic, advisement, career, and financial support services for COMPASS students;
- Develops and implements strategies for improve student retention and performance in collaboration with other student success programs and academic departments;
- Implements academic interventions and other initiatives to improve students' performance and retention;
- Oversees budget (in collaboration with Co-directors and CFO) and daily administration of the Title III grant;
- Develops and manages a process for program participants to receive incentives, emergency funds, and other support funds;
- Develops, and implements best practices for student retention and success;
- Enrolls and tracks COMPASS participants to ensure student persistence and success;
- Tracks grant participants and collaborates with external evaluators and leveraged staff to ensure accountability and federal grant reporting.

**Qualifications**

- Bachelor's degree with a preference for major in Counseling, Leadership, Student Services, Education, or related field
- 2 years related experience
- Knowledge of best practices in student success, Title III or TRIO experience preferred
- Strong computer skills

- Ability to work as an effective team member
- Ability to make public presentations in small or large group settings
- Strong skills in communication, setting priorities, organization, and time management

**COMPASS Student Success Coaches (new hires, 4 1.0 FTE positions, 12 months, grant funded)**

Title III Student Success Coaches promote student success and increase student enrollment and retention by promoting and recruiting for programs, referring students at risk or in need of additional resources with the primary objective to assist with making informed decisions concerning their educational goals.

**Responsibilities**

- Assist students in identifying their interests, abilities, and academic goals and in making decisions regarding their academic career;
- Contact and meet regularly with students to discuss needs, monitor academic progress, and assist with the resolution of academic and personal challenges;
- Develop a first semester schedule for all new students and as needed for re-admits and transfers;
- Develop and coordinate relationships with various offices on campus (i.e., student affairs, academic divisions, business office, etc.) to better serve students;
- Identify and assist struggling or at-risk students including making appropriate referrals to other college resources such as boot camps and workshops;
- Interpret testing results relevant to placement decisions; determines student readiness for college programs;
- Interpret and reviews career assessments with students during their first semester advising appointment to determine program of study;
- Educate students about course planning and registration processes, make referrals to on-and off-campus resources to assist students in achieving personal, educational and career goals;
- Manage appointments and follow up with new students through the onboarding process;
- Initiate retention contacts with advisees who are behind in registration for the subsequent semester;
- Audit, monitor, and evaluate each participating student's academic progress;
- Make appropriate referrals to students perceived as at-risk, act as an advocate as appropriate;
- Manage caseload (first semester through graduation) including, communicating with students on grades, academic and personal concerns, registration, and general guidance;
- Provide regular reports on student progress to assist with assessment of programs and student success;
- Manage the Early Alert Management System (BEAMS), to ensure program and student success;
- Provide training to faculty on the Early Alert program and collaborate on ways to continue to assess and improve the program.

**Qualifications**

Education, Knowledge, & Experience

- Bachelor's degree in education, communication, social work, psychology, or related field
- 2 years of relevant experience, Title III or TRIO experience preferred

**Other Skills & Abilities**

- Ability to effectively communicate ideas and information, in written and oral format to students, faculty and staff.
- Excellent written and oral communication and interpersonal skills.
- Ability to work as an effective team member.
- Strong skills with computers, in setting priorities, organization, and time management.

**Renee Lester, Director of Student Success/Student Affairs ( grant funded at .5 FTE)**

Ms. Lester administers BV's Learn and Earn Program, including recruiting, placement, and tracking. She develops and maintains partnerships and relationships with business, industry and non-profits to keep college programs aligned to industry and community needs. Ms. Lester also oversees and manages the college's professional advising center, supervises and leads the freshman advising team, and supervises seven full-time staff members in the Career Services, Retention Services, Freshman Advising, and Testing Departments. She holds a Master of Science in Leadership from Grand Canyon University-Camelback.

**Kristi Dixon, Dean of General Education (.05 FTE to Title III, leveraged)**

Ms. Dixon has served as BV's Dean of the General Education Division since 2017. In this role, she leads all general education components in over thirty-five programs of study, manages nine direct reports, six department chairs, two program coordinators, and an executive secretary, and manages five operational budgets and many complex grant budgets. Ms. Dixon serves on a number of college and state committees, including Combined Course Numbering (State-level committee), College Representative, College Leadership Council, Institutional Learning Outcomes, Academic Standards Committee, Enrollment Management Committee, Enrollment Strategic Planning Committee Co-Chair, Higher Learning Commission Criterion 3 Chair, and Higher Learning Commission Steering Committee. In addition to her six years of experience as Dean of General Education, Dixon served three years as Department Chair of Social Sciences, has 20 years teaching experience in higher education, and 12 years teaching experience at the community college level. Dixon holds a Master of Arts Degree in Sociology from Marshall University and has completed coursework toward Ph.D. at Bowling Green State University.

**Todd Jones, Ed.D., Vice President of Student Affairs (.05 FTE to Title III, leveraged)**

Dr. Jones has served as VP of Student Affairs since July 2020. He has direct supervision over admissions, financial aid, registrar, and student services personnel including professional advisors, veteran's affairs, disability services, counseling, career services, testing and tutoring, and grant-funded programs Temporary Assistance for Needy Families, Gear Up, and AmeriCorps. Dr. Jones is Chair of the Enrollment Planning Committee and serves as one of three Strategic Plan Champions and chair of the Retention Committee. He led the COVID Response plan efforts for the institution, serves as a Title IX Co-Coordinator, and is a member of the Campus Safety Planning Committee. Dr. Jones served as Vice President for Student Affairs at Georgia Highlands College from 2013–2020, where he was Director of Admissions from 2005-2011. He holds an Ed.D. from the University of Georgia and an MA in Student Personnel Administration in Higher Education from Ball State University.

**James McDougal, Dean of Students (.05 FTE to COMPASS, leveraged)**

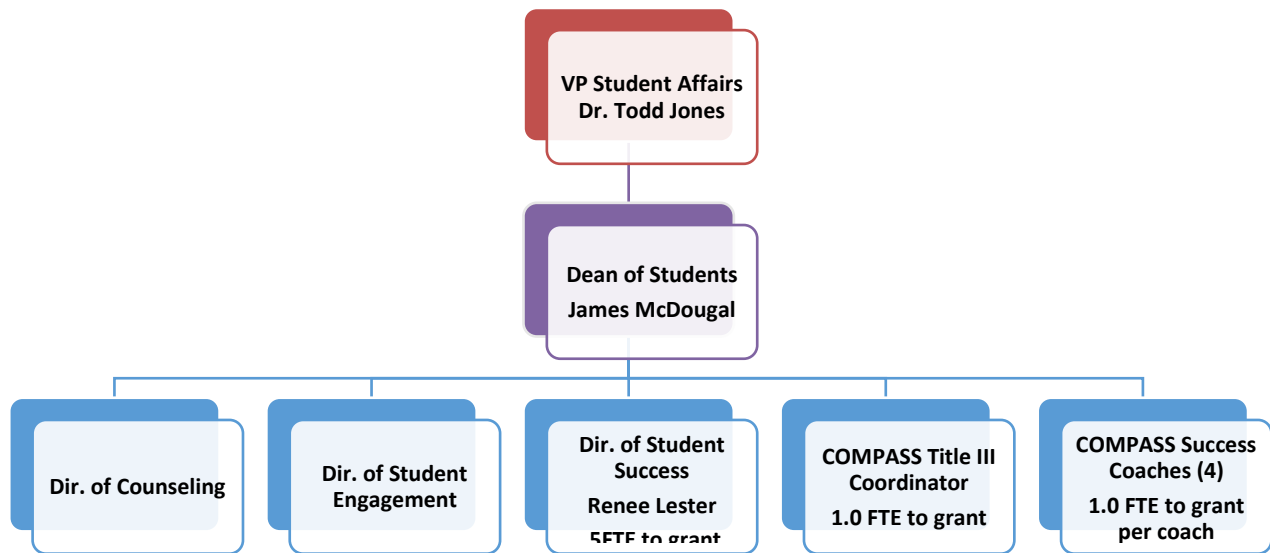
As Dean of Students, Mr. McDougal oversees a comprehensive student services division that includes the welcome center, judicial affairs, new student orientations, support programs and services, student life and engagement, career services, accessibility services, counseling services, student success center, advising, collegiate recovery program, retention programs, TANF services, leadership programs and the ASCEND program. He supervises a staff of 30+ full and part-time employees and serves on committees including College Leadership Council, Strategic Planning, Budgeting, Title IX Investigator, and Enrollment and Retention. He develops and manages an annual state appropriated budget of over \$150,000 and over \$2 million in grants and auxiliary funds for the Department of Student Services. Mr. McDougal holds a Master of Science in Strategic Leadership from the University of Charleston, Charleston (WV).

**External Evaluator: Mason Bishop, WorkEd Consulting:** Mason Bishop has 20 years of experience in workforce and higher education policy and programs, including management experience at both the state and federal levels in both workforce development and higher education. He is a recognized national expert on employment and postsecondary education policy, having served in executive management positions at the Utah Department of Workforce Services and Salt Lake Community College in Utah and at the Employment and Training Administration, U.S. Department of Labor in Washington.

## Section F: Quality of Management Plan

BridgeValley has defined a COMPASS project management plan that will ensure achievement of all project activities, objectives, and outcomes on time and within budget. Dr. Casey Sacks, President of BV, will have administrative authority over the project and is ultimately responsible for successful implementation of activities. The project will be under the authority of Co-directors Kristi Dixon, Dean of General Education, and Dr. Todd Jones, VP of Student Affairs. who have direct access to Dr. Sacks. The project’s day-to-day activities will be managed by the COMPASS Project Coordinator at 100% time and effort on a 12-month contract. The COMPASS Project Coordinator will be a direct report to James McDougal, Dean of Students; Mr. McDougal is a direct report to Dr. Todd Jones.

Figure 1. COMPASS Program in Student Affairs



The COMPASS Coordinator and staff will have sufficient authority to conduct the project effectively. The organizational chart **above** shows the COMPASS program placement within the institutional organizational chart. Dr. Jones, VP of Student Affairs, has a direct line to the BV President. To support alignment to institutional goals and ensure performance measures are met,



a Title III implementation committee will be convened. This committee will be made up of project personnel, representatives from Institutional Research, Advising, Academic Deans, Communications, Financial Aid, Administration, the BV Foundation, and the external evaluator (as needed). The committee will meet twice monthly during year one and once monthly in years 2-5. Dr. Todd Jones and Dean Kristi Dixon will chair and convene the committee, coordinate communications, and set meeting agendas. The committee will address progress toward meeting outcomes, identify barriers, and recommend mitigation strategies for challenges identified by the evaluator or project personnel. To ensure the project's success, the implementation committee will invite others to attend meetings as appropriate.

The COMPASS Project Coordinator will be responsible for all performance and financial reporting. BV's financial procedures separate grant funds from all other income sources in conformance with college and state policies. BV's financial management system records participant support costs as a separate category, and it records grant costs by line-item category in the approved proposal budget. The system has budget controls to preclude incurring obligations in excess of total grant funds and total funds available for a budget cost category. BV adheres to Office of Management and Budget Cost Principles and undergoes annual audits by the State of West Virginia with full budget authority subject to approval by the President.

While BV is confident that the strategies and activities chosen for this project will increase its likelihood of success, we also recognize potential barriers that may impact implementation. For example, the college may experience a delay in hiring project staff in the current competitive workforce environment. BV has prior experience addressing hiring challenges through collaborative planning with its network of employer, governmental, and community-based organization partners. Adjunct faculty are another ready resource and potential hiring pool.

## **Section G: Quality of the Evaluation Plan**

*Data elements and the data collection procedures are clearly described and appropriate to measure the attainment of activity objectives and to measure the success of the project.*

BV's evaluation plan is summarized in Table 18 and clearly outlines the data that will be used to assess the progress toward and achievement of activity objectives and the goals of the CDP, as well as baseline measures (where available) and a data collection timeline. The external evaluator and COMPASS project team will collaborate with BV's Institutional Research Department to leverage existing data sources (e.g., Banner SIS) and formulate new ones (e.g., advising software records and a student survey to assess the effectiveness of the COMPASS coaching model) for this purpose. Most data sources will be secondary to the external evaluator (collected at BV); the evaluator will collect primary data via stakeholder interviews. The required Title III SIP performance measure and BV's institutional measures relating to enrollment (overall and in Microbiology courses), retention, and degree completion within 3 years will also be tracked using relevant indicators with data sourced from Banner.

*Data analysis procedures are clearly described and are likely to produce formative and summative results on attaining activity objectives and measuring the success of the project.*

BV proposes formative data analysis to be conducted at regular intervals identified in Table 18 to produce insights on the effectiveness of the COMPASS coaching model in a timely manner. These insights will be shared with key stakeholders (project staff, faculty, administration) to facilitate continuous program improvement, allowing for adjustments to be made that may improve the model's effectiveness. Summative results will be presented at the end of the project period. Proposed analysis methods include descriptive and basic inferential statistical methods (quantitative data) and content and thematic analysis (qualitative data.)

<b>Table 18 – BridgeValley Community and Technical College – Title III COMPASS Evaluation Plan</b>			
<b>Institutional Goal 1-Academic Programs: BV will address outcomes in classes with high DFW rates by providing wraparound services from ASCEND and providing intentional advising through an integrated coaching model supported by updated advising software.</b>			
	<b>Activity Objective</b>	<b>Data Sources(s) &amp; Analysis Method(s)</b>	<b>Baseline &amp; Timeline</b>
1.1	By the end of Y1, students enrolled in high DFW courses will all be given the opportunity to participate in ASCEND and use a pilot of the COMPASS coaching model; at least 15% of eligible students will participate during Y1.	Banner (BV Student Information System) / determine frequencies and percentages of eligible students (enrolled in high DFW courses) and students participating in coaching pilot	No students are currently participating in a pilot/ After each semester, Year 1
1.2	By the end of Y1, incumbent professional advisors and faculty will complete professional development in the new coaching model and develop train-the-trainer modules.	Training records, project reports	N/A / End of Year 1
1.4, 2.4, 3.4, & 4.2	By the end of Y1, students who participate in ASCEND and COMPASS coaching will be retained at 10% more than students who are not receiving coaching (and continue to be at the same rate, years 2-4)	Banner & advising software indicators identifying students receiving ASCEND and COMPASS coaching (assess for statistical significance in rate differences between overall retention rate and eligible students receiving services using t-tests or ANOVA)	F 2021-S 2022 Overall Retention Rate: 67.5% F 2022-F 2022 Overall Retention Rate: 44.7% After each semester & academic year
	Student satisfaction with COMPASS coaching model	Student survey/ descriptive statistics, content and thematic analysis for open-ended questions	N/A / Each semester
2.1	By the end of Y2, 50% of BV students enrolled in high DFW courses will be served through the revised coaching model and science boot camps.	Banner indicators identifying students in high DFW courses, advising software & bootcamp participation records/ determine frequencies and percentages of participating & eligible students	N/A / End of Year 2
2.2	By the end of Y2, 8 professional (staff) coaches will complete professional development and serve as advisors for all students.	Training records	Current number of student advisors/ End of Year 2
3.1	By the end of Y3, 100% of students enrolled in a high DFW course will participate in coaching beginning at enrollment.	Banner & advising software indicators identifying students in high DFW courses/ determine frequencies and percentages of eligible and participating students	N/A / End of Year 3
4.1	At the close of Year 4, the COMPASS model will be embedded in college culture so that all students at the college in a degree granting program will be involved	Banner & advising software indicators/determine frequencies and percentages of participating and total eligible (all degree-seeking) students	N/A / End of Year 4

	in the coaching model from first enrollment through graduation.		
<b>Institutional Goal 2-Institutional Management:</b> BV will address student poverty and other socioeconomic barriers by expanding ASCEND strategies, expanding access to science lab facilities, and increasing adoption of data-driven decision making.			
	<b>Activity Objective</b>	<b>Data Sources &amp; Analysis Method (s)</b>	<b>Baseline &amp; Timeline</b>
1.3	By the end of Y1, the BV Microbiology Lab will be retrofitted and equipped and ready for student use.	Project purchase records and reports	Current facilities / End of Year 1
1.5	By the end of Y1, faculty teaching high DFW courses will all access the college shared data drive to look at student retention and completion outcomes tied to their courses.	Project reports and faculty interviews / content and thematic analysis	Current state of faculty access to retention and completion data for students enrolled in their courses / End of Year 1
2.3, 3.2, 4.3	By the end of Y2, students in health programs requiring Microbiology will increase first attempt successful completion by 5% from baseline (and increase successful completion by 5% from each prior year, Years 3-5). *Will also track enrollment increases from baseline in Microbiology course.	Banner indicator identifying students enrolled in Microbiology, fields containing pass/fail indicators and grades; comparison to a composite of the same data in prior semesters (assess for statistical significance using t-tests or ANOVA)	Year 2 baseline - Most recent last 2 semesters first-attempt successful Microbiology completion rate composite; Year 3, increase of 5% over Year 2; Year 4, increase of 5% over Year 3/ End of Years 2, 3 & 4
2.5	By the end of Y2, BV's data dashboards will be fully operational, and staff will be trained in the use of dashboards for data analysis and how to leverage information for student success.	Project reports and staff & faculty interviews/content and thematic analysis	Current state of dashboards and staff/faculty utilization/ End of Year 2 and ongoing thereafter
3.3	By the end of Y3, the number of faculty and staff who participate in student-centered professional development will increase to 95%.	Professional development participation logs	2023 student-centered professional development rate / End of Year 3
3.5, 5.1	At the close of Y3, the evaluator will complete a formative evaluation to document successful progress toward all COMPASS objectives, including increased faculty and staff competence and confidence implementing student success strategies.	Formative evaluation report and results	SWIM reports and strategic plan SOAR analysis success efforts/ End of Year 3
5.2	By the close of the Title III grant, BV will demonstrate increased institutional use of data to inform enrollment, retention, completion, and fundraising strategies.	Project reports and staff & faculty interviews/content and thematic analysis	SWIM reports and strategic plan SOAR analysis / End of Year 5
5.3	A summative project evaluation will document successful attainment of student, staff, and institutional objectives and Title III performance measures.	All data sources & analysis methods cited	All baseline measures/ End of Year 5

**Institutional Goal 3-Fiscal Stability:** BV will enhance long-term stability by creating an endowed student opportunity fund to support ASCEND support services and student emergency expenses.

	<b>Activity Objective</b>	<b>Data Sources/Analysis Method</b>	<b>Baseline &amp; Timeline</b>
1.6, 3.6	By the end of Y1, an endowment fund for student success will be created; by the close of Y3, a 10-year plan to grow the endowment will be completed.	Project reports & interviews with administration/content analysis; endowment plan document	Current state (no endowment or plan) / End of Years 1 & 3
4.4	Contributions to the supportive services endowment fund will be increased through targeted fundraising activities.	Interviews with administration / content and thematic analysis	Current state (no endowment) / End of each year
5.4	ASCEND and COMPASS service will be institutionalized with the endowment fund for supportive services.	Documentation of available endowment funding & plans for use	End of Year 5

**Section H: COMPASS Title III SIP Budget and Budget Narrative**

The Budget Narrative demonstrates how the proposed costs are necessary and reasonable to implement COMPASS activities and achieve performance outcomes and overall objectives. The description justifies how funds in each line item of the budget (Form SF-424A) will be used to support the proposed project. Total costs described in the narrative total match the total project costs listed in the SF-424. This cost proposal supports a 60-month period of performance.

Cost Center	Year 1 10/01/2023- 09/30/2024	Year 2 10/01/2024- 09/30/2025	Year 3 10/01/2025- 09/30/2026	Year 4 10/01/2026- 09/30/2027	Year 5 10/01/2027- 09/30/2028	Total
Personnel	\$130,000	\$190,000	\$190,000	\$190,000	\$190,000	\$890,000
Fringe	\$40,300	\$58,900	\$58,900	\$58,900	\$58,900	\$275,900
Travel	\$16,420	\$6,910	\$6,910	\$6,910	\$6,910	\$44,060
Equipment	\$12,960	\$0	\$0	\$0	\$0	\$12,960
Supplies	\$91,130	\$35,000	\$35,000	\$35,000	\$35,000	\$231,130
Contractual	\$26,000	\$26,000	\$26,000	\$26,000	\$26,000	\$130,000
Construction	\$0	\$0	\$0	\$0	\$0	\$0
Other	\$128,390	\$128,390	\$128,390	\$128,390	\$128,390	\$641,950
<b>Total Direct Costs</b>	\$445,200	\$445,200	\$445,200	\$445,200	\$445,200	\$2,226,000
Indirect	\$0	\$0	\$0	\$0	\$0	\$0
<b>Total</b>	<b>\$445,200</b>	<b>\$445,200</b>	<b>\$445,200</b>	<b>\$445,200</b>	<b>\$445,200</b>	<b>\$2,226,000</b>

**A. PERSONNEL**

**1. COMPASS Project Coordinator (new hire) 1.0 FTE**

The Project Coordinator will have overall responsibility for execution of the scope of work, including progress monitoring, communicating and coordinating with employer partners, and ensuring activities align with the project vision. The Coordinator will work closely with other project staff and BV staff (*as shown in the Organizational Chart*) to ensure project outcomes are met. **This position is a new hire.** Please note: BV salary increases are merit-based; therefore, no across-the-board COLA is budgeted for project staff.

Year 1	Year 2	Year 3	Year 4	Year 5	Total
\$40,000	\$40,000	\$40,000	\$40,000	\$40,000	\$200,000

**2. COMPASS Success Coaches (4 new hires) 1.0 FTE per position**

COMPASS Success Coaches will work closely with students to ensure continuity of academic and supportive services, referrals to community-based services, and internal coordination of student success indicators. The Student Success Coaches will be hired and onboarded to start in Q3 of Project Year 1. These positions are new hires.

Year 1	Year 2	Year 3	Year 4	Year 5	Total
\$60,000	\$120,000	\$120,000	\$120,000	\$120,000	\$540,000

### **3. SIP Student Advising Coordinator .5 FTE**

The SIP Student Advising Coordinator (Renee Lester) will be responsible for coordination of advising and coaching activities in collaboration with the Title III Project Director. Ms. Lester will also direct and oversee expansion of employer connections for the project. Ms., Lester is an incumbent BV employee who has the expertise and institutional experience necessary to provide capacity to Title III implementation. BV is requesting funding for .5 FTE for Ms. Lester’s time commitment to COMPASS; the other .5 FTE of her time is paid through departmental funds.

Year 1	Year 2	Year 3	Year 4	Year 5	Total
\$30,000	\$30,000	\$30,000	\$30,000	\$30,000	\$150,000

### **Total Personnel**

Year 1	Year 2		Year 3	Year 4	Year 5	Total
\$130,000	\$190,000		\$190,000	\$190,000	\$190,000	\$890,000

### **B. FRINGE BENEFITS**

Fringe benefits for staff are calculated with BV’s fringe rate for full-time staff of 31%.

#### **A. Fringes: All Personnel**

Position	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Project Coordinator	\$12,400	\$12,400	\$12,400	\$12,400	\$12,400	\$62,000
Success Coaches (4)	\$18,600	\$37,200	\$37,200	\$37,200	\$37,200	\$167,400
Student Advising Coordinator	\$9,300	\$9,300	\$9,300	\$9,300	\$9,300	\$46,500
Total Fringes	\$40,300	\$58,900	\$58,900	\$58,900	\$58,900	\$275,900

#### **B. Total Salaries, Wages, and Fringe Benefits for Title III Personnel**

	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Salaries and Wages	\$130,000	\$190,000	\$190,000	\$190,000	\$190,000	\$890,000
Fringes	\$40,300	\$58,900	\$58,900	\$58,900	\$58,900	\$275,900
<b>Total Salaries and Fringes</b>	<b>\$170,300</b>	<b>\$248,900</b>	<b>\$248,900</b>	<b>\$248,900</b>	<b>\$248,900</b>	<b>\$1,165,900</b>

### **C. TRAVEL**

Travel expenses and costs for COMPASS advisors and faculty to attend professional development opportunities. During Year 1, BV’s incumbent advisors and faculty will engage in professional development by attending professional conferences and convenings (NACADA, other). In subsequent years, these advisors will deliver professional development in coaching best practices to new coaches and faculty using an evidence-based train-the-trainer model. Costs in Year 1 reflect this strategy, while costs for Years 2-5 will be less as professional development modules will be delivered by staff and faculty to increase the scope of COMPASS.

Year 1	Year 2	Year 3	Year 4	Year 5	Total
\$16,420	\$6,910	\$6,910	\$6,910	\$6,910	\$44,060

**D. EQUIPMENT (cost of \$5,000 or more per unit)**

Equipment to upgrade BV’s MLT lab will allow students to train on and become skilled in using the equipment that they will likely use during clinicals and jobs. The equipment list was developed based on recommendations from clinical sites and employers to ensure that students will be trained to employer specifications. Both pieces of equipment are required as safety protocols. Equipment will be purchased and installed in Year 1 to increase student access.

Year 1	Year 2	Year 3	Year 4	Year 5	Total
\$12,960	-	-	-	-	<b>\$12,960</b>

**Detailed Equipment List for MLT Lab**

Equipment Description	Costs
Laminar Flow Fume Hood for MLT Lab	\$7,010
18L Tabletop Sterilizer Autoclave for MLT Lab	\$5,950
<b>Total</b>	<b>\$12,960</b>

**E. SUPPLIES**

Supplies are necessary to provide resources for project implementation and project management. Purchase of supplies to the Microbiology lab will allow BV to fully equip the lab to industry standards. The list of supplies was developed in collaboration with employers to ensure that students will be trained to employer specifications. All lab supplies shown below will be purchased and installed during Year 1 of the project to expedite usage by students. A detailed list of supplies requested is in the attachments.

**Other Supplies: Supplies and Instructional Materials for Boot Camps**

Funds are requested to purchase consumable supplies and materials needed for Science boot camps. To qualify for COMPASS incentives, at-risk students must attend boot camps to address academic deficiencies. Supplies and material such paper, pens, markers, workbooks, notebooks and student consumable are requested for bootcamp participants per year

Year 1	Year 2	Year 3	Year 4	Year 5	Total
\$5,348.19	\$5,000	\$5,000	\$5,000	\$5,000	<b>\$25,348.19</b>

**Advising Software**

BV will purchase advising software and required licenses to give COMPASS coaches and faculty full access.

Year 1	Year 2	Year 3	Year 4	Year 5	Total
-	\$30,000	\$30,000	\$30,000	\$30,000	<b>\$120,000</b>

**Total Supplies**

Year 1	Year 2	Year 3	Year 4	Year 5	Total
\$91,130	\$35,000	\$35,000	\$35,000	\$35,000	<b>\$231,130</b>

**F. CONTRACTUAL**

**External Evaluator**

The external evaluator will implement all activities detailed in the evaluation plan in Section G.



Fees are appropriate and reasonable for the scope, scale, and duration of the Title III SIP project.

Year 1	Year 2	Year 3	Year 4	Year 5	Total
\$20,000	\$20,000	\$20,000	\$20,000	\$20,000	\$100,000

### Rideshare Vouchers for Students

Funding is requested to pay for vouchers with local rideshare companies (e.g., LYFT, Uber) for students who do not have other means of transportation. BV students have very limited access to public transportation and buses do not run consistently when students are required to be on campus for classes, labs, or coaching appointments. Students may also need transportation vouchers to participate in work-based learning or clinical sites. Rideshare funding is calculated based on 100 students per year at the typical annual usage cost of \$600 per student. BV will contract with the rideshare company to negotiate better rates.

Year 1	Year 2	Year 3	Year 4	Year 5	Total
\$6,000	\$6,000	\$6,000	\$6,000	\$6,000	\$30,000

### TOTAL CONTRACTUAL

Year 1	Year 2	Year 3	Year 4	Year 5	Total
\$26,000	\$26,000	\$26,000	\$26,000	\$26,000	\$130,000

### G. CONSTRUCTION: N/A

### H. OTHER

Other costs include direct student support costs for 1) incentives for those students who participate in COMPASS activities such as boot camps and coaching (must meet attendance/participation requirements), 2) textbook assistance for students who participate in COMPASS activities and who demonstrate need, and 3) emergency assistance funds for COMPASS students who request last-dollar monies for personal or family emergencies that may prevent them from attending classes. Emergency funds may be used for car repairs, rental assistance, or housing emergencies.

Detail – Student Support Costs	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Incentives for students (based on \$25 per month per student X 10 months a year and 125 students= \$31,250 per year) for students who qualify (see above).	\$31,250	\$31,250	\$31,250	\$31,250	\$31,250	\$156,250
Textbook Assistance (based on \$100 per student per semester x 45 students= \$40,000 per year)	\$4,500	\$4,500	\$4,500	\$4,500	\$4,500	\$22,500
Student Emergency funding (\$300 per student X 12 students per year for emergency car repairs, rental assistance, housing emergencies)	\$3,600	\$3,600	\$3,600	\$3,600	\$3,600	\$18,000
<b>Total Student Support Costs</b>	<b>\$39,350</b>	<b>\$39,350</b>	<b>\$39,350</b>	<b>\$39,350</b>	<b>\$39,350</b>	<b>\$196,750</b>

<b>Other: Endowment Fund Contribution</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>	<b>Total</b>
BV is requesting 20% of total annual grant funds to create an endowed fund within the BV Foundation. Endowment contributions from the Title III grant will be matched with unrestricted funds that will be drawn down annually.	\$89,040	\$89,040	\$89,040	\$89,040	\$89,040	<b>\$445,200</b>

**TOTAL OTHER**

<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>	<b>Total</b>
\$128,390	\$128,390	\$128,390	\$128,390	\$128,390	<b>\$641,950</b>

**I. DIRECT COSTS TOTALS**

<b>Line Item</b>	<b>Total</b>
Personnel and Fringe	\$1,165,900
Travel	\$44,060
Equipment	\$12,950
Supplies	\$231,130
Contractual	\$130,000
Other	\$641,950
<b>Total Direct Costs</b>	<b>\$2,226,000</b>

**Yearly Direct Cost Totals for Grant Performance Period**

<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>	<b>Total</b>
\$445,200	\$445,200	\$445,200	\$445,200	\$445,200	<b>\$2,226,000</b>

**J. INDIRECT COSTS (not allowable)**

**K. TOTAL PROJECT COSTS**

<b>Title III SIP Budget Request</b>					
<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>	<b>Total</b>
\$445,200	\$445,200	\$445,200	\$445,200	\$445,200	<b>\$2,226,000</b>
<b>Institutional Match for Endowment Funding</b>					
\$89,040	\$89,040	\$89,040	\$89,040	\$89,040	<b>\$445,200</b>

**Competitive Preference Priority  
BridgeValley Community and Technical College Title III Strengthening Institutions Grant  
Program (COMPASS)**

BridgeValley Community and Technical College's (BV) Title III SIP institutional goals demonstrate a foundational commitment to the components addressed in the CPP.

**Ensuring Success via Institutional Data Collection and Analysis**

BV's second institutional goal for COMPASS is to "*improve institutional data systems and increase staff capacity to support efficient intradepartmental coordination of data-informed decision making.*" The college's strategic planning consultant (Swim Digital) found that BV lacked a strategic approach to collecting and leveraging data to allow the college to inform enrollment and retention strategies. The consultants said it was evident that the College has a large amount of data available to be used, but data was not based on outcomes of staff and faculty activities. The consultants recommended that BV needed to "undergo a culture shift at an institutional level that empowers staff to use a data-driven approach."

With this new focus, in the past year BV has developed a college-wide data dashboard and identified crucial data collection and analysis needs, including setting milestones for degree/program completion, creating measurements for conversions of student inquiries to student applications and then to enrollments, creating a clear structure that encourages students to participate and engage in new student orientation, creating goals associated with graduation rates, and tracking student success indicators that impact retention and persistence. Although the college has made significant strides toward full integration and usage of student success data, BV currently experiences uneven data-driven decision making across the institution.

As demonstrated in the Logic Model Narrative (*Project Narrative, Table 12*), strong evidence supports the effectiveness of shared and integrated data systems and technology to increase

institutional capacity to make data-driven decisions. Data systems provide college personnel with valuable information about student progress, interventions, and equity gaps – all significant information necessary to improve student advising and success.

**A central objective of the COMPASS project is to increase access to and usage of integrated data collection and analysis to enhance student tracking, reporting, and required interventions.** By the end of Year 2 of the project, BV’s data dashboards will be fully operational, advising software will be integrated, and staff will be trained in the use and functionality of data analysis and how to leverage information for student success. Through these strategies, BV will be better positioned to make strategic decisions that will move the needle for student enrollment, retention, and completion.

#### **Ensuring Success using Evidence-based Advising Initiatives**

The Title III SIP COMPASS project will increase the scope and impact of BV’s ASCEND program by building capacity to scale and integrate this comprehensive student coaching and support model. The ASCEND program currently serves students in BV’s nursing, manufacturing, and information technology programs. COMPASS will increase institutional capacity to scale ASCEND strategies to programs across the institution and increase the number of students who receive intensive supports, increasing retention and completion impacts.

ASCEND replicates the City University of New York’s evidence-based Accelerated Study in Associate Programs (ASAP) model. ASAP has been replicated at community colleges across the U.S. as a successful model to improve retention and completion through providing financial resources and comprehensive support services. ASAP has been rigorously evaluated and is listed in the U.S. Department of Education’s What Works Clearinghouse as demonstrating positive effects for attainment; access and enrollment; and credit accumulation and persistence.

*BridgeValley COMPASS Program: Competitive Preference Priority*

MDRC found that ASAP students' three-year graduation rates rose by 18% (from 22% to 40%) and six-year graduation rates rose by 10%. An evaluation of ASAP programs at three Ohio colleges also reported positive findings, indicating the program can be replicated and adapted for local contexts. The follow-up study found that in addition to helping students graduate faster, the program also helped some students who otherwise would have never graduated to earn a degree (*see Table 12 in Project Narrative for all citations*). BV's current experience implementing ASCEND demonstrates that the college can transform the current advising process to an integrated, seamless coaching model to increase success outcomes for more students who are in courses with historically high failure rates.

### **Ensuring Success by Creating Flexible Learning Opportunities**

BV has designed flexible learning options to meet the needs of the large number of students who experience poverty or low income, who live in rural areas with limited access, and/or students who have responsibilities such as jobs and family commitments. BV offers in-person, online, and blended instruction to accommodate students' schedules. Web courses are 100% online with no face-to-face meetings and are taught asynchronously. Blended courses, taught either synchronously or asynchronously, are delivered 51-99% online with up to 50% of the time in a traditional classroom. Traditional classes are delivered face-to-face with many faculty using online course shells so students can easily access handouts, tests, and other course activities.

By procuring new advising software and integrating data dashboard functionality through COMPASS, more BV students will have increased access to flexible options for intensive coaching and advising. Additionally, COMPASS professional development modules will focus on training advisors to effectively deliver coaching and student supports using a variety of modalities.

*BridgeValley COMPASS Program: Competitive Preference Priority*

**BridgeValley Community and Technical College Title III Strengthening Institutions Grant Program (COMPASS)**

**Invitational Priority (IP):** *Implementation of activities that help students whose educations were interrupted by the pandemic and other challenges.*

BridgeValley's (BV) Title III SIP program **Creating Opportunities, Maximizing Performance, Assistance, & Student Success (COMPASS)** was developed to help students whose paths to completion of postsecondary education are challenged by educational barriers and socioeconomic factors. The range of activities proposed in the COMPASS application will serve all students, including those students who stopped out and are now reenrolled and those who are seeking to reenroll in college.

BV has the unique challenge of meeting the diverse needs of students who experience poverty or low income and/or who live in highly rural areas with limited access to education. Many students from the region have difficulty accessing postsecondary opportunities due to lack of financial resources, support services, transportation, and other factors such as family obligations and working one or more jobs while they are enrolled in college. BV is dedicated to increasing opportunities for all students, including those who are traditionally underrepresented and underserved.

Institutional data shows that 3,747 students stopped out of BV over the past five years, and that **72% of these students who stopped out had a D, F, or W (withdraw) in at least one class.** This chronic problem was exacerbated by the COVID-19 pandemic. BV closed its campuses in March 2020 as the pandemic shut down schools across the U.S. Immediately, BV faculty and staff began individualized outreach to all enrolled students via phone and e-mail. During the first weeks of the pandemic BV staff prioritized outreach and connections to students as the college pivoted to synchronous remote delivery of classes and labs. Throughout the spring and summer of 2020, these strategies worked to keep many students engaged, connected, and

enrolled. BV campuses reopened for fall semester of 2020 using safety protocols and other emergency strategies. BridgeValley received USDOEd CARES Act and CARES Act Higher Education Emergency Relief funds that provided emergency funding to sustain operations through the pandemic and following. Funds were used to purchase PPE to allow courses to continue for students requiring hands-on labs and in-person instruction.

Early in 2021, BV administrators implemented a plan to reengage students who had stopped out during and following the pandemic. The BV Registrar pulled data on all students that stopped out, and the academic deans then contacted each student urging them to reengage. Recruiting and advising staff focused on outreach activities to reconnect students to the college, and BV partnered with community-based organizations and supportive services provider to address students' barriers to returning to college.

During the past three years since the pandemic first shut down campuses, BV has proactively sought out funding and programmatic opportunities to enhance student services by addressing the environmental and institutional factors that contribute to students' lack of persistence. Most significant is BV's ASCEND program, which replicates the evidence-based CUNY ASAP program (*see Project Narrative for more information*). The Title III COMPASS program will increase the scale and impact of ASCEND strategies over the course of the five-year period so that all enrolled students across the college will have access to these programs. As students reengage and reenroll at BV, they will have enhanced academic supports and wraparound services designed to help them overcome barriers and persist to meet their educational goals.

## 84.031A Strengthening Institutions Program Profile

**INSTRUCTIONS:** *ALL applicants must complete these pages. The completed pages must be attached to the "Project Narrative Attachment Form" in the application package in the Grants.gov system (as a .PDF document). DO NOT MODIFY OR AMEND THESE PAGES.*

OPE ID # 04038600

1. INSTITUTION (Legal Name): **BridgeValley Community and Technical College**

2. Are you applying as a Branch Campus?

    YES

  X   NO

3. ADDRESS (Applicants must indicate the address where the project will be located):

Project Address: 2001 Union Carbide Drive

City: South Charleston            State: WV            Zip: 25303

4. ENDOWMENT FUND ASSURANCE:

**X**    By checking this box (or placing an "X" beside it), an applicant certifies that the institution of higher education proposes to use up to twenty percent (20%) of the Strengthening Institutions Program yearly grant award, made under the authority of Title III, Part A of the Higher Education Act of 1965, as amended, to establish or increase the institution's endowment fund. The institution agrees to abide by the Department of Education's regulations governing the Endowment Challenge Grant program, 34 CFR Part 628, the program statute, and the program regulations, 34 CFR Part 607. The institution further agrees to raise the required matching funds.



**5. COOPERATIVE ARRANGEMENT FOR PARTICIPATING INSTITUTIONS:** The applicant institution must provide for each participating institution: *the institution name, Unique Entity Identifier (UEI) number, location (city and state).*

<b>Institution Name</b>	<b>UEI Number</b>	<b>City</b>	<b>State</b>
BridgeValley CTC	SMZLQ48FEJF4	South Charleston	West Virginia

**6. TIE-BREAKER INFORMATION:**

If the selection process ends in a tie and funds are not sufficient to fund all institutions, we will use the information provided here to determine who will receive a grant. In accordance with Section 607.23(b), the Secretary will award up to three (3) additional points based on the information provided here.

TOTAL 2020-2021 FULL-TIME EQUIVALENT (FTE) STUDENTS = 1,178

A. Total market value of endowment fund at the end of 2020-2021                      \$ 732,844

B. Total expenditures for library materials during 2020-2021                              \$ 61,300

C. Check activities applicant proposes to carry out in application:

- a. Faculty development
- b. Funds and administrative management
- c. Development and improvement of academic programs
- d. Acquisition of equipment for use in strengthening management and academic programs
- e. Joint use of facilities
- f. Student services

**7. SIP APPLICATIONS & OTHER PROGRAMS:**

Check (if applicable)	Date Grant Awarded	Program Name	ALN #	Title	Part
		Alaska Native – Native Hawaiian Program (ANNH)	84.031N & 84.031W	III	A
		Hispanic-Serving Institutions Program (DHSI)	84.031S	V	A
		Promoting Postbaccalaureate Opportunities for Hispanic Americans Program (PPOHA)	84.031M	V	B
		Asian American Native American Pacific Islander-Serving Institutions Program (AANAPISI)	84.031L	III	A
		Native American-Serving Non-Tribal Institutions Program (NASNTI)	84.031X	III	A

If your institution currently has a grant with any of the programs listed below, please indicate which one and the year the grant was awarded. Note that an institution may not have two Title III, **Part A** grants or a Part A and a Title V grant simultaneously.

**The following attachment is not included in this view since it is not a read-only PDF file.**

**The agency will receive all application forms and attachments without any data loss.**

**ProjectNarrativeAttachments\_1\_2-Attachments-1242-BV\_TitleIII\_Attachment**

**\_BudNar.pdf**

## Abstract

An abstract is to be submitted in accordance with the following:

### 1. Abstract Requirements

- Abstracts must not exceed one page and should use language that will be understood by a range of audiences.
- Abstracts must include the project title, goals, and expected outcomes and contributions related to research, policy, and practice.
- Abstracts must include the population(s) to be served.
- Abstracts must include primary activities to be performed by the recipient.
- Abstracts must include subrecipient activities that are known or specified at the time of application submission.

For research applications, abstracts also include the following:

- Theoretical and conceptual background of the study (i.e., prior research that the 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, and dependent, independent, and control variables, as well as 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.]

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## 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**

### **BridgeValley Community and Technical College Title III SIP Grant Program**

#### **Project Title: Creating Opportunities, Maximizing Performance, Assistance, & Student Success (COMPASS)**

#### **Project Goals and Expected Outcomes:**

**Goal 1:** BV will address outcomes in classes with high DFW rates by providing wraparound services from a student support program (ASCEND) and providing intentional advising through an integrated coaching model supported by updated advising software.

*Expected Outcomes:* BV will scale an evidence-based student success and coaching model to increase student performance outcomes, decrease DFW, and increase institutional enrollment.

**Goal 2:** BV will address student poverty and other socioeconomic barriers by expanding ASCEND strategies, expanding access to science lab facilities, and increasing adoption of data-driven decision making.

*Expected Outcomes:* By implementing COMPASS activities, BV will expand access to all enrolled students, accelerate time to completion, and demonstrate increased institutional use of data to inform enrollment, retention, completion, and fundraising strategies.

**Goal 3:** BV will enhance long-term stability by creating an endowed student opportunity fund to support ASCEND support services and student emergency expenses.

*Expected Outcomes:* The endowment fund will demonstrate year-over-year growth to generate interest income for designated student support services.

**Contributions to Research Policy and Practice:** COMPASS will contribute to research on, and the practice of, scaling and integrating an evidence-based student success model at a community college. Train-the-trainer curricula developed in COMPASS will create open-access professional development resources that can be shared with other institutions. The process of establishing and growing an endowed fund for student success by diversifying fundraising strategies can provide a road map and model for other community colleges where fund development and endowment may not traditionally be viewed with an interdepartmental focus.

**Population Served:** The project will serve students enrolled at BV with a priority focus on students who have received a grade of D or F or who have withdrawn from a gateway course. All students enrolled in one or more English, biology, or mathematics courses will be able to opt in to COMPASS. Up to 250 students will be accepted into the program each year. To be eligible for participation incentives, students must attend a boot camp for a course they will take in the upcoming semester. When the student has satisfactorily completed boot camp and attended the first day of the class they will receive a stipend. To remain eligible to earn stipends, students will be required to meet with their success coach a minimum of twice monthly for the entire term.

#### **Primary Activities:**

**Key activities of COMPASS** include: 1) scaling and integrating a comprehensive student coaching and support model across the institution, 2) targeted professional development for coaches and faculty enhanced by a train-the-trainer delivery model, 3) increasing student success rates in healthcare pathways by maximizing lab facilities and delivering science boot camps, and 4) establishing an endowed student opportunity fund at the BridgeValley Foundation.

**There are no subrecipients in the project.**