

# Exhibit 11

VIRGINIA MILITARY INSTITUTE  
Lexington, Virginia 24450

Procurement Services  
Phone 540-464-7323  
Fax 540-464-7669

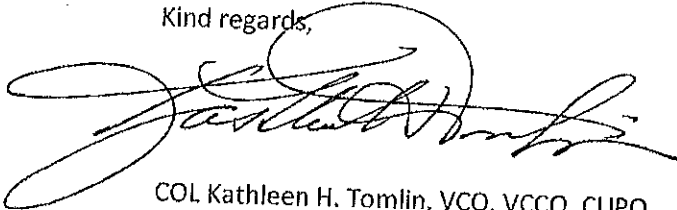
Center for Applied Innovation, LLC  
Robert C. Morris, Jr., COL, USA (Retired)  
214 Terrebonne Road  
Yorktown, VA 23692

Dear Mr. Morris,

We are in receipt of your email and letter both dated 31 January 2022. Once the evaluation and negotiation process for solicitation #V211-22-054 (Diversity, Equity and Inclusion (DEI) Consultation and Training is completed and an Intent to Award publicly posted, we will contact you to schedule an appointment to review the procurement records on Post as requested.

Thank you for your interest in the projects of the Institute.

Kind regards,



COL Kathleen H. Tomlin, VCO, VCCO, CUPO  
Director, Procurement Services

Cc: BG Dallas B. Clark  
LTC John Young  
MAJ Lynn Carmack  
Mr. Pat O'Leary  
File

314 Smith Hall

330 Parade Avenue

Lexington, VA 24450

# Exhibit 12



## Center for Applied Innovation, LLC

214 Terrebonne Road  
Yorktown, Virginia 23692  
FAX (U.S.): 1.270.477.708  
e-mail: [BobM@caihq.com](mailto:BobM@caihq.com)



February 9, 2021

Virginia Military Institute  
Procurement Services  
ATTN: Colonel Kathleen H. Tomlin, VCO, VCCO, CUPO  
Director, Procurement Services  
330 Parade Avenue, 314 Smith Hall  
Lexington, VA 24450  
Email: [TomlinKH@vmi.edu](mailto:TomlinKH@vmi.edu)

Via Email and U.S. Mail

SUBJECT: REQUEST FOR IMMEDIATE ACCESS TO THE FULL PROCURMENT FILE FOR RFP, PROJECT #V211-22-054<sup>1</sup>, Diversity, Equity, and Inclusion (DEI) Consultation and Training

Dear Colonel Tomlin:

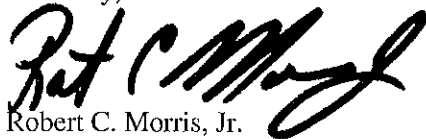
1. I am in receipt of your email dated February 9, 2022 and the attached UNDATED acknowledgement letter stating you are in receipt of my email and letter dated 31 January 2022. Please confirm that you also received my SECOND request for access to the full procurement file send when I did not receive a response to my original letter and email.
2. I note in your letter that once the evaluation and negotiation process for solicitation #V211-22-054 (Diversity, Equity and Inclusion (DEI) Consultation and Training) is complete and an Intent to Award publically posted you will contact me to schedule an appointment to review the procurement records on P0st as requested.
3. It is important to correct an error in your understanding of my request for access to the full procurement file.
4. Paragraphs 14 -16 of my letter specifically requested I be provided electronic copies of the full procurement record for my review vice being compelled to review the file "on Post" at VMI. First, I requested reasonable accommodations, as is my right and afforded to me due to my U.S. Department of Veterans Affairs recognized disability, the COVID pandemic and related matters. In addition, I am located Yorktown, Virginia with other members of my company who are required to participate in the review located in Northern Virginia. The normal drive time is up to 5 hours for me and longer for those personnel. Electronic access to the records is, therefore, both reasonable and warranted. In addition, during my experience contracting in the commonwealth it is routine practice for vendors to receive full electronic access to these files for such a review. The Virginia Department of General Services recognizes this and has, in the past, made the offer of secure FTP access.
5. Should you decide to deny these reasonable accommodations, please respond, well in advance of the NOI being awarded, to that denial and your specific reasons for doing so, including denial of my request to accommodate my disability.

---

<sup>1</sup> The request is being made so that CAI can determine whether a protest is warranted Refusal to grant the legally required access will result in an immediate lawsuit seeking an injunction and sanctions.

6. In the event you do deny me this access, please confirm that if compelled to review the files at VMI I will have full, unrestricted access, without any time or other limitations, so I (and whatever members of my team we deem necessary) may conduct a complete detailed review. Please also understand that, should I decide during my review of the records that I expect to obtain a full copy of the procurement records when I depart so I can prepare any protest or other challenge I may determine the need to submit. With my need to have physical copies of the files to submit any challenge that I may feel appropriate, it only make more sense and is clearly more reasonable for you to provide me electronic access of the procurement file as I requested.
7. If you will not allow me unrestricted and unlimited access or not provide me a copy of the complete file, please notify me now and detail the rationale for such restrictions.
8. I would also like to reaffirm that should CAI decide after review of the complete the complete procurement record, we are required to submit the protest in writing to no later than ten (10) working days after the posting of the Notice of Award or Notice of Intent to Award, whichever comes first (§ 2.2-4360), but that under the VPPA the ten (10) day period does not commence until such time as we obtain all records, for any source, required for us to prepare a protest should we desire to do so. This means that CAI must have physical records from the procurement file to submit with any protest. Again, this more than justifies your providing he records electronically as an eventual award could be substantially delayed while CAI waits for hard copy that we, at our sole discretion, determine are needed for any protest or related action. CAI is merely asking that it be provided with the access explicated required by law, so that it can timely file a protest, should it be warranted.
9. As with my original letter, I also reaffirm that we are not stating or implying a protest or intent to protest at this time and so our rights under the VPPA remain intact and the ten-day period has not yet commenced. We look forward to your cooperation in provided the legally required access Should the access not be provided, immediate legal action shall result.
10. Please acknowledge receipt of this request and advise of when we can expect your office's response to include, without limitation, your formal response to our request for electronic access to the full procurement file.

Sincerely,



Robert C. Morris, Jr.  
COL, USA (Ret)  
President  
Center for Applied Innovation, LLC

# Exhibit 13

*From:* "Tomlin, Kathleen H" <TomlinKH@vmi.edu>

*To:* "BobM@caihq.com" <BobM@caihq.com>

*Copies to:* "O'Leary, Patrick O, 'Pat'" <olearypo@vmi.edu>, "Carmack, Lynn W" <carmacklw@vmi.edu>

*Subject:* RE: Acknowledgement

*Date sent:* Mon, 28 Feb 2022 19:35:44 +0000

Dear COL Morris:

Further to your February 9, 2022 correspondence, this letter is to inform you that VMI has published the Notice of Intent to Award on the Request for Proposals for DEI Consultation and Training. We are currently preparing the documents requested for this solicitation to be sent to you electronically. Please confirm you have the capacity to receive a large file at this email address or suggest another delivery method. We anticipate the files will be ready within three business days.

Thank you again for your proposal and your interest in providing services to VMI.

Kind regards,

**Kathleen H. Tomlin**

Colonel

VCO, VCCO, CUPO

Director, Procurement Services

**Virginia Military Institute**

314 Smith Hall, Lexington, Virginia 24450-0304

540-464-7166 Office

[tomlinkh@vmi.edu](mailto:tomlinkh@vmi.edu) | [vmi.edu/procurement](http://vmi.edu/procurement)

# Exhibit 14



*From:* "Carmack, Lynn W" <carmacklw@vmi.edu>

*To:* "BobM@caihq.com" <BobM@caihq.com>

*Subject:* RE: Acknowledgement

*Date sent:* Mon, 7 Mar 2022 16:08:46 +0000

Bob,

Veritas Academy did not share their PowerPoint presentation with VMI, so there is no presentation to include. They ran the meeting from their computer and no documents were provided for review after the in person event. CK Strategies emailed theirs to me in advance so that I could have them for the panel. NewPoint Strategies was unable to use their Apple computer in our meeting room and emailed their presentation to me so that I could upload it to our system. They agreed to allow me to share the PDF with the team after the review.

According to the dropbox activity history, you deleted the New Point Strategies presentation on 3/3/22, but I have attached it to this email and put it back into dropbox.

I uploaded the 3 emails that I saw were missing from your review into a folder named Emails 2. Those should be available now.

Thanks,

Lynn Carmack

540-464-7223

cid:image001.png@01D76361.00D474A0

**NewPlatform Count-down! eVA is changing!**

Remain in the know by visiting the eVA Transition Newsroom:

[Next Gen eVA](#)

# Exhibit 15

*From:* "Tomlin, Kathleen H" <TomlinKH@vmi.edu>  
*To:* "Robert C. Morris, Jr., COL, USA (Retired) (BobM@caihq.com)"  
<BobM@caihq.com>  
*Subject:* FW: Procurment files and Protest Decision  
*Date sent:* Tue, 8 Mar 2022 19:17:05 +0000

COL Morris,

The complete procurement file was uploaded to your provided Drop Box site on 1 March 2022 at 2:20 p.m. The ten calendar day period will end at 5:00 p.m. on 11 March 2022.

Kind regards,  
Kathleen

**Kathleen H. Tomlin**

Colonel  
VCO, VCCO, CUPO  
Director, Procurement Services

**Virginia Military Institute**

314 Smith Hall, Lexington, Virginia 24450-0304  
540-464-7166 Office  
[tomlinkh@vmi.edu](mailto:tomlinkh@vmi.edu) | [vmi.edu/procurement](http://vmi.edu/procurement)



# Exhibit 16



## Center for Applied Innovation, LLC

214 Terrebonne Road  
Yorktown, Virginia 23692  
FAX (U.S.): 1.270.477.708  
e-mail: [BobM@caihq.com](mailto:BobM@caihq.com)



March 8, 2022

Virginia Military Institute  
Procurement Services  
ATTN: Colonel Kathleen H. Tomlin, VCO, VCCO, CUPO  
Director, Procurement Services  
330 Parade Avenue, 314 Smith Hall  
Lexington, VA 24450  
Email: [TomlinKH@vmi.edu](mailto:TomlinKH@vmi.edu)

Via Email and U.S. Mail

SUBJECT: MISSING RECORDS FROM THE PROCURMENT FILE FOR RFP, PROJECT #V211-22-054<sup>1</sup>,  
Diversity, Equity, and Inclusion (DEI) Consultation and Training

Dear Colonel Tomlin:

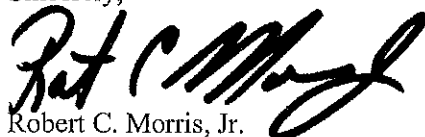
1. I am in receipt of your email dated March 8, 2022 stating you uploaded the full procurement record on March 1, 2022 and CAI has only until March 11, 2022 to file a Protest should we choose to do so.
2. In Our initial review of the records the CAI determined they are missing key documents that are essential for us to first determine if we have grounds to protest. Should we protest these records are also required for us to fully comply with the Virginia Public Procurement Act (VPPA) in providing the factual base for that protest and substantiating evidence from the procurement record and other sources.
3. The most significant omission from the procurement record you provided to date are copies of the scoring sheets and complete records of all evaluations and deliberations by the selection board (i.e. documentation covering evaluation panel, scoring and results to include the individual evaluator proposal scoring, notes, documentation of negotiations and re-scoring of proposals during negotiation and award, etc.) used to evaluate the bidders per VPPA, APSPM and the Vendors Manual. The very high level scoring matrix you provided is insufficient.
4. I would also like to reaffirm that should CAI decide after review of the complete procurement record, we are required to submit the protest in writing to no later than ten (10) working days after the posting of the Notice of Award or Notice of Intent to Award, whichever comes first (§ 2.2-4360), but that under the VPPA the ten (10) day period does not commence until such time as we obtain all records, for any source, required for us to prepare a protest should we desire to do so. This means that CAI must have physical records from the procurement file to submit with any protest. The ten (10) Day period will not commence until we confirm to you that all files are received. Further, if, after reviewing the files you provide we determine that documents are missing from those files, the ten (10) day period will not commence until such time as you provide those records. After review of the files we will also notify you if any records we may need from other agencies and understand that the ten (10) day period will not commence until such time as all records required, regardless of source are received.

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<sup>1</sup> The request is being made so that CAI can determine whether a protest is warranted Refusal to grant the legally required access will result in an immediate lawsuit seeking an injunction and sanctions.

5. In accordance with the VPPA we understand that no award will be made until our full ten (10) working day period expires. Please notify us if you do not intend to comply with this requirement and the reasons for such a decision.
6. As with my original letter, I also reaffirm that we are not stating or implying a protest or intent to protest at this time and so our rights under the VPPA remain intact and the ten-day period has not yet commenced. We look forward to your cooperation in provided the legally required access Should the access not be provided, immediate legal action shall result.
7. Please acknowledge receipt of this request.

Sincerely,

A handwritten signature in black ink, appearing to read "Robt C Morris Jr", written in a cursive style.

Robert C. Morris, Jr.  
COL, USA (Ret)  
President  
Center for Applied Innovation, LLC

# Exhibit 17

----- Forwarded message follows -----

**From:** "Tomlin, Kathleen H" <TomlinKH@vmi.edu>  
**To:** "BobM@caihq.com" <BobM@caihq.com>, "Carmack, Lynn W" <carmacklw@vmi.edu>  
**Copies to:** "Carmack, Lynn W" <carmacklw@vmi.edu>  
**Subject:** RE: ACKNOWLEDGEMENT REQUESTED - Procurement files  
**Date sent:** Thu, 10 Mar 2022 16:22:38 +0000

COL Morris,

VMI confirms that 12 documents were uploaded to your Drop Box site yesterday at 5:04 p.m.

VMI is not governed by the APSPM.

Day 1 is today; because day 10 falls on Saturday, the last day is extended to 21 March 2022.

Thank you,  
KHT

---

**From:** BobM@caihq.com <BobM@caihq.com>  
**Sent:** Thursday, March 10, 2022 10:29 AM  
**To:** Carmack, Lynn W <carmacklw@vmi.edu>  
**Cc:** Tomlin, Kathleen H <TomlinKH@vmi.edu>  
**Subject:** Re: ACKNOWLEDGEMENT REQUESTED - Procurement files

Good Morning Lynn!

Your email did not come in until after COB yesterday so I just received it.

I checked the dropbox and found 1 Folder containing 12 files.

If this is correct then I can confirm all the files you uploaded were received today.

I also received the email from your office about re-starting the 10 days we have to respond. While some of the references I have state "working days" vice "calendar days". If we do use calendar days as you are using then the 10 calendar day will be March 19, 2021. Although it does not specify "calendar" vs "work" days APSPM, 11.2, d., states "If the tenth day falls on a weekend or an official holiday, the ten-day period expires at 5:00 p.m. on the next regular workday." This will make the 10th day Monday, March 21, 2022.

That said, I understand VMI's desire to move forward as expeditiously as possible and so we'll continue reviewing the files sent previously together with the files received today that were previously withheld from the procurement record to provide a decision as soon as possible regarding if we decide to protest.



Thank you again for sending the previously withheld procurement files and have a great weekend.

Best,

Bob

Bob Morris  
COL, USA (Ret)

---

On 9 Mar 2022 at 22:06, Carmack, Lynn W wrote:

Good afternoon,

A new file, "Score Sheets and Notes" has been added to Dropbox.

Lynn Carmack  
540-464-7223

[cid:image001.png@01D76361.00D474A0](#)

**NewPlatform Count-down! eVA is changing!**

Remain in the know by visiting the eVA Transition Newsroom:  
[Next Gen eVA](#)

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**From:** [BobM@caihq.com](mailto:BobM@caihq.com) <[BobM@caihq.com](mailto:BobM@caihq.com)>  
**Sent:** Tuesday, March 8, 2022 4:00 PM  
**To:** Tomlin, Kathleen H <[TomlinKH@vmi.edu](mailto:TomlinKH@vmi.edu)>  
**Subject:** ACKNOWLEDGEMENT REQUESTED - Procurement files  
**Importance:** High

Good Afternoon Kathleen:

Please see the attached correspondence (.PDF) and confirm receipt at your convenience.

Bob

Bob Morris  
COL, USA (Ret)

---

# Exhibit 18

*From:* "Tomlin, Kathleen H" <TomlinKH@vmi.edu>  
*To:* "BobM@caihq.com" <BobM@caihq.com>, "Carmack, Lynn W" <carmacklw@vmi.edu>  
*Copies to:* "Carmack, Lynn W" <carmacklw@vmi.edu>  
*Subject:* RE: ACKNOWLEDGEMENT REQUESTED - Procurement files  
*Date sent:* Thu, 10 Mar 2022 16:22:38 +0000

COL Morris,

VMI confirms that 12 documents were uploaded to your Drop Box site yesterday at 5:04 p.m.

VMI is not governed by the APSPM.

Day 1 is today; because day 10 falls on Saturday, the last day is extended to 21 March 2022.

Thank you,  
KHT

---

**From:** BobM@caihq.com <BobM@caihq.com>  
**Sent:** Thursday, March 10, 2022 10:29 AM  
**To:** Carmack, Lynn W <carmacklw@vmi.edu>  
**Cc:** Tomlin, Kathleen H <TomlinKH@vmi.edu>  
**Subject:** Re: ACKNOWLEDGEMENT REQUESTED - Procurement files

Good Morning Lynn!

Your email did not come in until after COB yesterday so I just received it.

I checked the dropbox and found 1 Folder containing 12 files.

If this is correct then I can confirm all the files you uploaded were received today.

I also received the email from your office about re-starting the 10 days we have to respond. While some of the references I have state "working days" vice "calendar days". If we do use calendar days as you are using then the 10 calendar day will be March 19, 2021. Although it does not specify "calendar" vs "work" days APSPM, 11.2, d., states "If the tenth day falls on a weekend or an official holiday, the ten-day period expires at 5:00 p.m. on the next regular workday." This will make the 10th day Monday, March 21, 2022.

That said, I understand VMI's desire to move forward as expeditiously as possible and so we'll continue reviewing the files sent previously together with the files received today that were previously withheld from the procurement record to provide a decision as soon as possible regarding if we decide to protest.

Thank you again for sending the previously withheld procurement files and have a great weekend.

Best,

Bob

Bob Morris  
COL, USA (Ret)

---

# Exhibit 19

*From:* "Tomlin, Kathleen H" <TomlinKH@vmi.edu>  
*To:* "BobM@caihq.com" <BobM@caihq.com>, "Carmack, Lynn W" <carmacklw@vmi.edu>  
*Copies to:* "Carmack, Lynn W" <carmacklw@vmi.edu>  
*Subject:* RE: ACKNOWLEDGEMENT REQUESTED - Procurement files  
*Date sent:* Thu, 10 Mar 2022 16:22:38 +0000

COL Morris,

VMI confirms that 12 documents were uploaded to your Drop Box site yesterday at 5:04 p.m.

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Day 1 is today; because day 10 falls on Saturday, the last day is extended to 21 March 2022.

Thank you,  
KHT

---

**From:** BobM@caihq.com <BobM@caihq.com>  
**Sent:** Thursday, March 10, 2022 10:29 AM  
**To:** Carmack, Lynn W <carmacklw@vmi.edu>  
**Cc:** Tomlin, Kathleen H <TomlinKH@vmi.edu>  
**Subject:** Re: ACKNOWLEDGEMENT REQUESTED - Procurement files

Good Morning Lynn!

Your email did not come in until after COB yesterday so I just received it.

I checked the dropbox and found 1 Folder containing 12 files.

If this is correct then I can confirm all the files you uploaded were received today.

I also received the email from your office about re-starting the 10 days we have to respond. While some of the references I have state "working days" vice "calendar days". If we do use calendar days as you are using then the 10 calendar day will be March 19, 2021. Although it does not specify "calendar" vs "work" days APSPM, 11.2, d., states "If the tenth day falls on a weekend or an official holiday, the ten-day period expires at 5:00 p.m. on the next regular workday." This will make the 10th day Monday, March 21, 2022.

That said, I understand VMI's desire to move forward as expeditiously as possible and so we'll continue reviewing the files sent previously together with the files received today that were previously withheld from the procurement record to provide a decision as soon as possible regarding if we decide to protest.

Thank you again for sending the previously withheld procurement files and have a great weekend.

Best,

Bob

Bob Morris  
COL, USA (Ret)

---

# Exhibit 20



**Carmack, Lynn W**

---

**From:** Love, Jamica N  
**Sent:** Wednesday, December 1, 2021 4:52 PM  
**To:** Tomlin, Kathleen H; Carmack, Lynn W  
**Cc:** McBean, Vaughn L  
**Subject:** RE: DEI Services

Thank you.

**From:** Tomlin, Kathleen H <TomlinKH@vmi.edu>  
**Sent:** Wednesday, December 1, 2021 4:51 PM  
**To:** Love, Jamica N <lovejn@vmi.edu>; Carmack, Lynn W <carmacklw@vmi.edu>  
**Cc:** McBean, Vaughn L <mcbeanvl@vmi.edu>  
**Subject:** RE: DEI Services

[https://mvendor.cgieva.com/Vendor/public/ADVSODetails.jsp?PageTitle=SO%20Details&DOC\\_CD=RFP&Details\\_Page=A DVSODetails.jsp&DEPT\\_CD=A211&ID\\_INTRNL\\_NO=1540&ID\\_NO=1540&ID\\_VERS\\_NO=1](https://mvendor.cgieva.com/Vendor/public/ADVSODetails.jsp?PageTitle=SO%20Details&DOC_CD=RFP&Details_Page=A DVSODetails.jsp&DEPT_CD=A211&ID_INTRNL_NO=1540&ID_NO=1540&ID_VERS_NO=1)

**From:** Love, Jamica N <lovejn@vmi.edu>  
**Sent:** Wednesday, December 1, 2021 4:46 PM  
**To:** Carmack, Lynn W <carmacklw@vmi.edu>  
**Cc:** Tomlin, Kathleen H <TomlinKH@vmi.edu>; McBean, Vaughn L <mcbeanvl@vmi.edu>  
**Subject:** RE: DEI Services

Can you send me a link to the RFP?  
Thanks in advance.

**From:** Carmack, Lynn W <carmacklw@vmi.edu>  
**Sent:** Wednesday, December 1, 2021 8:18 AM  
**To:** Love, Jamica N <lovejn@vmi.edu>  
**Cc:** Tomlin, Kathleen H <TomlinKH@vmi.edu>  
**Subject:** FW: DEI Services

LTC Love,

The RFP Evaluation and Committee Instructions are on the attachment. A scoring sheet will be provided to the committee members at the same time we send them the instructions and Non-Disclosure Agreement. This occurs when the proposals are ready for evaluation.

Respectfully,

Lynn Carmack  
540-464-7223



**New Platform Count-down! eVA is changing!**  
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[Next Gen eVA](#)

**From:** Carmack, Lynn W  
**Sent:** Tuesday, November 23, 2021 1:56 PM  
**To:** Love, Jamica N <[lovejn@vmi.edu](mailto:lovejn@vmi.edu)>; Lackey, Tracey M <[lackeytm@vmi.edu](mailto:lackeytm@vmi.edu)>  
**Cc:** Clark, Dallas B <[clarkdb@vmi.edu](mailto:clarkdb@vmi.edu)>; Tomlin, Kathleen H <[tomlinkh@vmi.edu](mailto:tomlinkh@vmi.edu)>  
**Subject:** RE: DEI Services

LTC Love,

I have started reviewing and editing the RFP draft you submitted and wanted to share the following information relating to the process:

- The SWaM portion of the scoring portion is required to be a minimum of 20%, per VMI's SWaM plan and the Commonwealth of Virginia's Agency Procurement and Surplus Property Manual (APSPM). We will change the scoring to reflect that requirement.
- The minimum posting date for an RFP is 10 days. However, if a vendor question arises that requires posting an addendum to the solicitation, there must be a minimum of 10 days from the addendum date to the due date for the receipt of bids, or the due date shall be extended (APSPM). Our plan is to post the RFP with the 10 day minimum, and modify IF needed.
- During the procurement process, all communications with any firms regarding the RFP are handled by Procurement Services. This is VMI policy as well as in the APSPM to protect the integrity of the procurement. I attached a copy of our instructions to RFP evaluators and the required Non-Disclosure statement that is signed by each member of the evaluation team. The VMI NDA was taken directly from the APPSPM. Procurement Services will edit the RFP to reflect this requirement.
- The solicitation will also be delivered to Procurement Services instead of the DEI office. We will open the proposals, do the SWaM scoring portion of the evaluation, and distribute the proposals to the evaluation team. The originals remain in Procurement as part of the solicitation and contract file.

Happy Thanksgiving,

Lynn Carmack  
540-464-7223



**New Platform Count-down! eVA is changing!**  
Remain in the know by visiting the eVA Transition Newsroom:  
[Next Gen eVA](#)

**From:** Carmack, Lynn W  
**Sent:** Tuesday, November 23, 2021 9:03 AM  
**To:** Love, Jamica N <[lovejn@vmi.edu](mailto:lovejn@vmi.edu)>; Lackey, Tracey M <[lackeytm@vmi.edu](mailto:lackeytm@vmi.edu)>

**Cc:** Clark, Dallas B <[clarkdb@vmi.edu](mailto:clarkdb@vmi.edu)>; Tomlin, Kathleen H <[tomlinkh@vmi.edu](mailto:tomlinkh@vmi.edu)>

**Subject:** RE: DEI Services

LTC Love,

This will be RFP # V211-22-054. I'm in required eVA transition training sessions today but will review the document as time allows.

Lynn Carmack  
540-464-7223



**New Platform Count-down! eVA is changing!**  
Remain in the know by visiting the eVA Transition Newsroom:  
[Next Gen eVA](#)

**From:** Love, Jamica N <[lovejn@vmi.edu](mailto:lovejn@vmi.edu)>

**Sent:** Tuesday, November 23, 2021 8:38 AM

**To:** Carmack, Lynn W <[carmacklw@vmi.edu](mailto:carmacklw@vmi.edu)>; Lackey, Tracey M <[lackeytm@vmi.edu](mailto:lackeytm@vmi.edu)>

**Cc:** Clark, Dallas B <[clarkdb@vmi.edu](mailto:clarkdb@vmi.edu)>; Tomlin, Kathleen H <[TomlinKH@vmi.edu](mailto:TomlinKH@vmi.edu)>

**Subject:** Re: DEI Services

Greetings MAJ Carmack,  
COL Tomlin's away message directed me to you.

I sent everyone the document for the scope of work for DEI training. I don't have an RFP #.  
Please advise.

When can this be posted?

Thanks

Sent from my iPhone

On Nov 23, 2021, at 7:44 AM, Love, Jamica N <[lovejn@vmi.edu](mailto:lovejn@vmi.edu)> wrote:

COL Tomlin,

Please see attached scope of work for DEI training. I don't have an RFP #. Please advise.

When can this be posted?

Happy Thanksgiving.

**LTC Jamica Nadina Love, D.Ed.**

Chief Diversity Officer

**Virginia Military Institute**

330 VMI Parade

Lexington, VA 24450

(540) 464-7789

<DEI Services RFP 2021.pdf>

# Exhibit 21

**SECTION III – PROJECT COST (PRICE)**

<b>Consulting Activity</b>	<b>Cost</b>
<b>Initial Assessment</b> <ul style="list-style-type: none"> <li>• Confidential Survey: \$25,000</li> <li>• Interviews with senior staff and selected managers and employees: \$5,000</li> <li>• Focus groups with all levels of employees: \$9,542</li> <li>• Report to leadership on results and recommendations: \$9,050</li> </ul>	\$ 48,592
Review Policies and Procedures and Provide Feedback for revisions/improvements	\$ 2,944
Senior Leadership Briefing and Plan of Action	\$ 5,888
Senior Level Training/Coaching (\$2,262/half day) 1 session	\$ 2,262
All-staff Training (\$2,262/half day) 15 Sessions (750 people total)	\$ 33,930
Training Evaluations and Measurement of Outcomes	\$ 5,888
<b>Total based on known parameters provided in RFP</b>	<b>\$ 99,504</b>
Manager/Supervisor Training (Number of participants is not specified in RFP) \$2,262/half day	TBD
<b>Optional</b>	
Teachable Moments (Digital Teaching Tools) for sustaining learning	\$17.80 pp/scenario

Typical engagement also includes strategies for leadership on the following:

- 1) Appropriate messaging on DEIA
- 2) Role-modeling respectful DEIA behavior
- 3) Holding people accountable
- 4) Improving DEIA recruitment strategies to include institutions such as Historically Black Colleges and Universities (HBCUs) and Hispanic-Serving Institutions (HSIs)

Name and Address Of Firm:

NewPoint Strategies LLC

1350 Beverly Rd

Ste. 115-164

McLean, VA Zip Code: 22101

EVA Vendor ID or DUNS number: VS0000046233

E-mail: lrevocohen@newpoint.biz

Date: 12/12/2021

By: Lynne Revo-Cohen  
(Signature In Ink)

Name: Lynne Revo-Cohen  
(Please Print)

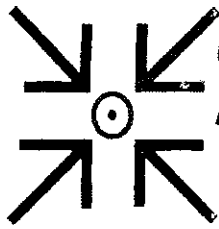
Title: Founding Partner

Phone: 703-405-7133

Fax: (703) 898-7076

# Exhibit 22

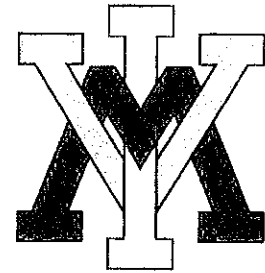




Center for  
Applied  
Innovation

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COPY



## PROPOSAL

### REQUEST FOR PROPOSALS

PROJECT #V211-22-054

**Diversity, Equity, and Inclusion (DEI) Consultation and Training**

**30 November 2021**

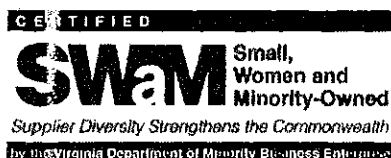
**Required Submission Date: 2:00 PM 12/16/2021**

ATTN: MAJ Lynn W. Carmack, VMI Procurement Services at [carmacklw@vmi.edu](mailto:carmacklw@vmi.edu)  
Virginia Military Institute  
Procurement Services  
330 Parade Avenue, 314 Smith Hall  
Lexington, VA 24450

**FROM:**  
Center for Applied Innovation, LLC  
214 Terrebonne Road  
Yorktown, Virginia 23692

A Virginia Certified Disabled Veteran-Owned Small and Micro Business  
DUNS: 967738779  
Virginia State Corporation Commission ID: S358286-5  
Virginia Corporation Commission DCN: 11-03-21-0208  
Virginia DSBSD-certified Micro Business: 692830  
VA Vendor Number: VS0000074665  
EIN: 45-0698414

POC: COL (Ret) Robert C. Morris, Jr.; (757) 869-6770



**Virginia Military Institute**  
Lexington, Virginia 24450-0304

REQUEST FOR PROPOSALS

RFP# V211-22-054

Issue Date: 30 November 2021  
Title: Diversity, Equity, and Inclusion (DEI) Consultation and Training  
Pre-Proposal Conference Date: There will be no pre-proposal conference  
Due Date: 14 December, 2021 at 2:00 PM EST

Issuing Agency: Virginia Military Institute  
Procurement Services  
330 Parade Avenue, 314 Smith Hall  
Lexington, VA 24450

Period of Contract: Date of Award through 30 June 2023 (Annually Renewable Thereafter for four (4) successive one-year renewals.

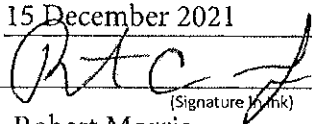
IDENTIFICATION OF BID ENVELOPE: The signed price list should be returned in a separate envelope or package, sealed and identified as instructed in Section IX, paragraph H. The envelope should be addressed as directed in the heading of this Page of the solicitation. No other correspondence or other bids should be placed in the envelope.

PRE-PROPOSAL CONFERENCE: There is NO PRE-PROPOSAL CONFERENCE.

All Inquiries for Information Should Be Directed To: MAJ Lynn W. Carmack, VMI Procurement Services at [carmacklw@vmi.edu](mailto:carmacklw@vmi.edu). Use of the Understanding of Requirement Form (Attachment A) must be submitted for questions concerning specifications or statement of needs.

In Compliance With This Request For Proposal And To All The Conditions Imposed Therein And Hereby Incorporated By Reference, The Undersigned Offers And Agrees To Furnish The Goods/Services In Accordance With The Attached Signed Proposal Or As Mutually Agreed Upon By Subsequent Negotiation.

Name and Address Of Firm:  
Center for Applied Innovation, LLC  
214 Terrebonne Road  
Yorktown  
Virginia Zip Code: 23692  
EVA Vendor ID or DUNS number VS0000074665  
E-mail: BobM@caihq.com

Date: 15 December 2021  
By:   
(Signature in Ink)  
Name: Robert Morris  
(Please Print)  
Title: President  
Phone: (757) 869-6770  
Fax: (270) 477-7087

Note: This public body does not discriminate against faith-based organizations in accordance with the *Code of Virginia*, § 2.2-4343.1 or against a bidder or offeror because of race, religion, color, sex, national origin, age, disability, sexual orientation, gender identity, political affiliation, or veteran status or any other basis prohibited by state law relating to discrimination in employment. Faith based organizations may request that the issuing agency not include subparagraph 1.f in General Terms and Condition C. Such a request shall be made in writing and explain why an exception should be made in that Invitation to bid or request for proposal.

Center for Applied Innovation, LLC response to RFP PROJECT #V211-22-054, Diversity, Equity, and Inclusion (DEI) Consultation and Training, 30 November 2021



## Center for Applied Innovation, LLC

214 Terrebonne Road  
Yorktown, Virginia 23692  
Voice: (U.S.): 1.757.869.6770 • Facsimile: (U.S.): 1.270.477.7087  
[www.caihq.com](http://www.caihq.com) • E-mail: [BobM@caihq.com](mailto:BobM@caihq.com)

December 15, 2021

### COVER LETTER

Virginia Military Institute  
Procurement Services  
ATTN: MAJ Lynn W. Carmack, VMI Procurement Services at [carmacklw@vmi.edu](mailto:carmacklw@vmi.edu)  
330 Parade Avenue, 314 Smith Hall  
Lexington, VA 24450  
Email: [carmacklw@vmi.edu](mailto:carmacklw@vmi.edu)

**Subject: REQUEST FOR PROPOSALS, PROJECT #V211-22-054, Diversity, Equity, and Inclusion (DEI) Consultation and Training**

Enclosed is the Center for Applied Innovation, LLC's (CAI) proposal in response to RFP# 245-110420.

The CAI (EIN: 45-0698414) is a Virginia corporation with Virginia State Corporation Commission ID: S358286-5; VA Vendor Number: VS0000074665; and Virginia SWaM Small, Micro and Veteran Owned Business Certification Number: 692830. CAI is certified as a Service-Disabled, Veteran-Owned Small Business (SDVOSB) by both the Virginia Office of the Secretary of Veteran's Affairs and the United States Department of Veterans Affairs.

In support of the Virginia Military Institute (VMI), the CAI assembled a "best in class". They are internationally recognized and comprised of highly qualified professionals, leaders and Subject Matter Experts in the areas of Diversity, Equity and Inclusion, education history, culture, training, civil rights, highly productive team building, executive coaching and mentoring, and other areas essential to the success of the RFP. The following key considerations outline why the CAI Team is best suited to provide the services required in the RFP:

- **Best Current Capability:** Several Team CAI members were consulted by Virginia Governor Ralph Northam and leaders from various political parties in multiple states. They are respected and held as neutral and trusted parties. Other members are internationally renowned human rights, civil rights, and equity experts, including former ambassadors.
- **Best team for VMI's unique culture, training, strategic planning and driving change in that culture.** Our team includes two highly respected retired general officers, to include a former Inspector General and other senior officers and enlisted personnel – all recognized experts in their field. All have military experience. The team also includes VMI alumni with current and ongoing relationships with cadets, alumni and others who will receive the training.
- **Best existing relationships with Institutions of Higher Education and Military Academies:** Over time CAI consultants have had relationships working with equity offices and programs at the United States Naval Academy, United States Military Academy, Army Cadet Command and numerous colleges and universities across the country.
- **Best Capability to support the RFP requirements:** Our equity assessment teaming partner is a known "best in class" conducting school and Institution of Higher Education equity audits to Virginia and our Survey collection partners have experience delivering on short timelines and diverse populations globally.

The proposed team and CAI's approach is your best value choice.

Respectfully Submitted,

COL (Ret) Robert C. Morris, Jr.  
President

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Center for Applied Innovation, LLC response to RFP PROJECT #V211-22-054, Diversity, Equity, and Inclusion (DEI) Consultation and Training, 30 November 2021

**SECTION I - RFP Cover Sheet with all Addenda (RFP IV, B, 1)**

**Addenda:**

The Center for Applied Innovation, LLC acknowledges receipt of the Addenda 1 and 2.

**SECTION II Offer or Data Sheet and other specific items or data requested. (RFP IV, B 2)**

**ATTACHED AT FOLLOWING PAGES**

- Pricing schedule (Provided under separate cover per the Q&A)
- RFP Attachment A – Understanding of the Requirements
- RFP Attachment B – Conflict of Interest Statement
- RFP Attachment C – Contractor Data Sheet
- RFP Attachment D – References
- RFP Attachment E – SWaM Certification
- RFP Attachment F – Small Business Subcontracting Plan
- Annex 6-J – State Corporation Commission Form

## SECTION III - Proposal Narrative Statement (RFP V, A, A-B)

### 1.0 Offeror's Experience in providing the services described in the RFP (RFP VI, B.)

#### 1.1 Team CAI's availability, capacity, and ability to complete the work. (RFP VI, B., 3., a)

CAI is available immediately to begin work upon award of the contract. Our capacity is demonstrated by several representative samples of our direct experience in leading and supporting projects providing Statement of Needs (SoN) required deliverables and execution using the approach covered in our proposal.

Collectively our past and current performance on these projects of equal or high complexity demonstrates Team CAI's ability to complete this project in a timely manner, on schedule and within budget. Although federal, state and local programs require different expertise and approaches, we have experience in all three to seamlessly integrate into any government acquisition process and draw on this experience to bring best practices to our customers from those sectors. Our Team-wide reach-back (depth) and reach-across (breadth) ensures resources are available at the right time and place. SMEs are available to advise and assist direct support personnel to ensure our level of effort fully meets or exceeds all SoN requirements; this prevents operational pauses in VMI support. A significant Team CAI discriminator is the history of most team members working together to deliver high quality services for State and Federal contracts. These existing relationships enable CAI to efficiently execute this contract as the Prime with the least possible risk while maintaining the ability to rapidly identify and bring in any additional expertise required. This results in responsive, high quality support for all VMI requirements. To date, team members have received "exceeded" or "superior" performance ratings on all state and federal contracts.

#### 1.1 Center for Applied Innovation, LLC (Prime) (RFP VI, B., 3., a)



The CAI (EIN: 45-0698414) is a Virginia Limited Liability Corporation (LLC) with Virginia Corporation Commission DCN 11-03-21-0208. The CAI is registered in the United States System for Acquisition Management (SAM) with DUNS: 967738779. CAI is certified as a Service-Disabled Veteran-Owned Small Business (SDVOSB) by both the Virginia Office of the Secretary of Veteran's Affairs and the United States

Department of Veterans Affairs. We are a Virginia DBSD certified micro-business and Virginia SWaM certified (692830) with eVA vendor No. VS0000074665, and we are a Virginia Values Veterans Employer. CAI provides innovative approaches to solve the most difficult problems by bringing together the best expertise from any source. CAI operates using a flexible structure with low overhead to provide customers the best, most responsive expertise tailored to meet their challenges. CAI maintains an Office of Human Research Protections and Food and Drug Administration Federally registered Institution Review Board (IRB) that operates in full compliance with 45 CFR 46.111(a)(7) and 21 CFR 56.111(a)(7) under Office of Management and Budget (OMB) guidelines and policies.

In its role as the Prime Contractor that will provide program management for this requirement, the CAI's corporate experience and qualifications with those of its employees are demonstrated on the basis of corporate and individuals' collective experience throughout their careers including with the CAI, government, military,

private sector non-profit employment and pro bono work. CAI works on projects in a military culture, to include interviews, surveys, analysis, data collection, and recommendations for the U.S. Army and State Directors of Veterans Affairs. These included, but were not limited to, administering Federal, State and private sector synchronous, asynchronous and live training, development delivery executive coaching and mentoring. We also have the same level of experience and expertise developing, administering, analyzing and reporting out on surveys, samplings, data collection, statistical analyses, survey weighting, and multiple survey response methods for long-term surveys. We specialize in conducting highly productive individual and team training as well as statistically valid surveys, Delphi Groups, structured interviews, focus groups and sampling methodologies of both military and civilian populations.

All VMI objectives will be achieved and deliverables accomplished using CAI tools and approaches previously proven in study projects supporting the Virginia Department of Social Services (VDSS); Virginia Department of Emergency Management; State of Montana; State of Colorado; the U.S. Department of Defense; U.S. Army; U.S. Navy; Australian Ministry of Defense; and various Veterans Service Organizations (VSOs) and other non-profits. In addition to these, our previously teamed Subject Matter Experts (SMEs) have experience United States Military Academies and other IHEs. Our staff and SMEs also have a long history of success with relevant Longitudinal studies in multiple domains not only to develop and deliver training using the adult learning model, but in assessing success in achieving learning objectives and cultural changes with our students. Throughout their long careers, our SME Team has conducted a large number of wide-ranging studies that encompass both short-term (cross-sectional) and longitudinal time frames. These studies have covered the full gamut of methodologies, from basic research (laboratory) to quasi-experimental simulator studies to in-vivo field research. Specific areas of CAI expertise include:

- Asynchronous, Synchronous, Blended, and live instructor led training, team building and mentorship.
- Live training conversion to Distance Learning
- Training needs Assessments
- Large surveys, focus groups, interviews and analysis covering complex populations
- Survey Design and Analysis
- Structured interviews, focus groups and town hall meetings
- Delphi and highly productive team building
- Research and Analysis (Quantitative and Qualitative)
- Human factors and programs
- Lean Six Sigma and Continuous Quality Improvement
- Change management
- Program and Project Management
- Information, operational, and physical security.
- Workforce Management and Development
- Task Management and Business Process Reengineering
- Strategic planning and communications

Representative examples of the CAI's previous experience and current projects that illustrate our capabilities to deliver on the tasks required under the RFP include, but are not limited to:



- **Virginia Association of State College & University Purchasing Professionals (VASCUPP) – Currently Performing:** Prime contractor for state-wide Indefinite Delivery, Indefinite Quantity (IDIQ) contracts administered by William and Mary's Global Research Institute that is directly relevant to the VMI requirement. This contract provides Training Needs Assessment (TNA), synchronous, asynchronous, live and blended learning using the lifelong learning model on a variety of subjects tailored to populations ranging from college level students, staff, professors and ranging up to Executive Leadership. The contract specifically provides on the ground data collection services to carry out randomized control trials (RCTs) and qualitative policy research in international development. Activities under the contract include: forming and leading an inter-disciplinary team; surveys and key informant interviews; creation of the survey tool to ensure it addresses topics correctly in culture and language(s) Other services include: Pre-test; enumerators conducting surveys; recruit participants based on requirements and methodology.
- **United States Navy Currently Performing:** Prime contractor on the United States Navy's SeaPort-e and SeaPort Next Generation (NexGen) contract where CAI is recognized as fully qualified to provide services on the Navy's largest Indefinite Delivery, Indefinite Quantity (IDIQ) contract. Currently Navy Seaport-e Prime Next Generation (NexGen) Prime contractor pre-approved to provide Strategic planning, organizational and process improvement consultations as well as workforce and Executive Leadership coaching training development/delivery, education, and/or business training consultation, courseware development and delivery.
- **Training and Leader Development individual and program assessments, instructional design and development, delivery, facilitation, training, workshops, and other courseware and services** as part of the 350 synchronous, asynchronous and instructor-led training (ILT) courses available to all 50 States to the locality level under NASPO ValuePoint (NVP) Master Agreement.
- **The U.S. Representative for the internationally recognized Learning Styles Analysis (LSA), Working Styles Analysis (WSA) and Teaching Styles Analysis (TSA) tools.** The CAI is a certification granting authority for the LSA, TSA, and WSA that includes Manager and Employee training and certification.
- **Provides AMVETS 250+ online technical and professional development, education, and business courses through 19 Career Centers across the United States.** This includes the pre-and post-instruction surveys as well as overall course and training program evaluation with qualitative and quantitative analyses that exceeds the requirements in the solicitation.
- **University of Montana in Support of the United States Marine Corps Currently Performing:** Prime contractor on the University's Military Technology (MilTech) contract for Human Factors support to the Department of Defense (DoD) and particularly the United States Marine Corps. The portions of this contract directly applicable to the RFP include forming and leading inter-disciplinary teams for Human Factors Evaluation Preparation, Evaluation Execution, Analysis and Reporting.
- **State of Colorado – Recent (2020):** As one component of a complex ongoing Prime contract, CAI conducted interview, sampling, data collection and statistical analysis for the State of Colorado Department of Corrections to determine needs for inmate support services and programs across all state prisons and detention centers. This included, but is not limited to health and other clinical programs. The work includes

short-term (cross-sectional) and longitudinal time frames. It includes staff and administration using structured interviews and the CAI's Delphi survey approach. Using online surveys supported by informational email and other communications the team achieved 96% response rate and 100% survey completion rates with a 95% confidence level and +/- 3% margin error. The subsequent report resulted in Actionable Recommendations for policy, program and process changes as well as both the specification and assessment criteria for the departments new Statewide service contract in the areas covered.

- **Virginia Department of Social Services (VDSS) – Recent (2019):** As the prime contractor, CAI formed and led an inter-disciplinary investigative team to use its innovative tools to provide VDSS with a Workload Measures Study that involved conducting a comprehensive analysis and the development of workload measures for the benefit and family service programs delivered by 120 local departments of social services (LDSS), CAI conducted a multi-racial and multi-cultural comprehensive analysis, including multiple Delphi-style surveys, covering all 8,000+ employees geographically dispersed in over 120 local offices across Virginia. CAI's approach yielded higher than average participation rates resulting in a confidence level that was statistically high at 99% and +/- 2% margin of error. CAI's key requirements under this contract were to: 1) document the required business process steps associated within each program, and 2) provide recommendations on institutional policy and process changes as well as identify those that may require legislative changes. Strategic Planning support included Kaizen and Delphi techniques were used to identify recommended processes and other changes for rapid implementation for every program and service offered by VDSS to the individual program level. The Final Report contained our assessment findings and actionable recommendations in these areas, along with training, workforce, process and budget recommendations and the critical supporting data, justifications and briefing materials for the 2019 and 2020 General Assembly sessions. This work directly impacted all aspects of VDSS's operations and strategic planning.
- **U.S. Army G-1, Army Resiliency Division (ARD) – Recent (2019):** The CAI participated on an inter-disciplinary team that planned and executed a project involving a comprehensive analysis and report using multiple surveys covering over 50 employees in two states. The purpose was to aid ARD leadership in gathering additional information to clarify inputs to the organization questionnaire and collect other data that may not have been obtained from an organizational survey previously issued to the participants. This directly supports ARD's strategic manpower planning.
- **United States Army Human Resources Command – Recent (2018):** As part of an inter-disciplinary team for the Army Soldier for Life - Transition Assistance Program (SFL-TAP) conducted an investigative inquiry to determine why Transitioning Service Members (TSM) were not holistically and effectively transitioning into post-Service employment. The associated survey methodologies and analysis covered all stakeholders of the Transition Assistance Program (TAP), including Transition Service Managers, TAP officials, federal, state and local agencies, Veterans Service Organizations (VSO) and industry "users" of the TAP program. Multiple statistically valid surveys and sampling methodologies were used including online and email instruments, Delphi focus groups, and interviews for each cohort and population. Results achieved for the TSM population of approximately 92,631 included a 95% Confidence level, <4% Margin of error, 91% overall completion rate, and a 92% Open Ended Question Response rate. In just two weeks the team achieved a .60% survey return rate that was greater than the Army's efforts during the entire previous fiscal year. Additionally, 3-round surveys, driven by a Delphi methodology, were administered to all Army TAP TSMs and resulted in a 94% confidence level +/- 3% margin of error and 100% survey

completion rate. Data were scrubbed for Personally Identifiable Information (PII), and redundant and erroneous records were deleted. The data analysis revealed significant trends identifying where TAP could be improved, highlighting specific problems associated with OCONUS TSMs and support to them. The surveys were administered within the context of a cross-sectional design, where results were cross-tabbed according to separation cohort. Both quantitative and qualitative data were collected, with content analysis used to identify significant issues, trends, and challenges.

- **United States Army Reserve (USAR) and U.S. Army National Guard – Recent (2018):** As part of an interdisciplinary team, CAI developed and executed the Data Collection and Analysis plan with associated IRB approved protocols and survey methodologies covering all United States Army Reserve (USAR) Army Readiness Specialists (ARS) across the Continental United States. Using Federally compliant surveys, CAI contacted the subject population using a combination of online, email and phone delivery methods. The sampling, data collection, statistical analyses and survey weighting used these multiple survey response methods in a 3- round Delphi methodology for this long-term survey. Results included a 75% overall response rate for all contacts, 94% response rate after adjusting for surveys sent to unfilled personnel positions, a 94% confidence level, and +/- 3% margin error. The results produced reports and Actionable Recommendations to determine adequate policies, assessment approaches, measures of performance and effectiveness and staffing requirements with associated budgetary impacts to improve the TAP program TAA work with other Joint Forces Headquarters staff members and Directors of State Family Programs in a state network of support. It included integration with U.S Department of Veterans Affairs and community organizations for Service members, their families and care givers to gain access in their community.
- **Virginia Department of Emergency Management (VDEM) Human Resources – Recent (2016):** As the sole Prime contractor, CAI developed and fielded an interdisciplinary team that conducted a comprehensive inquiry with associated analysis of Human Resource and training functions to: 1) determine the “as is” state of associated processes and develop an optimum “to be” state with associated policies, procedures, and Standing Operating Procedures (SOP); 2) conduct an organizational survey and progress analysis to develop and implement improved programs and processes within those functional areas; and 3) facilitate the Information Technology Division functional and process review to improve quality of service through team building and other activities leading to establishing highly productive teams in complex team systems. The work used online surveys supported by informational email and other communications with all newly hired employees as well as interviews using Delphi for personnel in multiple departments across VDEM. The team achieved 100% response rate and 100% survey completion rates with a 99% confidence level and +/- 2% margin error. In addition, it included investigations into several areas of alleged improprieties. The subsequent report resulted in Actionable Recommendations for policy and process changes that significantly improved Human Resources processes.

## 1.2 MAEC (Subcontractor – non-profit) (RFP VI, B., 3., a)



MAEC (Mid-Atlantic Equity Consortium), as an education non-profit organization, envisions a day when all students have equitable opportunities to learn and achieve at high levels. Its mission is to promote excellence and equity in education to achieve social justice. For 28 years, MAEC has worked to

increase access, educational opportunities, and academic achievement for racially, ethnically, economically, culturally, and linguistically diverse students. MAEC's key bodies of work have provided high-quality, systemic, innovative, and job-embedded technical assistance, training, and capacity-building to states, districts, schools, early care education programs, and institutes of higher education.

Significantly, MAEC has served as one of the U. S. Department of Education's Equity Assistance Centers (EACs) for more than 25 years. MAEC's region I EAC comprises 15 states and territories, 4,440 school districts, and 19,125,434 students, including 4,321,252 students of color. MAEC also supports the Region II equity assistance center which includes Virginia. (<https://maec.org/about/>)

MAEC's theory of action holds that to overcome the barriers that separate people, we must find the bridges that unite them. True equity demands that all adults serve as role models, mentors, and committed educators. All adults (including non-teaching staff) must internalize and model equity and integration values. Equity-centered capacity building and culturally responsive pedagogy provide a context for young children's caregivers and teachers to acquire skills and specific strategies to support them.

To achieve equitable policies, practices, and procedures, college campuses need to be informed, dedicated, and expert partners to help build the capacities required for student success and socio-emotional well-being. Integration of diverse student bodies requires new types of classrooms, pedagogy, and leadership. Through the combination of these approaches, MAEC's engagement in the introductory training materials and tools will begin to help all staff identify potential barriers that prevent any student from succeeding and increase staff capacity, as well as understand the importance of embracing diversity *and* equity to increase student engagement and well-being.

Clients engage with us to:

- Advance positive and inclusive academic climates.
- Engage and survey culturally, linguistically, and economically diverse stakeholders.
- Apply anti-racism and anti-bias policies within systems.
- Develop systems of equity in all learning environments.
- Create and promote culturally responsive pedagogy and practice for administrators and teachers.
- Coordinate and lead systemic and job-embedded professional development to build district/school leaders' capacity to increase positive climates.
- Use data to advance equitable decision-making and practices amongst the leadership.

MAEC, Inc. has demonstrated expertise in developing training, coaching, and supplementary materials for educators utilizing a culturally responsive approach. Below is a summary of selected MAEC, INC. projects that highlight this expertise:

- Currently, MAEC, Inc. operates the federally designated Equity Assistance Center for Region I. The Center for Education Equity (CEE) comprises 13 states and two territories (Connecticut, Delaware, Kentucky, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Puerto Rico, Rhode Island, Vermont, Virgin Islands, West Virginia). MAEC, INC... also served as the Equity Assistance Center for Region III (District of Columbia, Delaware, Maryland, Pennsylvania, and West Virginia) for 21 years.

- As part of our work with CEE, between 2015-2020, MAEC, Inc. provided training and coaching to 12 Building Equity Leaders, using a train-the-trainer model for the Coatesville Area School District in Pennsylvania. Approximately 450 teachers received training from Building Equity Leaders on culturally responsive education. The training focused primarily on addressing inequities caused by the opportunity gap. Topics included trauma-informed practices, shifting biased mindsets, and asset-based vs. deficit-based thinking.
- In 2019-2020, MAEC, INC. developed the *Together Juntos* Equity Training Series for the Maryland State Department of Education Division of Early Childhood. This four-part series explored the intersections between early childhood education and equity. It introduced participants to critical philosophical and sociological questions and asked them to examine their role in Maryland's early childhood system critically. Participants developed an awareness of race, bias, culture, class, gender, language, disability, sexual orientation, and other differences. They explored how systems might be structured in ways that build equity and justice. This series supported developing reflective leadership and practitioners who can critically analyze some of the central factors influencing the states' early childhood systems. As a result, participants developed a better understanding of maximizing achievement and creating a more equitable early childhood system for all children and families.
- In 2019-2020, MAEC, INC. developed the *Together Juntos Equity Leadership Implementation Academy*. Leadership and staff examined the early childhood division's current equity activities, policy, and data to build their capacity to implement equity into the State's broader plan. Participants examined how equity and culturally responsive practices could be structured, supported, and monitored in each branch of the Division of Early Childhood and considered system implications to support equity implementation throughout Maryland's early childhood systems.
- In 2021, MAEC Inc. is supporting the Maryland State Department of Education (MSDE) Division of Early Childhood (DEC) EXCEL ( i.e., QRIS) Branch's goal of deepening the impact of its diversity, equity, and inclusion work by designing and developing a systematic training program to be delivered to staff. The training and technical assistance explore the intersections between teaming, collaboration, inclusion, and equity in the early childhood workplace. It will introduce participants to key philosophical and sociological questions and ask participants to critically examine their role as team members in Maryland's early childhood system. Participants will be able to develop an awareness of race, bias, culture, class, gender, language, disability, sexual orientation, and other lines of difference and explore how systems might be structured in ways that either build or limit equity and justice. This series supports developing reflective practitioners who can critically analyze some of the states' central forces in early childhood systems. By building awareness of various perspectives, participants will better understand maximizing achievement and creating a more equitable early childhood system for all children and families as collaborative team members. Participants will examine current professional development and workplace activities and consider how equity will fit into their broader work scope as they collaborate as a team. Staff will be supported through TA to improve their efforts to put research-based concepts into everyday EC programs. Technical assistance and consultation on using data collection and analysis to make changes that improve child outcomes in support of equity will also be provided.

- In 2021, MAEC Inc. is currently supporting the Maryland State Department of Education (MSDE) Division of Early Childhood (DEC) leadership team to deepen the impact of its diversity, equity, and inclusion work by delivering technical assistance through a systems perspective. Technical assistance and consultation on using data collection and analysis to improve child outcomes in support of equity are used.
- In 2021, MAEC Inc. is currently supporting the Maryland State Department of Education (MSDE) Division of Early Childhood (DEC) State approved trainers to deepen the impact of its diversity, equity, and inclusion work by delivering a Train the Trainer on Equity (TOTE) series for Early Childhood professionals looking to build their training capacity in equity and inclusion (E&I) work. Components include a ToT, a community of Practice (CoP), and coaching.

### 1.3 Global Liberty Alliance (RFP VI, B., 3., a)



For the purposes of the work conducted under an awarded contract, the Global Liberty Alliance (GLA) is not a subcontractor and will not be paid as a subcontractor for work. The organization is participating at no cost to VMI under its mission and charter to promote equality and protect Latino civil rights and liberties.

The Global Liberty Alliance is a non-government organization based in Alexandria, Virginia. Its mission is to strengthen the rule of law, empower human rights defenders on the front lines of legal and policy battles, and advance the cause of justice. Individuals the world over are denied the right to freely own property, worship as they please or say what they want. GLA works with lawyers in these places to help change that and raise awareness of the rule of law gap. Many cases that GLA lawyers defend arise in nations with a weak rule of law; however, we also defend persons in the United States, and other democracies, where local or state governments implement or enforce laws and regulations that subtly violate the fundamental rights of their citizens.

GLA believes local accountability is an essential component of successful rule of law initiatives. Only local solutions can engender the long-term benefits needed to create a stable civil society where every individual can live free and treated equally, especially in higher education. Headquartered in the United States, but working with legal and other public policy professionals internationally, the Alliance's legal and public policy teams have experience working with, and helping, unjustly persecuted persons from the around the world. Prior to the creation of the Alliance, GLA lawyers and public policy professionals have worked on matters, both in the private sector and during government service, involving Cuba, Iran, China, Lebanon, North Korea, Nicaragua, El Salvador, Honduras, Ecuador, Russia, and more.

GLA's legal and public policy professionals will support Team CAI in areas relating to Latino issues at VMI and also advise on the policy and legislation deliverables required in RFP Objective 4.

#### 1.4 Diggs-Andrews Consulting, LLC (RFP VI, B., 3., a)



Diggs-Andrews Consulting, LLC is a science-focused consulting and media firm that provides training, evaluation, and outreach services in communication, education, diversity, mentoring, leadership, professional development, and related areas. Since 2016, DAC-LLC has worked with over 75 colleges/universities, federal agencies and medical institutes to support culture shifts in their work environments and to navigate conversations about culture, inclusivity/accessibility, and education for research scientists, executive leadership, students, and the general public. A core mission of DAC-LLC is to provide quality, evidence-based best practices and resources to key stakeholders in order to advance collaborations, mentorship, access, and interdisciplinary research, and to broaden participation of historically underrepresented individuals in science, technology, engineering, and math (STEM) fields. Core strengths of DAC-LLC are curriculum development, program management, implementation/facilitation, and evaluation. DAC-LLC is a certified minority-, women-owned micro-business through Virginia's SWaM (DBE 722801), Supplier's Clearinghouse (M/WBE 20000791), and SBA (EDWOSB) (<https://www.diggsandrewsconsulting.org>).

A representative example of work relevant to the RFP includes, but is not limited to:

- **Culturally Aware Mentoring (CAM) study:** a multi-year nationwide research study (federally supported by the National Institutes of Health) to assess the efficacy and impact of a culturally responsive mentorship training program in biological, biomedical, and clinical sciences. DAC-LLC partnered with the University of Wisconsin-Madison as a subject-matter expert for the development and implementation the CAM study curriculum (over 18 months). Subsequently, the training modality was adapted and tested for synchronous online implementation. Currently, DAC-LLC serves as one of four lead facilitators of the CAM workshop at study sites (50 trial sites over 5 years).
- **The Science of Effective and Inclusive Mentorship workshop:** a 60-90 min equity and inclusion seminar developed to introduce evidence-based best practices and approaches to broadening participation of culturally diverse groups in STEM fields. Since 2020, this seminar has reached over 250 participants.
- **Enhancing Cultural Awareness (ECA) workshop:** a 2-4 hour workshop developed to increase cultural diversity awareness of leaders and mentors. The module was designed specifically for mentors from racial groups who are well-represented in STEM (i.e., White/Caucasian and Asian) who work with mentees from racial or ethnic groups who are underrepresented in STEM (i.e., African American, Latinx, Native American), and focuses specifically on topics directly related to the training experience of these mentees. This training was developed in 2021 and will launch in 2022.
- **Optimizing Mentoring Relationships workshop:** an 4-8 hour interactive, process-based course that uses case studies and group problem solving to discuss essential guiding principles of effective mentoring relationships and becoming more equitable, inclusive mentors. The course includes suggested readings and post-assessments. Since 2016, DAC-LLC has lead over 100 in-person and virtual workshops nationwide.
- **Scripps/Office of Naval Research (ONR):** DAC-LLC is partnering with the Scripps Institute for Oceanography (as a diversity and mentoring consultant) to support the planning, execution, and evaluation of their new ONR-supported diversity pilot program. In addition, DAC-LLC will develop and deliver the Culturally Aware Mentoring workshops for the program participants. The diversity pilot program is anticipated to launch in 2022.

## **2.0 Names, qualifications, and experience of personnel to be assigned to the project (RFP VI, B., 3.,b)**

Team CAI consists of internationally recognized SMEs in the specific areas covered by the RFP. It is a racially and gender diverse team with equally diverse backgrounds covering training development, training delivery, mentoring, team building, civil rights, human rights, equity, diversity and inclusion in those areas for forums up to and including the International Criminal Court in The Hague. Several consulted with leaders seeking to resolve the most complex racial and gender equality issues from small organization to at the national level. This gives CAI the ability to tailor the instructor to the broad audience in the RFP ranging from very senior for VMI senior staff and Board of Visitors to those who can connect better with professors and cadets. It is especially important in a military and the VMI environment that the audiences for this training feel they are “connecting with peer-level” instructors. This also builds trust.

Specifically relating to the complex and military culture at VMI that the RFP calls out, this group includes not just a single current or former members of the U.S. military but VMI Alumni with expert knowledge of VMI and multi-Service military culture, traditions, and expectations but a group of them as well as SMEs directly responsible for “blazing the trail” for racial and gender equality both in the military and at Service academies. It includes Army Inspector General experience. Through them we will have unprecedented access to a diverse range of benchmarks and knowledge.

### **2.1 Names, qualifications and experience of potential Team CAI personnel available**

Team CAI consists of VMI’s best value choice not only for the RFP but for implementing any actionable recommendations identified to move VMI into the future as a recognized example of success in this important area. A Team CAI discriminator is that the majority of our personnel are trained to DoD standards, including the protection of Personally Identifying Information (PII); the Health Information Privacy Protection Act (HIPPA); Whistleblower protection; Equal Opportunity; Diversity, Equity and Inclusion (DE&I) and other topics critical to the work required by the RFP. Those new team members who previously did not require such training will receive it following award.

In the current climate requiring change in so many organizations, government agencies and Institutions of Higher Education (IHE) across the public and private sector our SMEs, as with others, are in high demand. Below are just a few of those we’ve teamed with or proposed with on past projects of equal or greater complexity to VMI’s requirement. The final team for each component of the project will be determined during the Task Order development process described below.

#### **2.1.1 Lieutenant General (Ret) Russel Honore - CAI (Prime)**

Lieutenant General Honore is a native of Lakeland, Louisiana. He was commissioned a Second Lieutenant of Infantry and awarded a Bachelor of Science degree in Vocational Agriculture upon graduation from Southern University and A&M College in 1971. He holds a Master of Arts in Human Resources from Troy State University as well as an Honorary Doctorate in Public Administration from Southern University and A&M College, an Honorary Doctorate in Laws from Stillman College, an Honorary Doctorate in Humane Letters from Virginia State University, Honorary Doctorate in Humane Letters from Stillman College, an Honorary Doctorate in Humane Letters from Loyola University, an Honorary Doctorate in Humane Letters from Virginia State University & an Honorary Doctorate in Humane Letters from Meharry Medical College.



### ***2.1.2 Lieutenant General (Ret) John M. LeMoyne - CAI (Prime)***

**LTG (Ret) John M. LeMoyne** has over 39 years of enlisted and commissioned service in our nation's Army. He has extensive experience in leadership development, training, and coaching roles at all levels of large and diverse organizations, both national and international. His major assignments have included G-1 of the Army, Chief of Infantry, and Executive Officer to the Supreme Allied Commander, Europe at NATO. As the Army's G-1, he assumed the position right after the 9/11 attack on the Pentagon that killed 28 of the key personnel in the Army's Human Resources Directorate. Le Moyne was diverted from a 3 Star command to rebuild the G-1 section. His calm, quiet and reassuring leadership insured our Army sustained all personnel functions during the build up and launching of two major wars in Afghanistan and Iraq. Maj. Gen. LeMoyne has intimate knowledge of VMI having served in the Army G-1 office and as the Army G-1 when VMI admitted women. His strategic level knowledge and experience of those gender issues is unequalled.

### ***2.1.3 Major General (Ret) Mario F. Montero - CAI (Prime)***

**Major General (Ret) Mario F. Montero, Jr.** entered the United States Army as an enlisted soldier and was commissioned a Transportation Officer upon graduation from Officer Candidate School Class 3-67, in 1967. MG Montero rounds out Team CAI to complete a mix of experience with equality, leadership and other challenges on the way to successful military and civilian careers inclusive of military service academies, military colleges, and Reserve Officer Training Corps (ROTC) programs at Institutions of Higher Education (IHE).

### ***2.1.4 Pat Locke - CAI (Prime)***

**MAJ (R) Pat Locke '80** is the first African-American woman to graduate from the United States Military Academy (USMA) at West Point. Governor of Virginia Ralph Northam has previously and recently consulted with her on numerous racial and equity topics including, but not limited to equality in Virginia's Institutions of Higher Education, to include VMI. Ms. Locke is also known to and respected by VMI for her work with them in these areas. Pat Walker Locke graduated from the United States Military Academy with a BS in engineering. Since 2011, she has served as a liaison for the West Point Leadership Ethics and Diversity in STEM (LEADS) Program, impacting more than 10,000 students and educators across the nation. She is also the founder and president of the Seeds of Humanity Foundation, supporting underrepresented communities in leadership, ethics, STEM education and development. Pat has master's degrees in education and administration and has won numerous service and leadership awards. Ms. Walker Locke brings a wealth of experience to the team as well as current connections to other, related programs and projects in the Service Academies and beyond. A sample of her *current* positions directly relevant to the work required by the RFP include, but is not limited to: DACOWITS Committee Member - Recruitment and Retention Subcommittee Member; Heritage Foundation HBCU Working Group (member); Seeds of Humanity Foundation (President); West Point LEADS Program (National Liaison); West Point Association of Graduates Diversity & Inclusion Capital Campaign (Executive Member); West Point Admissions Field Force (Member).

### ***2.1.5 Mr. Peter Alvarez - CAI (Prime)***

**Mr. Pedro Alvarez** is a CAI SME and veteran intelligence officer with 38 years of experience in international relations and analysis. Served 32 years at the Central Intelligence Agency (CIA) conceptualizing, preparing, and presenting insightful assessments for national decision makers. His final eight years with the CAI were at the Sherman Kent School for Intelligence Analysis in the Directorate of Intelligence (DI) delivering courses and modules related to critical thinking and application of structured analytic approaches. Mr. Alvarez achieved

CIAU's Level II certification as a senior instructor and is recognized throughout the Intelligence Community (IC) as a leader in the application of analytic methodologies to enrich assessments. Over the last six years, has served as a consultant within and outside the U.S. while continuing to design and deliver tailored instruction on various aspects of specialized courses. He previously served as the Office of Asia-Pacific, Latin America and Africa Analyst, where he produced products for the President and key Cabinet, NSC-level and military consumers on developments in the Caribbean Basin. He regularly led teams to surge on crises ranging from political instability to refugee migrations as well as concerns over transnational issues

#### ***2.1.6 Hon. Theogene Rudasingwa, MD - CAI (Prime)***

Ambassador Dr. Theogene Rudasingwa is a distinguished public servant, international development specialist, diplomat and solutions driven global thought leader. In his native Rwanda, Ambassador Rudasingwa served as a leader in the movement that stopped the 1994 Rwanda genocide. He subsequently served in the highly influential positions of Secretary General of the country's leading political party, Ambassador accredited to the United States of America and Chief of Staff of the Office of the President of the Republic of Rwanda. In those roles, Ambassador Rudasingwa played a pivotal role in formulating policies for Rwanda's post-war reconstruction and promoting reconciliation after the genocide.

#### ***2.1.7 Dr. Gerald Gahima, Ph.D - CAI (Prime)***

Dr. Gerald Gahima has had a distinguished career in private legal practice, public service and international development. He began his career as an attorney with leading commercial law firms in Nairobi. He subsequently left private legal practice to join public service sector in Rwanda in the aftermath of the 1994 genocide. In Rwanda, he served in several senior level positions in government, including Deputy Minister of Justice and Public Service, Attorney General and Deputy Chief Justice, at a critical time in Rwanda's recent history. Dr. Gahima's background demonstrates proven experience of policy development, organisational evaluations and institution building, public sector strategic planning processes (including identification of equity gaps), practical applications of diversity, equity, and inclusion frameworks and investigation of violations of human and civil rights violations in diverse country contexts in Africa, Europe, Asia and the Pacific Region.

#### ***2.1.8 Mr. Jason Poblete - CAI (Prime)***

Mr. Jason Poblete, JD is a CAI SME with a distinguished career in the law and public policy arena. He represents individuals and corporations on both domestic and international matters in his federal regulatory litigation and transactional practice. He has testified before Congress on bringing to justice foreign leaders accused of gross violations of fundamental rights and atrocity crimes and served as an expert witness on economic sanctions in a case before the United Kingdom High Court of Justice. Mr. Poblete has advocated on behalf of U.S. Persons held hostage by foreign governments, political opposition leaders in foreign countries subjected to human rights abuses, and a former foreign head of state and his family persecuted for their pro-democracy efforts. He has been a commentator on national and international news programs including CNN, CNBC, CNN Español, NBC Telemundo, USIA, BBC, Channel 4 News (UK), and on Spanish-language television public affairs programs in Spain and Latin America.

#### ***2.1.9 Brooke Schaab – CAI (Prime) IRB Chair, Senior Analyst and Instructor***

**Brooke Schaab, Ph.D** is a research scientist with over 20 years postdoctoral experience in conducting research as a civilian employee in the U.S. Army, U.S. Coast Guard (USCG), and higher education settings. Dr. Schaab,

as a member of the U.S. Army Research Institute, led the Scientific Coordination Office at the U.S. Joint Forces Command (USJFCOM), Suffolk, VA, and serve as chief, senior scientist and subject matter expert on training issues, including training multi-national troops and NGOs on cultural diversity. Her research included collaborative efforts with multinational military and Interagency personnel to conduct research and apply findings to develop training and education.

#### ***2.1.10 Alan Spiker – CAI (Prime) Lead Analyst***

**Dr. Alan Spiker, Ph.D** serves as senior investigator with a focus on Human Factors and associated data collection and analysis. He is a licensed engineering psychologist and human factors professional who held a Secret security clearance for over 30 years. He has extensive experience conducting contract research in the private sector, with proven project leadership and technical skills in designing cognitive training systems, implementing data collection capabilities, and conducting field studies of human performance and cognition. Dr. Spiker is the author of more than 300 publications—journal articles, book chapters, conference papers, and technical reports. He is an expert in the development of quantitative models of human workload, with extensive training and experience in the application of statistical methods to the analysis of experiments, evaluations, and field studies. Throughout his career, he has specialized in the design of advanced military and commercial avionics systems, quantitative studies of human performance, development of computer-based training systems, and evaluation of user functional requirements.

#### ***2.1.11 Robert Morris- CAI (Prime) Program Manager***

**Mr. Robert Morris** is the President of the Center for Applied Innovation (CAI) and serves as senior consultant, and Project Manager with a focus on Surveys, Delphi Methodology, analytic studies and Organizational Design, Human Factors and associated data collection and analysis. He is a highly decorated veteran of 31-years active duty in the United States Army Infantry where he achieved the rank of U.S. Army Colonel, earning numerous awards to include a Bronze Star. He has combat tours including Panama and Iraq as well as several classified operations. He is Six Sigma Blackbelt trained with over 40 years' experience in training, international development, humanitarian aid, crisis response, and conflict resolution programs as well as strategic to tactical level military operations, public-private program management, quality improvement, organizational development, process improvement, workforce analysis and risk management, honed in a myriad of diverse public-private sector programs and combat operations. This includes high-risk interviews and dialogue groups with Nigerian militants working towards reconciliation in the Niger Delta for an NGO and the Government of Nigeria. In one of Mr. Morris's most notable efforts, he led to program to provide critical stand-up and other support to International Criminal Tribunal (ICT) in Rwanda resulting in the Chief Prosecutor of the International Criminal Tribunal in the Hague personally writing to the U.S. Secretary of Defense that "*without [Morris'] indefatigable enthusiasm, leadership, and bureaucratic savvy, I doubt this important mission would have happened.*"

#### ***2.1.12 Richard Wilson – Senior Researcher, Standards Quality Control and Compliance Expert***

**Mr. Wilson** has 21 years of leadership, management, research and facilitation experience in defense contracting as a Program/Project Manager and 30 years of service as a U.S. Army officer who achieved the rank of Colonel and specialized as both a Military Intelligence Officer and Middle East Foreign Area Officer. He has a Master's Degree in International Relations. He served worldwide in Army, joint and combined active duty assignments related to intelligence, security assistance/cooperation, political-military affairs, special operations and inspector general functions. He was Joint Service Officer and Special Forces qualified. He has seven years of experience

as a U.S. Army Inspector General, in three different assignments, researching and evaluating the manpower and equipment requirements, readiness, economy, and efficiency of Army and Joint Service intelligence organizations and their supporting administrative, financial, training and operational systems.

**2.1.13 Zion Howard – CAI (Prime) Human Factors Survey and Analysis Researcher**

Mr. Howard is a CAI researcher and analyst specializing in industrial and organization Psychology studies and analysis. His work in these areas include, but is not limited to, Individual Assessment of Differences, IO Psychology, Social Psychology, Research Methods, Principles of Management, Lifespan Development; development and evaluation of a survey instrument, utilizing SPSS, to determine validity and reliability, running tests to determine factors such as Cronbach's Alpha, Inter-item covariance, and discriminate and convergent validity; and utilizing a computer-based simulation to evaluate its influence on confidence when compared to traditional methods of teaching. He holds a BA in psychology with minors in Business and English. Mr. Howard has previously supported CAI studies and analysis work that included developing, deploying, analysing and developing recommendations from Delphi surveys of populations ranging from 8,000 – 80,000.

**2.1.14 Susan Shaffer (Subcontractor) President and Founder – MAEC; Executive Director – Center for Education Equity**

**Ms. Shaffer** has been a nationally recognized expert for more than four decades. Her transformational work in public schools has centered on the development of comprehensive technical assistance for system wide change, training on educational equity and culturally responsive pedagogy and practice, school climate and culture, family, school, and community engagement, and multicultural gender-related issues. Currently, Ms. Shaffer is also an adjunct professor at Howard University. Ms. Shaffer serves on several boards, including the National Association of Family, School and Community Engagement (co-founder), School of Education, Bowie State University, MD, the MD Women's Heritage Center, and Harmony through Education, an international NGO serving the needs of children with disabilities. She holds a B.A. in History and M.A. in education from the University of California, Berkeley.

**2.1.15 Karmen Rouland. (Subcontractor) Vice-President MAEC; Associate Director of Technical Assistance & Training - Center for Education Equity (CEE); Program Manager – Collaborative Action for Family Engagement (CAFE) Center**

**Dr. Rouland**, an educational psychologist, has nearly 20 years of experience studying, researching, and providing consultation to educators, school district and state-level administrators, policymakers, families, and students on issues related to race and social justice in schools, student mental health and well-being, recruitment and retention of a diverse workforce, academic identity and academic self-esteem, motivation, culturally responsive family engagement, and data driven decision-making. Karmen oversees CAFE's and CEE's technical assistance portfolio. Prior to joining MAEC, Dr. Rouland worked at the intersection of education policy and data at the District of Columbia Office of the State Superintendent of Education (OSSE) providing various approaches to problem-solving educational and policy issues facing DC educators, youth, and families. Since 2006, Dr. Rouland has continued to teach undergraduate and graduate-level education courses for pre-service and in-service teachers. Karmen has co-written several peer-reviewed journal articles and holds a B.S. in Psychology from Howard University and her M.S. and Ph.D. from the Combined Program in Education and Psychology at the University of Michigan. Karmen is a board member of Girls Prep, Inc., participant in the

Center for Applied Innovation, LLC response to RFP PROJECT #V211-22-054, Diversity, Equity, and Inclusion (DEI) Consultation and Training, 30 November 2021

2021 Leadership Montgomery Connecting Our Regions Execs (CORE) Program, and is a former Commissioner with the Montgomery County Maryland Commission for Women.

***2.1.16 Katarzyna (Kasia) Razynska Associate Director of Evaluation and Continuous Improvement (Subcontractor)***

**Ms. Razynska** has almost 20 years of professional experience in the field of education and nine years of continuous experience working on projects requiring evaluation as well as qualitative and quantitative research design. At MAEC, she has led the data collection and writing of Maryland's PDG B-5 Needs Assessment and the Maternal Infant and Early Childhood Home Visiting Needs Assessment. She also works as an evaluator on the Center for Education Equity. Prior to joining MAEC, she worked for ICF where she served on the internal evaluation team for the Capacity Building Center for States funded through the Children's Bureau and played an integral role with the Regional Education Laboratory Mid-Atlantic. She brings with her 10 years of experience working for Harvard University as an employee advocate managing training and educational opportunities for clerical and technical staff. She graduated with a Master's Degree from the Harvard Graduate School of Education in International Education Policy, with a focus on quantitative research methods, and has a B.A from Boston University.

***2.1.17 Carol Gant, Senior Educational Equity Specialist (Subcontractor)***

**Ms. Gant** has over 20 years of experience as a Senior Education Equity Specialist, education administrator, classroom teacher, and university faculty. Currently, Ms. Gant provides Technical Assistance and Training to assist the state of Maryland's Department of Education in providing equitable services and outcomes to children and families. Prior to joining MAEC, Carol provided support to the Migrant and Seasonal Program Branch of the Federal Office of Head Start. Her primary responsibilities included supporting the Office of Head Start staff in improving their efforts to put research-based concepts into everyday practice in Head Start programs. She holds a BS Interpersonal Communication from Ohio University and a Masters of Education from Bowie State University with a concentration in Special Education. She completed her doctoral coursework in Early Childhood Special Education at the University of Maryland and is ABD. She is currently pursuing a Doctorate of Business Administration in Organizational Leadership at Columbia International University. Her research focuses on African American Women in Executive Leadership and Thoughts of Promotional Practice.

***2.1.18 Michelle Gwinn Nutter, Senior Educational Equity Consultant (Subcontractor)***

**Ms. Nutter**, a Pennsylvania (PA)-certified teacher and former Civil Rights Investigator for the PA Office of Attorney General, is a Senior Equity Consultant for the Center for Education Equity at MAEC. With over 30 years of experience in education and civil rights law, she provides training and technical assistance to schools and communities on a wide array of issues that disrupt the educational process. Ms. Nutter formerly led the Mission Homefront initiative, a partnership between the PA Department of Education, PA Department of Military and Veteran Affairs, and the Center for Safe Schools focused on educating educators about the unique needs of military-connected families. She also served on the PA Advisory Committee for Operation: Military Kids, a U.S. Army initiative that supported children and youth affected by a parent's deployment. Ms. Nutter is a certified Olweus Bullying Prevention Program trainer and a certified Partners Against Hate trainer. As such, she assists schools in the prevention of and effective response to bullying, harassment and bias-related tension incidents. She received her Bachelor of Arts Degree in English Education from Messiah College and a Master of Science in Education Law from Nova Southeastern University.

**2.1.19 Daryl Williams, Director, Center for Educational Equity (Subcontractor)**

**Dr. Williams** is a Senior Education Equity Specialist at MAEC, providing technical assistance and professional development training to schools and school districts to ensure that students are given access to an equitable education. As a former Associate Superintendent for Student Services, Dr. Williams provides support to superintendents and executive leadership teams in developing equity assistance plans as part of the district's strategic work. His work included training teachers and educators on strategies to increase diversity in talented and gifted programs in Henrico County (VA) Public Schools. He has collaborated with the Metropolitan Educational Research Consortium (MERC), a partnership between Richmond-area public school districts and Virginia Commonwealth University. Dr. Williams is also the Chair and Doctoral Instructor in the College of Doctoral Studies at the University of Phoenix.

**2.1.20 Dannele Ferreras, Data and Evaluation Specialist (Subcontractor)**

**Ms. Ferreras** has over five years of experience in research and evaluation for child welfare, education and childcare, and youth development programs and organizations. At MAEC, she serves as an evaluator for the Center of Education Equity. Previously she worked for the consulting company ICF International, where she conducted data collection, analysis, and reporting to evaluate child welfare services housed under the Children's Bureau and services provided by local school districts including Alexandria City Public Schools in Virginia. Ms. Ferreras held previous positions in the education and youth development fields including working for the University of Alabama and served as an independent contractor working with Alleghany County and Covington City Public Schools in Virginia. Holding a M.Ed. in Educational Psychology from the University of Virginia, Ms. Ferreras is skilled in qualitative and quantitative data collection and analysis and is experienced in working with stakeholders to develop evaluations and understand and apply findings.

**2.1.21 Kelly A Diggs-Andrews, Founder and CEO-Diggs-Andrews Consulting LLC; Senior Master Facilitator-Center for the Improvement of Mentored Experiences in Research (Subcontractor)**

**Dr. Diggs-Andrews** is a trained neuroscientist and cell biologist, who currently operates Diggs-Andrews Consulting LLC (DAC-LLC) as an independent consulting company in the metro DC area. DAC-LLC's primary focuses are communication, professional development, and increasing access, equity, and awareness for scientists globally in hopes to broaden accessibility and representation in science careers. Since 2013, Dr. Diggs-Andrews has gained acclaim as an equity, inclusion, and advocacy expert as she has worked with a host of institutions to create a culture of culturally responsive mentorship. She is also a senior Master Facilitator with the National Research Mentoring Network (NRMN) and the Center for the Improvement of Mentored Experiences in Research (CIMER), where she leads both in-person and virtual workshops for research mentors across career stages and disciplines nationwide. Dr. Diggs-Andrews earned her BS in Biology from Alabama State University (2005) and her PhD in Biology and Biomedical Sciences from Washington University in St. Louis (2010).

**2.2 Resumes of staff to be assigned to the project (RFP VI, B., 3.,c).**

2.2.1 LTG (Ret) Russell Tonore - (Appendix 1)

2.2.2 LTG (Ret) John M. LeMoyné (appendix 2)

2.2.3 MG (Ret) Mario F. Montero (Appendix 3)

2.2.4 Pat Locke - (Appendix 4)

2.2.5 Mr. Pedro Alvarez (Appendix 5)

2.2.6 Hon. Theogene R. Masingwa, MD - (Appendix 6)

- 2.2.7 Dr. Gerald Gahima, Ph.D - (Appendix 7)
- 2.2.8 Mr. Jason Poblete - (Appendix 8)
- 2.2.9 Brooke Schaab - (Appendix 9)
- 2.2.10 Alan Spiker - (Appendix 10)
- 2.2.11 Bob Morris - (Appendix 11)
- 2.2.12 Richard Wilson - (Appendix 12)
- 2.1.13 Zion Howard - (Appendix 13)
- 2.2.14 Susan Shaffer - (Appendix 14)
- 2.2.15 Karmen Rouland - (Appendix 15)
- 2.2.16 Katarzyna (Kasia) Razynska - (Appendix 16)
- 2.2.17 Carol Gant - (Appendix 17)
- 2.2.19 Daryl Williams - (Appendix 18)
- 2.2.20 Dannele Ferreras - (Appendix 19)
- 2.2.21 Kelly Diggs-Andrews – (Appendix 20)

### 3.0 List of Proposed equipment/goods and approach to providing any service including a proposed work plan (RFP VI, B.,4.,a).

#### 3.1 Team CAI’s intimate knowledge of VMI and its unique culture

In just a “snapshot” of its over 180 year history since 1839, the Virginia Military Institute VMI produced at least nine Rhodes Scholars, 38 College and university presidents, a National Football League (NFL) head coach, three U.S. Senators, numerous Congressmen, Chief Executive Officers, explorers, authors, military readers, acclaimed actors, an Academy Award winning producer, civil rights advocates, six Congressional Medal of Honor winners and the only soldier in history to win the Nobel Prize for Peace.

Among them is Johnathan Daniels, VMI Class of 1961, and a renown Civil Rights advocate during the turbulent 1960s. Daniels stepped in front of a construction worker with a shotgun and gave his life to save Ruby Sales, a black 16-year old girl. For his actions and his work on Civil Rights, the Episcopal Church added the date of his death to its Calendar of Lesser Feasts and Fasts, and in England’s Canterbury Cathedral, Daniels name is among the fifteen honored in the Chapel of Martyrs.



Figure 1 Johnathan Daniels VMI '61

VMI’s contribution to Virginia and the nation is unquestionable and best summed up by the affirmation from the Governor, Lt. Governor, Attorney General, Speaker of the Virginia House, President of the Virginia Senate, Legislative Black Caucus, Virginia Senate and House Finance and Appropriations Committee Chairs, Virginia Senate and House majority leaders and the Chair of the Virginia Senate Democratic Caucus that:

*“As the nation’s oldest state-run military college, the Institute exalts the virtues of honor, sacrifice, dignity and service”*

**It is equally unquestionable that VMI faces challenges to achieving the level of equality commensurate with its stature in other areas.**

At the conclusion of his valedictory Speech to the Class of 1961, Johnathan Daniels stated:

*"I wish you the decency and the nobility of which you are capable. These will come, with the maturity which it is now our job to acquire on far-flung fields."*

In that spirit, Team CAI brings together "the best of the best" for this work in delivering the services required by the RFP. We understand that VMI's culture is vastly more complex than most IHEs and supply "understanding the military" is completely insufficient for success in obtaining buy-in from the VMI family and successfully deploying change. Team CAI come forth with the sole objective of assisting VMI in achieving the equality decency and nobility of which it is capable. We will do so using an innovative, inclusive, impartial and forward-thinking approach that honors all that VMI and its graduates like Johnathan Daniels stood for, stand for, and want it to achieve.

What recent work at VMI, the experience of the new leadership, and especially VMI's history tells us is that the VMI needs a flexible contractor who can bridge the historic and cultural divides to overcome both intentionality and awareness bias.

The senior leaders Team CAI can potentially access for the project are known to and well respected by the VMI Family from cadets to senior leaders and the BOV. The VMI alumni supporting Team CAI have extensive knowledge of the challenges facing VMI to include the recent investigation through their close contacts not only with cadets but faculty and fellow alumni ranging as far back as the 1950s to as recent as the Class of 2021. CAI itself was retained by several customers to conduct a "deep dive" into the recent Special Investigation and Equity audit to the data level of granularity in order trace root caused and analyze each finding of the report through a peer review process. The result is that Team CAI has complete understanding of the protocols, finding, recommendations for every aspect of the report through their validity analysis and culminating an rarely equaled knowledge and understanding of how that data relates to the report's findings and recommendations. This knowledge is essential to inform strategic level planning and if desired approaches are supported by the findings then linked to a robust dendritic analysis process as the RFP requires.

Another unique capability Team CAI brings is that these alumni are recognized by VMI affinity groups such as the Gay and Lesbian Alumni Association (GALA) that provides them the opportunity to engage these groups as required if the programs VMI plans is.

### **3.2 Offeror's response on providing the services and meeting the criteria stated in the SoN. (RFP VI, B., 3.,c).**

Team CAI will use diverse methodologies to delivered the required training, mentoring cadet, staff, senior leader and Board of Visitor training and strategic planning by leveraging the complex culture, policies, and traditions at VMI. Team CAI shall continuously gather the VMI Family's input, paying particular attention to those vulnerable members who may be reluctant to participate for fear of retaliation or previous racial or sexism issues. In addition, our approach, as detailed here in, will review relevant documents, policies, and any other information that are appropriate to inform training development and strategic planning. As you will see from



our comprehensive approach, if equity gaps are identified in any of the proposed areas, Team CAI will provide actionable recommendations for improvement.

**A singular challenge.**

To the best of our knowledge and belief from our extensive pre-proposal research and up-front analysis; exploring positions on both sides of this increasingly serious issue and coordination with highly qualified experts and professions in the field, the services required by this RFP are of significant magnitude and level of complexity. The culture at VMI, steeped in its civil war lineage and deep in a southern state has more facets than those conducted at Military Service Academies.

Equally challenging is the complexity, diversity, and distribution of the populations the RFP requires be addressed that includes VMI Cadets, alumni, faculty, select staff and others with their equally complex networks. This implementation literally starts at “ground zero” with an institution, as the responses to the Q&A states, that is devoid of DEI experience or the programs required by the RFP until recently when its DEI office organized. A key to success and avoiding the failures encountered by others who explored this area is to build trust among the various VMI Family facets. Team CAI is the team to accomplish that. The environment that this must be conducted in is the specialized culture of VMI that is truly a *complex team system*.

By definition, a Multi-Team System is where *Teams have different proximal goals but share at least one common goal; and input, process, and outcome are interdependent with at least one other team in the system* (Marks, DeChurch, Mathieu, & Panzer, 2005). A multi-team system can also consist of *teams offering specialized skills, capabilities, and functions aimed at attaining goals too large to be performed by a single team* (Zaccaro, Marks, & DeChurch, 2012). Taken together, the diverse VMI make-up consisting of current cadets, alumni and their networks, administration and academic departments and others that comprise the populations constitutes a Multi-Team System in both respects. Team CAI’s approach is designed specifically to support such a complex multi-team system. It will leverage best practices from the intellectual and research body of knowledge on how to form, staff, and maintain highly productive teams. We will apply these tenets, strategies and protocols to all work plans.

The RFP scope requires Team CAI to be “forward looking” with DEI training that can be delivered to the VMI community, including Institute Executives and Board of Visitors. The organization must be able to identify specific areas for organizational in-depth focus through a DEI lens. CAI has consultants who understand the military underpinnings of VMI. Determination of a clear roadmap for training, consulting, and coaching. Team CAI is uniquely positioned to support VMI’s effort to make decisions and strategic plans at the institutional level. We have a deep bench and the reach to support for the daily strategic work of the Chief Diversity Officer (CDO) and the Office of Diversity Equity and Inclusion who, themselves, are “starting from scratch” at VMI as the Institute seeks rapid improvement from a legacy of DEI shortfalls.

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*VMI has the same racial and equity problems currently being faced by U.S. Military Academies, but they are facing them in the public view while the Service Academies work through them with the benefit of Inspector General and other more appropriate and confidential investigations and processes.*

*- Jamie Mines, First Female Graduate USNA and Equity SME for the USNA.*

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***None of this is possible without instilling a culture of change and inclusiveness for all stakeholders.***

Within this context, VMI faces the challenge of a paradigm shift in culture, process, tradition and other areas that “template” and “one size fits all” DEI training and assessment approaches most other vendors offer can never produce the important outcomes and “buy-in” required. The paradigm and associated cultural shift is an innovative and forward-thinking activity methodology that holistically addresses a myriad of needs identified in the RFP. This approach will establish VMI as a continuous quality improvement (CQI) and self-correcting DEI institution.

**Addressing the Complex RFP Scope**

The cumulative effect of this situation within the VMI Family is one where the exchanges on DEI at VMI has turned from one of a needed dialogue to a counter-productive discussion. While it is both important and essential that the current situation with VMI be addressed, it must be accepted and embraced that the RFP has a very important starting point to first identify and define the problem to include assessing what VMI is currently doing and not doing to effectively understand and resolve it. This must set both the conditions and the path for a long-term strategy including short term and incremental goals for the future to achieve a desired end state. Part of that will be to determine and build consensus on what that desired end-state is.

Racial, gender, and other inequality is a serious issue at IHEs across the United States. Other Virginia IHEs have experienced or are experiencing similar and, in some cases, more serious allegations in these areas. In a “like comparison”, and although they’ve made great strides, U.S. Military Service Academies and IHE Military Schools have struggled with this issue for years and continued to work diligently as they understand that establishing and maintaining the highest standards of equality requires commitment and diligence. As with these other IHEs, the issues resulting in any equality issues that may exists at VMI have evolved over decades, and they will not be completely resolved from a single solution.

In the case of VMI extending the normal dialogue about building cultural competencies to focus on how existing systems, policies, and practices reinforce white and other forms of privilege and disadvantaged persons of color, persons experiencing poverty, and other groups historically marginalized based on their gender, sexual orientation, religion, nationality, or language, requires using the training and planning delivered under the RFP as a critical starting point but not the “single event solution”.

**3.3 What, when, how and by whom the services will be performed (RFP VI, B., 3.,b).**

Thorough the major services provided below, Team CAI will determine VMI needs; develop and implement comprehensive responsive plans to meet them; deliver the training and planning; and assess results with feedback loops to drive CQI at both the program and strategic levels. Team CAI will do this by providing the following required RFP services:



*The state of Virginia contains a diverse set of ethnic groups and one of the higher percentages of Asians and African Americans in the country, ranking 9th in terms of percentage when compared to the other 49 states:*

*White: 68.02%*

*Black or African American: 19.17%*

*Asian: 6.32%*

*Two or more races: 3.68%*

*Other race: 2.48%*

*Native American: 0.27%*

*Native Hawaiian or Pacific Islander: 0.07%*



Provide DEI training that includes guidelines, cultural sharing, areas of modification, bias intervention options, and DEI language that best fits the VMI community.

- Provide opportunities for individuals to embrace DEI concepts, explore allyship, and a framework for lifelong learning.
- Discuss cultural and identity oppression in the context of current culture as it relates to VMI.
- Design, conduct, review, and analyze an organizational DEI cultural assessment.
- Review the assessment from a framework that is both individual and organizational while understanding the VMI philosophy.
- Provide accountability and support within the ranks of Institute Executives.
- Provide opportunities for face-to-face training on post.
- Assist in determining roadmap of training, consulting, and coaching.
- Provide on-going DEI support.

Primarily all trainings will take place on Post and in person although a CAI discriminator from other vendors is our in-house Distributed Learning (dL) capability. This allows learning from a distance for geographically dispersed members of the family such as alumni and especially Board of Visitors (BOV) members. The “How” of the CAI approach uses our proven method starting with identifying VMI’s needs, building solutions to meet those needs, delivering to meet them then assessing to determine if DEI objectives were met while developing actionable recommendation to continually improve the project. Several of the major components of this method are covered below.

In addition to training and strategic planning, Team CAI will provide other human resources support to the VMI DEI office as necessary to ensure a sufficient workforce in place to enable full deployment and drive needed changes. The prove method we detail in our proposal below will use the following goals and integrate the associated Measures of Performance (MOP) and Measures of Effectiveness (MOE) into move VMI forward:

**Goal: Access and Success-** Achieve and maintain a more diverse and inclusive student body, faculty, staff, and administration by achieving increased student enrollment from historically underrepresented and underserved populations, and increasing retention and academic success of historically underrepresented and underserved undergraduate students. Additionally, recruit and retain a diverse faculty and staff.

**Measurements of Success:**

- Enrollment numbers for gateway program participants
- Yield rate for admitted first-time college and transfer students
- Financial assistance funding
- Participation rates in academic support programs
- First to second year retention rates
- Second to third year retention rates
- Results of program evaluation/assessments
- Faculty and staff headcount and percentages.
- Managerial and executive staff counts and percentages
- Retention rates for faculty and staff
- Tenure and promotion rates
- Review of dashboard
- Leadership development participation for faculty and staff.

**Goal: Climate and Intergroup Relations-Create and sustain an organizational environment that affirms and respects diversity and employs inclusive practices throughout its daily operations.**

**Measurements of Success:**

- Perceptions of climate for diversity and inclusion as measured by climate survey and other sources of information.
- Using climate surveys and evaluations, measure awareness and understanding of Institute resources related to harassment, discrimination, and identity-based violence.
- Results of program evaluations designed to facilitate intergroup dialogue and trust.
- Using national benchmarking, triangulate institutional results.

**Goal: Education and Scholarship** - Engage students, faculty, staff, alumni, and the community in learning varied perspectives of domestic and international diversity, equity, inclusion, and social justice. Create and sustain an organizational environment that affirms and respects diversity and employs inclusive practices throughout its daily operations. Additionally increase the cultural competencies of faculty and staff.

**Measurements of Success:**

- Participation by faculty and staff in professional development programs related to curricular transformation, in support of diversity, equity and inclusion.
- Cadet participation in co-curricular opportunities tied to Inclusive Excellence
- Research output related to DE&I topics
- Evaluation of programs related to inclusive teaching
- Self-reported improvement in knowledge and skill related to teaching and curricular development
- Level of participation in professional development opportunities
- Self-reported growth in awareness and competencies
- Faculty assessment of diversity-related learning goals

**Goal: Organizational Culture and Accountability** - Create and sustain an institutional infrastructure that effectively supports progress and accountability in achieving DE&I goals, while creating a culture of evaluation and continuous improvement for administrators and senior leaders.

**Measurements of Success:**

- Documented processes for reporting progress towards the DE&I goals established in the Inclusive Excellence framework
- Evidence of DE&I integration in the post (campus) wide and unit-level operations plans
- Report on where the use of shared resources and dispersion of best practices have been implemented
- Number of formal cross-post collaborations
- Documentation of reporting processes
- Work groups dedicated to analyzing disaggregated data related to DE&I.
- Number of policies and processes evaluated and redesigned using an equity lens
- Funding support for DEI initiatives from fundraising efforts
- Increased initiatives aimed at women and multicultural alumni cultivation

**Goal: Community Engagement** - Leverage institutional philanthropy and community partnerships to create collective impact with other community organizations.

**Measurements of Success:**

- Number and type of partnerships
- Demonstrated impact of partnerships on community outcomes

**3.3.1 Training Needs Assessment**

Success in training is not measured by how well the trainees perform in the classroom but how well they perform in implementing DE not only in barracks, classroom, offices and board rooms, but in their daily lives. It is a life-long learning process. Success depends on instilling in them the Knowledge, Skills, and Abilities (KSAs) from the training they receive.

Knowledge is the body of information that, when applied directly to the performance of a function, makes a life using DEI principles natural behavior. Skills are the proficient manual, verbal or mental manipulation of data or things required for successful performance and can be readily measured by a performance test where quantity and quality of performance are tested. Abilities are the individual’s power to perform an observable activity to standard and differ from aptitudes that are only the potential for performing the activity.

Successful training produces six integrated outcomes that directly result in the ability of the organization to apply KSAs in performance of its mission. The first performance outcome is improved quality of the population force. The second is enhanced student growth. Training provides required practice resulting in participants developing professionally. The third is preventing obsolescence. Through training and development, the participant is up to date with evolutions and equality demands in society and their social circles.

The end result is optimum organizational and individual performance in achieving DEI program objectives.

Defining the purpose of the program is the first and most essential step in developing a training program. As shown, our approach obtains input from multiple sponsors, Subject Matter Experts (SME) and stakeholders, including potential trainees, to clearly identify what should be trained, who should be trained, and how the training should be implemented. Refining this purpose specifically for VMI will be “job 1” in the Team CAI methodology detailed below.

The first step in any training development is to perform a functional task analysis to define the training requirement and ensure the customer is making wise investments in training and other possible interventions. Whether for an individual training offering or the VMI DEI overall training plan, Team CAI accomplishes this through a Training Needs Analysis (TNA) executed in a collaborative, creative working environment designed to engage sponsors, stakeholders and relevant SME throughout the process.

As the first and foundational step in any viable organizational training process, TNA must be managed judiciously, effectively, efficiently and wisely by identifying and assessing the gap between the KSAs people in the organization currently possess and the KSAs they need to meet the organization's goals, objectives and performance standards.

The TNA results allow the organization to set the training objectives by answering two very basic questions: **what needs to be done, and why is it not being done now?** Then, it is more likely that an accurate identification of whom, if anyone, needs training and what training is needed. After providing the multi-disciplinary team (trainers, SMEs, student teams, stakeholders, sponsors) with initial materials we execute the TNA using a collaborative five step process.



Figure 2 - Training Process Model

### 3.3.2 Training Development

Our curriculum approach for VMI is designed to be flexible, modular, and adaptive to facilitate finalizing and customizing it soon after contract award during the Task Order process described below. A CAI discriminator is that our Continuous Quality Improvement (CQI) approach implements on-going assessments of both the program and student progress throughout the project. This allows us to not only provide the required summary assessment with general recommendations for next steps but Actionable Recommendations throughout the project for adjustments to the curriculum based on participant and organization needs and development. We are truly adaptive in execution. Just a few examples of these approaches include, but are not limited to:

- The modules can be modified and custom modules developed to meet VMI's exact requirements as they evolve throughout the program.
- Pre-Course survey of all participants to assist in ensuring the content is adjusted to their experience levels, expectations, and goals.
- Best practice-based assessment for each participant tailored to the VMI organization and culture.
- Each managerial level participant receives the online Management Style Analysis with personalized results and an associated action plan to include their leadership related Knowledge, Skills and Abilities (KSA).
- Group profiles developed with content and delivery tailored to their group profile to ensure maximum instructional impact and learning.
- Post-assessments after each module to ensure the learning objectives were achieved and to inform any "in-stride" improvements in customizing and delivering subsequent modules.
- Post-program survey to ensure all course objectives were met and to inform actionable recommendations to the VMI DEI Office for use in building a sustainable DEI strategic plan and program.

**Course development.** Once the needs and other factors are defined, Team CAI creates course offerings using a fundamentally sound instructional design strategy that enhances and assures learning. Our content development

is inseparably linked to our Classroom Instruction approach through a holistic course design model using proven life-long learning principles and relevant educational research with the following at the heart:

- Learner-centered
- Observable, measurable learning objectives that are formulated from an analysis process
- Instructional content and learning activities linked to specified objectives
- Measurable learning outcomes and content transfer
- Engaging, logically sequenced instructional content
- Guidance strategies that include the use of practical examples and realistic case studies
- Instructional strategies and multimedia optimized to address multiple learning styles & preferences
- Practice opportunities that reinforce key learning points with timely feedback
- Assessments based on knowledge/skills specified in the objectives at an appropriate level of rigor
- Assessments based on the level of learning classified according to Bloom’s Taxonomy

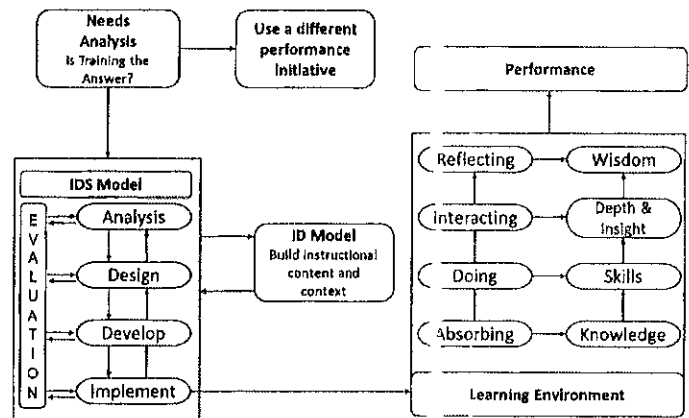


Figure 3 - Education Development to Instructor Led Education (ILT) delivery

While the RFP does not require virtual training, a discriminator of the CAI approach is that our developed content is designed for easy transition to distance Learning (dL). This provides VMI a significant cost-avoidance for the future when they are ready to embrace the benefits and significant cost savings of blended and dL approaches to DEI training.

Meeting VMI’s immediate need for classroom education requires a Systematic Approach to Training (SAT) covering the Operational, Institutional, and Self-Development education domains. Team CAI’s model addresses how these relate to each other; individual learning objectives; and the program’s efficiency, quality, and expertise.

The foundation of Team CAI’s courseware development, execution, and delivery enterprise is a SAT rooted in Malcolm Knowles’ Adult Learning Model. The SAT methodology, in turn, is based on the ADDIE model. The ADDIE education methodology has proven to be a highly effective means of ensuring that participants receive the optimum knowledge transfer relative to established learning objectives.

The ADDIE model consists of the following five phases:

**Analyze:** Analyze to identify what knowledge, skills and attitudes need to be learned. Determine the learners’ needs and constraints.

**Design:** Design an education strategy to achieve the identified learning objectives. Identify learning objectives, learning activities, delivery methods and media, and learning outcomes in the form of an instructional plan.

**Develop:** Develop curriculum that includes concise “lean” content with practical exercises with appropriate knowledge feedbacks. Leverage subject matter experts (SMEs) and other resources to create content and instructional materials, including learning modules, storyboards, activities, and job aids, etc.

**Implement:** Deploy the education and/or courseware.

**Evaluate:** Evaluate the courseware and audit-trail throughout the four phases to ensure it is achieving the desired results. Revise and/or modify as necessary.

In execution, each phase of the process results in specific deliverables to the CAI Program Manager (PM) in draft form, evaluated by technical experts and Team CAI instructional design staff then revised by the Instructional Design Team (IDT) prior to final review and approval.

After deploying curriculum, the team determines the instruction’s effectiveness on achieving learner outcomes using Team CAI developed evaluation tools then analyzes results and prepares evaluation reports. Evaluation consists of many different

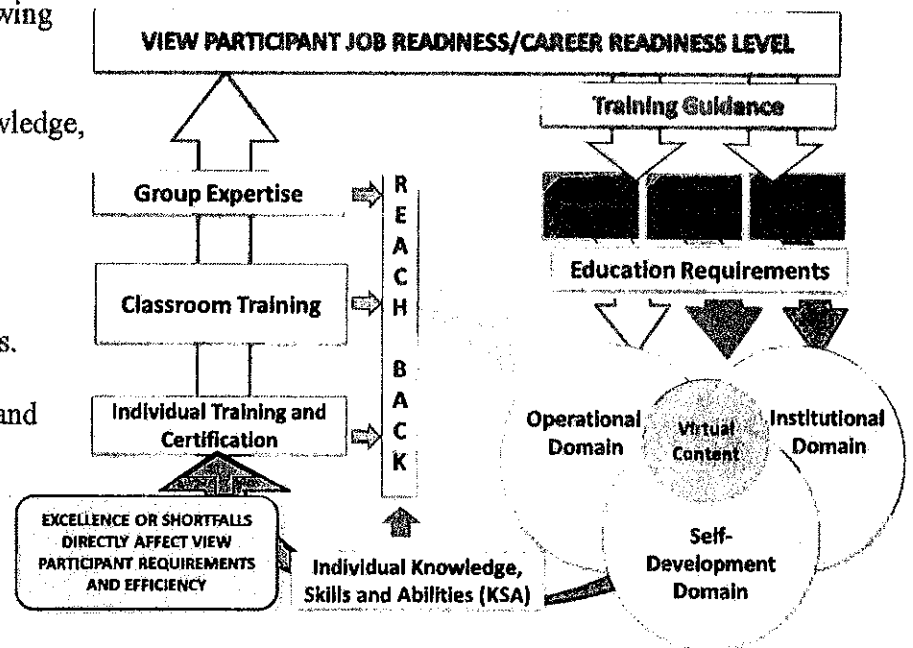


Figure 4 – Systematic Approach to Training (SAT)

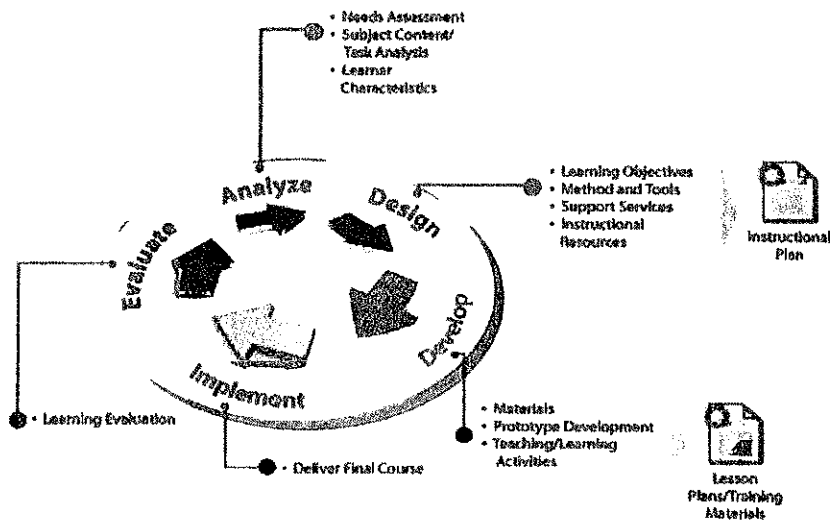


Figure 5 - The ADDIE Model



levels, including both short-term (course/module/instructor reaction evaluation, knowledge tests, and practical applications) and long-term (interviews with class participants after the education, course/module critique evaluation, skill transfer, and impact on the student's Career Readiness Level (CRL). Specific activities in the Evaluation Phase of the ADDIE Model include:

- Develop evaluation tools, analyzing results and preparing evaluation reports.
- Revise lesson plans and instructional materials (as required).
- Review and evaluate each module to ensure the program is educationally sound (follows and measure performance-based objectives specified in the design).

Team CAI executes the evaluation phase by monitoring and making periodic updates to the methodology, curriculum, syllabi, and materials accordingly subject to customer approval. This includes executing technical assessments of education module deployment.

The greatest Team CAI brings VMI in this task is providing the best, scientifically based pedagogically correct curriculum by a team of Adult and Life-Long Learning experts.

Team CAI will use its proven approach to develop and deploy courseware that will:

- Provide DEI training that includes guidelines, cultural sharing, areas of modification, bias intervention options, and DEI language that best fits the VMI community.
- Provide opportunities for individuals to embrace DEI concepts, explore allyship, and a framework for lifelong learning
- Enable and foster full and open dialogue on cultural and identity oppression in the context of current culture as it relates to VMI.
- Design, conduct, review, and analyze an organizational DEI cultural assessment.
- Review the assessment from a framework that is both individual and organizational while understanding the VMI philosophy.
- Provide accountability and support within the ranks of Institute Executives.

### **3.3.3 Training Delivery**

The goal of Team CAI's project Leading and Coaching: VMI Equity is to deepen the impact and build the capacity of the Board of Visitors, VMI Faculty, Staff and Administration, and ultimately its students diversity, equity and inclusion work over a period of five years by designing and developing a systematic training program that would include the following components of professional development and evaluation:

1. Planning
2. Process evaluation
3. Train the Trainer Series (TOT)
4. Coaching
5. Community of Practice (CoP)
6. General Training on Equity for other VMI Staff
7. Development of an Equity Audit tool for campus settings

Through the tiered model MAEC will:

- Increase participant understanding and cognitive knowledge of equity.
- Increase participant ability to implement instructional strategies and practices that are culturally responsive, culturally sustaining, and equitable at VMI.
- Provide the campus with the necessary skills and knowledge to deliver effective training about equity in early childhood care and education, so they can build the capacity of other individuals to create greater equity.
- Deepen training staff's understanding of what it means to support another adult's learning, growth, and development around equity issues.
- Engage participants in an interactive process of reflection and feedback to support them in refining their practices, developing and implementing new practices/skills, and promoting self-assessment and learning.
- Provide participants with ongoing support needed to implement and sustain new knowledge and/or skills around diversity, equity, and inclusion under authentic conditions.
- Build the capacity of participants to implement diversity equity and inclusion practices.

### **Train the Trainer**

This four-part train the trainer series will help a cohort of campus trainers explore the intersections between education and equity. It will introduce the participants to critical philosophical and sociological questions and critically examine their role in VMI's system. Participants will develop an awareness of race, bias, culture, class, gender, language, disability, sexual orientation, and other lines of difference. They will explore how systems might be structured in ways that build equity and justice. This series will support developing reflective practitioners who can critically analyze some of VMI's systems' central forces. Participants will examine how equity and culturally responsive practices can be structured, supported, and monitored in VMI and consider system implications to support equity implementation throughout the campus.

### **3.3.4 Assessments**

An additional tool used by CAI during training will be the CRL assessment (enclosure 3) that will assist participants in identifying strengths and areas for improvement needed to successfully enter or re-enter the workforce.

In the all-important area of delivering the classroom instruction a Team CAI discriminator is that we train instructors to conduct classroom session using the dialogue facilitation methodology. In general terms "Dialogue" is an inquiry into what leads us to think, feel, speak, and act as we do. Using the dialogue technique focuses on listening skills; it stimulates conversations and thoughtfulness. Individuals learn how to change their views and form new ones. Dialogue helps manage change and prepares VMI DEI training to address the changes resulting from inquiry, suspension of judgment, and leading change. Dialogue is a specialized blend of proven approaches used to achieve dialogue goals and requires basic Knowledge, Skills, and Abilities in fundamental communications, management, and engagement techniques. Team CAI members do not just use Dialogue in their facilitations, they teach it individually and in train-the-trainer.

Team CAI executes classroom instruction as an element of the ADDIE Model we use in course development as covered above. This evaluation phase is accomplished by monitoring the classroom instruction and making periodic updates to the methodology, curriculum, syllabi, and materials accordingly subject to customer approval. It may also include either additional training for or replacement of instructors when they do not meet our standards and achieve specified goals objectives and student outcomes. This approach includes executing technical assessments of instruction delivery and student surveys as well as other protocols. Additional change drivers come from updates to the applicable professional Bodies of Knowledge, best practices, or driven by lessons learned from executing classroom instruction. A CAI discriminator is our capability to award student Continuing Education Units (CEU) at the end of classes.

Team CAI conducts needs, pre-and post- training assessment as well as assessments during and in support of TNA, and Strategic planning as required. Surveys and the associated analysis are the central critical activity for these activities. They are also the one activity in the entire project that will have the greatest impact on success or failure in building trust or buy-in from the VMI community. One only needs to look at the issues that arose as a result of the survey method used in the recent Special Investigation and Equity Audit of VMI to understand the criticality of this element. Equally important, all other activities will inform survey development while survey results will, in turn, inform, validate, or invalidate other more subjective finding.

Most importantly, the surveys constitute the most “public face” of the project and are the single most influencing factor to build trust in the process and, by extension, buy-in to embrace and implement the recommendation.

In short, they represent the project’s single, critical point of failure. Team CAI’s proven approach mitigates this risk.

For the purposes of the RFP there are at least three distinct populations, consisting of current cadets, BOV faculty and staff. The alumni population, if added at some future point, is another population unique in that, unlike other institutions, the VMI Alumni Agency (VMIAA) defines an “alumnus” as any person who signed in at matriculation regardless of whether they graduated or not. For the purpose of this work, that holds the added advantage that some in that population may have left without graduation.

A Team CAI discriminator is that in executing surveys, focus groups and other engagements of these populations, and SME interviews, a Delphi Group methodology will be used. Delphi Group, which was developed in the 1960s, is designed to have a group of experts review a common set of information (documents, reports, an event), and using a combination of individual reviews and group discussion, to arrive at consensus opinions concerning the topic of interest. The Delphi Group exploits the individual expertise of its experts so that when discussing topics within a given individual’s expert area, their opinion will be given more weight. Interaction in Delphi is anonymous; comments, forecasts, etc. are presented to the group in such a way as to suppress any identification.

One of the useful features of the Delphi Group approach is that it is good at identifying information that is missing from the core set of materials being reviewed. This is because a structured group interaction involving experts (of varying backgrounds) is a powerful brainstorming method that increases the likelihood that information, documents, or resources not physically present in the materials being reviewed will be uncovered. Identifying “what’s missing” is one of the most difficult tasks that humans can be asked to perform. The Delphi Group is well-suited to overcoming cognitive barriers (like imagining what you can’t see) and arriving at

insights concerning relevant information that should be included in an analysis. In addition to the Delphi Groups, Team CAI will use unstructured interviews with a standardized interview guide to inform data collection from focus groups, SMEs, and other areas.

Once our team develops the survey questions and coordinates them with the VMI they will be reviewed and approved by the CAI Institutional Review Board (IRB). During execution of the survey, we will determine the statistical validity of the survey input in three ways:

**Survey size.**

The survey response has to be of sufficient size to generate a reasonably precise estimate of the population opinion on a given topic. The diversity of the populations in terms of technical and non-technical areas mandates responses should be drawn in sufficient numbers that standard statistical assumptions (i.e., normal population, independent mean and variance, etc.) can be met. In determinations of required response size, one needs to specify both the confidence level (probability of Type I error) and a “confidence interval” or “margin of error” factor. We will use the standard 95% confidence (alpha) level and seek to reach a +/-4% margin of error (MOE). These are benchmark statistics that are deemed acceptable for cost claiming in social services agencies by the Federal government.

Based on the demonstrated effectiveness of our approach, we feel that achieving stretch goals of 95% confidence level and +/- 3% margin of error is achievable. For example, CAI recently achieved a 96% confidence level and +/- 3% margin of error in surveying a target population of over 85,000 transitioning Service members dispersed globally for the U.S. Army Human Resources Command. In addition, we just completed survey activities that achieved a 97% confidence level and +/- 2% margin of error in a survey effort of all 50 U.S. State procurement officers. Moreover, we recently completed a survey of a population of 9,000 for the Virginia Department of Social Services (VDSS) that achieved a 99% confidence level and 2% margin of error.

**Stratification.**

The next element of validity is to stratify the response. In other words, the response will be representative of the population in roughly the same proportion on key demographic variables. That is, the sample will represent the population in roughly the same proportion on key demographic variables (age, race, gender, Class year of the cadets participating, time of employment with VMI, level of authority, etc. in percentages approximating each of the specific populations of Cadets, Faculty, staff and other cohorts that may be involved in the training. In particular, we will stratify subsamples within this larger response to appropriately cover those subgroups (e.g., race, gender, and others) whose characteristics, objectives, and needs may affect the impact workload measures. These stratification variables will be identified, in advance of the surveys with VMI, then approved by the CAI IRB. In other words, in our survey returns we will have percentages that approximate the populations. Of course, this presumes that we know what these stratification breakouts are in the overall population that VMI must provide us. We will use literature reviews of VMI statistics and work with VMI to determine these

***VMI does not need a vendor who'll just “give you what we gave everyone else” or “what we did the last time (with some ‘tweaks).” VMI requires – and the VMI family deserves - a true partner who will provide tailored innovative ways to accomplish the RFP objectives by a team with impeccable credentials and who are individually and collectively beyond report – Team CAI is that partner!***

population percentages and apply them so that stratification is achieved Team CAI will work with the VMI, VMI and other reliable information sources to achieve the highest level of detail possible in drafting the protocols.

**Validity.**

The third and most challenging element for the project is that the sample be randomly generated. Statistically, this means that literally everyone in the defined VMI populations have an equal chance of being in our sample. If the sample is not random, conclusions from the sample cannot be confidently generalized to the population. By example, surveying mostly or only subjects from one race, gender, one or a narrow group of classes, employees, staff, etc. or just those who expressed concerns or issues with alleged racial injustice will not be random. The VMI Cadet population, especially recently, has experienced low return rates on surveys that have progressively diminished. Our approach will reverse that trend for actions connected to this project.

If necessary, to ensure randomness, Team CAI will use a randomizing process in which a random number generator is employed that assigns a unique number to each potential sample participant. A uniform (rectangular) distribution underlies number assignment, ensuring randomization in the selection process.

A significant Team CAI discriminator is that our open, transparent approach executed by a truly independent team that is beyond reproach will build trust by this population of a fair and unbiased review. Further engaging these populations to participate in the surveys and other activities through the Corps of Cadet leadership and other known and trusted channels as described below will achieve the essential validity.

**Complete IRB review of data collection protocols**

CAI will provide the IRB for this effort through its standing Human Use Committee (HUC) protocols. The CAI HUC constitutes an Institutional Review Board (IRB) in accordance with The National Research Act of 1974, The Belmont Report, 32 CFR 219, and DoD Instruction 3216.2 Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research in Research. This will also ensure FERPA compliance.

Federal law requires that all research conducted or supported (including federal grants and funds) by a federal department, agency, or other entity (including contractors, state and local governments, etc.) whether or not it is regulated must comply with all sections of the policy and law. Research that is neither conducted nor supported by a federal department or agency but is subject to regulation as defined in the law must be reviewed and approved, in compliance with the appropriate CFR by an institutional review board (IRE) that operates in accordance with the pertinent requirements of the law.

The CAI fully complies with these policies and regulatory procedures in all covered areas regardless of the funding source for all projects and programs. In execution of work under a contract awarded as a result of RFP, no CAI employee or any subcontractor will conduct research involving human subjects or sponsor such efforts through contract, grant or other agencies using contract funds without appropriate review and analysis of the proposed research plan. That plan is used to determine whether human subjects will be at risk, and if so, whether that risk is justified by the benefit to be gained. The IRB will ensure the components of disclosure, capacity and voluntariness are met by the research plan. All documentation on efforts involving risk (research plans, reviews, approvals, consent forms, etc.) will be maintained as a permanent record by the principal investigator and the HUC.

It is important to remember that outputs from one part of the project will often be necessary inputs or conditions for another part of the project. Additionally, outputs from one task may alter assumptions, risks, objectives, outputs, and activities for subsequent tasks as the project progresses. For example, inputs from the Training Needs Analysis, pre- and post- training surveys and analysis will be critical inputs to strategic planning. Likewise the vision, goals and objectives from the BOV and VMI strategic planning process must be deployed in the training and other DEI Office support.

### **Root Cause Analysis**

A Team CAI discriminator is to go beyond “reporting the results” to identify root causes and translate them into actionable recommendations for immediate and strategic planning implementation.

The primary goal of a root cause analysis is to analyze problems to identify what happened, how it happened, and why it happened so that schools, districts, state departments of education, early care programs, and institutes of higher learning can correct the problems that have been identified. Team CAI supports clients in reviewing data collected as a part of a project to identify associations, trends, or patterns within and across the data sources. Team CAI then uses root cause analysis to develop action plans to test hypotheses based on the emergent data trends. Analyzing hypotheses helps clients identify which issues to address and possible contributing factors. Potential root causes of inequities often include grading and disciplinary policies, instructional practices, and administrative and teacher assumptions regarding culturally diverse students.

Team CAI will work with data gathered as a part of this project to enable VMI to identify the sources of inequities. Team CAI will then work with VMI to develop goals and action plans for each targeted area, after which we will work with VMI and the Center for Applied Innovation to provide research and resources, and connect VMI to organizations with specific expertise on effective evidence-based interventions. This analysis will lead to improved capacity for VMI to effectively use data to improve instructional practices, policies, and student outcomes.

Outcomes from this task, in addition to those mentioned above, will be to inform other areas of the study and continually evolve the lines of investigation and solution identification.

### **3.3.5 Strategic Planning**

Team CAI will provide the best services by employing a methodology that balances the need for factual detail and cogent analysis with the need to make the most efficient and effective use of available resources, especially time. We will accomplish the stipulated work through a totally integrated organizational structure and an open and flexible approach. Moreover, the products to be delivered will clearly focus on the VMI concerns and those aspects of the overall DEI goals and objectives most useful to the establishment of an optimal solution.

The outcome of our proven approach will be a fully integrated roadmap of training, consulting, and coaching. **A diversity-based inclusive approach to ensure success.** The overwhelming body of research and industry best practices lists the approach of top management developing the strategic plan and its associated mission and vision through a closed group session approach as the highest risk for failure.

Our experience and the industry norm define the normal strategic plan development cycle time to be at least 6 months. This is well beyond VMI's needed completion date to communicate the plan to all staff in an In-Service Day as soon as possible as well as be ready for the next academic year. As such, the alternative of having top management create a draft vision and discuss it with stakeholders is unlikely to be completed in time to meet VMI's current timeline.

We therefore plan to conduct our approaches connected to a highly compressed DEI stakeholders workshop to meet VMI's needs. These can be adjusted to facilitate VMI personnel, stakeholder and BOV or other required participant schedule.

For example, our 3-day strategic planning workshop can produce useful and realistic work products and pieces of the plans (strategic and action) to be presented at the facilitated BOV or other key sessions.

Party formulating the vision and the mission	Advantages	Disadvantages
Top management formulates vision and mission	<p>Little time needed</p> <p>Vision and mission comply completely with the ideas of the management</p>	<p>Knowledge of other stakeholders including employees is not used.</p> <p>Reluctance of stakeholders to accept the mission and vision since they were not involved.</p> <p>High risk of failure.</p> <p>Time consuming when getting a wide range of different opinions.</p>
Top management creates a draft vision and mission and discuss it with stakeholders	<p>Stakeholders can give inputs, critics and ideas</p> <p>They feel ownership being actively involved in the process.</p> <p>High probability of acceptance</p>	<p>Time consuming.</p> <p>Cannot be carried out without a moderator who can facilitate and manage the process and with strong ability to synthesize and ensure consensus among stakeholders</p>
Top management holds several focus groups with stakeholders to formulate the vision and mission	<p>Highly participatory process provides full ownership for stakeholders.</p> <p>The bottom-up approach used ensures that all needs of stakeholders are taken into consideration.</p> <p>Ensures commitment of stakeholders to better participation in the implementation of the strategy and plan of action</p>	<p>Time consuming.</p> <p>Cannot be carried out without a moderator who can facilitate and manage the process and with strong ability to synthesize and ensure consensus among stakeholders</p>

Figure 6 - Risk to Success of various strategic plan development approaches.

The risk to both approaches in the level of support and participation from within VMI, but if the VMI leadership delivers on its commitment to make the effort the organization's "Priority #1" and ensure data collection responses and other required information to Team CAI we are confident our approach will provide the highest quality product possible in the compressed timeline.

**The strategic planning workshop.** The level of participation in strategic plan development is universally recognized to be the single most important factor affecting the leaderships' ability to successfully deploy it. Without grass-roots buy-in throughout the organization, VMI's DEI plan implementation efforts will stall before they start. We mitigate this risk with the strategic planning workshop. The essential component and base document for the workshop and associated planning as well as the TNA, Training development, delivery and assessment will be Maj. Gen. Wins' visionary One VMI Plan.

Day	Modules	Sessions	Duration (in Minutes)
Day 1	<b>Module 1:</b> Formulate the VMI's mission, vision, and values.	<b>Session 1:</b> Introduction to strategic planning	30
		<b>Session 2:</b> VMI's DEI Mission.	45
		<b>Session 3:</b> VMI' DEI Vision.	90
		<b>Session 4:</b> VMI's DEI values.	45
		<b>Session 5:</b> Who should formulate the vision and mission statements?	60
	<b>Module 2:</b> Assess VMI's capacity and identification of stakeholder needs.	<b>Session 1:</b> Inputs of preparatory work for the strategic plan	60
Day 2	<b>Module 2 (cont'd):</b> Assess VMI's capacity and identification of stakeholder needs.	<b>Session 2:</b> Assessment through SWOT analysis: Strengths and Weaknesses	120
		<b>Session 3:</b> Assessing the external environment through PEST analysis	150
		<b>Session 4:</b> Situation analysis through the Problem tree approach	120
Day 3	<b>Module 3:</b> Formulation of goals, strategic objectives, and action plans	<b>Session 1:</b> Formulation of the goals  <b>Session 2:</b> Formulation of strategic objectives	<del>90</del>  120

Figure 7 - Strategic Planning Workshop high level agenda



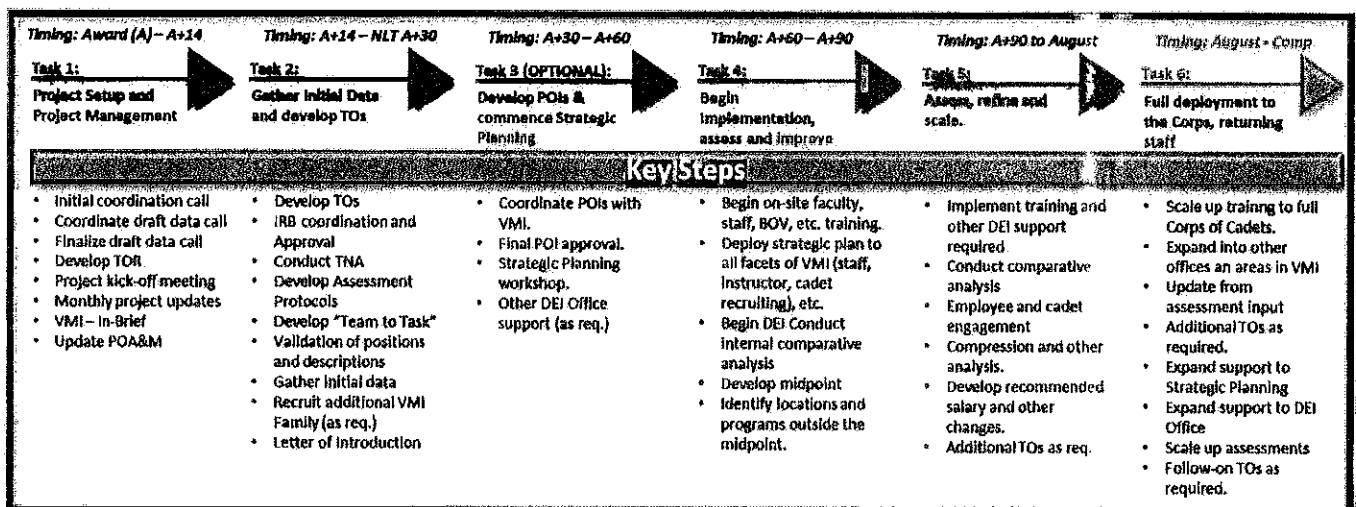
Although we request members of the executive leadership team open the event and regularly visit, we plan to engage the DEI Team and select other key staff members to conduct the facilitated workshop at a location to be provided by VMI. Although not required, we welcome select key stakeholders we can coordinate with VMI after award. In three days this group will produce a high quality product that will:

- Align VMI’s DEI strategic planning with its current and emerging mission, vision, and goals.
- Use our previous front end analysis and conduct additional SWOT, PEST, and other analysis required to develop a draft strategic plan to present to the facilitated BOV and other meetings as required.
- Produce a strategic plan that emphasizes how will support its mission and realize its vision

The workshop consists of four modules as depicted above conducted over three days. “Working lunches” will be used to keep the group on task in the compressed timeline. We have such a high level of confidence in the potential for success using this approach, Team CAI invested significant internal manpower resources to develop a highly detailed and day-by-day program for the event. We believe in demonstrating our commitment to potential customers, and feel confident the approach sets us well above any other offerors and shows we’re “ready to start day 1...” Others will wait to invest their expertise until they are assured of award. Our approach is ready to implement or fine tune through contract negotiations. We are prepared to meet with VMI at any time for a pre-award dialogue to cover the detailed workshop Program of Instruction (POR) and further customize it to your needs.

Our plan is also flexible. Should VMI decide they wish to use only leadership for the workshop session, we can run the program for just the leadership team. We can also break the workshop up to occur over non-contiguous days if this better meets your schedule and workload. Equally important, if VMI requires training on any portion of the strategic planning process or supporting work in process analysis and re-design Team CA can provide that as well.

### 3.3.6 Time frame for implementation/completion (RFP VI, B., 4.,c).



Neither RFP nor the Questions and Answers (Q&A) to the RFP provided any required or even desired timeline for implementation other than as expeditiously as possible. Team CAI, therefore, assumes a “quick start from award” and that we will have the opportunity to sync delivery to VMI’s academic and operational schedule after award. The following timeline, therefore, is specific for start-up and more general for full deployment as VMI could not provide specifics during the RFP process.

Overall, however, our delivery schedule is designed to begin within days after award with scalable training for staff available over the summer and ready for full deployment to cadets, faculty and remaining staff at the start of the VMI academic year in August 2022. Assuming VMI is available and able to engage, this would include having the strategic plan ready for implementation by that time as well.

**Coordinate the kick-off and draft data call.**

Within 24 – 48 hours of award and notice to proceed, based on the availability of required VMI participants, the CAI will conduct an initial telephone conference with the appropriate VMI representatives. The group will plan and outline the Kick-off Meeting agenda to include:

- Determine kick-off location and modes of participation
- Determine the appropriate attendees and materials for the project kick-off
- Discuss initial data requirements
- Identify key stakeholders and discuss issues/concerns and needs with primary focus on those who will be involved in upcoming project steps

Output from this subtask will include: the final kick-off meeting attendees list; confirmation of kick-off location and technical support available onsite and for livestream; refinement of initial data requirements for the first data call; and key VMI and other stakeholders with their roles in and responsibilities for support Team CAI’s execution.

**Update draft work plan**

Subject to any negotiations or project scope changes prior to award, Team CAI will update the draft Work Plan. The work plan will list and describe each task needed to complete the work, labor resources that will be needed, and delineate each task with beginning and ending dates and responsible persons. Team leaders and team members will be determined by the Project Manager and coordinated with the VMI. Team members’ roles and responsibilities will be outlined and approved by the VMI Contract Lead.

Output from this subtask will include an updated work plan reflecting the final contract and Statement of Work (SOW)

**Develop Terms of Reference:** Terms of Reference (TOR) will be developed and coordinated with the VMI within in five (5) business days of contract award. The TOR will outline the deliverables and the level of specificity. The TOR will establish responsibilities, expectations, and the level of specificity of the contract.

Output from this subtask will be the final TOR.

**Conduct project kick-off.**

Within three (3) working days following the initial post-award coordination phone call, the CAI will be prepared to conduct a kick-off meeting with the core VMI stakeholders. This will be conducted using a combination of on-site and virtual means, to discuss the process and tasks to be performed. The purpose of the kick-off is to review, discuss and verify Team CAI objectives and work plan.

The purpose of this meeting is to achieve a clear and mutual understanding of all RFP requirements and identify and resolve any potential problems. This meeting is not a substitute for Team CAI's full understanding of the work requirements, nor will it be used by CAI to alter the final agreement arrived at in any negotiations leading to contract award. Team CAI will provide meeting minutes within five working days after the meeting. With this information, Team CAI will be able to shape our research and data collection effort. We will also request at this time VMI's assistance in identifying VMI staff SMEs and other populations for inclusion in our data collection and strategic planning processes. This will include email, phone numbers and other contact information for alumni and other populations not at VMI.

During this meeting, the Plan of Action & Milestones (POA&M) timeline with specific milestones will be presented, revised as necessary, and approved. At a minimum, this meeting will include the following key stakeholders whose participation, buy-in and support are essential to both success as well as trust in the process, its transparency and objectivity:

- VMI Contract Lead
- VMI Board of Visitors (BoV) – *as required or desired by VMI*
- VMI leadership and senior Institute representatives (Superintendent, Commandant, Academic and Administrative Department heads, etc.)
- VMI Corps of Cadets Senior leadership

The meeting will be held at the designed a VMI location with our recommendation being VMI and via teleconference as applicable for any off-site SMEs. VMI will provide date, time and location to CAI within two (2) work days of contract award. Meeting agenda will include, but is not limited to, roles and responsibilities of contractor personnel, detailed schedules including key milestones and deliverables, the schedule of activities and tentative meeting schedule, data collection plan and methodologies. Critical to the successful completion of RFP deliverables is the mutual understanding of the baseline issues from all perspectives. This includes, but is not limited to, any current and/or ongoing relevant study or other data; and review of professional commentary on possible issues/causes other than those listed in the RFP, VMI decisions and other areas.

Other actions completed during the kick-off will include:

- Finalize the project scope, timeline, process, milestones and deliverables
- Confirm objectives and critical success factors
- Clarify project team roles and responsibilities
- Review data request items
- Identify VMI and other stakeholders for engagement in the subsequent tasks.

Output from this subtask includes decisions on project scope, timeline, process, milestones and deliverables; mutual agreement on the interpretation of objectives and critical success factors; confirmation of project team

Center for Applied Innovation, LLC response to RFP PROJECT #V211-22-054, Diversity, Equity, and Inclusion (DEI) Consultation and Training. 30 November 2021

roles and responsibilities; refined and clarified data request items; and updated list of VMI stakeholders for engagement in the subsequent tasks.

**VMI Terms of Reference (TOR) Approval:** Once the VMI approves the TOR, coordination will be made with VMI to outline the timeframe and specific activities of the action plan.

Output from this subtask will be the VMI coordination to execute the action plan and the approved TOR.

**Conduct VMI In-Briefing:**

Within two (2) working days of the kick-off meeting, select Team CAI members will conduct an in-briefing with the VMI and, if available, Corps leadership in coordination and partnership with the Diversity Officer. This will be in advance of conducting any engagements to allow their respective chains of command time to distribute the information, resolve questions and set the positive conditions for the data collection efforts to follow. This briefing will provide executive-level information about the action plan, gain senior leadership support, and help manage their expectations. At a minimum, it will include the VMI Superintendent and his selected staff as well as the Corps of Cadets senior leadership.

Output from this subtask will be VMI population briefings with their understanding of and buy-in with the process for DEI training and the associated strategic planning.

**Updated POA&M:** Team CAI will present an updated POA&M within five (5) business days of contract award during the post award /kickoff meeting. The meeting agenda will include, but is not limited to, the approach, objectives, milestone schedule, in-progress review and briefings schedule.

Output from this subtask will be the POA&M meeting itself and the updated POA&M.

**Develop Task Orders**

During the coordination that will commence upon award Team CAI will work with VMI to develop, price and receive award of the initial Task Order(s) (TO) to begin the work. At VMI's discretion, these can be for specific training, DEI Office support, and planning events or for the full year. This approach, as CAI uses in our other two VASCUPP contracts, provides VMI maximum flexibility in both budget and execution. Given the current transition in Virginia State government and the uncertainty of the general assembly's budget allocations, the Team CAI approach allows VMI to move forward to put TOs in place using what funds may be available while developing TOs for the larger program at reduced cost until additional funds are available. Team CAI is also available to assist VMI in preparing and defending its budget submission for the proposed work to help secure Federal, State or Donor funding.

Output from this subtask will consist of Task Orders for any work required by VMI. Training Needs Assessment (as required) will be conducted for VMI. Training curriculum will be tailored to meet the learning objectives for each target audience and TO then approved by VMI.

**Refine the Team and Recruit additional support as VMI requires**

As TOs are developed and approved with VMI, Team CAI will begin designating "Team to Task" from our bench of SMEs. This will allocate specific personnel resources to VMI on a TO by TO basis. All will be

coordinated with VMI. A unique capability Team CAI brings is our corporate structure that allows for the easy inclusion of other SMEs as required. Should VMI have specific instructors or other consultants they feel are best suited to the TOs, or identifies them in the future as DEI best practices evolve, as long as they meet CAI's corporate standards they can be brought on as subcontractors. This provides VMI flexibility to always acquire and use "the best of the best". Finally, during this period Team CAI will coordinate to recruit and retain qualified alumni from recent graduates to older classes with a focus on those who were directly impacted by racism, sexism or otherwise impacted by VMI's diversity gaps. Their personal accounts and contributions will significantly contribute to buy-in with the target audience as they will be accepted as members of the VMI Family and not "outsiders".

Output from this subtask will consist of Team Members assigned to specific task order, refined POA&M, training and other schedules finalized.

### **Train the Trainer Options**

Another unique aspect of Team CAI's approach and a capability that sets us above all others is the flexibility "train trainers." As we recruit additional members of the VMI Family they can participate in training first by providing their experiences during training development before potentially transitioning into being part of training delivers in the interactive sessions we'll conduct. Finally, Team CAI's master trainers can make some of these member DEI trainers in their own right. As they move through the Beginner, Novice, Mastery trainer development paradigm Team CAI's Master Instructors and facilitators will guide and mentor them. This will not only create "DEI Ambassadors" but allow our team to grow with generational instructors who can better connect with the VMI Family through shared experiences. This is especially important for both the older alumni classes (some of whom are Professors at VMI and on staff) as well as current cadets. Buy-in is better for these groups when sought by peers.

Output from this subtask will consist of an increased pool of DEI ambassadors and instructors available to VMI.

### **Summary Monthly reports.**

Within ten (10) days after the first complete month of work, Team CAI will begin electronically submitting monthly reports to VMI. Monthly reports will delineate current progress on the project in relation to the work plan. These will identify any key findings and analyses, and any barriers or problems encountered during the time period covered by the status report.

Output from this subtask will consist of the monthly reports.

### **Create and Publish Letter of Introduction and Authority**

Participation by the required populations to be covered is the single most critical point in the project. Sufficient participation by these groups is required to meet data and conclusion validity requirements. The populations themselves consist of current cadets, alumni agencies (optional), VMI BOV and both VMI faculty and staff.

Team CAI will draft a letter of notification covering the project to include identifying CAI as the lead contractor. Next, it will be coordinated with VMI for any input. Once completed and finally approved by both CAI and VMI, the letter will be provided to VMI for distribution to all members of those designated populations. At a minimum, we recommend the letter should be signed by the following:

- VMI Superintendent
- VMI Board of Visitors President
- VMI Commandant
- VMI Dean
- VMI Corps of Cadets Commander

The letter is essential to building the climate of trust required to ensure maximum participation by all populations and sub-populations.

Output from this subtask will consist of the letter of introduction and authority.

### **3.4 The Institutes role and responsibilities for implementation/conversion (RFP VI, B., 4.,d).**

Subject to refinement and clarification during any pre-award negotiations, these assumptions include:

- VMI and stakeholder representatives provide required data.
- VMI will confirm data availability and make recommendations for other data sources.
- CAI is the sole data collection/analysis agency.
- VMI provides analysis feedback, Requests for Information (RFI), additional work requests, etc. within 3-days of document receipt.
- VMI and other Commonwealth facilities and equipment required for the study, engagements, data collection and other project work will be provided at no cost.
- Team CAI will not have access to current VMI Cadets during scheduled activities that interfere with their academic schedule, military schedule or designated personal time (e.g. examination periods, FTXs, etc.)
- All visitors coordinate their schedules and intent with CAI prior to participating or observing any training or other program events.
- VMI provides all schedule changes to CAI NLT 7 working days prior to changed event schedule dates. CAI provides statement back to client regarding impact (effect) of changes (cost, outcome, etc.).

### **3.5 Other RFP Requirements (RFP).**

Team CAI is compliant with all insurance, security and other requirements as stated in the RFP. The CAI's internal control, as required by the RFP for an offeror to submit a valid proposal are covered in our approach to the work above

## **SECTION IV- Small Business Subcontracting Plan (RFP VI, B., 5.)**

**SEE ENCLOSED REQUIRED DOCUMENTS**

Center for Applied Innovation, LLC response to RFP PROJECT #V211-22-054, Diversity, Equity, and Inclusion (DEI)  
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**SECTION V- Proposed Cost (RFP VI, B., 6).**

**AS REQUIRED BY THE Q&A, COST AND PRICING IS PROVIDED UNDER A SEPARATE COVER**

## Curriculum Vitae

**RUSSEL L. HONORÉ**  
**Lieutenant General**  
**United States Army (Retired)**

### **PREVIOUS POSITION AND CURRENT ACTIVITIES**

As Commander of First Army, the Army's Command responsible for mobilizing and training National Guard and Reserve troops, LTG Honoré oversaw the training and deployment of over 500,000 military Service members from all Services. This effort comprised the largest military deployment since World War II. Under LTG Honoré's leadership, First Army transformed from a Cold War, 20th Century-style organization to a state of the art, knowledge-based and collaborative environment, with knowledge and information sharing paramount. Specifically, LTG Honoré integrated all levels of Federal and State military command to ensure Reservists and National Guardsmen received the highest level of training and support possible prior to deployment. Special emphasis was placed on certifying for deployment approximately 70% of the Army's combat medical capability, and the overall medical readiness of all Service members mobilized in support of the Iraq, Afghanistan, Egypt, Bosnia, and Guantanamo Bay operations. Day to day responsibilities included managing the operational activities of a cadre of over 9000 personnel, located throughout the world; executing a cumulative budget of approximately \$1.7 billion; directly guiding the teaching, training, and evaluation of over 500,000 troops; identifying, developing, and implementing leadership tools and techniques; and fostering sustainable community relations at the local, state, and national levels.

In 2005, LTC Honoré commanded Joint Task Force-Katrina. In that capacity, he led the Department of Defense response to Hurricanes Katrina and Rita in Alabama, Mississippi, and Louisiana, and directed the operations of over 22,000 Service members, 200 aircraft, and 20 ships. In accordance with the leadership and priorities established by LTG Honoré, Joint Task Force-Katrina collaborated with Federal, State and local authorities to coordinate and conduct all response, recovery, and mitigation operations.

LTG Honoré retired from the United States Army on February 29, 2008, following 37 years of active service. He now focuses exclusively on disaster preparedness, response, and recovery activities, with multi-sector integration of emergency management efforts forming the basis of his many anticipated initiatives. Ultimately, LTG Honoré aims to engender within America a strong, integrated, and sustainable Culture of Preparedness. Active and focused involvement in the health care, corporate, non-profit, academic, and government sectors will provide the foundation for accomplishing this mission.



### **CIVILIAN EDUCATION**

<b>Institution</b>	<b>Field of Study</b>	<b>Degree</b>	<b>Year</b>
Southern University and A&M College	Vocational Agriculture	B.S.	1971
Troy State University	Human Resources	M.A.	1992
Southern University and A&M College	Public Policy	D.P.A (Hon)	2003
Stillman College	Laws	LL.D (Hon)	2006
Stillman College	Humane Letters	L.H.D (Hon)	2006
Virginia State University	Humane Letters	L.H.D. (Hon)	2008
Loyola University	Humane Letters	L.H.D. (Hon)	2009
Meharry Medical College	Humane Letters	L.H.D. (Hon)	2010

### **MILITARY EDUCATION**

<b>Institution</b>	<b>Field of Study</b>	<b>Year</b>
United States Army Command and General Staff College	Leadership/Military Operations	1983
Air War College	Leadership/Military Operations	1992
United States Army War College	Strategic Studies	M. Litt. (Hon) 2007

### **EMPLOYMENT HISTORY**

<b>Institution</b>	<b>Title</b>	<b>Dates</b>
First Army	Commanding General	2004 – 2008
Standing Joint Force Headquarters – HLS	Commanding General	2002 – 2004
2d Infantry Division	Commanding General	2000 – 2002
Joint Staff	Vice Director for Operations	1999 – 2000
United States Army Infantry Center and School	Dep. Commanding General/ Assistant Commandant	1998 – 1999

Curriculum Vitae  
Russel L. Honoré

1 <sup>st</sup> Cavalry Division	Assistant Division Commander	1996 – 1998
1 <sup>st</sup> Brigade, 3 <sup>d</sup> Infantry Div.	Commander	1994 – 1996
United States Army National Training Center	Sr. Mechanized Task Force Trainer	1992 – 1994
Air War College	Student	1991 – 1992
4 <sup>th</sup> Battalion, 16 <sup>th</sup> Infantry, 1 <sup>st</sup> Infantry Division (Forward) (Operations Desert Shield/Storm)	Commander	1989 – 1991
United States Army Command and General Staff College	Instructor (Tactical Dept.)	1986 – 1989
1 <sup>st</sup> Infantry Division	Chief, Operations	1984 – 1986
2 <sup>d</sup> Battalion, 16 <sup>th</sup> Infantry, 1 <sup>st</sup> Infantry Division	Executive Officer	1983 – 1984
United States Army Command and General Staff College	Student	1982 – 1983
Allied Forces Central Europe	Aide-de-Camp to the Commander	1980 – 1982
1 <sup>st</sup> Infantry Division (Forward), United States Army Europe and Seventh Army	Assistant G-1 (Personnel)	1979 – 1980
C Company, 4 <sup>th</sup> Battalion, 5 <sup>th</sup> Infantry	Commander	1978 – 1979
United States Army Armor School	Instructor	1976 – 1978
Combat Support Company, 1 <sup>st</sup> Battalion, 23 <sup>d</sup> Infantry, 2 <sup>d</sup> Infantry Division	Platoon Leader/Commander	1974 – 1976
E Troop, 9 <sup>th</sup> Cavalry, United States Army Combat Development Command	Executive Officer	1973 – 1974
Operations/Training Directorate, United States Army Combat Development Command	Operations Officer	1971 – 1973

#### **FACULTY APPOINTMENTS**

Adjunct Professor, Emory University School of Nursing (2008)

Visiting Professor, Emory University School of Public Health (2008)

Assistant Clinical Professor, Vanderbilt School of Nursing (2008)

Senior Mentor, Joint Forces Staff College (2008)

### **TEACHING EXPERIENCE**

Guest Lecturer, "Public Health Aspects of Disaster Response," Rollins School of Public Health, Emory University, 2007 (academic instruction)

Guest Lecturer, Air Command and Staff College, 2007 (leadership in crisis)

Thesis Reader, Candler School of Theology, Emory University, 2007 (thesis supervision)

Deputy Commander/Instructor, United States Army Infantry Center and School, 1998 – 1999 (academic instruction on the language and art of warfare/60,000 students per year/approximately 70 nations)

Senior Mechanized Task Force Trainer, United States Army National Training Center, 1992 – 1994 (clinical instruction on, and evaluation of, full spectrum of warfighting tactics, techniques, and procedures)

Instructor, Tactical Department, United States Army Command and General Staff College, 1986 – 1989 (academic instruction)

Instructor, Leadership Department, United States Army Armor School, 1976 – 1978 (academic instruction)

### **HONORS AND AWARDS**

McDonalds 365Black Award (2010)

Acadian Museum Order of Living Legends (2009)

Southern University Alumni Federation Honoree (2009)

Distinguished Alumnus, Thurgood Marshall College Fund Award (2007)

Key to the City, Riverdale, Georgia (2007)

Key to the City, St. Bernard Parish, Louisiana (2007)

National Oceanic and Atmospheric Administration, Mark Trail Award (2007)

Legacy Ladies Torch Award (2007)

Honorary Fellow Certificate, American Academy of Medical Administrators (2006)

National Association of Equal Opportunity in Higher Education, Southern University Alumni Federation, Distinguished Alumni Recognition (2006)

Blacks in Big Government Appreciation Award (2006)

Scales of Justice Award, Court TV (2006)

Key to the City, Chisholm, Minnesota (2006)

National Newspaper Publishers Association, Newsmaker of the Year Award (2006)

Greater Baton Rouge Italian-American Association, American Veterans Award (2006)

Key to the City, Thomasville, North Carolina (2006)

Pentagon Federal Credit Union Foundation, American Military Hero Award (2006)

National Association for the Advancement of Colored People Humanitarian Award (2006)

Honorary Member, State of Tennessee Committee on Homeland Security (2006)

Abrams Leadership Award, Association of Corporate Growth and Financial Executives International (2006)

General Omar N. Bradley Spirit of Independence Award (2005)

Honorary State Senator, Louisiana State Senate (2004)

Instructor of the Year, United States Army Command and General Staff College (1989)

## **PUBLICATIONS**

- Commentary, Health Disparities: Barriers to a Culture of Preparedness, Journal of Public Health Management and Practice
- Warrior Ethos: Soul of an Infantryman, United States Army Training and Doctrine Command, [www.tradoc.army.mil](http://www.tradoc.army.mil)
- Draconian Maintenance: A Smash-Mouth Approach to Tank Maintenance in the 2d Infantry Division, Center for Army Lessons Learned (2002)
- Joint Task Force – Katrina: See First, Understand First, Act First, Journal of the Department of Operational Art and Campaigning, National Defense University, Joint Advanced Warfighting School (2006) (with Mr. David Barnhill)
- Theater Immersion: Post-Mobilization Training in the First Army, Military Review (2005) (with Colonel Daniel L. Zajak, United States Army)
- Forging Provincial Reconstruction Teams, Joint Force Quarterly, National Defense University (2007) (with Colonel David V. Boslego, United States Army)
- Leadership: A Talking Points Series (2007)
- Homeland Security and Information Assurance, James Madison University, National Academy of Sciences Federal Facilities Council (publication pending)
- The Sunshine Patriot, Army War College (publication pending)

## **CONSULTATIONS**

- Governor, State of Georgia (2007)
- Governor, State of Tennessee (2007)
- American Red Cross (2008)
- Senior Scientist, Gallup (2008)
- Louisiana Disaster Recovery Foundation (2008)
- Solomon Technology Solutions (2008)
- Stephenson Disaster Management Institute Board of Experts (2009)
- The Ranger Group (2009)
- The Dr. Dale Archer Show (2009)

## **WORKS IN PROGRESS**

General Honoré has authored a book on creating a culture of preparedness in America through engagement with government, civic, and business leaders, and through focus on lessons learned from emergency management efforts in the wake of Hurricanes Katrina and Rita. The title of the book is "Survival: How a Culture of Preparedness Can Save You & Your Family from Disasters."

## **PRESENTATIONS**

Presentations delivered to the audiences below addressed a wide range of topics, including leadership principles and practices; professional development and mentoring;

disaster preparedness in the public and private sectors; emergency management; and military training and readiness.

**Academic Institutions**

The Judge Advocate General's Legal Center and School (2010)  
Southern University Alumni Federation (2010)  
The Citadel (2010)  
Howard University (2010)  
Louisiana Campus Compact at SLU (2010)  
Southern University and A&M College (2010)  
North Georgia College and State University (2009)  
Utica College (2009)  
Empowerment College Preparatory High School (2009)  
Kennesaw State University (2009)  
VMI Citizen-Soldier Conference (2009)  
FBI Academy (2009)  
Command & General Staff College (2009)  
Lamar State College-Orange (2009)  
Louisiana State University (2009)  
Michigan State University (2009)  
Emory University (2009)  
Bauder College (2008)  
University of Arkansas (2008)  
Georgia Coastal Community Colleges (2008)  
Spelman College (2008)  
Hinds Community College (2008)  
Old Dominion University (2008)  
Dwight D. Eisenhower Army Medical Center (2008)  
Syracuse University National Security Program (2008)  
Harvard School of Public Health, National Preparedness Leadership Initiative (2007)  
James Madison University, National Academy of Sciences Federal Facilities Council (2007)  
George Washington University, DoD National Security Study Program (2007)  
University of Michigan (2007)  
United States Air Force Academy, 2007 (leadership in crisis)  
Army War College Distance Learning Program (2007)  
Southeastern Louisiana University at Hammond, Commencement Speaker (2007)  
Baton Rouge General Family Medicine Residency Program (2007)  
Clark Atlanta University School of Business, 2007 (Dean's Executive Leadership Series)  
Southern University at Baton Rouge (2007; commencement speaker 2003)  
Madera County School District, Madera, California (2007)  
Emory University, Triangle Lecture Series (2006)  
Air War College, Maxwell Air Force Base, Alabama (2006)  
National War College, Washington, DC (2006)

North Georgia College and State University (2006)  
Stillman College, Commencement Speaker (2006)  
Troy University, Commencement Speaker (2006)  
Fayetteville University, North Carolina (2006)  
United States Military Academy (2006) (leadership forum)  
Southern University Board of Supervisors Meeting (2005)

**Full list of public and private consultations available upon request**

## Curriculum Vitae

**JOHN M. LeMOYNE**  
**Lieutenant General**  
**United States Army (Retired)**

### **PREVIOUS POSITION AND CURRENT ACTIVITIES**

LTG LeMoyne has over 39 years of enlisted and commissioned service in our nation's Army. He entered the military service in 1968 after graduating from the University of Florida, in Gainesville, Florida and was commissioned through ROTC as a second lieutenant in the Infantry. He has extensive experience in leadership development, training, and coaching roles at all levels of large and diverse organizations, both national and international. His major assignments have included G-1 of the Army, Chief of Infantry, an Executive Officer to the Supreme Allied Commander, Europe at NATO. As the Army's C-1, he assumed the position right after the 9/11 attack on the Pentagon that killed 28 of the key personnel in the Army's Human Resources Directorate. Le Moyne was diverted from a 3 Star command to rebuild the G-1 section. His calm, quiet and reassuring leadership insured our Army sustained all personnel functions during the buildup and launching of two major wars in Afghanistan and Iraq.

LTG LeMoyne served with distinction for over three decades both in peacetime and war.

Throughout his career, General LeMoyne has distinguished himself in numerous command and staff positions both overseas and in the United States. In Vietnam, he commanded an infantry company, where he was recognized for his heroism and received a Purple Heart. In Europe, his assignments included command of the 3rd Battalion, 30th Infantry, 3<sup>rd</sup> Infantry Division; Operations Officer and later Chief of Staff for the U.S. Army Europe and Seventh Army.

General LeMoyne's stateside assignments included serving as the Commander, 1st Brigade, 24th Infantry Division and Commanding General, U.S. Army Infantry Center, Fort Benning, GA. While in command of the 1st Brigade during Operation Desert Storm, General LeMoyne's unit led the famous "Hail Mary" into the Iraqi Army's rear which contributed to the quick end of hostilities and the defeat of the Iraqi Army in Kuwait.

### **SUMMARY OF POST MILITARY EMPLOYMENT AND CHARITABLE ACTIVITIES**

LTG LeMoyne's post military employment has been focused on mentoring and advising Army Commanders and staffs headed overseas for combat in Iraq, Afghanistan, Kosovo, and Bosnia. For six years he was a senior mentor for the Army's Mission Command Training Program. He worked with Corps and Divisions as they conducted their major computerized war games against near peer adversaries.

He currently lives in his home town of Gainesville Florida close to extended family. He has established a scholarship program for veterans attending the two universities nearby. For the past 11 years the program has given over 150 grants to honorably discharged veterans attending college. It is a small way to thank them for their service during tough times.

### **SUMMARY OF CIVILIAN EDUCATION**

Bachelor of Science degree in Business Administration from the University of Florida and a Master's degree in Public Administration from Shippensburg State College.

### **MILITARY AWARDS**

His awards include the Defense Distinguished Service Medal, the Army's Distinguished Service Medal (1OLC), the Legion of Merit (2 OLC), the Bronze Star (6OLC) with 3 awards for Valor, the Purple Heart, the Meritorious Service Medal (4OLC), Army Commendation Medal (4OLC) with 2 awards for Valor, and the Combat Infantryman's Badge. He also holds the Ranger Tab, Special Forces Tab, Master Parachutist Badge, Pathfinder Badge, and the Expert Infantryman's Badge.



## Curriculum Vitae

**MARIO F. MONTERO, JR.**  
**Major General**  
**United States Army (Retired)**

### PREVIOUS POSITION AND CURRENT ACTIVITIES

**Major General (Ret) Mario F. Montero, Jr.** is a native of Hayward California. In February 1966, he enlisted in the Army and completed Basic and Advanced Individual Training at Ft Ord California. He was commissioned a Transportation Officer upon graduation from Officer Candidate School Class 3-67, 26 January 1967.

MG (Ret) Montero began his officer career as Assistant Chief, Light Vehicle Drivers Course, Company A, 3d Battalion, 1st Combat Support Training Brigade. From those beginnings he rose through ever increasing positions of authority and rank during the next 34 plus years as he served in a host of command and staff positions in the United States and overseas.

In subsequent military assignments MG (Ret) Montero served as the Plans and Training Officer, Commander, Headquarters Company, and S-1, 5th Transportation Battalion of the army's elite 101st Airborne Division and commanded a headquarters company in the 101st Airborne Division where he had his first combat service in the Republic of Vietnam from 1968 to 1969.

Then as Assistant Chief and later Chief, Movements Branch, Directorate of Industrial Operations, United States Army Training Center and Infantry School, Fort Ord.

MG (Ret) Montero continued to excel successfully completing his command assignment as commander of the Motor Transport Company in the 3rd Armored Division in Germany. Later, he was assigned to Ft Campbell, Kentucky, the home of the 101st Airborne Division, where he was a battalion executive officer and the Division Transportation Officer. Returning to Fort Campbell, MG (Ret) Montero commanded the 29th Transportation Battalion that supported the 101st Airborne Division. Subsequently he commanded the 25th Infantry Division's Division Support Command, the 1st Corps Support Command at Ft Bragg, NC and finishing his command assignments as the Commander of the Military Traffic Management Command which was responsible for the worldwide surface deployment of Army units and equipment.

Moving from conventional forces to elite Special Operations Units, MG (Ret) Montero served as Chief, Logistics Plans Division (J-4) for the Joint Special Operations Command where he managed and supervised critical support to highly sensitive units and missions during the invasion of Panama that included capture of General Manuel Noriega and his return to the United States for trial.

MG (Ret) Montero served his higher command assignment as the Commander of the 25<sup>th</sup> Infantry Division (Light) Division Support Command. He was selected for his skills developing young leaders to serve as the Assistant Commandant, United States Army Transportation School, Fort Eustis followed by another command assignment as Commander of the 1st Corps Support

Command for the XVIII Airborne Corps as one of the United States Army's premiere rapid deployment forces.

MG (Ret) Montero's high level staff positions included as Director, Transportation, Energy, and Troop Support, Office of the Deputy Chief of Staff for Logistics, United States Army; Assistant Chief of Staff, J-4/C-4/G-4, United States Forces Korea/United Nations Command/Combined Forces Command/Eighth United States Army, Korea; Commanding General, Military Traffic Management Command, Falls Church, Virginia;

MG (Ret) Montero culminated his military career as the United States Army's Assistant Deputy Chief of Staff for Logistics.

MG (Ret) Montero is a member of the OCS Hall of Fame and the most senior officer of the rank of Colonel to attend and graduate the grueling and elite Army Ranger course.

After retirement he was employed by Engineering & Support for Aeronautical Radio, Incorporated (ARINC) where he served in a number of positions of increased responsibility for integrated engineering teams in support of multi-service tasks culminating in the position of Vice President (VP) Defense Systems. After ARIC was acquired by Booz Allen Hamilton MG (Ret) Montero transitioned with his team as the Vice President for Defense Engineering Services.

Throughout his military and civilian careers MG (Ret) Montero has been a pioneer and strong advocate for equality and excellence and remains a sought after mentor and advisor in those critical areas. Most recently he served as a mentor for young entrepreneurs as part of the Global Good Fund Initiative.

#### **SUMMARY OF CIVILIAN AND MILITARY EDUCATION**

His education and training included Advanced Course at Ft Eustis, Virginia, the Command and General Staff Course at Ft Leavenworth Kansas and the War College at Newport, Rhode Island. He also attended multiple technical courses during his career. While serving, he attained a BA in Psychology from St Martin's College in Olympia Washington, a MA from Boston University in education and a Masters in Strategic Studies from the War College in Newport, Rhode Island.

#### **SUMMARY OF MAJOR AWARDS AND RECOGNITION**

MG (Ret) Montero's Army awards include the Air Assault Badge, the Senior Parachute Badge and the Ranger Tab.

## PRICILLA "PAT" WALKER LOCKE

Company	Labor Category
Center for Applied Innovation, LLC	Highly Qualified Expert
Total Years' Experience	Security Clearance
40	N/A

**Education**  
 Master of Science, Education, Loyola Baltimore  
 Master of Science, Public Administration, Central Michigan University  
 Bachelor of Science, Engineering, U.S. Military Academy, Class of 1980

**Summary of Qualifications**



MAJ (R) Pat Locke '80 is the first African-American woman to graduate from the United States Military Academy (USMA) at West Point. Governor of Virginia Ralph Northam has previously and recently consulted with her on numerous racial and equity topics including, but not limited to equality in Virginia's Institutions of Higher Education to include VMI. Ms. Locke is also known to and respected by VMI for her work with them in these areas. Pat Walker Locke graduated from the United States Military Academy with a BS in engineering. Since 2011, she has served as a liaison for the West Point Leadership Ethics and Diversity in STEM (LEADS) Program, impacting more than 10,000 students and educators across the nation. She is also the founder and president of the Seeds of Humanity Foundation, supporting underrepresented communities in leadership, ethics, STEM education and development. Pat has master's degrees in education and administration and has won numerous service and leadership awards. Ms. Walker Locke brings a wealth of experience to the team as well as current connections to other, related programs and projects in the Service Academies and beyond. A sample of her *current* positions directly relevant to the work required by the RFP include, but is not limited to: DACOWITS Committee Member - Recruitment and Retention Subcommittee Member; Heritage Foundation HBCU Working Group (member); Seeds of Humanity Foundation (President); West Point LEADS Program (National Liaison); West Point Association of Graduates Diversity & Inclusion Capital Campaign (Executive Member); West Point Admissions Field Force (Member). Her unique skills and experience specifically applicable race, gender and other equality programs include, but are not limited to:

- Nationally recognized ethics and leadership expert
- Founded West Point's current Diversity and Inclusion Outreach program, West Point LEADS (Leadership Ethics and Diversity in STEM), which has been conducted over 100 times, reaching over 10,000 6<sup>th</sup> to 12<sup>th</sup> grade students, teachers and community leaders.
- Currently serving on the Defense Advisory Committee On Women In The Service (DACOWITS)
- Inducted into the Army Women's Foundation Hall of Fame, received the Women of Color in STEM Visionary Award, and the National Society of Black Engineers (NSBE) Golden Torch Award.
- Was instrumental in the creation of West Point's Diversity and Inclusion Office, to include advising the Superintendent on several initial "quick wins"

### **Key positions of authority or responsibility in the gender and equality Community of Practice**

- **2017 – Present** - The Defense Advisory Committee on Women in the Service (DACOWITS) Committee Member; Recruitment and Retention Subcommittee Member.
- **2019 – 2020** - Member, Heritage Foundation HBCU Working Group
- **Current** - National Liaison, United States Military Academy (West Point) Diversity Office – Leadership, Ethics and Diversity in Stem (LEADS) Program
- **Current** – Executive Member, West Point Association of Graduates Diversity Capital Campaign
- **Current** – West Point Admissions Field Force Representative
- **2010-Present** - Score Improvement Program Coach (SAT/ACT)()
- Youth Chair, Rotary Club of Springfield, VA
- Rotary Club Past President

### **Employment history overview and selected accomplishment directly relevant to RFP requirements**

**2008 to Present – Various national positions of authority as a recognized expert in leadership, equality including and working with vulnerable groups to achieve sustainable livelihoods through education.**

- National Liaison for the West Point Leadership Ethics and Diversity in STEM (2008-Present)
- Member of the Defense Advisory Committee On Women In The Service (DACOWITS). *DACOWITS* is one of the oldest Department of Defense federal advisory committees and makes recommendation to the SECDEF. The Committee is composed of civilian women and men appointed by the Secretary of Defense to provide advice and recommendations on matters and policies relating to the recruitment, retention, employment, integration, well-being, and treatment of servicewomen in the Armed Forces. (2017-Present)
- Rotary Club of Springfield. Past President, District Ethics Chair and Youth Chair (2009-Present)

### **2005 to Present - President, Seeds of Humanity Foundation, Inc.**

Founder of Seeds of Humanity Foundation, a 501(c)(3) Public Charity whose mission is to assist the training and development of underserved and underrepresented students and their influencers, specifically with STEM education, ethics and leadership. STEM is a curriculum based on the idea of educating students in four specific disciplines — science, technology, engineering and mathematics — in an interdisciplinary and applied approach. Supervises and manages STEM initiatives across the nation to include programs to assist vulnerable populations in achieve their goals of admissions to and Success in Institutions of Higher Education.

### **1995 to 2005 - Founder and President, LifePlan Services, LLC (LPS).**

Executive leadership position developing and executing the company's strategic plan to fulfill its mission is to train and develop core life skills for those in transitions and on their "ascent to excellence."

**1974 to 1995 - United States Army in varying positions of increasing authority to the rank of Major**

U.S. Army service included as Enlisted, United States Military Academy (West Point) Cadet and Commissioned Officer. As a Regular Army Officer served in positions of increasing rank and responsibility to achieve the rank of Major. Included serving as the West Point Career Manager at U.S. Army Personnel Command (PERSCOM) with responsibility for building diversity and excellence in the faculty. When assigned to the G-1 her significant diversity, equality and other Service responsibilities included as a promotion and special section board officer and additionally reviewing Personnel Policy for the Army Senior Leadership.

Highlights of relevant Service or affiliation include:

- 1974, Enlisted, Communication Specialist, US Army
- Platoon Leader, Executive Officer, Commander, Division Chief (Personnel Management), Human Resources
- Army Command and General Staff College Graduate
- Battalion S-3 Officer (Operations)
- Battalion Executive Officer
- Pentagon Staff
- First Black Women West Point Graduate by Order of Merit
- Hall of Fame inductee, Army Women's Foundation
- U.S. Army, Retired, 1995
- AUSA Lifetime Member
- ROCKS, Inc., Lifetime Member

**Special Investigation and Equity Audit Relevant Qualifications**

*A proven track record for completing successful and complex organizational and/or discrimination investigations;*

- Served as a member of the United States Military Academy (West Point) Superintendent's transition team and "Kitchen Cabinet" for 4+ years. In this capacity, she supported implementing USMA policy in Diversity and Inclusion, including establishing the Office of Diversity, Inclusion and Equal Opportunity.

*Expertise in policy and research to inform an equity audit and resulting suggestions for policy reform;*

- Served as a member of the Defense Advisory Committee On Women In The Service (DACOWITS) which routinely reviewed policy, provided relevant research to inform equity and recommended policy reform for the Secretary of Defense

*Expertise in theoretical and practical applications of diversity, equity, and inclusion frameworks;*

- Served as a member of the Defense Advisory Committee On Women In The Service (DACOWITS) which routinely reviewed policy, provided relevant research to inform equity and recommended policy reform for the Secretary of Defense

*Experience in identifying equity gaps and providing solutions for advancing reforms for equitable access and success for institutions of higher education; and*

- Recommended and assisted in the creation of West Point's first dedicated Diversity and Inclusion Office. She further advised and assisted as West Point developed its current Diversity and Inclusion Strategy.

***A current or former member of the U.S. military or former administrator from a U.S. military service academy with expert knowledge of military culture, traditions, and expectations.***

A proud member of West Point's first Class with Women (1980), and is by order of merit, the first African American Female to graduate from the United States Military Academy. U.S. Army service included as Enlisted, United States Military Academy (West Point) Cadet and Commissioned Officer. As a Regular Army Officer served in positions of increasing rank and responsibility to achieve the rank of Major. Included serving as the West Point Career Manager at U.S. Army Personnel Command (PERSCOM) with responsibility for building diversity and excellence in the faculty.

## Appendix 5

### Pedro Alvarez                      Senior Intelligence Educator/Course Designer

124 Chimney Rock Court, Denver, NC 28037; Email: pete@analytic-advantage.com; Cell Phone: (571) 213-4952

**Goal:** Seeking a position as an instructor and/or coach in intelligence analysis.

**Career Profile:** Veteran intelligence officer with 38 years of experience in intelligence analysis. Served 32 years at the Central Intelligence Agency (CIA) conceptualizing, preparing, and presenting insightful assessments for national decisionmakers. Dedicated final eight years to the Sherman Kent School for Intelligence Analysis in the Directorate of Intelligence (DI) delivering courses and modules related to critical thinking and application of structured analytic approaches. Achieved CIAU's Level II certification as a senior instructor. Recognized throughout the Intelligence Community (IC) as a leader in the application of analytic methodologies to enrich assessments. Unparalleled reputation as an expert military analyst and manager with deep expertise in Third World conventional forces, particularly Latin American militaries. Over the last six years, has served as an analytic tradecraft consultant within and outside the US IC while continuing to design and deliver tailored instruction on various aspects of analysis.

Top Secret/S&C clearances with current background investigation and polygraph.

### Employment History

#### **Analytic Advantage, Incorporated**

*2015-Present: Serves as a senior intelligence educator and course designer providing tailored instruction to US IC analysts and foreign partners.*

- Conceptualized, proposed, designed, and led delivery of a military analysis course to analysts at Australia's Defence Intelligence Organisation which is presented annually. DIO managers have incorporated the course into their training curriculum as their only intermediate level course on analysis of foreign militaries.
- Continue to provide tailored instruction on facilitation of Structured Analytic Techniques for Australian analysts in both their Defence and broader analytic Community. Additional instruction included piloting one course on strategic forecasting techniques.
- Co-instructor for an ongoing series of classes at NGA entitled Briefing for Impact. The Director of NGA contracted for the class to improve the briefing skills of NGA officers as part of NGA's transformation. Instruction takes place at both the Springfield, VA and St Louis, MO campuses. Regularly receive outstanding evaluations on the quality and practicality of the instruction.

#### **Analytic Advantage, Incorporated**

*2012-2015: Embedded consultant within two analytic tradecraft cells providing support on facilitation of analytic techniques. Also curated a library of assessments that emphasized how proper use of analytic techniques enabled more persuasive argumentation. Finally, served as a senior intelligence educator and course designer providing tailored instruction to US IC analysts and foreign partners.*

## Pedro Alvarez

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- Embedded analytic tradecraft consultant within tradecraft cells supporting an IC client. Primary duties included coaching staff analytic techniques facilitators to encourage their growth; substituting as an analytic techniques facilitator when needed; and creating, then maintaining, a library of curated analytic products that demonstrated excellence in application of structured analytic approaches. Completed a Special Project to highlight actionable lessons learned from staff analysis of a sensitive issue. Also, provided inputs to managers in two offices of an IC client who later established contract analytic tradecraft support.
- Senior Intelligence Educator and Course Designer responsible for designing and delivering tailored analytic instruction to IC analysts. Between late 2012 and late summer 2015, delivered 21 classes on critical thinking and use of analytic techniques and piloted one two-day class on the same topic that was tailored to an audience of scientists. All classes focused on enhancing rigor of analytic argumentation and each received high marks for relevance and practicality.
- Senior Intelligence Educator and Course Designer responsible for designing and delivering tailored analytic instruction to Australian Intelligence Community analysts in Canberra. Piloted one class on Inference Development and delivered four classes on facilitation of analytic techniques.

### Central Intelligence Agency – Directorate of Intelligence

*2004-2012: Course Director, Sherman Kent School. Directed several courses focused on analytic tradecraft from entry through expert to management levels. Greatest focus was on advanced application of structured analytic approaches.*

- Course Director and Lead Instructor for the Structured Analytic Techniques for Analysts Workshop, an elective course in the Advanced Analyst Program. Taught practical methods for integrating regular use of structured analytic approaches. Led redesign of several modules on diagnostic and futures techniques. Revamped a module on reviewing analytic assessments that incorporated structured analysis to enable robust facilitated discussions with students.
  - Course Director and Lead Instructor for the Structured Analytic Techniques for Managers Workshop. Sought after by DI managers for expert counsel regarding review of draft assessments in which structured analytic approaches aided argumentation. Regularly praised for rebuilding rigor in draft assessments.
  - Partnered in the design of the Structured Analytic Techniques Facilitation Workshop, a course in the Expert Level Program. Directed 10 runnings of the class between 2006 and 2012, resulting in a DI-wide working cadre of analyst facilitators.
  - Seasoned course designer. Conceptualized and led design and delivery of an Intermediate-level course on research design. Successfully pitched the concept in 2009 to the DI Corporate Board before piloting the class. Similarly designed and delivered an Expert-level course on applying structured analytic approaches.
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## Pedro Alvarez

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- Established in 2005 a network of DI tradecraft leaders resulting in eventual formation of the Tradecraft Cell Collaborative Group in 2010. As one of the three co-chairs, led effort to complete a strategic plan for coordinating the work of the Directorate's tradecraft cells.
- On-call Facilitator and Structured Analysis Coach for analysts and managers within the DI and across the IC. Focused on developing research designs and formulating key intelligence questions as well as designing and executing strategies to employ tailored structured analytic approaches against a wide range of intelligence challenges, most notably a key counterterrorist manhunt.
- Active partner in robust Kent School program to share instruction of structured analytic approaches with a wide range of foreign partners. Led first instructional TDY to the Pacific Rim in 2009.
- Established and led the Kent School's first Community of Interest on Critical Thinking and Structured Analytic Approaches. Collaborated with fellow instructors and School management to design and deliver two well-received Curriculum Review Boards.
- Excelled as a roleplayer in a variety of class and exercise settings by acting as an intelligence consumer--ranging from Cabinet officials to senior IC leaders--and providing students with realistic challenges to apply class learnings.
- Designed and delivered the syllabus for Career Analyst Program Class 28. Also, served as the first course director for the Kent School's Advanced DI Briefing Skills class.

*2001-2004: Team chief in the Office of Asia-Pacific, Latin American, Africa Analysis.*

- Produced intelligence analyses for the President, key Cabinet and NSC-level, and military consumers on developments in the Caribbean Basin. Regularly led team to surge on crises ranging from political instability to refugee migrations as well as concerns over transnational issues such as terrorism and Weapons of Mass Destruction (WMD).
- Respected by subordinates and peer managers as a compassionate leader skilled in motivating analysts to perform at consistently high levels.

*September 2001 January 2002: Counterterrorism Briefer for the Director, United States Secret Service (USSS).*

- Recalled as a veteran briefer to augment the PDB Briefing Team in the immediate aftermath of the 9/11 terrorist attacks. Assigned to brief the USSS Director and Deputy. Built and tailored a relationship with these USSS seniors to ensure CIA was providing both consistent and cohesive counterterrorism assessments. Recognized by the USSS with a plaque upon completing briefing tour.

*2000-2001: Senior analyst in the Office of Asia-Pacific, Latin American, Africa Analysis.*

- Collaborated effectively with colleagues to lead conceptualization and production of a series of intelligence assessments focused on generational change within the Caribbean region's military leadership.

## Pedro Alvarez

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- Sought after as a skilled mentor of new analysts with a special skill for helping them to acclimate to the sometimes unwritten rules of the DI's culture.

### *1998-2000: Deputy National Intelligence Officer for Conventional Military Issues.*

- Led the conceptualization and production of the first-ever National Intelligence Estimate (NIE) on the emerging threat posed by land-attack cruise missiles (LACMs). Worked closely with a CIA principal drafter to deliver a first-class draft for review and led its presentation and coordination at a key session of Department of Defense (DoD) senior officials. Managed a contract analysis effort that resulted in a technical assessment regarding challenges for developing LACM-related technologies. Skillfully incorporated relevant details to augment analysis in the NIE.
- Served as Executive Secretary for the National Security Advisory Panel, a group assembled by the National Intelligence Officer to advise the Director of Central Intelligence on emerging security threats. Work centered on devising agendas and coordinating presentation materials for twice-yearly conferences.

### *1994-1998: President's Analytic Support Staff.*

- Between 1994 and 1995, established and led the first Imagery Support Team for the President's Daily Briefing (PDB) Team. Secured analytic cadre, computer connectivity, and working spaces to embed the new team with the briefers followed by training and coaching the cadre to provide tailored imagery analytic support to the PDB briefers.
- Broke new ground when selected in 1995 to serve as the first PDB briefer who hailed from an imagery analysis component. Assigned to brief the Deputy Secretary of Defense and later expanded portfolio to brief all PDB recipients at the Pentagon and State Department, the Vice President, and several NSC Senior Directors.
- Demonstrated superior initiative and focus on customer service by leading development of the "Vice President's Supplement," a supplement to the PDB tailored specifically to Vice President Gore's key policy portfolio as assigned by President Clinton.

### *1985-1994: Office of Imagery Analysis*

- Senior military imagery analyst responsible for assessing third world conventional militaries deployed in overseas combat as well as those assigned to defend their homeland. Most notable assessments provided insight on military elite units, military austerity measures, and high-profile arms transshipments.

### *1980-1985: Office of Imagery Analysis*

- Developed and demonstrated journeyman imagery analytic skills on East Asia: naval construction efforts and deployments as well as former Soviet naval out-of-area deployments. Most notable assessments included key worldwide support base for the former Soviet Navy and potential emerging threats.

## Pedro Alvarez

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### Pre-CIA Employment

1979: *Qualified as a Military Police (MP) Officer, US Army Reserve.*

### Education

2008: Certified by CIAU as a Level II instructor.

2007: Certified by CIAU as a Level I instructor.

1998: **John F. Kennedy School of Government, Harvard University.** Completed course for senior intelligence officers on Intelligence and Policy.

1979: **B.A. in History, Virginia Military Institute,** with an additional concentration in Spanish.

### Awards

Recipient of the Career Intelligence Medal, 23 Exceptional Performance Awards (EPA), and one Certificate of Appreciation from the CIA and the US IC between 1992 and 2013 for quality intelligence analysis and exemplary collaboration. Most notable awards include:

- 2013: Received the Career Intelligence Medal for career achievements from 1980-2012.
- 2013: Certificate of Appreciation from IC client for a six-month research project and memorandum detailing lessons learned from assessing a sensitive issue.
- 2009: EPA from the Kent School for excellence in innovation as an instructor. Led effort to develop three web-based tutorials for learning how to apply structured analytic approaches.
- 2008: Included in a Meritorious Unit Citation and praised by CIA's Deputy Director for Intelligence for Strategic Planning as "a key driving force" in changing the Directorate's analytic culture.
- 2007: Named the Kent School's Instructor of the Year when the award was presented for the first time.
- 2001: EPA for leading team's analytic efforts on a contentious Caribbean NIE.
- 1998: EPA for volunteering to brief the Vice President while his regularly assigned briefer was on a four-month maternity leave. Simultaneously briefed the Deputy Defense Secretary, resulting in need to tailor two divergent briefs on a daily basis.
- 1995: included in Meritorious Unit Citation for establishing and leading the first Imagery Support Team for the President's Daily Briefing (PDB) Team.

## Appendix 6

**THEOGENE N. RUDASINGWA**

E-mail: theo.rudasingwa17@gmail.com

### **SKILLS**

- Designing health system-wide population health strategies towards improving quality of care, population health and reducing per capita cost ;
- Conducting Community Health Needs Assessments to establish modes of achieving equity and reducing health disparities among vulnerable communities;
- Designing multi-faceted Community Health Improvement Plans to improve health outcomes for communities;
- Engaging at risk populations, vulnerable communities, and communities in general to improve quality of care, community health and reduce per capita cost;
- Building strategic partnerships from community, health care system, multiple sectors and stakeholders around the challenges of chronic disease and obesity, behavioral health, maternal health, and social determinants of health;
- 25 years in strategic management and leadership in human rights, nation building, global health, international affairs, and social movements;
- Clinical skills and health systems strengthening in developing country resource-limited settings.
- Author, lecturer, public speaker and excellent communication skills;

### **EXPERIENCE**

**Adventist HealthCare**, Gaithersburg, Maryland: Internal Consultant, Center for Health Equity and Wellness: May 2017-Present

- Advises on system-wide population health strategies towards improving quality of care, population health and reducing per capita cost in Adventist Healthcare ;
- Conducts community engagement to establish modes of achieving equity and reducing health disparities among vulnerable communities;
- Drafted a multi-faceted community health improvement plan to improve health outcomes for communities
- Consulted over fifty senior level internal and external stakeholders towards building strategic partnerships in Montgomery County;
- Conducted review of over 100 scholarly articles on community health and population health, to be summarized and published as a book in 2018

**Rwanda National Congress, and New Rwanda National Congress**, Washington, D.C. (2010-2017): Co-founder and Coordinator of a Rwandan global civil network for promoting human rights and justice in Rwanda.

- Led a fundraising effort that mobilized over \$500,000 to support various activities
- Created and led a 10,000 global network of citizens, activists, NGOs, journalists, scholars.

- Engaged extensively among various policy makers and human rights organizations in Africa, Europe, and North America, leading to a realistic posture of the international community, including USA and UK, toward Rwanda's human rights situation.
- Conducted over 100 speaking engagements and interviews to several local and international media, including Voice of America, BBC and multiple print and internet channels.
- Started and operated two internet community-based radios with over 70,000 listeners per week, *Radio Itahuka* and *Radio Ihuriro*, to promote human rights in the Rwanda and the Great Lakes region of central Africa.
- Authored four books, *Healing a Nation*, *Urgent Call*, *Intabaza* and *Voices from Exile: Readings in Rwanda's Contemporary Protest Movement*.
- Co-authored a very influential paper, *Rwanda Briefing*, which was a realistic assessment of Rwanda in the eyes of Rwandans and the international community.
- Wrote over 100 articles and op-eds that were published in social and international media.
- Trained and mentored 500 Rwandan community organizers across the globe.

**University of Idaho (2011):** Developed and taught an undergraduate course to a 30-student class on the *Interdisciplinary Course on Health, Security and Development*, with the following takeaways:

- Nature of fragile, failed, failing and post-conflict states.
- The health, security, and human development nexus.
- Cultural intelligence across sectors, cultures and boundaries.
- Impact of 21<sup>st</sup> Century networks of non-state actors.
- Partners in nation-building: communities, government, civil society, academia, business and international organizations.
- Research agenda in global health, security and human development.
- A 21<sup>st</sup> Century Diplomacy: Managing and Leading in a complex, uncertain and dangerous world.

**Pangaea Global Aids Foundation, San Francisco, CA (2007-2009):** Vice President for Global Affairs, promoting prevention and treatment of HIV/AIDS in Africa. Promoted a new global health diplomacy with emphasis on:

- Maternal, new-born and child health.
- Community capacity building.
- Systems strengthening approach.
- Innovations in financing global health for neglected tropical diseases and emerging infectious diseases.
- Bridging the first and last miles in the global supply-chain of health care products and services.
- Building leadership and managerial capacities at community and institutional levels.
- Monitoring and evaluating the impact of international aid.
- Building effective public-private partnerships in global health.

**University of California, Berkeley, CA (2004-2006):** Visiting Scholar and Lecturer, Haas School of Business.

Co-Director, *Bridging the Divide*, Haas School of Business, promoting diffusion of technology innovations to developing nations.

Developed and taught a graduate-level 35-student class on *Introduction to Business and Technology for Sustainable Development*, whose takeaways were:

- understanding of the key business and development challenges facing the developing regions in the 21<sup>st</sup> Century;
- an appreciation of the link between sustainable business and sustainable development;
- an analysis, from theory and practice, of the link between technological innovation, entrepreneurship and sustainable business in the developing world;
- a spectrum of sectoral opportunities for sustainable business in developing countries
- insights into the policy and reform environment that shape business and technology development in the developing regions;
- an introduction to aid, trade and foreign direct investment as tools for developing the capacity to do business for sustainable development;
- knowledge about best practices in public sector-private sector partnerships for sustainable development; and
- insights into leadership and managerial challenges in developing sustainable business in the developing world.

**Government of Rwanda (1996-2004):** Ambassador of Rwanda to the United States (1996-1999); Chief of Staff to the President of Rwanda (2000-2004).

- Diplomatic architect of Rwanda-USA and Rwanda-UK relations in the aftermath of the 1994 genocide, translating into annual aid flows of \$ 156 million (FY 2012) and £ 97 million respectively.
- Mobilized the first \$ 50 million recovery credit from the World Bank and led effort in the elaboration of the first post-1994 World Bank-Rwanda Country Assistance Strategy.
- Led efforts that culminated in \$ 810 million debt cancellation from the International Monetary Fund (IMF).
- Negotiated Secretary of State Albright's and President Bill Clinton's visits to Rwanda.
- Solicited and obtained 100 full scholarships, worth \$500,000, for Rwandan youths in US colleges.
- Recruited over 100 technical staff and advisors for the Office of the President.
- Built the first computerized local area network for the entire President's Office, including the cabinet office.
- Supervised, from conception to operation and \$ 40 million five-star hotel project, the Serena Hotel in Rwanda's capital city, Kigali.
- Co-ordinated all aspects of the President's foreign and domestic engagements, including speeches and Presidential Briefs for cabinet sessions.

- Chief advisor to the President on national budgetary decisions for a population of 10 million and \$2 billion economy.
- Architect of Rwanda's National HIV/AIDS Strategy that has reduced national HIV prevalence from 11% to the current 3.1%.
- Architect of Rwanda's foreign direct investment strategy, which has doubled, reaching \$267.7 in 2014.
- As the Chief Transformation Officer for the Government of Rwanda, supervised the elaboration of the country's strategic Vision 20/20 to make Rwanda attain middle-income status by 2020.

**Rwanda Patriotic Front (1990-1995):** Director for Diplomacy (1991-1993), and Secretary General (1993-1995).

- Lead doctor during civil military operations in the combat zones, treating civilians and wounded soldiers.
- Led a diplomatic effort on behalf of a 15,000 strong political military organization at African Union, the United States, Europe, and the United Nations.
- Led effort in setting up the Organization of African Unity (OAU) 50-member Ceasefire Monitoring Group, the 50-member United Nations Observer Mission Rwanda-Uganda, and the 2,548-strong United Nations Assistance Mission for Rwanda (UNAMIR).
- Negotiator at Rwanda's Arusha Peace Process, Tanzania, which established a ceasefire and briefly ended the armed conflict between the Government of Rwanda and RPF.
- Supervised the humanitarian, civil and diplomatic response to the Rwanda crisis of 1994.
- Co-ordinated all aspects of setting up of the transitional government that undertook nation building from scratch in the aftermath of civil war and genocide of 1994.

**Mulago Hospital, Kampala, Uganda (1989-1990):** Medical intern. Treated over 10,000 patients in surgical and medical rotations for in-patients and outpatients. Performed over 100 child deliveries and 30 caesarian sections.

## EDUCATION

**Fletcher School of Law and Diplomacy, Tufts University, Medford, MA, USA (2006):** Master of Arts in International Relations.

**Harvard University, Kennedy School of Government, Cambridge, MA, USA (1999):** Certificate in Civil-Military Relations (1999)

**Harvard University, Certificate in Case Teaching Method (2004)**

**Makerere University, Kampala, Uganda (1990):** Doctor of Medicine

## PUBLICATIONS

Author of *Healing a Nation* (2013), *Urgent Call* (2014), and *Voices from Exile: Readings in Rwanda's Contemporary Protest Movement* (2016).

## **AWARDS**

Honorary Ph.D, *Trinity College of Vermont*, Burlington, Vermont, USA (1999) in recognition of exemplary humanitarian work.

Global Leader of Tomorrow, *World Economic Forum*, Davos, Switzerland (2001)



**GERALD GAHIMA, PH.D.**

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**Summary of qualifications, experience and skills:** Distinguished service in private legal practice, public service and international development. High level expertise in the fields of Criminal Law and Procedure, International Criminal Law, International Humanitarian Law and International Human Rights Law. Demonstrated experience of providing expert advice on government reform, rule of law and human and civil rights. Served as Rwanda Chief Legal and Law Enforcement Officer. Principal legal adviser to President and government agencies. Demonstrated experience of investigation of human and civil rights violations. As Attorney General of Rwanda, managed caseload of over a quarter of a million suspects, including more than 135,000 detainees awaiting trial on genocide charges. Organized and led the most extensive investigations and prosecutions of genocide and war crimes ever conducted by any state. Completed over 5000 genocide prosecutions during my tenure as Attorney General. Represented state of Rwanda before its Supreme Court and U.N. courts and tribunals. Served on several high-level national commissions. Extensive experience as an international consultant, advising governments and donor agencies on issues relating to reform of government institutions, rule of law, human and civil rights, anti-corruption, and peacebuilding. Proven leadership skills with the ability to lead, as well as collaborate, in a team environment. Excellent research, analysis and writing skills. Published author in the field of human rights.

#### **PROFESSIONAL EXPERIENCE**

**Minerva Services LLC, Washington, D.C., United States: *Chief Operations Officer (August 2019 - Present).***

Manage the operations, servicing functions and growth of company involved in international development consulting. Responsible for company's strategic planning, business development and management of day to day operations. Oversee the implementation of on-going projects. Also responsible for recruiting and managing teams responsible for the company's international development consulting portfolio.

**Adam Smith International, Sydney, Australia: *Consultant (2019).***

Advise Government of Samoa on public sector reform. Lead assessment of the state of the Samoa Public Service. Evaluate and write a report on the just-concluded Public Administration Sector Plan. Lead the development of and write a new strategic plan for the public administration sector.

**Asmara Business Group, Windhoek, Namibia: *Governance Adviser (2017 - 2018).***

Lead the company's governance portfolio, including legal and judicial reform, public administration, human rights, and access to justice. Contribute to the development of tender documentation. Support implementation of projects, including conducting pre-contract assessments, providing contract services, including development of work plans, providing technical advice, development of policy and strategy documents, participation in training programs, providing mentoring to clients' staff, supervising contract personnel, preparing reports and performing other tasks as directed by the CEO. Advise senior management team on legal aspects of the operations of the organization.

**The World Bank, Washington, D.C; United States: *Consultant (2016).***

Conducted an initial review of reports of ethics violations. Developed and implemented investigative plans. Conducted investigations of alleged misconduct. Prepared briefings and reports of investigation outcomes for management. Kept clients informed of status of investigations. Provided advice to management of the Ethics Vice Presidency on trends, new opportunities, and preventative measures. Contributed to the sharing of best practices, trends, knowledge and lessons learned across bank units.

**Gerald Gahima, p. 2.**

**Adam Smith International, Kabul, Afghanistan: *Consultant (2015 - 2016).***

Provided advisory services (including research, legal advice, and drafting of legislation and policy and strategy documents) to the Independent Directorate of Local Governance (IDLG). Supported development of legislation, policy proposals, briefs, guidelines, and data collection instruments to strengthen and simplify governor coordination of sub-national government entities.

**Scientia Services LLC., Washington, D.C.: *Principal Consultant (2014 – 2015)***

Responsible for business development, management of day to day operations of the business and providing consultancy services on rule of law, human rights and peacebuilding to corporate clients and international organizations.

**Dane Associates Ltd, Oslo, Norway and Washington, D.C.; *Legal Counsel (2011 - 2013).***

Provided legal advice on law governing protection of foreign investment. Provided strategic advice and case management support in arbitration at the International Court of Arbitration (Paris) between employer and the state of Rwanda.

**UNDP, Monrovia, Liberia: *International Consultant (2010).***

Reviewed the mandate and structure of Human Rights Unit of the Ministry of Justice, clarifying role of the unit in relation to National Human Rights Commission. Developed new organizational structure and job descriptions for positions in the Unit. Assisted the Unit to develop a strategic plan. Prepared draft legislation to establish the Unit. Prepared proposals for standard operating procedures and establishment of an internship program for the Unit. Assessed and reported on the capacity of civil society in the human rights field.

**Australian Agency for International Development, Dili, East Timor: *Senior Justice Advisor (2008- 2009).***

Provided expert, strategic and technical advice on law and justice sector issues. Advised agency's contractors on development of activity plans and M & E frameworks. Prepared an annual "State of the Justice Sector" Report. Engaged in policy dialogue with leaders of justice sector institutions on their strategies, plans, achievements and external assistance requirements. Engaged civil society to facilitate access to Government of Australia funding for governance reform. Provided technical support and co-facilitated development of justice sector strategic plan.

**GRM International, Dili, E. Timor: *Senior Management Advisor, Office of the Prosecutor General (2007-2008)***

Provided legal, management and policy advice and mentoring to Prosecutor General, Deputy Prosecutor General and corporate services personnel. Advised agency on strategies for improving criminal investigations and management systems and procedures. Developed a new organizational structure and job descriptions for agency. Supervised technical assistance personnel provided to the agency by Australian Government. Provided technical support and facilitated agency strategic planning and budget processes. Supported the development of capacity building strategies for the agency. Participated in delivery of training programs. Helped the agency to improve budget development and execution and performance of prosecutors' offices outside the capital.

Gerald Gahima, p. 3.

**United States Institute of Peace, Washington, DC. *Visiting Scholar/Senior Fellow, Jennings Randolph Program for International Peace (2005-2007).***

Conducted research on transitional justice issues generally and Rwanda's legal responses to the 1994 genocide. Served as one of the institute's subject matter experts.

**State Court of Bosnia Herzegovina, Sarajevo, Bosnia Herzegovina: *International Judge (2005).***

Exercised over-sight over preliminary investigations. Conducted hearings of preliminary motions and trials. Provided mentoring to national judges. Performed other duties and functions vested upon judges of the Court by relevant legislation.

**OHR, Sarajevo, Bosnia: *Head, International Protocols Section, War Crimes Chamber Project (2004-2005).***

Responsible for the recruitment of international judges, prosecutors and other legal professionals who to assist in the establishment and initial operation of the War Crimes Chamber. Other tasks included negotiating secondment arrangements with various governments, preparing Bench Book, establishing library, drafting Code of Ethics and Professional Conduct for International judges and prosecutors of the Court and Prosecutor's Office of Bosnia and Herzegovina and assisting the Director and Deputy Director of the War Crimes Chamber Project in negotiating financing for the project, recruitment of personnel, fundraising and performing such other duties as the management may assign

**Dane Associates Ltd, Oslo, Norway and Kigali, Rwanda: *Legal Counsel (2004).***

Served as the principal legal adviser to this company which was involved in development projects in Rwanda, as well as in other developing countries. Advised the company on all legal aspects of their business in Rwanda, including, but not limited to, regulatory issues, foreign investment laws, and laws governing Rwanda's telecommunication, manufacturing, mining and energy industries. Provided legal advice to the company in relation to investment projects in several countries. Advised the company on negotiations with the Government of Rwanda for a concession to design, finance, and construct, own and operate a 200 Megawatts power plant. Drafted and or negotiated related contract documents, including Concession Agreement, Power Purchase Agreement and Security Payments Agreement on behalf of the company.

**Supreme Court Rwanda, Kigali, Rwanda: *Deputy Chief Justice (2003-2004).***

Managed Supreme Court's administrative function, including preparing a preliminary draft of the organizational structure. Led development of Court's three-year business plan. Supervised performance of administrative personnel.

**Government of Rwanda, Kigali, Rwanda: *Attorney General (1999-2003)***

Chief Law Enforcement Officer of Rwanda. Part of core leadership responsible for national law and justice policy. Provided legal and policy advice to Head of State and agency heads on wide range of subjects, including legislation, procurement, infrastructure development and privatization. Led extensive criminal justice reform and agency capacity development activities leading to increased numbers, enhanced skills and output of agency personnel. Supervised and coordinated investigations of more than 200,000 genocide cases. Directed prosecution of genocide cases involving approximately 5000 suspects. Investigated and prosecuted offences (including white collar crime and corruption) committed by senior public officials. Represented Rwanda in domestic and international litigation and international cooperation relating to law enforcement and mutual judicial assistance. Successfully represented Rwanda in dealings with foreign governments and international institutions on all major matters relating to law, justice and human rights.

**Gerald Gahima, p. 4.**

**Government of Rwanda, Kigali, Rwanda: *Deputy Minister, Ministry of Justice (1996-1999),***

Led the rebuilding of the country's justice systems from the ground after 1994 genocide. Principal policy maker on matters relating to law and justice issues, including accountability for the 1994 genocide. Managed and supervised all the day-to-day activities of the ministry. Led and coordinated the provision of legal advice to other government agencies. Supervised the national litigation service, the National Prisons Service and the National Judicial Police. Managed budget of the prosecution service. Supervised, mentored and provided guidance to senior management of agencies accountable to the ministry. Exercised oversight over training schools of the agencies. Led the introduction and implementation of far reaching reforms of justice system, including the courts, prosecution service, prisons service and police. Managed relationships with donors and implementation of extensive human resources and infrastructure development projects. Led the formulation of Rwanda's policy relating to accountability for genocide.

**Government of Rwanda, Kigali, Rwanda: *Deputy Minister, Ministry of Justice (1996-1999).***

Provided technical support and policy advice to Minister. Principal policy maker on matters relating to law and justice, including accountability for the 1994 genocide. Managed all the day-to-day activities and functions of the ministry and agencies attached to it. Responsible for policy development and planning, including design of project proposals for submission to development partners. Responsible for the preparation of annual budget proposals and effective management of budget allocated to the ministry. Responsible for oversight of the National Judicial Police, the National Prisons Service and the government's legislation and litigation services. Supervised, mentored and provided guidance to senior management of the agencies attached to the ministry. Managed relationships with donors and implementation of extensive human resources and infrastructure development projects. Led the implementation of far-reaching reforms of the justice system, including the courts, prosecution service, prison service, and police.

**Government of Rwanda, Kigali, Rwanda: *Deputy Minister, Ministry of Public Service (1996-1999).***

Provided technical support and policy advice to Minister. Managed all the day-to-day activities and functions of the ministry and agencies attached to it. Responsible for the development of policy and planning. Led the preparation of annual budget proposals and managed budget allocated to the ministry. Led development and implementation of appropriate human resources development strategies to provide human resources required to support national recovery and reconstruction in the aftermath of the genocide. Initiated and implemented very significant civil service reforms, including introduction of merit-based recruitment. Organized and led recruitment of new civil service. Supervised, mentored and provided guidance to senior management of the agencies attached to the ministry. Managed and oversaw the implementation of donor-funded programmes.

***Independent Consultant, Kampala, Uganda (1990-1994).***

Provided legal advice to businesses and non-governmental organisations..

**Wambugu & Company Advocates, Nairobi, Kenya: *Attorney, (1988 - 1990)***

Managed and supervised junior attorneys and support personnel in all aspects of their work. Advised clients on a wide range of matters. Conducted legal research, wrote opinions and drafted documents including pleadings, contracts and correspondence. Represented the firm's clients on all matters involving commercial law – a major area of my expertise. Served as Practice Manager. In that role, managed day to day administrative operations, contributed to business development and retention, represented firms in negotiating settlements, coordinated case assignments and support to attorneys, supervised junior associates and other staff, and oversaw procurement operations, staff training, maintenance of facilities, account collection, liaison with major clients and reported to partners on major business matters.

**Gerald Gahima, p. 5.**

**Strathmore School of Accountancy, Nairobi, Kenya: *Lecturer (1988 - 1989)***

Taught Business Laws subjects to Certified Public Accountant students. Prepared learning materials. Assigned work to students and administered tests and evaluated papers.

**Mereka & Company Advocates, Nairobi, Kenya: *Attorney, (1985 - 1988)***

Advised clients on a wide range of matters, including banking, insurance, real estate and other aspects of commercial law. Conducted legal research, wrote opinions and drafted documents including pleadings, contracts, and correspondence. Handled settlement negotiations. Promoted to Practice Manager position. In that role, managed day to day administrative operations, contributed to business development and retention, coordinated case assignments and support to attorneys, supervised junior associates and other staff, and oversaw procurement operations, staff training, maintenance of facilities, account collection, liaison with major clients and reported to partners on major business matters.

**Kenya School of Law, Nairobi, Kenya: *Lecturer (1984 - 1985)***

Provided instruction on several law courses, including Evidence, Criminal Law and Criminal Procedure. Prepared teaching materials. Performed administrative duties delegated by Principal.

**Mulwa & Mulwa Advocates, Nairobi, Kenya: *Attorney, (1982 - 1984)***

Attorney, December 1982 – July 1984.

Conducted research on behalf of the partners and senior attorneys; drafted opinions, pleadings and other documentation. Supervised pupils and clerks.

**Government of Kenya Mukaa Secondary School, Machakos, Kenya: *Teacher (1980 - 1981)***

Developed lesson plans and daily classroom activities. Prepared and distributed instruction materials as necessary. Delivered instruction to students. Developed assignments and prepared tests designed to gauge proficiency. Evaluated assignments and exams and graded them. Maintained attendance and assessment records of students and communicated results to students and school management. Provided remedial assistance to students having difficulties. Responsible for ensuring discipline of students under my care. Supervised student behavior and intervened as necessary. Organized and supervised extracurricular activities.

**Memberships:** Served on U.N. Human Rights Commission, boards of several corporations and NGOs, and government commissions (including National Procurement, Privatization, and Ad Hoc Law Reform commissions).

**Awards:** Senior Fellow, United States Institute of Peace, Washington, D.C. (2005-2006); FBI Director's Award of Recognition (2003).

**Education:** LL.M., Georgetown University, Washington, D.C. (2014); Ph.D., National University of Ireland (2010); LL.M., University of London (LSE) (1985); LLB, Makerere University, Uganda (1980).



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### JASON I. POBLETE

Mr. Poblete has had a distinguished career in the law and public policy arena. He represents individuals and corporations on both domestic and international matters in his federal regulatory litigation and transactional practice. He advises clients on navigating the complex legal, and political, federal interagency regulatory and legislative processes primarily on matters overseen by the Department of State, Department of the Treasury, Department of Commerce and the Congress.

Before forming Poblete Tamargo in 2010, he worked as a senior attorney in the Global Regulatory Litigation group of Reed Smith LLP. Prior to Reed Smith, Poblete was a senior advisor to House Ways and Means Committee Chairman, Rep. Bill Thomas (R-Calif.), and on the senior staff of a Congressional committee. During his tenure on Capitol Hill he was selected several times by the editors of Roll Call newspaper as one of the "50 Most Influential Staffers" in the Congress. Poblete worked for seven years at the Republican National Committee (RNC), starting in 1993, the year before the Republican Party won control of Congress for the first time in 40 years.

Poblete is an expert on federal regulatory matters and administrative rule-making, and federal legislative procedure and investigations. He concentrates his practice in these areas: trade compliance, export controls for defense articles and dual-use items, encryption controls, economic sanctions, and human rights. He has conducted and participated in numerous compliance audits in both the United States and in foreign countries. Both on and off Capitol Hill, he has assisted or been part of Congressional oversight processes and investigations. He has testified before Congress on bringing to justice foreign leaders accused of gross violations of fundamental rights and atrocity crimes and served as an expert witness on economic sanctions in a case before the United Kingdom High Court of Justice.

Jason has advocated on behalf of a U.S. Persons held hostage by foreign governments, political opposition leaders in foreign countries subjected to human rights abuses, and a former foreign head of state and his family persecuted for their pro-democracy efforts. In addition, he has represented multinational corporations, publicly traded companies, a Native-American tribe, non-governmental and international organizations, and companies from these industries: defense, telecommunications, aviation, advertising, energy, pharmaceuticals, international bulk shipping, Internet, and software development firms. He has also represented individuals and families with claims against foreign governments for the unlawful confiscation of property and his firm assists families with claims against foreign governments such as the Guam War Claims Program.

An advocate on the importance of property rights, the rule of law, and human rights, Poblete has testified in 2007 before a Special Committee of the United Nations (UN) in New York; has advocated on behalf of clients before numerous committees of the U.S. Congress and international organizations such as INTERPOL; and counseled clients on matters under review by the Inter-American Commission

for Human Rights of the Organization of American States (OAS). In 2016 he founded a non-profit, the Global Liberty Alliance to advocate for politically persecuted persons by totalitarian governments and to assist law enforcement to bring perpetrators of atrocity crimes to justice.

A Past Chairman of the National Security Committee of the American Bar Association (ABA) Section of International Law, he is a member of the ABA Export Controls and Economic Sanctions Committee, the Federalist Society for Law and Public Policy Studies, and the American Society of International Law (ASIL). For personal and professional reasons, he has had a life-long interest in political, defense, economic, security developments in the Western Hemisphere and the linkages between other regions and the Americas in emerging transnational threats, political, economic and rule of law matters.

Jason has been a commentator on national and international news programs including CNN, CNBC, CNN Español, NBCTelemundo, USIA, BBC, Channel 4 News (UK), and on Spanish-language television public affairs programs in Spain and Latin America. Jason has published op-eds or been quoted in U.S. and international publications such as The Wall Street Journal, National Review, The New York Times, The American Spectator, Roll Call, Al Arabiyah, Reuters, POLITICO, The Hill, The Miami Herald, The Washington Examiner, McClatchy News, Associated Press, Corporate Compliance Insights, World ECR: Journal of Export Controls and Economic Sanctions (UK), RCN Colombia, and La Prensa (Nicaragua).

Born and raised in South Florida, he resides in Arlington, Virginia with his wife, Dr. Yleem Poblete, Ph.D. They are active members of the Order of Malta and he is a Life Member of the National Eagle Scout Association. In addition to his law degree from the George Mason University Law School, he earned a Master's degree from Georgetown University (Thesis topic: U.S. economic sanctions towards Cuba) and a B.A., with a regional concentration in Latin American studies, from Florida International University.

#### **BAR & COURT ADMISSIONS**

- District of Columbia (2006 - current)
- Commonwealth of Virginia (2015 - current)
- U.S. Supreme Court
- U.S. Court of Appeals for the District of Columbia Circuit
- U.S. Court of Federal Claims
- U.S. District Court for the District of Columbia

#### **LANGUAGES**

- English (Fluent)
- Spanish (Fluent)
- Italian (Limited Working Proficiency)

Publications, Interviews and Speeches

1. "The U.S. Senate Scrutinizes Nicaragua's Daniel Ortega and Rosa Murillo regime," La Prensa Nicaragua, interview (Sept. 26, 2018).<sup>1</sup>
2. "[Iran] Adviser says Iran failed detained U.S. resident," quoted, Associated Press (Sept. 14, 2018).
3. Television Interview (live) NTN24 Colombia, discussion how U.S. presidents use declarations of national emergencies to advance policy goals, impose economic sanctions (Sept. 11, 2018).
4. "U.S. Congress Condemns Daniel Ortega and Supports Early Elections in Nicaragua," La Prensa Nicaragua, interview (Jul. 25, 2018).<sup>2</sup>
5. Congressional Testimony, House Oversight and Government Reform National Security Subcommittee, "Holding Cuban Leaders Accountable," testimony on U.S. legal and policy options such as economic sanctions, visa denials, and other tools to hold accountable perpetrators of atrocity crimes (June 20, 2018).<sup>3</sup>
6. "They lost it all in Cuba. Now Seller Wants \$1,500 for their parents' wedding album," The Miami Herald, quoted (May 3, 2018).<sup>4</sup>
7. "Seriously Ill American Imprisoned in Iran Rushed to Hospital Late Sunday," The Washington Free Beacon, quoted (Feb. 18, 2018).<sup>5</sup>
8. "Jurist Jason Poblete: An Unstable Democracy in Nicaragua Not Good for the Western Hemisphere," La Prensa Nicaragua, interview (Dec. 21, 2017).
9. "H.R. 244 Accomplishes 50% of the NICA Act," La Prensa Nicaragua, quoted (Dec. 5, 2017).
10. "Suffering From Severe Dental Problems, US Resident On "Enforced Hunger Strike" in Evin Prison, Center for Iran Human Rights, quoted (Oct. 4, 2017).
11. "Evin Prison Director Accused of Denying Outside Medical Care For Imprisoned US Resident Nizar Zakka," Center for Iran Human Rights, quoted (Sept. 9, 2017).
12. "Iran Upholds Convictions of Iranian-American Father and Son," The New York Times, quoted (Aug. 28, 2017).
13. "Three Americans Denounce Iranian Court Rulings Reaffirming Their 'Spying' Convictions, The Washington Free Beacon, quoted (Aug. 28, 2017).
14. "After Macuro's Secret Trip to Cuba, Opposition Leaders Want to Know: 'Why Did He Go?,' The Miami Herald, quoted (Aug. 17, 2017).

<sup>1</sup> Available at <https://www.laprensa.com.ni/2018/09/26/politica/2477658-reojmen-de-daniel-ortega-y-rosario-murillo-bajo-critica-en-el-senado-estadounidense>

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<sup>4</sup> Available at <http://www.miamiherald.com/news/nation-world/world/americas/cuba/article210364034.html>.

<sup>5</sup> Available at <http://freebeacon.com/issues/seriously-ill-american-imprisoned-in-iran-rushed-to-hospital-late-sunday/>



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18. Television Interview, *Al Arabiya* (Saudi Arabia), U.S. Citizens & Legal Permanent Resident unlawfully detained in Iran (July 19, 2017).
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22. "Lawyer, U.S. Resident held in Iran is a 'hostage,'" *Associated Press*, quoted (Feb. 24, 2017).
23. "Two Years After US-Cuba Opening, What's Next Under Trump," *NBC News* online, quoted (Dec. 17, 2016).
24. "Can Donald Trump Master the Art of the Hostage Deal," *Iran Wire*, quoted in a story about U.S.-Iran relations and the unlawful detention of our client, Mr. Nizar Zakka, in Iran (Nov. 11, 2016).<sup>9</sup>
25. Television Interview (live), *Al Arabiya*, discussed the unlawful detention of our client, Mr. Nizar Zakka, in Iran (Nov. 7, 2016).<sup>10</sup>
26. "Iranian government hands harsh prison sentences to American citizens born in Iran," *The Washington Post*, quoted (Oct. 25, 2016).
27. "Your Man in Havana? Real-life considerations on the U.S.-Cuba 'thaw,'" *WorldECR: The Journal of Export Controls and Sanctions*, Iss. 54 (Oct. 20, 2016).
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29. "Iran Sentences U.S. Resident to 10 years in Prison on Spying Charges," *The Wall Street Journal*, quoted (Sept. 20, 2016).
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34. "The War on Religious Contractors," *The American Spectator*, op-ed (Jun.16, 2016).<sup>12</sup>
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37. Discuss trends in U.S. sanctions laws and regulations at a eGov conference hosted by the *eMerge Americas*, Miami, Florida (Apr. 18, 2016).
38. Discuss trends in U.S. sanctions laws and regulations at a conference hosted by the *Emerging Markets Trade Association*, New York, New York (Dec. 8, 2015).
39. "Despite White House opening, exports to Cuba continue to drop," *The Miami Herald*, quoted (Oct. 12, 2015).<sup>14</sup>
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41. "Exclusive: Obama Regs Chip Away at Cuba Embargo," *Washington Examiner*, quoted (Sept. 17, 2015).<sup>16</sup>
42. "Arkansas Rice Farmers Seek Access to Cuba Market," *McClatchy News*, quoted (Sept. 14, 2015).
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48. Interview, *Radio Marti*; discussed the Request for Precautionary Measures that was filed before the OAS *Inter-American Commission for Human Rights* on behalf of the Apostolic Movement in Cuba whose homes are being targeted for confiscation by the Cuban government (June 2, 2015).<sup>20</sup>
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51. "Call Cuba to Account," *National Review Online*, op-ed co-authored with Dr. Yleem Poblete (Feb. 27, 2015).<sup>22</sup>
52. "As U.S. Cuba Policy Moves Forward, Chief Critic Rubio Faces Stiff Odds Reversing It," *McClatchy News*, quoted (Feb. 13, 2015).<sup>23</sup>
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54. "U.S.-Cuba Policy: Myth vs Reality," *The Hill* newspaper, op-ed co-authored with Dr. Yleem Poblete (Jan. 26, 2015).<sup>25</sup>
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56. "Yes, Cuba Is a State Sponsor of Terrorism," *National Review Online*, op-ed (Jan. 6, 2015).<sup>27</sup>
57. Television Interview (Live), *CNBC Squawk Box*, discussed economic sanctions and U.S. policy toward Cuba (Dec. 18, 2014).
58. Television Interview (Live), *CNBC Squawk Box*, discussed the latest round of U.S. and E.U. economic sanctions on Russia (July 30, 2014).

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<sup>22</sup> Available at <http://www.nationalreview.com/article/372085/call-cuba-account-jason-poblete-yleem-poblete>.

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<sup>25</sup> Available at <http://thehill.com/blogs/congress-blog/foreign-policy/230595-us-cuba-policy-myth-vs-reality>.

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59. Television Interview (Live), *CNBC Squawk Box*, discussed recent developments in the Ukraine, U.S. and E.U. economic sanctions on Russia (July 21, 2014).
60. Presenter/moderator of a panel at the Spring Meeting of the ABA Nat'l Sec. Comm., Section of Int'l Law in New York: "Private Contractors, Snowden, and Cyber Security: Did the Reorganization of the Intelligence Community Achieve Success?" The panel included former Senator Evan Bayh (D-Ind.), NSA IG Joel Brenner, Esq. and AUSA and CIA Analyst David Laufman, Esq. (April 3, 2014).
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63. "The Battle of Shiloh, Corruption in Ukraine and Things to Come," *Corporate Compliance Insights*, Tom Fox, Esq., quoted (Apr. 9, 2014).
64. "Call Cuba to Account, Obama Should Enforce LIBERTAD as Congress Intended," *National Review Online*, Jason and Yleem Poblete (February 27, 2014).<sup>30</sup>
65. Television Interview (in-studio), *CNN en Español*, discussed recent developments Venezuela and implications for U.S. policy toward Venezuela and the Western Hemisphere (February 21, 2014).
66. Television Interview (in-studio), *CNN en Español*, discussed recent developments in the NSA leak case and related legal and political repercussions (December 16, 2013).
67. Television interview (in-studio), *CNN en Español*, discussed numerous public policy and legal matters on U.S. national politics (November 8, 2013).
68. Panel, met with various members of the Peruvian Congress from various political parties that were in Washington, DC to discuss federal regulatory matters as well as the role of the U.S. Congress in that process; program sponsored by the *International Republican Institute* (June 28, 2013).
69. "Zona Politica with Helen Aguirre," discussed President Obama's counter-terrorism speech at the National Defense University, *Univision America* radio network (May 23, 2013).
70. "The Magnitsky List: a trend-setter process in global human rights and compliance law," *WorldECR: The Journal of Export Controls and Sanctions* (April 2013).
71. "Zona Politica with Helen Aguirre," discussed the legal and public policy impact of recent reports that the Central Intelligence Agency (CIA) had pressed other federal agencies to have one of the Boston terrorists placed under stricter U.S. government observation, *Univision America* radio network (April 25, 2013).
72. Television interview (in-studio), *CNN en Español*, discussed numerous public policy and legal matters on U.S. national politics (April 5, 2013).

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73. "Zona Política with Helen Aguirre," discuss recent developments in the Congressional 'Fast and Furious' investigation. *The Los Angeles Times* published a story that details a DHS Inspector General's report that DHS warnings were ignored about the controversial gun-tracking program, *Univision America* radio network (Mar. 22, 2013).
74. "Zona Política with Helen Aguirre," discuss the legality of the use of drones under U.S. and international law, as well as the recent Senate filibuster on the same issue by Senator Rand Paul (R-Ken.), *Univision America* radio network (Mar. 22, 2013).
75. "U.S. Still Waits for Meaningful Change in Cuba," *McClatchy-Tribune News Service*, Washington Bureau, Hannah Allam, quoted (February 25, 2013).
76. Keynote speaker at a conference hosted by the Peruvian Congress and the International Republican Institute, (December 7, 2012, Lima, Peru). Poblete and IRI personnel met in Lima, Peru with Members of the Peruvian Congress and senior staff to discuss the importance of legislative oversight in the American federal system.
77. WAQI-AM Miami, Florida, radio interview to discuss recent developments in the federal budget process, U.S.-Cuba policy, and related issues of interest (Jul. 19, 2012).
78. "ING pays a record \$619 million to settle alleged U.S. sanctions violations," *WorldECR: The Journal of Export Controls and Sanctions*, quote, Issue 13 (June 2012).
79. "U.S. Export Control Reform: A View From Across the Pond," *WorldECR: The Journal of Export Controls and Sanctions*, Issue 10, pp. 12-14 (Mar. 2012).
80. "Did the Miami Marlins Cave to Political Pressure," *POLITICO* newspaper commentary over Cuba remarks made by the manager of the Marlins (Apr. 11, 2012).
81. KNZR-AM Bakersfield California radio interview, discussed public policy and political developments in Washington, DC and national politics (Jan. 11, 2012).
82. "Closed CR Reignites Criticism," *Roll Call* newspaper, quoted (September 21, 2011).
83. Television Interview (in-studio), *CNN en Español*, discussed numerous public policy and legal matters related to the federal budget process (Aug. 1, 2011).
84. Television Interview (in-studio), *CNN en Español*, discussed potential issues for the 2012 elections (May 23, 2011).
85. "Cuba: Travel, Property, and Rum," *Year in Review 2010*; National Security Committee, American Bar Association, (Jan. 2011).
86. Television Interview, *CNN Situation Room with Wolf Blitzer* (January 11, 2011).
87. Television Interview (in-studio), *CNN en Español: USA Directo Show*, swearing-in of the 112th Congress, the new majority's legislative agenda (Jan. 5, 2011).
88. Television Interview, *CNN en Español*; immigration reform potential during the 111th Congress (Mar. 31, 2010).
89. Television Interview, *CNN en Español*; the implications to law enforcement efforts to stem the flow of drugs to the United States of an Obama Administration decision to potentially limit prosecutions of certain medicinal marijuana applications (Oct. 19, 2009).

90. Speech, "Trading with the Enemy and Other Issues," Worldwide Partners International, Annual North America Division Meeting, Hyatt Regency hotel, Baltimore, Maryland (Oct. 6, 2009).
91. Radio Interview, *Radio Fides* (La Paz, Bolivia); Mr. Oscar Ordoñez interviewed on the current state of political affairs in Honduras and the Obama Administration's decision to not extend trade preferences to Bolivia (July 7, 2009).
92. Quoted, "Here's a U.S. Development program working – stop it immediately," *Aid Watch: Just Asking that Foreign Aid Benefit the Poor*; Development Research Institute (DRI), New York University (June 4, 2009).<sup>31</sup>
93. Television Interview, *RCN Television Colombia*, discussed U.S. interrogation methods of suspected terrorists during the Bush Administration (May 27, 2009).
94. "Economic Sanctions or Export Controls and Foreign Companies: What to Do When the U.S. Congress Comes Knocking," *Export, Customs, & Trade Sentinel*, Reed Smith newsletter, Vol. VI, No. 1, (Winter 2009).
95. Quoted, *Focus on Cuba: Current Issues and Development*, Aron T. Ulrich, Editor, Nova Science Publishers, Inc., page 105 (2008).
96. "U.S. Removes North Korea from State Sponsors of Terrorism List, but Key U.S. Sanctions Remain in Full Force," *Export, Customs, & Trade Sentinel*, Reed Smith newsletter, Vol. V, No. 4, page 11 (Fall 2008).
97. Radio Interview, *WACA-AM*, Radio America; Washington, DC Metro Area, debate on the U.S. Presidential campaign (Oct. 27, 2008).
98. Television Interview, *RCN Television Colombia*, the U.S.-Colombia Free Trade Agreement and the U.S. Presidential campaigns (Oct. 22, 2008).
99. Testimony, United Nations Fourth Committee hearing on the Political Status of the Western Sahara; testified as a member of the Defense Forum Foundation (New York, October 8, 2008).
100. Television Interview, "Agenda Washington," *Univision Television Network* (national); the fall financial situation and analysis of the political process (Oct. 1, 2008).
101. Radio Interview, *KRLV-AM*, Las Vegas, Nevada; the fall financial situation (Sept. 30, 2008).
102. Radio Interview, *Radio Caracol*, New York, New York; the fall financial situation (Sept. 30, 2008).
103. Radio Interview, *KVIV-AM*, Las Cruces, New Mexico (with broadcast facilities in Texas); the fall financial situation and the first presidential debate (Sept. 26, 2008).
104. Radio Interview, *WQBA-AM: Oscar Haza Morning Show*, Miami, Florida, the fall financial situation and the first presidential debate (Sept. 26, 2008).
105. Radio Interview, *Radio Caracol: 1260 AM*, Miami, Florida, the fall financial situation (Sept. 25, 2008).
106. Radio Interview, *RCN Colombia*; Bogota, Colombia, reaction to Governor Sara Palin's speech at the Republican National Convention (Sept. 3, 2008).
107. Newspaper Interview, *Diario Perfil*, "Argentina Should Work More With the U.S., Less With Venezuela's Hugo Chavez," Buenos Aires, Argentina; during Day 2 at the Republican National Convention in Minneapolis, Minnesota (Sept. 2, 2008).

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108. Television Interview, *NBC-Telemundo*; the U.S. political climate leading up to the summer presidential nominating conventions (Aug. 5, 2008).
109. Radio Interview, *WPSB-AM*, Birmingham, Alabama; U.S./Western Hemisphere Policy and Sen. John McCain's trip this week to Colombia and Mexico (July 1, 2008).
110. Radio Interview, *Radio America 1540 AM*, Washington DC Metropolitan Area; U.S./Western Hemisphere Policy and Sen. John McCain's trip this week to Colombia and Mexico (July 1, 2008).
111. Radio Interview, *WNMA 1210-AM*, Miami Springs, Florida; 2008 Presidential Campaign, McCain trip to Mexico and Colombia (June 27, 2008).
112. Testimony submitted for the record at the request of the Office of Maryland State Senator Alex Mooney to the Maryland Senate Education, Health & Environmental Affairs Committee in support of Senate Joint Resolution 4; expressing support for U.S./Cuba policy (Hearing, Mar. 20, 2008).
113. *Reed Smith Client Bulletin*, "Sale, Purchase, or Other Transfer of Certified Cuba Claims," RS Bulletin Number 08-041 (Mar. 6, 2008).
114. Radio Interview, *KNRV-AM/New Radio Venture Network*, Denver, Colorado (U.S. policy in the Western Hemisphere, NAFTA, ATPDEA and the 2008 elections and their possible impact on U.S. trade policy) (Feb. 27, 2008).
115. Radio Interview, *KNRV-AM/New Radio Venture Network*, Denver, Colorado (U.S. policy in the Western Hemisphere and recent development in Cuba) (Feb. 19, 2008).
116. Testified before the Special Political & Decolonization Fourth Committee of the United Nations in New York City (Oct. 2007).
117. "Increased Penalties for Export Control Violations," *Export, Customs, & Trade Sentinel*, Reed Smith newsletter, Vol. IV, No. 4, page 9 (Fall 2007).<sup>32</sup>
118. Quoted, "CRS Report for Congress: Cuba's Political Succession: From Fidel to Raul Castro," by Mark P. Sullivan, Specialist in Latin American Affairs, U.S. Congress; *Congressional Research Service* (Foreign Affairs, Defense, and Trade Division) (October 23, 2003).<sup>33</sup>
119. "When Should the U.S. Change Policy Toward Cuba," *Cuba Brief*, co-authored with Dr. Jaime Suchlicki, Director, University of Miami's Institute for Cuba and Cuban-American Studies (Aug. 13, 2007).<sup>34</sup>
120. Radio Interview, "Your Voice in Washington, DC," an interview on the Univision national radio network's weekly public affairs segment about current events in Washington, DC (July 13, 2007).
121. "Bush Administration Files Two New WTO Cases Against China," *Export, Customs, & Trade Sentinel*, Reed Smith newsletter, Spring 2007, Vol. IV, No. 2 (Spring 2007).
122. "CFIUS Reform Signed into Law," *Export, Customs, & Trade Sentinel*, Reed Smith newsletter, Summer 2007, Vol. IV, No. 3 (Summer 2007).<sup>35</sup>

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<sup>33</sup> U.S. State Department website at <http://pc.state.gov/documents/organization/96461.pdf>.

<sup>34</sup> Social Science Research Network website at [http://papers.ssrn.com/sol3/papers.cfm?abstract\\_id=1011366](http://papers.ssrn.com/sol3/papers.cfm?abstract_id=1011366).

<sup>35</sup> Reed Smith, LLP website at [http://www.reedsmith.com/dbf\\_documents/0708sentinel.pdf](http://www.reedsmith.com/dbf_documents/0708sentinel.pdf).

123. "Washington Watch," *Material Handling Institute Management Association* magazine, interview on current policy issues impacting the industry being debated in the Congress including homeland security and immigration issues (Mar. 2007).
124. Radio Interview, *CNN News Radio/Spanish*, interview responding to Senate Majority Leader Harry Reid's (D-Nev.) critiques of the Bush Administration's efforts in the Western Hemisphere related to the war against radical Islam (Jan. 22, 2007).
125. "Recent Developments on the Global War on Terror/Iraq," *The Political Epicenter Radio Talk Show, Hispanic Radio Network*, (National Spanish-language radio public affairs program) (Jan. 19, 2007).
126. Writer and Contributor, "Washington Mail Bag," *The U.S./Cuba Business Council Roundtable*, Newsletter, University of Miami's Institute for Cuba and Cuban-American Studies; published several times throughout the year (2007 - current).
127. "Reflections on 09/11 and National Security," *The Political Epicenter Radio Talk Show, Hispanic Radio Network*, (National Spanish-language radio public affairs program) (Sept. 16, 2006).
128. "Not So Fast," *Legal Times*, interview on the impact of Fidel Castro's transfer of power to Raul Castro on U.S. businesses and on U.S. government policy, Vol. 29, No. 32 (Aug. 7, 2006).
129. Guest Speaker, Washington Outlook—Trends and Issues for 2006 in the Post-9/11 Context; *Materials Handling Industry Roundtable Leaders*, Annual Meeting, Naples, Florida (Jan. 2006).
130. "Foreign Terrorist Organizations and the Listing Process in a Post-9/11 Context," White Paper, George Mason University School of Law, National Security Law seminar, Hon. David Sentelle, Judge, U.S. Court of Appeals, District of Columbia Circuit (2005).
131. "Travel to Cuba falls sharply as tough U.S. limits kick in," *Chicago Tribune*, quoted (Dec. 21, 2004).
132. "Restrictions Choke Off Cuba Travel From U.S., Critics Say Strict Bush Policy Splits Families," *Florida Sun Sentinel*, page A1 (Dec. 21, 2004).
133. Guest Speaker, U.S. Foreign Policy in the Western Hemisphere: Cuba and Terrorism in the Americas, First Friday Lunch: *Harrisonburg Virginia Republican Party*, (October 2004).
134. "Reed Smith: U.S./Cuba Policy Monitor and Analysis," client material, *Reed Smith*, Washington, DC office (2002 - current).
135. Met with and addressed the members of the Congress of the Western Sahara in Africa (1997).
136. "The Cuban Democracy Act of 1992: A Cold War Response to a New World Order?," *Georgetown University Master's thesis* (1995) (being updated and edited for publication).
137. "Cuba in Transition: Cuba Opportunities Briefing and Executive Summary," Report on the Cuban economy prepared by the Washington, DC Office of the *Cuban American National Foundation (CANF)*, Researcher and Contributor, (1993).



Appendix 9 - Dr. Brooke Schaab, Ph.D

<b>Brooke B. Schaab</b>	
<b>Employer</b>	<b>Labor Category</b>
Center for Applied Innovation, LLC	Senior Research Psychologist
<b>Total Years' Experience</b>	<b>Security Clearance</b>
26 Years	
<b>Education</b>	
<p>OLD DOMINION UNIVERSITY: Doctor of Philosophy, 1997, Human Factors Psychology (major), Training (minor)</p> <p>COLLEGE OF WILLIAM AND MARY: M.Ed., School Psychology (Psychometrics, Individual Performance and Assessment)</p> <p>OLD DOMINION UNIVERSITY: M.S, Special Education and Reading Specialist</p>	
<b>Summary of Qualifications</b>	
<p>Dr. Brooke Schaab is a research scientist with over 20 years postdoctoral experience in conducting research as a civilian employee in the U.S. Army, U.S. Coast Guard, and higher education settings. Dr. Schaab, as a member of the U.S. Army Research Institute, led the Scientific Coordination Office (U.S. Joint Forces Command, Suffolk, VA), serving as chief, senior scientist and subject matter expert on research design and analysis. Responsibilities included formulating basic and applied research designs and empirical experiments to provide evidence for decision making. Research included collaborative efforts with multinational military personnel and Interagency to conduct research and apply findings to develop training/education. In addition, Dr. Schaab worked to identify competencies needed for Stability Operations in a JIM environment in collaboration with the US Army Peacekeeping and Stability Operations Institute; conducting interviews with multiple partners to determine where/if these competencies are being taught; and providing recommendations on how they can be integrated into the curriculum. In addition, Dr. Schaab conducted research studies with Spanish, Finland, and Swedish military to develop and evaluate programs to train military and civilian personnel on interagency collaboration/cooperation for Stability Operations, including Humanitarian Assistance. Dr. Schaab developed a research and analysis process for Interagency-Shared Situational Awareness Experiment in collaboration with USJFCOM. Findings and products were used in Afghanistan. Dr. Schaab developed and implemented research plans to determine how the U.S. military might assist West Africa, including conducting interviews on health needs throughout Ghana and translating these findings into written and oral reports to JFCOM leadership. The NGO led team was comprised of African NGOs with expertise in health issues and academics from the University of Ghana to ensure that findings accurately reflected the culture of Ghana. Bonus-the team independently developed a plan for sustainable livelihoods. Dr. Schaab served as subject matter expert in reviewing training needs for USCG, including the role of distributed training. A summary of his employment history tailored to relevant requirements is provided below</p>	
<b>Employment History</b>	
<p><b>2011-Present, Analyst, Center for Applied Innovation, LLC, Yorktown, Virginia</b></p> <p>Dr. Schaab serves Senior Consultant/Research Director in the areas of research design, statistical analysis, human factors and behavioral science including defining, planning, and implementing research to provide empirical evidence to answer questions about strengths and weaknesses of military and educational programs. Research includes successfully developing survey tools and evaluating results for transition programs for Soldiers leaving military service. In projects to date, including functioning as the Senior Consultant and Research Director for the Army's 2017 – 2018 Transition Assistance Program (TAP) study, Dr. Schaab's functions included researching and using applicable policies, procedures, and regulations of various government and private sector programs. Performing as research director administering federal surveys, conducting sampling, data collection, and statistical analyses. Dr. Schaab routinely formulates basic and applied research designs and empirical experiments, surveys and other research protocols to evaluate Federal programs for CAI Clients. She collects data and performs data analyses involving complex statistics and multivariate designs that include, but are not limited to planning, executing and reporting on Delphi Group, Focus Group, Surveys and Longitudinal Studies requiring extensive data collection, data management, multi-year data analysis, and translation of outcomes and statistical results into clear and concise annual reports with visual charts and graphs. She is co-lead writer of the CAI's technical reports, briefings, and presentations for scientific and non-scientific audiences on these projects.</p>	
<p><b>1999-2011, Research Psychologist. U.S. Army Research Institute for the Behavioral and Social Sciences:</b> Senior analyst, researcher and research director for multiple multi-million dollar sensitive research projects covering</p>	

populations consisting of hundreds of thousands of Service Members. Responsibilities included defining, planning, and executing research both independently and as part of a team. This included researching and using applicable policies, procedures, and regulations of various government and private sector programs. Within the team setting, perform as lead researcher and research director administering federal surveys, OMB submissions, conducting sampling, data collection, statistical analyses for over 35 Federal Programs and Studies. Lead the Scientific Coordination Office (U.S. Joint Forces Command, Suffolk, VA), serving as chief, senior scientist, research director and subject matter expert on training and human factors issues. In directing and executing all these programs, output included formulating basic and applied research designs and empirical experiments, surveys and other research protocols to evaluate instructional programs to maximize effectiveness and retention. Collected data and perform data analyses involving complex statistics such as unbalanced Analysis of Variance (ANOVA) and multivariate designs. Planned, executed and reported out on hundreds of Longitudinal Studies requiring extensive data collection, data management, multi-year data analysis, and translation of outcomes and statistical results into clear and concise annual reports with visual charts and graphs. Wrote and reviewed technical reports, briefings, and presentations for scientific and non-scientific audiences. Made oral presentations to senior leaders and professional colleagues. Developed contract Statements of Work, monitored progress and manage multi-year alternative training projects with a budget of approximately three million dollars.

**1997-1999, Research Psychologist U.S. Coast Guard.** Defined, planned, and executed research related to fatigue aboard both USCG and commercial vessels due to time on duty and time of day. Served as subject matter expert in reviewing training needs for USCG, including the role of distributed training. Senior analyst, researcher and research director for research projects covering USCG-wide populations. Responsibilities included defining, planning, and executing research both independently and as part of a team including compliance with applicable policies, procedures, and regulations. Functioned as lead researcher and research director administering federal surveys, conducting sampling, data collection, statistical analyses for over 15 Federal Programs and Studies. In directing and executing all these programs, output included formulating basic and applied research designs and empirical experiments, surveys and other research protocols to evaluate programs to maximize effectiveness and retention. Collected data and perform data analyses involving complex statistics. Planned, executed and reported out on Longitudinal Studies requiring extensive data collection, data management, multi-year data analysis, and translation of outcomes and statistical results into clear and concise annual reports with visual charts and graphs. Made oral presentations to senior leaders and professional colleagues.

**1995-1999 Director of Research and Assessment, Virginia Beach City Public Schools (VBCPS).** Managed the state research and associated assessment program for VBCPS requiring detailed knowledge of test construction and interpretation. Conducted training programs for teachers to develop adjust to new assessment program. Served as adjunct faculty to teach Tests and Measurement planning, and executing research and assessment including compliance with applicable policies, procedures, and regulations. Functioned as research director administering surveys, conducting sampling, data collection, statistical analyses. Output included formulating basic and applied research designs and empirical experiments, surveys and other research protocols to evaluate instructional programs to maximize effectiveness and retention. Designed and implemented research projects to answer questions on program and personnel performance. Then collected data and perform data analyses involving complex statistics. Planned, executed and reported out on Longitudinal Studies requiring extensive data collection, data management, multi-year data analysis. Translated outcomes and statistical results into clear and concise annual reports with visual charts and graphs orally and in writing to multiple audiences including reports for the superintendent to present to the media and school board members.

**1990-1999 & 2011-present, Adjunct Faculty, Old Dominion University.** Over 15 years' experience instructing college students and serving as faculty advisor to graduate students on defining, planning, and executing research both independently and as part of a team. This included applicable policies, procedures, and regulations of various government and private sector programs. Instructed and mentored on data collection and analyses involving complex statistics multivariate designs, Longitudinal Studies requiring data collection, data management, multi-year data analysis, and translation of outcomes and statistical results into clear and concise annual reports with visual charts and graphs. Primary in structure for college and graduate level courses relating to these areas that included:

- Statistics
- Tests and Measurement

- Quantitative Methods
- Research Methods
- Industrial/Organizational Psychology
- Introduction to Psychology
- Developmental Psychology (Lifespan)
- Psychology of Exceptionality

#### **Examples of experience and qualification relevant to the Special Investigation and Equity Audit**

**Experience with Military Cultures and Populations:** In 2018, Dr. Schaab served as Senior Consultant/Research Director under a contract for the Army Human Resource Command (HRC) Soldier for Life Transition Assistance Program (SFL-TA.) to analyze cross-sectional data on transitioned Soldiers including their status (employed, in school, searching for a job, etc.) and their appraisal of the TAP program. Results raised questions that led to development, administration, and analysis of surveys completed by supervisors and instructors of the TAP program. Interviews/surveys were developed, administered and analyzed with the following groups to obtain a clearer and multifaceted view of strengths, weaknesses, and suggested modifications for TAP.

- State Surveys
- TSM Surveys
- Soldier Surveys
- NGO Surveys
- Industry Surveys
- National Guard Surveys
- Reserve Surveys

**Experience administering federal interviews, surveys, OMB submissions, conducting sampling, data collection, statistical analyses.**

- Develop an Institutional Review Board (IRB) for the U.S. Coast Guard Research Center and for Center for Applied Innovation, LLC. Part of committee that developed an IRB for U.S. Joint Forces Command. IRB training is recertified annual.
- Dr. Schaab participated in designing/administering/interpreting longitudinal surveys (every year for 3 years) administered to every Soldier in a Stryker Brigade. Research was assessing a new type of military unit where Soldiers remained in the same brigade for 3 years. Findings were submitted to the Department of the Army.
- U.S. Coast Guard Research Center: Member of a quality action team that evaluated the status of training in the Coast Guard; identified areas of concern such as variable program effectiveness, minimal support for unit training, antiquated tracking system, and limited availability; and recommended solutions that would improve mission readiness.
- U.S. Coast Guard Research Center: Planned and designed research projects to evaluate the role of alternative training methods such as identifying/training core skills across multiple duty stations, just-in-time training, and digital training support packages in addressing training problems.
- U.S. Army Institute, Leader Development Unit: Participate in the three-year evaluation of a new Army organizational strategy to determine the impact on moral and leadership opportunities.
- U.S. Army Research Institute: Designed and implemented a research plan to determine the effectiveness of a senior-level educational course that was remotely attended by personnel around the world including Sweden,

Nigeria, and the U.S. Bringing in multiple perspectives resulted in a superior learning experience.

#### **Experience with Longitudinal Studies.**

- For the U.S. Army Research Institute: Define, plan, and execute research on how individuals share required information in non-face-to-face situations. Findings consistently showed that participants thought that they were sharing when they were not. Developed program that significantly improved information sharing. Documented findings in Research Reports and briefs to senior leaders.
- For the U.S. Army Research Institute: Define, plan, and execute research appropriate for distance learning and evaluated effectiveness of this training compared to classroom training. Identified limitations of distance learning and possible means to reduce/eliminate these limitations. Documented findings in Research Reports and briefs to senior leaders.
- For the U.S. Army Research Institute: Formulate basic and applied research designs and empirical experiments for military training of computer and digital skills, skill acquisition, transfer of training, collaborative learning, and small group/team training to maximize flexible and adaptive behavior in a digital working environment.
- Dr. Schaab served as director of assessment for the second largest school in Virginia. Research included identifying when high school students perform their best. Although this research was done over 20 years ago, it is now supporting allowing high school students to begin their academic day later. Director of Assessment: conducted a longitudinal study of over 50,00 students to track their academic test performance in grades 4, 8, and 11. A significant drop in performance was recorded in grade 8, but these same students 'regained' their decline by grade 11.
- U.S. Army Research Institute, Advanced Training Methods Unit: Dr. Schaab served as lead in evaluating the effectiveness of digital training as the Army 'went digital.' This involved designing and administering interviews as well as assessments on success in using technology to perform tasks previously done via paper or oral communication. Data were collected every 6 months for 2 years to document the effectiveness of digital systems and training methods Results of this research was used to modify and significantly improve training for Military Intelligence training. Findings were reported to senior military decision makers and in several publications  
(<http://www.dtic.mil/dtic/tr/fulltext/u2/a392922.pdf> <http://www.au.af.mil/au/awc/awcgate/army/s58.pdf>).
- U.S. Army Research Institute, Joint Forces Command: Served as Senior Consultant/Research Director developing and coordinating research between services and multi-national partners. Reviewed, revised, and approved all survey/questionnaires used in Multi-National Experiment 4 (MNE4) to enhance validity and reduce bias.

#### ***History of Industry and Peer Review Publications:***

Robinson, L. A. and Schaab, B., (2017). *Gender Stereotypes in STEM Toy Advertisement*. Paper presented at the Virginia Psychological Society.

Schaab, B., Cross, A, and Scott, M. (2015). *Toys: Are They Gender Specific?* Paper presented at the Virginia Psychological Society.

Schaab, B., Morris, R. C., Jr. (2011). *Comparison of Cultural Values of U.S. College Students and U.S. Army Soldiers*. Research Report. Paper presented at the American Psychological Society Conference.

Schaab, B., & Hunter, A. (2011). *Behavioral Factors Influencing Interagency Information Sharing*. Paper presented at the 79<sup>th</sup> MORSS Convention.

Schaab, B., Morris, R. C., Jr., Owusu, G. A., & Rudasingwa, T., (2009). *Comparison of Cultural Values of College Students in Ghana and the United States*. Paper presented at the American Psychological Society Conference.

Schaab, B., Dressel, J. D., Sabol, M. A., and Rittman, A.L. (2006). *Training non-face-to-face collaboration in collaborative information environments* (ARI Research Report). Arlington, VA: U. S. Army Research Report for the Behavioral and Social Sciences.

- Schaab, B., & Dressel, J. D. (2005). *Gender differences in computer-based training*. Presentation at the American Psychological Society, Los Angeles, CA.
- Hayes, P. B., Schaab, B., and Moses, F. L. (2001). *A way to train digitally proficient soldiers*. U.S. Army A. L. and T. Fort Belvoir, VA.
- Schaab, B., and Dressel, J. D. (2001). *Training for adaptability and transfer on digital systems*. U.S. Army Research Institute for the Behavioral and Social Sciences (ARI), Alexandria, VA.
- Schaab, B., and Moses, F. L. (2001). *Six myths about digital skills training*. U.S. Army Research Institute for the Behavioral and Social Sciences (ARI), Alexandria, VA.
- Schaab, B., and Dressel, J. D. (2000). *Training for digital proficiency in military environments*. Proceedings/presentation at the Human Performance, Situation Awareness and Automation Conference, Savannah, GA.
- Schaab, B., and Dressel, J. D. (2000). *Training for digital proficiency*. Proceedings/presentation at the 22nd Army Science Conference Baltimore, MD.
- Schaab, B. (1999). The Influence of motion discomfort on subjective workload and work hours on shipboard. Proceedings/presentation at the American Psychological Society, Washington, DC.
- Schaab, B. (1999). The influence of ascending and descending levels of workload on performance. In M.W. Scerbo and M. Mouloua (Eds.), *Automation, Technology, and Human performance*. Mahwah, NJ: Erlbaum.
- Schaab, B. (1999). *Risk-based regulatory development: A win-win for the regulators and the regulated*. Presentation: Marine Transportation System Research and Development Coordination Conference, Washington, DC.
- Schaab, B. (1998). *The influence of time-of-day on academic performance*. Proceedings/presentation at the American Psychological Society, Washington, DC.
- Schaab, B. (1997). *The influence of anchoring bias on simple rule-based decision-making*. Proceedings/presentation at the American Psychological Society, Washington, DC.
- Schaab, B. (1995). *Values then and now: What's changed over the past 30 years?* Proceedings/presentation at the American Psychological Society, New York, NY.

Appendix 10 - D. Alan Spiker, Ph.D

<b>V. Alan Spiker</b>	
<b>Center of Applied Innovation, LLC.</b>	<b>Labor Category</b>
6 Years	Senior Research Psychologist
<b>Total Years' Experience</b>	<b>Security Clearance</b>
40 Years	
<b>Education</b>	
University of Iowa, Iowa City, IA - <i>Bachelor of Science, Psychology and Mathematics (BS, double major), 1973</i>	
University of New Mexico, Albuquerque, NM - <i>Masters of Arts, Experimental Psychology (MA), 1975</i>	
University of New Mexico, Albuquerque, NM - <i>Doctor of Philosophy, Experimental Psychology (PhD), 1978</i>	
Northwestern University, Evanston, IL - <i>Postdoctoral Fellow, Health Care Research &amp; Program Evaluation, 1980</i>	
<b>Summary of Qualifications</b>	
<p>Dr. Spiker is an Analyst for the Center for Applied Innovation and serves as senior investigator with a focus on Human Factors and associated data collection and analysis. He is a licensed engineering psychologist and human factors professional who held a Secret Security Clearance for over 30 years. He has extensive experience conducting contract research in the private sector, with proven project leadership and technical skills in designing cognitive training systems, implementing data collection capabilities, and conducting field studies of human performance and cognition. Demonstrated ability to produce timely high-quality technical products in a fast-paced, high pressure, budget-constrained environment. Managed large and small teams in a collaborative style. Created innovative qualitative and quantitative methodologies to measure system-wide and smaller-scale processes in operational, training, and management systems. Throughout his 32-year career at Anacapa Sciences, he held the position of Vice-President and Principal Scientist.</p> <p>Dr. Spiker is the author of more than 300 publications—journal articles, book chapters, conference papers, and technical reports. He is an expert in the development of quantitative models of human workload, with extensive training and experience in the application of statistical methods to the analysis of experiments, evaluations, and field studies. Throughout his career he has specialized in the design of advanced military and commercial avionics systems, quantitative studies of human performance, development of computer-based training systems, and evaluation of user functional requirements. He is a licensed engineering psychologist in state of California (PJ 9936), Certified Human Factors Psychologist (BCEP #120), and Certified in the US Army's MANPRINT Manager's Course (June, 1987). Dr. Spiker is a co-recipient of the 1991 Alexander C. Williams Award of the Human Factors Society, co-recipient of the 2006 Interservice/Industry Training, Simulation, and Education Conference (IITSEC) Best Training Paper Award, Co-recipient of the 1997 Interservice/Industry Training, Simulation, and Education Conference (IITSEC) Best Paper Award, and Co-recipient of the 2010 Modeling and Simulation Team Training Award, National Training System Association, for the Border Hunter Research Project. A summary of his employment history tailored to relevant requirements is provided below</p>	
<b>Employment History</b>	
<b>2012 – Present – Analyst, Center for Applied Innovation, LLC</b>	
Is responsible for the conduct and analysis of surveys, analysis of Delphi Group results, and is one of CAI's resident experts in statistical analysis. He is a member of the company's Institutional Review Board (IRB) and is responsible for ensuring that personal identifiable information (PII) is protected at all times throughout the course of research studies. Successfully executed survey, Delphi Group focus groups, engagement, and other activities for the Army's Soldier for Life Transition Assistance Program (SFL-TAP). Conducted statistical analysis and interpretation for all three rounds of the SFL-TAP Delphi focus groups. Developed, conducted, and analyzed survey, focus group and other engagement results that achieved a 95% accuracy level with a less than 4% margin of error for results.	
<b>1982 – 2012, Principal Scientist and Vice-President for Anacapa Sciences, Inc.</b>	
Responsible for designing, developing, and implementing behavioral science projects focused on improving human performance, training efficiency, mission readiness, and operational safety. Customers have included all branches of the Services and the major military laboratories, such as the US Joint Forces Command, US Army Research Institute (ARI), Air Force Research Laboratory (AFRL), Office of Naval Research (ONR), Naval Air Warfare Center Training Systems Division (NAWCTSD), Defense Advanced Research Projects Agency (DARPA), and Naval Air Systems Command (Navair). Commercial customers have included both large industrial companies (e.g., Lockheed Martin, Raytheon, Northrop Grumman, General Dynamics, Kaiser Electrics) as well as a variety of small businesses.	

Research projects have also involved coordination with other countries, such as Ghana, Japan, the UK, Italy, Sweden, and Germany, among others. Selected highlights of just a few of the projects relevant to the DFSC solicitation are summarized.

For the Army Research Institute (ARI) and the US Joint Forces Command (JFCOM), developed a web-based system, SameSide ([www.sameside.org](http://www.sameside.org)), designed to promote information sharing, critical thinking, and knowledge management among host nations, non-governmental organizations (NGOs), international organizations (IOs), military personnel, and other humanitarian agencies who are charged with planning for and responding to complex health sector emergencies. The project's goal is to create a web-enabled set of tools and training aids that promote the formation of information sharing skills so that individuals from diverse organizations can achieve shared understanding of each other's' requirements and needs. The tools include a wiki-based knowledge manager, a map-based organization locator, an online survey capability for polling opinions, a discussion forum, a tool for creating scenario vignettes, and an annotated case history tool to promote critical thinking. SameSide is focused on West Africa, and one of its uses is to provide information support to the Health Africa Exercise Scenario workshops being held in Africa. This capability is now incorporated being used by Partner's International Foundation (PIF), an NGO dedicated to improving sustainable livelihoods in third world countries. All of the Sameside tools have been incorporated into their web site.

For US Joint Forces Command (JFCOM), supported a major program to develop, implement, and assess an innovative course to train small-unit joint forces in the techniques of combat tracking and human terrain profiling. A "gold standard" course, termed Border Hunter, was developed for Joint Task Force-North (JTF-N) at Fort Bliss, TX. This three-week course provides an integrated academic and practical application curriculum where students (a mix of Army infantry, Custom Border Patrol, FBI, and Texas Rangers) learn how to track humans in the wild as well as follow the behavioral cues exhibited by insurgents as a way to identify terrorist activity before it becomes lethal. For this effort, we developed situational judgment tests and behavioral observation checklists for use in scoring trainee performance and instructional delivery in order to measure training effectiveness. The results of the experiment were documented in several scientific reports and has been presented at several conferences, including I/ITSEC and Human Computer Interface International. The field data we collected provided strong evidence that trainees improved significantly in their profiling skills over the course of training. The Border Hunter research team, including Anacapa, received the 2010 Modeling and Simulation Team Training Award from the National Training System Association.

For the Army Research Institute, supervised development of a series of web-based modules to promote critical thinking by Army officers. Each module consists of training in basic concepts, followed by advanced training, contextual training, and performance-based exercises. The training involves state-of-the-art interplay of text messages, maps, tables, response option boxes, and dialog displays. All modules are SCORM-compliant. The system is intended for use with Internet Explorer 6.0 browsers, and was developed primarily using Java Script. The training measures the quality of a student's critical thinking using a mix of skill-based, recall, and comprehension measures. The training is being used at West Point and has been incorporated into the curriculum at the Army Command and Staff College, Fort Leavenworth KS.

For the Chief Navy Education and Training (CNET), Schoolhouse Operations division, supervised the design and development of a Windows-based application termed the Feasibility Support Module (FSM). FSM is designed to help Navy training analysts identify the extent to which schoolhouses are "constrained" in terms of instructors, classrooms, and equipment. Using advanced scheduling algorithms, FSM helps analysts determine the most effective methods to overcome these constraints. The system provides automated e-mailing, report generation, and conflict resolution routines, resulting in a huge positive return on investment, both in terms of analyst time and in terms of more efficient constraint-reduction solutions.

For the US Army Aviation R&D Activity, performed a series of human factors analyses designed to evaluate the feasibility of applying voice technology to Army helicopter cockpits. The primary purpose of this work was to specify the functional requirements to be satisfied by such applications, and to identify those tasks for which aviator workload would, and would not be, reduced by this technology. The end result of this effort was a set of guidelines and recommendations delineating Army aviation task areas in which application of speech recognition and speech synthesis technology is likely to have either high payoff, low payoff, or no payoff.

For Douglas Aircraft, applied and refined a quantitative model of vehicle-operator workload. This model provides separate estimates of operator workload for the visual, auditory, cognitive, and psychomotor components of each task. By arranging these task components along a timeline, the model can predict where workload is excessive, the duration of the overload, and the specific subsystems associated with overloaded conditions. The model is particularly useful in identifying tasks and task conditions where operator workload will be excessive in advance of system design.

For the US Army Aviation R&D Activity (AVRADA), performed a human factors assessment of the perceptual and related workload issues associated with the integration of data from multiple sensors in advanced Army cockpits. Candidate sensors for ultimate integration include high resolution radar, forward-looking infrared (FLIR), television, and laser imagery. Key issues in fusing such diverse information include transfer of training from conventional non-integrated cockpits, development of compatible display formats, assessment of the tasks and missions likely to require sensor fusion, and classification of the display parameters likely to affect aviator interpretation of sensor data.

For NASA-Ames, conducted a study of functional requirements for the Rotorcraft Pilot's Associate (RPA) program. The project's goal was to determine the functionality required to demonstrate the effectiveness of an integrated pilot vehicle interface (P/VI) using the advanced capabilities of the U.S. Army Crew Station Research and Demonstration Facility. At the time of the study, RPA had recently been formed as an Advanced Technology program to integrate and demonstrate the technologies required to reduce crew workload and demonstrate the feasibility of single pilot operability for selected missions. Provided a detailed report documenting the required capabilities and opportunities for technology advancement in RPA's four component programs: Day/Night Adverse Weather Pilotage System (D/NAPS), Air to Air Mission Equipment Weapons Demonstration (AAMWD), Combined Arms Tactical Command and Control (CATC2), and Advanced Pilotage System Program (APSP).

#### **Examples of experience and qualification relevant to the Special Investigation and Equity Audit**

**Experience with Military Cultures and Populations:** Working with Dr. Schaab (Senior Consultant/Research Director for the PS/TAP work), Dr. Spiker designed, administered, and analyzed a series of surveys for the Army TAP program. The surveys covered all stakeholders of TAP, including TSMs, TAP officials, state and local agencies, as well as industry "users" of the TAP program. Survey data were scrubbed for PII information and redundant and erroneous records were deleted. The data analysis revealed significant trends in where TAP could be improved, highlighting specific problems associated with OCONUS TSMs. The surveys were administered within the context of a cross-sectional design, where results were cross-tabbed according to separation cohort. Both quantitative and qualitative data were collected, with content analysis used to identify significant issues, trends, and challenges.

**Experience administering federal surveys, interviews OMB submissions, conducting sampling, data collection, statistical analyses).**

Throughout his career, Dr. Spiker has designed, conducted, and analyzed a wide variety of survey instruments for a host of organizations, agencies, and companies. Brief examples include:

- For the Army Research Institute (ARI), cross-section and longitudinal surveys of critical thinking skills utilized by Army combat officers. The survey results were used to create a curriculum for a web-based training course in critical thinking that has been used in a variety of military contexts, including West Point.
- For Air Force Research Laboratory (AFRL), conducted surveys and interviews to identify the most difficult and challenging aspects of crew resource management (CRM) that contribute to mission failure and safety degradation. The instruments were administered at several installations, including Kirtland and Little Rock AFBs. The results were content analyzed to design a curriculum for in-cockpit CRM training that has been used throughout the service.
- For the Naval Air Station North Island (NASNI), conducted a series of studies, including surveys and classroom tests, to assess the safety awareness of Navy P-3 pilots. A particular emphasis was on mission debriefing so that "lessons learned" from near-miss missions (and associated mishaps) could be captured and passed on to subsequent training crews.

#### **Experience with Longitudinal Studies**

Throughout his 40-year career, Dr. Spiker has conducted a large number of wide-ranging studies that encompass both short-term (cross-sectional) and longitudinal time frames. These studies have covered the full gamut of



methodologies, from basic research (laboratory) to quasi-experimental simulator studies to in-vivo field research. Brief examples of the different methods used follow:

- For Navair, investigated the cognitive skills requirements that underlie the effectiveness of small unit teams. Evaluated use of game-based training as a bridge between initial training and subsequent immersive simulation training. Conducted in-depth interviews with warfighters returning from OEF at Camp Pendleton (Marines) and Fort Campbell (Army). Supporting development of instructional strategies for the Future Immersive Training Environment (FITE) Joint Capabilities Technology Demonstration (JCTD) program. Conducted after-action reviews with troops returning from OEF who had received Combat Hunter training, an innovative program of instruction in identifying human terrain profiles. Results strongly support effectiveness of this training; summarized in several reports that have received widespread distribution.
- For ONR, developed a prototype tool to promote knowledge interoperability among distributed team members. A human-centric approach was taken based on current research on team collaboration, knowledge management, team cognition, and team meta-cognition. Approach concentrated on team meta-cognition (knowledge about team knowledge) as that would allow for the greatest generalizability and applicability of concepts across content domains and settings.
- For AFRL, conducted a series of human visual performance studies to identify the optimal parameters for operating a head-controlled cursor for use onboard a head-down display on present-generation fighter aircraft (e.g., F-15). The studies explored the quantitative effects on performance of control/display ratio, system lag, target speed, practice, and movement direction.
- For US Army R&D Activity, conducted laboratory experiments to determine effects of adaptation illumination and display luminance on the legibility of CRT symbology. The study simulated the situation in which an aircraft pilot is exposed to clouds and terrain with luminance's higher than those of his displays. The study identified the increase in response times attributable to the levels of luminance "mismatch" between the environment and the displays, where a hyperbolic function fit to the data predict (with high accuracy) the display luminance requirements for instantaneous legibility of aircraft displays.

#### **Experience and qualifications as Project Manager.**

In the latter years of his long career, Dr. Spiker has transitioned into a role as consultant, providing expertise on an as-needed basis to a host of customers in the military and industry. In this capacity, Dr. Spiker has emphasized providing his customers with practical, data-based, and scientifically-grounded consults that are designed to improve the methodological rigor of the projects under study as well as amplify the key points and implications of the results. He will be serving in a similar capacity in the PSTAP project. Examples of his consulting advice include the following:

- For ten years, served as chief psychologist for the behavioral science unit of AFRL located at Kirtland AFB. The position was an advisory one, where Dr. Spiker provided frequent consultation in the areas of survey design, data analysis, methodology selection, and problem identification. He authored or co-authored numerous reports and conference papers in this capacity. Study topics included mission planning, crew resource management, crew training, simulator design, and human centered design of advanced cockpit technologies.
- Served as the statistical and design consultant to Crew Training International (CTI) in their development of advanced crew resource management (CRM) training for Predator aircrews at Creech AFB. Dr. Spiker provided study design recommendations and assisted CTI in integrating game-based training into their multi-week, multi-media online CRM training. He also applied novel qualitative methodologies to the analysis of instructor comments in aircrew training records.
- For multiple Navy customers (NASNI, ONR, Navair, NOSC, PEO SUBS), provided methodological consulting advance in the design of simulator studies, online aircrew training, technology evaluation, and human-centered design assessment of prototype technologies.

#### **Certifications:**

Licensed engineering psychologist in the state of California (PJ 9936)

Certified Human Factors Psychologist (BCEP #120)

**History of Industry and Peer Review Publications:** A partial list of Dr. Spiker's 300+ publications from the last decade or so relevant to the PSTAP requirements is included below.

Spiker, V.A. & Johnston, J.H. (2013). Assessing counter-terrorism field training with multiple behavioral measures. *Applied Ergonomics*.

- Johnston, J.H. & Spiker, V.A. (2013). Evaluating counter-terrorism training using behavioral measures and theory. In A. Stedmon, G. Lawson, and R. Saikayasi (Eds), *Counter-terrorism & hostile intent: Human factors theory and application*. London: Ashgate.
- Harris, D.H. & Spiker, V.A. (2012). Critical thinking skills for intelligence analysis. In I.L. Nunes (Ed), *Ergonomics: A systems approach*. Rijeka, Croatia: *InTech*.
- Spiker, V.A. & Johnston, J.H. (2011). Using behavioral methods to assess counter-terrorism training in the field. In D. Harris (Ed.), *Engineering Psychology and Cognitive Ergonomics*, HCII 2011, LNAI 6781, pp. 461--470. Springer, Heidelberg.
- Nullmeyer, R.T., Spiker, V.A., & Deen, G.C. (2011, May). Mishap reduction training for C-130J crews. Presented at the 16<sup>th</sup> Annual Symposium on Aviation Psychology. Dayton, OH.
- Spiker, V.A., Johnston, J.H., Williams, G., & Lethin, C. (2010, December). Training tactical behavior profiling skills for Irregular Warfare. *Proceedings of the 30<sup>th</sup> Interservice/Industry Training Systems and Education Conference*. Orlando, FL.
- Mautone, P.D., Spiker, V.A., Karp, M.R., & Conkey, C. (2010, December). Using games to accelerate aircrew cognitive training. *Proceedings of the 30<sup>th</sup> Interservice/Industry Training Systems and Education Conference*. Orlando, FL.
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- Spiker, V.A. & Johnston, J.H. (2010, July). *Using behavioral science principles to train small units*. First Cross-cultural decision-making conference. Miami, OH.
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- Mautone, P.D., Spiker, V.A., & Karp, M.R. (2010, May). *Improving aircrew training through the application of game-based training technology*. Presented at the International Training and Education Conference, London, England.
- Montijo, G.A., Kaiser, D., Spiker, V.A., & Nullmeyer, R.T. (2008, December). Training interventions for reducing flight mishaps. *Proceedings of the 29<sup>th</sup> Interservice/Industry Training Systems and Education Conference*. Orlando, FL.
- Mautone, P.D., Spiker, V.A., & Karp, M.R. (2008, December). Using serious game technology to improve aircrew training. *Proceedings of the 28<sup>th</sup> Interservice/Industry Training Systems and Education Conference*. Orlando, FL.
- Karp, M.R. & Spiker, V.A. (2008, April). Embedding multi-task training into airline simulator scenario-based training: Building the "cognitive horizon." Presentation to the World Aviation Training/Regional Airline Training Symposium Conference, Orlando FL, 22-24 April 2008.
- Spiker, V.A. (2008, April). Using ISD principles to promote scenario-based training. Presentation to the *Behavior Representation in Modeling and Simulation Conference (BRIMS)*, Providence, RI, 16 April 2008.
- Spiker, V.A., Karp, M.R., Mautone, P.D., & Fischer, S.C. (2007, November). Do better multi-taskers make better pilots? *Proceedings of the 28<sup>th</sup> Interservice/Industry Training Systems and Education Conference*. Orlando, FL.
- Spiker, V.A. & R.A. Dick. (2007, June). *Cognitive design patterns for extreme tactical environments*. Presented at the Software Engineering Research and Practice conference, Las Vegas, NV.
- Mautone, P.D., Spiker, V.A., & Dick, R.A. (2007, June). *Design patterns for serious games in tactical problem solving*. Presented at the Software Engineering Research and Practice conference, Las Vegas, NV.
- Dick, R.A. & Spiker, V.A. (2007, June). *A pattern framework for designing extreme user environments*. Presented at the Software Engineering Research and Practice conference, Las Vegas, NV.

Appendix II - C.I (Ret) Robert C. Morris, Jr.

Robert C. Morris, Jr.	
<b>Center of Applied Innovation, LLC.</b>	<b>Labor Category</b>
9 Years	Program m Manager
<b>Total Years' Experience</b>	<b>Security Clearance</b>
36 Years	Top Secret
<b>Education</b>	
U.S. Army War College Fellowship for the Army Chief of Staff (Army War College Resident Equivalent), Carlisle, Pennsylvania, 2000 – 2001	
Virginia Military Institute, Lexington, Virginia - <i>Bachelor of Arts (with distinction), English, 1979</i>	
<b>Summary of Qualifications</b>	
<p>Mr. Morris is the President of the Center for Applied Innovation (CAI) and serves as senior consultant, Program and Project Manager with a focus on Human Resources, Surveys, Delphi Methodology, analytic studies and Organizational Design, Human Factors and associated data collection and analysis. He is Six Sigma Blackbelt trained with over 35 years' experience in Strategic to Tactical level military operations, international programs, public-private program management, quality improvement, organizational development, process improvement, and risk management honed in a myriad of public and private sector programs. In these capacities, he participated in and managed development and administration of federal, state and private sector surveys; conducted survey samplings; collected and analyzed statistical data; determined survey weights and stratified samples; and employed multiple survey response methods for long-term surveys. His experience includes conducting statistically valid surveys, Delphi Groups, and sampling methodologies of both military and civilian populations. This includes Transition Assistance Program (TAP) Studies, Surveys, Analysis, Data Collection, and Recommendations for the United States Army and State Level Directors of Veterans Affairs through the National Association of State Directors for Veterans Affairs (NASDVA). He has over 30 years' experience managing and directing technical, program, cost, technology, operational, and organizational risk in complex programs and combat including program management for a myriad of Enterprise Level programs with budgets exceeding \$350 Million. Achieved the rank of Colonel. Mr. Morris currently works with Transitioning Service Members (TSM) through CAI and his pro bono charity work supporting surveys, analysis, programs and recommendations for the National Association of State Directors for Veterans Affairs and numerous Veterans Service Organizations (AMVETS, IAVA, 3VA, etc.). He is a member of the CAI's Office of Human Research Protections and Food and Drug Administration Federally Registered Institution Review Board (IRB) that ensures in full compliance with 45 CFR 46.111(a)(7) and 21 CFR 56.111(a)(7) and Office of Management and Budget (OMB) guidelines and policies. Two significant examples of his major programs underscore Mr. Morris ability to deliver the highest quality results in the most complex and challenging programs:</p> <ul style="list-style-type: none"> <li>• Managed the day-to-day operations of integrated business functions from the Defense Information Systems Agency (DISA) in conducting the largest field engineering study in United Nation's history (\$3.5M). Results accepted at the United Nations Secretary-General level.</li> <li>• As Project Manager for Secretary of Defense's Commitment to support the International Criminal Court, Mr. Morris identified, acquired, transported, delivered and sustained critical supplies and infrastructure support to the International Criminal Tribunal in Rwanda. This prevented the Tribunal from closing and allowed them to prosecute the perpetrators of the 1998 genocide. <i>The Chief Prosecutor of the International Criminal Tribunal in the Hague personally wrote the U.S. Secretary of Defense "without [Morris'] indefatigable enthusiasm, leadership, and bureaucratic savvy, I doubt this important mission would have happened."</i></li> <li>• Mr. Morris' ability and successes in the areas of assisting vulnerable groups, human rights, international operations in Africa and the former Soviet Republics including sensitive projects for World Food Program and the United National High Commissioner for Refugees that were briefed to the UN Secretary general resulted in the 5-star equivalent Principal Deputy to PD ASD(SO/LIC) categorizing him as <b>"considered by many to be the best in the business at the planning needed to bring order out of chaos in a crisis site."</b> Mr. Morris has provided planning, operational development/program integration for humanitarian</li> </ul>	

programs in Rwanda, Eritrea, former Soviet Republics, and Health and packages presented by the United National High Commissioner for Refugees to the Security Council for approval.

- As the Program Manager for the Principle Deputy to the Assistant Secretary of Defense for Special Operations/Low Intensity Conflict OASD(SO/LIC) Mr. Morris lead partner organizations in business functional areas such as financial management, human resources, supply distribution, procurement and technology as the Contracting Officer's Representative (COR) for a \$700 Million initiative undertaken by OASD(SO/LIC) as part of the Corporate Information Management effort in DoD.
- As TRADOC Capabilities Manager (TCM) for The Army Distributed Learning Program (TADLP) and the Army Training Information System (ATIS) responsible directly to the TRADOC Commander and Army G-3/5/7. He executed full-line authority for the centralized management and integration of TADLP and Army Training Information System (ATIS) with associated governance, policy oversight, resource management, standards and compliance for plans, education and training development, staff and faculty development, quality assurance, and all dL training activities (courseware, gaming, Life Long Learning, Army Training Information System, Army Learning Management System, Digital Classrooms). He was the Army proponent for Systems Approach to Training, accreditation of all Army schools and the Army Training Information Architecture supporting over 1.4M Soldiers and Civilians in 39 Schools, 25 Army Commands (ACOMs), 5 Centers of Excellence, 55 Unit Universities, U.S. Forces Command, the Active Army (AC), Army Reserve (AR), Army National Guard (NG) and Army Civilian Education System (CES) globally. Included the Operational, Institutional, and Self-Development training domains to include supporting the Army Force Generation (ARFORGEN) Model. Managed development and hosting of Service dL Courseware for the Navy, Marine Corps, and Air Force hosted on the Army Learning Management System (ALMS) or the Life-Long Learning Center (LLC).
- As Program manager for an enterprise-wide functional review of all force structure, processes and supporting systems he used multiple data collection and analysis methodologies to include federal surveys, conducting sampling, data collection, statistical analyses, survey weighting, and multiple survey response methods for long-term surveys as well as Delphi Groups (by survey and live). The result produced quantifiable and qualitative data from statistically valid surveys and sampling methodologies used in Portfolio Management, Lean Six Sigma and other approaches and tools. In 9 months the project delivered: a 500% ROI; \$102M in hard benefits; a 69% manpower reduction; a 62% courseware development cycle time reduction; an 8% decrease in development costs; 3,320 digitally enhanced classrooms globally (1200% of Goal); 50% increase in Life Long Learning courses; 496 man reduction in current instructors and eliminated 1123 new instructors requirements; 200% increase in courses loaded on the Army Learning Management System with the program on track to complete the mandated migration of all Army courses 1 year ahead of schedule. Internal Audit and Department of the Army reviews projected implementing the recommendations would produce \$1.3B Return on Investment by FY15.

Mr. Morris is the author of more than 30 publications—journal articles, book chapters, conference papers, and technical reports. He is an expert in the analysis of program requirement, optimized staffing of large organizations, overcoming resistance to innovation in large-scale legacy systems, and cutting through red tape in large bureaucracies to achieve high-value objectives for end user populations.

Mr. Morris has been internationally recognized with multiple Global Six Sigma and other Business Improvement awards including: Deployment Leader of the Year; Best Initiative in Six Sigma; and Platinum Award for Best Six Sigma Project Improvement; IPQC Best Six Sigma Innovation Award (2d Place); and the National Performance Review Hammer Award for Quality Improvement.

A summary of his employment history tailored to relevant requirements is provided below.

### **Employment History**

#### **2009 – Present – Founder and President, Center for Applied Innovation, LLC**

Manages all daily operations including agreements, business financial management, program marketing, project scoping and management, contract negotiations, project quality assurance and consultant management. Successfully executed numerous surveys, Delphi Group focus groups, customer/client engagements, and other activities.

CAI Program Manager for the Army Soldier for Life Transition Assistance Program (SFL-TAP) study to determine why TSMs were not effectively transitioning into post-service employment. The associated survey methodologies and analysis covered all stakeholders of TAP, including Transition Service Managers, TAP officials, federal, state and local agencies as well as industry “users” of the TAP program. Multiple statistically valid surveys and sampling methodologies were used including online and email instruments, Delphi, focus groups and interviews for each cohort and population. Results achieved for the Transitioning Service Member population of approximately 92,631 included a 95% Confidence level, <4% Margin of error, 91% overall completion rate, and a 92% Open Ended Question Response rate. In just two weeks the team achieved a 160% return rate greater than the Army’s efforts the entire previous fiscal year. The 3-round surveys, driven by a Delphi methodology, was administered to all Army TAP Transition Service Managers and resulted in a 94% confidence level +/- 3% margin of error and 100% survey completion rate. Data were scrubbed for PII information and redundant and erroneous records were deleted. The data analysis revealed significant trends identifying where TAP could be improved, highlighting specific problems associated with OCONUS Transition Service Managers and support to Transitioning Service Members (TSMs). The surveys were administered within the context of a cross-sectional design, where results were cross-tabbed according to separation cohort. Both quantitative and qualitative data were collected, with content analysis used to identify significant issues, trends, and challenges.

CAI Program Manager for the Army National Guard (ARNG) TAP Program assessment that included developing and executing a Study Data Collection and Analysis plan with associated IRB approved protocols and survey methodologies covering all ARNG Transition Assistance Advisors (TAA). Using Federally compliant surveys, Mr. Morris’ team contacted the subject population using a combination of online, email and phone delivery methods. The sampling, data collection, statistical analyses and survey weighting used these multiple survey response methods in a 3-round Delphi methodology during this long-term survey. Results included an 82% overall response rate for all contacts, 95% response rate after adjusting for surveys sent to unfilled personnel positions, a 96% confidence level and +/- 3% margin error. PSTAP teaming partner, MAT, Inc., used its ORSA and other SMEs to interpret the survey results and produced reports and Actionable Recommendations to determine adequate staffing requirements and improve TAP program TAA work with other Joint Forces Headquarters staff members and Directors of State Family Programs in a state network of support with U.S Department of Veterans Affairs and community organizations for Service members, their families and care givers to access in their community.

As CAI Program Manager for the Army Reserve (USAR) TAP program assessment, Mr. Morris managed development and execution of the Study Data Collection and Analysis plan with associated IRB approved protocols and survey methodologies covering all USAR Army Readiness Specialists (ARS). Using Federally compliant surveys, Mr. Morris’ team contacted the subject population using a combination of online, email and phone delivery methods. The sampling, data collection, statistical analyses and survey weighting used these multiple survey response methods in a 3-round Delphi methodology for this long-term survey. Results included a 75% overall response rate for all contacts, 94% response rate after adjusting for surveys sent to unfilled personnel positions, a 94% confidence level, and +/- 3% margin error. PSTAP teaming partner, MAT, Inc., used ORSA and other analysts to interpret the analytic results to produce reports and Actionable Recommendations to determine adequate staffing requirements and improve TAP program ARS work to foster long-term partnerships with companies, corporations, foundations, academia, and non-governmental organizations that provide specialized opportunities in business and interagency environments for Army Reserve Soldiers to make immediate and meaningful contributions after transition.

Mr. Morris was CAI Program Manager for a contract with the U.S. Navy for support at the Portsmouth Navy Medical Center providing support services to the Disability Evaluation System (DES) Legal office as part of the Navy TAP program. This included, but was not limited to, working with the Medical Evaluation Board (MEB) process in applying Navy Transition Assistance Program (TAP) policies, procedures, and regulations as well as referring clients to and working closely with the local Veterans Benefits Administration representative and that agency’s policies, procedures and regulations. Duties included administering federal surveys, conducting sampling, data collection, statistical analyses, survey weighting, and multiple survey response methods to a TSM population of

6,000 persons annually. Long-term surveys included client intake questionnaires; client, family and care giver service satisfaction surveys; and evaluation of TAP training and programs through TSM, spouse, and caregiver surveys. Provided over 21 informational briefs annually to TSMs as part of the Disability Transition Assistance Program Seminar (DTAPS) to include information and consolation on the Veterans Affairs aspects of the DES process. Compiled data and produced reports and briefings on results presented to DES leadership with Actionable Recommendations for Decision.

CAI Program Manager for the Virginia Department of Emergency Management under contract to provide VDEM providing staff augmentation and Subject Matter Expert (SME Support) to the Human Resources (HR) Division. Duties included: Executing recruitment/interview/selection functions with an associated process analysis to: 1) determine the "as is" state of associated processes and develop an optimum "to be" state with associated Policies, Procedures, and Standing Operating Procedures (SOP); 2) conduct an organizational progress analysis to develop and potentially implement a new employee orientation program; and 3) assist in the coordination of employee benefits: i.e. health care, Virginia Retirement System (VRS), Workers' Compensation, etc. The study, report, Actionable Recommendations, and associated SOPs that were developed included: senior leadership presentation backed by detailed quantified and qualified reports that resulted in revising the Agency's recruiting and hiring SOPs, policies, and procedures to best receive Transitioning Service Members (TSM) from their respective Service and State Transition Assistance Programs (TAP). Achieved the Agency's required Virginia Valued Veterans Program Certification which included revising its hiring processes and associated policies, procedures for full compliance with Federal Department of Labor and Veterans Benefit Administration policies, procedures, and regulations for recruiting and hiring TSMs, veterans, their spouses, families and care givers.

Served as CAI pro bono Program Manager for the Non-Profit Helping the Heroes Program to conduct a survey of all State Directors for Veterans Affairs (NASDVA) to determine needed improvements to U.S. Department of Veterans Affairs and Military Services TAP programs. Using online surveys supported by training and informational briefings, the team achieved 100% response and completion rates with a 98% confidence level and +/- 2% margin error. The subsequent report is influencing improvements to States working with Federal TAP programs and resulted in a NASDVA Member recommendation to the DoD TAP office that a similar survey approach be deployed DoD-wide.

Was the CAI Project Manager for a Commonwealth of Virginia and the National Association of State Procurement Officers (NASPO) survey to determine policy, process, and program improvements for its Training portfolio. Using online surveys supported by informational email and other communications with all 50 State Procurement Officers, the team achieved 90% response rate and 100% survey completion rates with a 95% confidence level and +/- 7% margin error. The subsequent report resulted in Actionable Recommendations for Policy and Process changes that substantially increased the number of States participating in the program.

CAI Program Manager that served as a consultant for SAIC as member of the U.S. Army Corps of Engineer (USACE) Director of Contingency Operations and G-3 Operations to establish strategic plans and objectives related to the future policies, missions, and direction of the Trans-Atlantic Division (TAD). Established, coordinated, and lead the new Tiger Team examining the future TAD missions including associated data collection, statistical analyses that used data collection, data management, multi-year data analysis, and translation of outcomes and statistical results to produce Actionable Recommendations through decision briefings and clear and concise reports with visual charts and graphs that resulted in organizational, process and manpower improvements across TAD.

**March 2010 – August 2010 – Director, Joint Force Training Directorate, United States Army Training and Doctrine Command**

Responsible for developing and recommending policy, guidance, resource priorities, and integration efforts to increase Joint content and context in Army training as well as coordinate the integration of Army training into other Service and Joint Training including the operational, institutional, and self-development domains. Managed TRADOC compliance with DoD Training Transformation directives and strategies. Lead TRADOC training and leadership development initiatives to improve Joint Air-Ground operations. Co-chaired the Joint Army Air Force Integration Forum. Monitored Joint and Army collective training for senior TRADOC leadership. Worked closely with the TRADOC, HQDA, and Army Centers of Excellence Leads for all aspects of the Generating Force to include: functional review of all existing authorities, requirements, and functions as part of the HQ TRADOC redesign. The functional review produced needed process improvements and authority, responsibility and functional needs and improvements across the Army Generating Force Activities. Lead coordinator for Army participation in

the JFCOM-led comprehensive and sensitive Civilian Casualties (CIVCAS) study for Afghanistan.

Program Manager responsible for developing and recommending policy, guidance, resource priorities, and integration efforts to increase Joint content and context in Army training as well as coordinate the integration of Army training into other Service and Joint Training including the operational, institutional, and self-development domains. The approach used federal surveys, sampling, data collection, statistical analyses, survey weighting, and multiple survey response methods for long-term surveys such as Longitudinal Studies. This involved data collection from military and civilian personnel in 39 Army Schools, 25 Army Commands (ACOMs), 5 Centers of Excellence, 55 Unit Universities, U.S. Forces Command, the Active Army (AC), Army Reserve (AR), Army National Guard (NG) and Army Civilian Education System (CES) globally. The various single year (cross-section) and Longitudinal surveys and associated analysis was compiled into reports and actionable recommendations that drive changes and improvements to the development and hosting of Service dL Courseware for the Navy, Marine Corps, and Air Force hosted on the Army Learning Management System (ALMS) or the Life-Long Learning Center (LLC).

Program manager for an enterprise level study working with TRADOC, HQDA, and Army Centers of Excellence Leads for all aspects of the Generating Force that used surveys, Delphi groups, focus groups and questionnaires to conduct a functional review of all existing authorities, requirements, and functions as part of the HQ TRADOC redesign. The resulting report and associated decision briefing produced needed process improvements and authority, responsibility and functional needs and improvements across the Army Generating Force Activities.

**2009 – March 2010 – Director, G-32 Operations Intelligence Training Integration Directorate for Joint Training Counter-Improvised Explosive Device Operations Integration Center (JTCOIC), United States Army Training and Doctrine Command**

Program Manager for the integration of JTCOIC and associated Live, Virtual, Constructive and Gaming (LVCG) products throughout 25 TRADOC schools, 5 Army Training Centers, TRADOC Centers of Excellence, Major TRADOC subordinate Commands, and 16 Army locations to ensure the training benefits available from JTCOIC are fully integrated into individual, unit and institutional training across the force and throughout all ARFORGEN phases. Data collection and statistical analyses were used to assess all aspects of HQDA and TRADOC efficiency and effectiveness providing warfighter support throughout the ARFORGEN model, including organizational structure and alignment, infrastructure needs, governance and processes relative to IEDs. This included various methodologies to include questionnaires and focus groups to produce a report and associated decision briefing with Actionable Recommendations that established strategic goals for the organization that were approved and endorsed by key stakeholders.

**2009 – March 2011 – Director, Director, Distributed Learning Directorate, United States Army Training and Doctrine Command**

TRADOC Capabilities Manager (TCM) for The Army Distributed Learning Program (TADLP) and the Army Training Information System (ATIS) responsible directly to the TRADOC Commander and Army G-3/5/7. Executed full-line authority of the Commanding General, TRADOC for the centralized management and integration of TADLP and Army Training Information System (ATIS). Lead a directorate of 77 persons, with 231 personnel geographically dispersed Distributed Learning (dL) System Program staff. Responsible for Governance, policy oversight, resource management, standards and compliance for The Army Distributed Learning Program (TADLP) plans, education and training development, staff and faculty development, quality assurance, and all dL training activities (courseware, gaming, Life Long Learning, Army Training Information System, Army Learning Management System, Digital Classrooms). Army proponent for Systems Approach to Training, accreditation of all Army schools and the Army Training Information Architecture supporting over 1.4M Soldiers and Civilians in 39 Schools, 25 Army Commands (ACOMs), 5 Centers of Excellence, 55 Unit Universities, U.S. Forces Command, the Active Army (AC), Army Reserve (AR), Army National Guard (NG) and Army Civilian Education System (CES) globally. Included the Operational, Institutional, and Self-Development training domains to include supporting the Army Force Generation (ARFORGEN) Model. Managed development and hosting of Service dL Courseware for the Navy, Marine Corps, and Air Force hosted on the Army Learning Management System (ALMS) or the Life-Long Learning Center (LLC).

Program manager for an enterprise-wide functional review of all force structure, processes and supporting systems. The approach involved multiple data collection and analysis methodologies to include federal surveys, conducting sampling, data collection, statistical analyses, survey weighting, and multiple survey response methods for long-term

surveys as well as Delphi Groups (by survey and live). The result produced quantifiable and qualitative data from statistically valid surveys and sampling methodologies used in Portfolio Management, Lean Six Sigma and other approaches and tools. In 9 months the project delivered: a 500% ROI; \$102M in hard benefits; a 69% manpower reduction; a 62% courseware development cycle time reduction; an 8% decrease in development costs; 3,320 digitally enhanced classrooms globally (1200% of Goal); 50% increase in Life Long Learning courses; 496 man reduction in current instructors and eliminated 1123 new instructors requirements; 200% increase in courses loaded on the Army Learning Management System with the program on track to complete the mandated migration of all Army courses 1 year ahead of schedule. Internal Audit and Department of the Army reviews projected implementing the recommendations would produce \$1.3B Return on Investment by FY15.

**2003 – 2008 – Strategic Planner, Strategy and Policy Directorate (J5) (2008), Chief Joint Urban Operations and Business Process Design, Improvement and Analysis(J9) (2004-2008), Department Head, Space and Decision Superiority (J9) (2003-2004), United States Joint Forces Command.**

Responsibilities included developing, directing and performing strategic alignment, planning, and execution to set and meet missions and goals. Developing and Integrating business tools and functions (fiscal, human capital, procurement, production planning and execution, risk management, baseline and continuing assessments, findings and recommendations). Execution included Program Management, Modeling and Simulation, and Operations Research to define roles and responsibilities of Performance Management, Service Delivery, Leadership, Communications and knowledge. Products included data collection, data management, multi-year data analysis, and translation of outcomes and statistical results into one-time and annual reports with associated visual charts and graphs as well as Actionable Recommendations based on statistical results. Outcomes, in part, included policies and regulatory guidance, identifying current and long-range program impact.

Project manager to resolve critical failures in implementing Joint capabilities, including policies and procedures, across the Department of Defense. Execution involved a Functional Review that included single and multi-year surveys, Delphi Groups, focus groups and other methodologies across all 300+ of the organization's statutory, regulatory, and policy authorities. The resulting report provided Actionable Recommendations to fill gaps, reduce duplication, reduce process cycle time and improve overall organization performance. They included organizational and force structure realignments and structure development solutions.

Project Manager to research and interpret all applicable Federal, Joint and Service policies, procedures, and regulations to JFCOM programs by mapping all internal and external process linkages (service, DOD, Inter-Agency, multi-national), receive and process data from surveys, Delphi Groups, focus groups and other methodologies in a gap analysis to identify areas for improvement. Output included a detailed report and associated briefing with Actionable Recommendations resulting in an optimized system that supported a diverse customer base including concept developers, program managers, and their customers from the national to the end user levels.

**1996 – 2003 – Division Chief, Forcible Entry/ Command Control, Communications, Computers, Intelligence, Surveillance, Reconnaissance, Dismounted Battlespace Battle Lab (1998 to 1999 and 2001 – 2002), Army Unit of Action (UA), Future Combat Systems (FCS) Battle Command Concepts Lead (2002 – 2003), Army Fellow, Information Technology Systems, Decision-Making and Situational Awareness (1999 – 2001), Battalion Commander, 1st Battalion, 11th Infantry Regiment (1996 – 1998), United States Army Infantry Center and School**

Program Manager for a multi-Service project to eliminate the lack of quantifiable and qualitative measures for human performance using Information Technology and Command and Control systems by producing measures of effectiveness (MOE) and performance (MOP), and other metrics for systems and human elements such as cognition for product development, experimentation, and operational testing. Under Federal Human Use policies, procedures, and regulations, the project used statistically valid surveys and sampling methodologies including questionnaires, federal surveys, sampling, data collection, statistical analyses, survey weighting, Delphi Group (survey and live), Learning Style Analysis Instruments, Working Style Analysis Instruments, Saliva Amylase stress testing and multiple survey response methods including long-term stressed and non-stressed surveys. Results produced statistically valid reports and decision briefings. The outcome produced included metrics to quantify individual situational awareness gains or losses from information systems used by all Services.

Program Manager for a program that developed a stress-level human Working Style Analysis measurement and



analysis survey and analysis methodology from its private sector counter-part coupled with physiological measures for use in live experiments. The analytical results drove changes to Key Performance Parameters and Operational Test and evaluation metrics for Service Command and Control Systems and training approaches in all domains.

**1995 - 1996 –Special Project officer for the ASD SO/LIC, Office of the Assistant Secretary of Defense for Special Operations and Low Intensity Conflict (ASD SO/LIC)**

Managed the day-to-day operations of integrated business functions from the Defense Information Systems Agency (DISA) in conducting the largest field engineering study in United Nation's history (\$3.5M). Results accepted at the United Nations Secretary-General level. Lead project officer to identify, acquire, transport, deliver and sustain critical supplies and infrastructure support to the International Criminal Tribunal in Rwanda. This prevented the Tribunal from closing and allowed them to prosecute the perpetrators of the 1998 genocide. **The Chief Prosecutor of the International Criminal Tribunal in the Hague personally wrote the U.S. Secretary of Defense "without [Morris'] indefatigable enthusiasm, leadership, and bureaucratic savvy, I doubt this important mission would have happened."** Lead partner organizations in business functional areas such as financial management, human resources, supply distribution, procurement and technology as the Contracting Officer's Representative (COR) for a \$700 Million initiative undertaken by OASD(SO/LIC) as part of the Corporate Information Management effort in DoD. Program Manager for the Agency's financial management, human resources, supply distribution, procurement and technology functional review. This \$700 Million initiative undertaken by OASD(SO/LIC) as part of the Corporate Information Management effort in DoD.

**1993 - 1995 –Executive Officer, 1<sup>st</sup> Brigade, 6<sup>th</sup> Infantry Division**

Brigade Executive Officer of a 3,800 man separate brigade task force of five battalions (one Airborne Battalion Task Force, two Infantry Battalions, one Field Artillery Battalion, and one Support Battalion), and five separate companies (Brigade Headquarters and Headquarters Company, Ground Cavalry Troop, Engineer Company, Mobile Subscriber Equipment Signal Company, and Military Intelligence Company (with Long Range Surveillance Detachment)) assigned to two installations separated by 350(+) miles. Supported a sensitive OSD tasking to resolve the lack of viable United Nations (UN) Member State crisis response capability packages by designing service packages for the UN High Commissioner for Refugees approved by the Security Council.

Seconded by the Office of the Secretary of Defense to the Office of the Assistant Secretary of Defense for Special Operations and Low Intensity Conflict (ASD SO/LIC) to serve as Program Manager for an urgent requirement to resolve the lack of viable United Nations (UN) Member State crisis response capability packages to support UN Global missions. Using specific expertise in interpreting and applying applicable U.S., UN, and Member State policies, procedures, and regulations as well as appropriate international conventions, the project used statistically valid surveys, questionnaires, interviews and other methodologies in data collection. Subsequent data and gap analysis produced Finding and Actionable Recommendations in a report with associated Decision Brief service packages design for the UN High Commissioner for Refugees approved by the UN Security Council and implemented.

Primary responsible officer for administering and supporting all OMB approved surveys received by the command including TAP studies to ensure maximum Service Member participation.

**Previous positions include:** Numerous duties and international deployments including: Secretary of Defense Special Projects Officer; Brigade and Battalion Executive Officer for Infantry Units; Infantry Division Operations Officer; Special Operations Plans and Procurement Officer in the Joint Special Operations Command (JSOC) including the Panama Invasion and Gulf War; Company Commander and Battalion Operations officer in the 82d Airborne Division; Rifle Platoon, Support Platoon, and Logistics Officer for 2d, Battalion, 75th Ranger Regiment.

**Examples of experience and qualification relevant to the Special Investigation and Equity Audit**

**Experience with Military Cultures and Populations:** Throughout his military and private sector career, Mr. Morris has accrued experience with the policies, procedures, and regulations of the program not only of the Veterans Benefits Administration and Military Services TAP programs, but in applying those to State and Private Sector programs. His experience and current lines of communications in these areas will be invaluable to executing PSTAP tasks under the SOVA. Brief examples include:

- For the Army Soldier for Life Transition Assistance Program (SFL-TAP) Mr. Morris served as survey data

collection and analysis Project Manager for a study to determine why TSMs were not effectively transitioning into post-service employment. His team consisted of Dr. Schaab (PSTAP Senior Consultant Research Director), Dr. Spiker (PSTAP Senior Executive Consultant), Mr. Geysler (PSTAP Research Manager), Mr. Thornburg (PSTAP Senior Statistician Subject Matter Expert), and Ms. Morris (PSTAP Staff Survey Administrator). Details of this project and its significant accomplishments for the TAP are covered above.

- For the Virginia Department of Emergency Management (VDEM) leading a team consisting of PSTAP SMEs Dr. Spiker, Dr. Schaab, Mr. Geysler, Mr. Thornburg, and PSTAP Staff support Ms. Morris Mr. Morris used surveys, Delphi Groups and other methodologies to revise the Agency's recruiting and hiring SOPs, policies, and procedures to best receive Transitioning Service Members (TSM) from their respective Service Transition Assistance Programs (TAP). Survey and Delphi group populations included Virginia Department of Labor Veterans Programs, local Veterans Administration representatives, and all VDEM Directors. The project produced hiring processes and associated policies, procedures that were fully compliant with Federal Department of Labor and Veterans Benefit Administration policies, procedures, and regulations for recruiting and hiring TSMs, veterans, their spouses, families and care givers.
- For the U.S. Navy Portsmouth Navy Medical Center, Mr. Morris served as Program Manager and proposed PSTAP Staff Survey Administrator Ms. Morris functioned as the on-site consultant to provide the Navy TAP program's Disability Evaluation System (DES) administration of OMB approved federal surveys, to a TSM population of 6,000 persons annually. These long-term surveys included client intake questionnaires; client, family and care giver service satisfaction surveys, and evaluation of TAP training and programs.

Other specific examples of TAP experience conducting PSTAP required surveys and analysis are provided in the next section covering federal survey experience.

**Experience administering federal interviews, surveys, OMB submissions, conducting sampling, data collection, statistical analyses.**

Throughout his career, Mr. Morris has designed, conducted, and analyzed a wide variety of survey instruments for a host of organizations, agencies, and companies. Brief examples include:

- For the numerous commands he has led during his 31-years of active military service, Mr. Morris participated in supporting hundreds of OMB-approved surveys and studies of his Soldiers, their families and care givers. This experience has provided him with in-depth and first-hand familiarity with the policies, procedures, and regulations of the program and the Veterans Benefits Administration and other agencies.
- For the Army National Guard (ARNG) TAP Program, Mr. Morris with PSTAP proposed SMEs Dr. Schaab, Dr. Spiker, Mr. Thornburg, and PSTAP planned survey Administrator Ms. Morris, developed and administered a Study Data Collection and Analysis plan with associated IRB-approved protocols and survey methodologies covering all ARNG Transition Assistance Advisors (TAA). Details of this project and its significant accomplishments for the TAP are covered above.
- For the Army Reserve (USAR) TAP program Mr. Morris with PSTAP proposed SMEs Dr. Schaab, Dr. Spiker, Mr. Thornburg, and PSTAP planned survey Administrator Ms. Morris developed and administered a Study Data Collection and Analysis plan with associated IRB approved protocols and survey methodologies covering all USAR Army Readiness Specialist (ARS). Details of this project and its significant accomplishments for the TAP are covered above.

**Experience with Longitudinal Studies.**

Throughout his 36-year career, Mr. Morris has conducted a large number of wide-ranging studies that encompass both short-term (cross-sectional) and longitudinal time frames. Brief examples of the different methods used follow:

- For the Non-Profit Helping the Heroes Program, Mr. Morris led a team consisting of Dr. Schaab (PSTAP Senior Consultant/Research Director), Dr. Spiker (PSTAP Senior Executive Consultant), and Ms. Morris (PSTAP Staff Survey Administrator) to conduct a survey of all State Directors for Veterans Affairs (NASDVA) to determine needed improvements to U.S. Department of Veterans Affairs and Military Services TAP programs. Using

online surveys supported by training and informational briefings, the team achieved 100% response and completion rates with a 98% confidence level and +/- 2% margin error. The subsequent report is influencing improvements to States working with Federal TAP programs and resulted in a NASDVA Member recommendation to the DoD TAP office that a similar survey approach be deployed DoD-wide.

- For the Commonwealth of Virginia and the National Association of State Procurement Officers (NASPO), Mr. Morris led a team consisting of Dr. Schaab (PSTAP Senior Consultant/Research Director), Dr. Spiker (PSTAP Senior Executive Consultant), and Ms. Morris (PSTAP Staff Survey Administrator) to conduct a survey to determine policy, process, and program improvements for its Training portfolio. Using online surveys supported by informational email and other communications with all 50 State Procurement Officers, the team achieved 90% response rate and 100% survey completion rates with a 95% confidence level and +/- 7% margin error. The subsequent report resulted in Actionable Recommendations for Policy and Process changes that substantially increased the number of States participating in the program.

#### **Experience and qualifications as a Program Manager**

Throughout his long career, Mr. Morris has developed an international public and private reputation as a government Program and Project Manager. In the latter years of his career, Mr. Morris transitioned into a role as consultant, providing expertise on an as-needed basis to a host of customers in the military and industry resulting in an equally high reputation in the private sector for delivering the highest quality surveys, studies and reports. In this capacity, Mr. Morris and the CAI have a proven record of delivering practical, data-based, and scientifically-grounded consults and teams of Subject Matter Experts designed to improve the methodological rigor of the projects under study as well as amplify the key points and implications of the results. He will be serving in a similar capacity in the PSTAP project. Examples of his successes in these areas include, but are not limited to:

- 31 years' experience as a program manager for survey, data collection, and analysis projects in multiple domains and for multiple cohorts including Project Manager experiences with TAP programs for Active Duty, National Guard and Reserve TSMs as well as their Spouses, caregivers and veterans. Specific detailed examples are covered above.
- 31 years' experience managing risk in complex government, corporate, and non-profit programs including technical, program, cost, technology, operational concept, and organizational. Specific detailed examples are covered above.
- 30 years' experience managing technical, program, cost, technology, operational, and organizational risk in complex programs. Managed a myriad of Enterprise Level programs with budgets exceeding \$350 Million. Department of Defense (DOD) acquisition experience including \$15M in standard, short suspense, contingency and secure environment acquisitions. Specific detailed examples are covered above.
- 10 Years' experience with application of policies, procedures and law related to Office of Human Research Protections and Food and Drug Administration Federally Registered Institution Review Board (IRB) to ensure full compliance with 45 CFR 46.111(a)(7) and 21 CFR 56.111(a)(7) and Office of Management and Budget (OMB) guidelines, policies and submissions.

#### **Certifications:**

Individual and Group Learning Style, Working Style, and Teaching Style Analysis tools  
Lean Six Sigma

**History of Industry and Peer Review Publications and Presentations:** A partial list of Mr. Morris' 30+ publications and Subject Matter Expert Presentations relevant to PSTAP requirements is included below.

"Army's Unit of Action: Previewing the future force that 'sets conditions' for fighting", Armed Forces Journal International, July 2003. Article describing and analyzing the concepts and approach for Army Transformation through the Unit of Action.

"Initial Assessment on the Potential Impact of Terrorism in Eastern Africa: FOCUS ON SOMALIA", Prepared for Partners International Foundation and distributed to FOX News, 5 May 2002.

"Background Paper Sudan and Southern Sudan", 2 March 2002, Prepared for FOX News (Washington)

"JCARMA Tests Gains in Situational Awareness: Proposal to evaluate INFOTECH Utility in Battle is Widely endorsed", by Hampton Stephens, Defense Information and Electronics Report, Vol. 6, No. 34, August 2001.

Article detailed the widespread support for the understanding-centric model and associated approach to developing situational awareness metrics.

“The New Information Technology Model: A Paradigm Shift in Information Technology Development”, Army War College Thesis, 2001

“Assessment Report: United States Humanitarian Food Drops In Afghanistan”, Partners International Foundation, 25 November 2001

“Western Georgia Partnered Medical Initiative Strategic Plan” - Strategic plan strategic to re-engineer the healthcare system of the Republic of Georgia Western Region. Personally reviewed and approved by the Minister of Health, Republic of Georgia. 1998.

“Burkina Faso Inter-Agency Deliberate Planning Workshop Report”, prepared for World Food Program after teaching and assessing the Workshop in Burkina Faso Africa, 1997.

“Humanitarian Deliberate Planning and Analysis Model” – Authored the model taught to World Food Program logistics planners in Burkina Faso, Africa. Model first used by all regional directors to develop a contingency plan to react to a draught in Sahel, 1997.

“The Utility of Theory”, Interface Magazine, 1993

Defense Science Board Summer Study on 21st Century Technology Vectors (Washington, D.C.) (2006). Leader of a 3-person JFCOM team and full member of the Technology panel focusing on recommendations to improve the acquisition and delivery of capabilities. Main author of the sub-panel’s recommendations and approach to improving DOD rapid acquisition.

TRADOC Commander’s Science of Learning Workshop (Hampton, Virginia) (2006). JFCOM J7 representative and member of the Learning Model’s Panel. Panel recommendations on the recommended learning model to apply throughout the Army briefed to the TRADOC Commander.

Chairperson and Speaker SMI 7th Annual Mission Planning Conference (London) (2002 – Impact of the Understanding-Centric Model and human factors on planning and training.

Army and Defense Science Boards (2002, 2003) – Situational awareness, information technology systems, and planning.

Third Annual Office of Naval Research/California Poly Technical Institute Collaborative Agent Directorate Decision Support Workshop, Continuing the Revolution on Military Affairs (RMS), (2001) – Information Technology Systems and the impact of storytelling on cognition, retention, and decision-making.

United States Army Test and Evaluation Command Test Technology Symposium 2001: Test and Evaluation for Total Ownership Cost Reduction (2001) – Presentation on partnering users, users, systems designers, material developers and testers in a partnered approach to new systems development, experimentation, and fielding.

Benchmarking and Performance Measurement (Atlanta, Georgia) (1998) – Co-taught the seminar for the U.S. Department of Labor (Atlanta) with the United States Vice President’s National Performance Review Office

Deliberate Planning for Complex Emergencies (Burkina Faso) (1998) - Wrote the program of instruction for and co-instructed a deliberate planning process adopted by the United Nations World Food Program.

**November 2007 thru June 30, 2014 Integrity Consulting Solutions, LLC - Manager/Facility Security Officer - and July 2010 thru June 30, 2014 Integrity Consulting Engineering and Security Solutions, LLC**

Ms. Hansen served as a Manager and Facility Security Officer for the Integrity Consulting companies, where she was responsible for building an Industrial Security program across all disciplines to include Personnel, Physical Security and Information Systems. She was also responsible for mitigating risk and maintaining Security Compliance for all federal contracts in accordance with the National Industrial Security Program Operating Manual (NISPOM), NISPOM Supplement (NISPOM SUP), and other DoD or Department specific regulations and directives. Current contracts range from Navy Anti-Terrorism Force Protection to DHS Infrastructure Security Compliance of Chemical Facilities. She was responsible for the administrative security component of the ICESS Defense Threat Reduction Agency TS/SCI contract and was responsible for SCI Nomination Packages, Coordination and Passing of clearances, clearing personnel to the appropriate level, NATO and CNWIDI briefings, providing briefings and debriefings for foreign travel and coordinating any other required briefings with the Prime and the Customer.

Ms. Hansen performed due diligence on all prospective cleared candidates and Consultants to ensure they met requirements for the position and the environment in which the candidate would be performing work. Prepared, Briefing and submitted SF-312's. Reviewed SF-85 and SF-86 forms for completeness and submission. She also conducted interviews and due diligence for our commercial clients and briefed them on industrial espionage. Her strategic planning has been invaluable to both the company and customers. A personal goal has always been to work with the customer and serve as a partner in any tasking the customer may need to accomplish. Ms. Hansen also provided classification management guidance to both contractor and government customers. At the request of the customer, Ms. Hansen prepared draft DD-254's and kept the on-site government customer informed of new regulations and the effects on their resident programs. Ms. Hansen managed all security requirements for subcontractors and consultants, issuing DD-254's to our subcontractors and Special Security Agreements as needed. She provided review of RFP's, RFQ's and RFI's for Corporate Compliance, personnel, physical security and information assurance to ensure appropriate levels of clearance were in accordance with contractual requirements. Ms. Hansen also served as Contract Manager for ICESS and Contract Administrator for ICS, across all disciplines and was responsible for compliance with all Federal regulations. She prepared all NDA's, Confidential Agreements, Teaming Agreements and Corporate Representations and Certifications for ICS, ICESS and the All Hazards Consortium, state and federal corporate registrations and maintained the SAM for all three entities as well as, E-Verify, CPARS for ICESS, Vets-100, WAWF (ICS - one contract).

**March 2007 thru October 2007 SMART Business Advisory and Consulting LLC - Manager/Facility Security Officer.**

Ms. Hansen served as a Manager and was responsible for devising and implementing an Industrial Security Program in support of the SMART Federal Practice. She also performed duties as our Business Manager, Contract Compliance Officer for all Federal Contracts, and handled all Invoicing/Account Reconciliation for Federal Clients. The United States Navy and Transportation Administration were among our Federal Clients.

**August 2000 thru December 2006 Maden Technologies**

Ms. Hansen served as the Corporate Security Manager, Facility Security Officer and Assistant Facilities Manager for a multi-level trusted contractor facility, where she was responsible for the overall management and direction of the Corporate Security Program. Following the 2006 Facility Inspection, secured the nomination for the Cogswell Award. She authored the Corporate Security Standard Practices and Procedures Manual, Corporate Nuclear, Biological and Chemical Plan, Corporate Evacuation and the Stay-in-Place plans. Ms. Hansen performs due diligence on all prospective cleared candidates to ensure they meet requirements for the position and the environment in which the candidate will be working. She assisted in Business Development and her strategic planning has been invaluable to both the company and customers. At the request of the customer, prepared DD-254 (Contract Security Classification) on behalf of the government. If DoD regulations allowed a waiver, provided waiver memorandum and security recommendation for government approval.

Maden Technologies supported the DARPA Security and Intelligence Directorate at the customer headquarters and also supported a DARPA sponsored TS/SCI level Technology Integration Center (TIC) at the contractor location which contained customers from other Agencies. The latter effort required security support at the collateral and SCI level, with programs representing multiple agencies. Ms. Hansen performed administrative security support for these SCI level programs. She conducted candidate screening interviews, prepared memorandum for DARPA Personnel Security Manager as required for the submission of SCI nomination packages. Ms Hansen prepared all SCI nomination packages for the current DARPA/SID and previous DARPA/TIC programs in accordance with

DCID 6/4 and the DoD 5105.21-M-1, DIA SCI Administrative Security Manual. Initiated, reviewed and approved eQIP submissions for cleared positions. Prepared all Visit Authorization Letters. As the Company JPAS and ISFD Account Manager, she initiated, approved and processed all account requests for access to JPAS and ISFD, to include on-site contractors supporting DARPA/SID. As the Prime, Ms. Hansen managed all security requirements for subcontractors and consultants, issuing DD-254's (Contract Security Classification Guide) and special security agreements. Provided review of RFP's, RFQ's and RFI's for personnel, physical security and information assurance to ensure appropriate levels of clearance were in accordance with contractual requirements. Ms. Hansen has also supported contracts with Army, Air Force, Department of Transportation (MARAD & National Railroad Administration), to name a few.

In addition, Ms. Hansen served as the Facility Security Officer for Headquarters and was responsible for Visitor Control, access control (Employee and Visitor badges), intrusion detection, monitoring and alarm response for the facility, coordination with building management regarding building and garage access. She also served as the Document Custodian for all classified materials and media for Corporate, and managed a DSS Top Secret Accredited Closed Area in Corporate. In addition, Ms. Hansen conducted security awareness training and ensured security compliance on all government contracts. Ms. Hansen also supported an ARMY Command on site, with an ARMY Registration Authority (NIPRNET & SIPRNET), testing and evaluation section and world-wide help desk function.

**January 1995 thru December 1996 U.S. House of Representatives, Office of the Chief Administrative Officer (CAO)**

Ms. Hansen served as the Deputy Associate Administrator for Facilities Management as well as the Operations and Special Projects Officer for the CAO. The CAO reported to the Committee on House Oversight and the Speaker of the House. In her capacity, she dealt directly with Member and Committee Staff on a regular basis to resolve any issues they may have under her purview. As a member of transition team for the 104th Congress tasked with conducting a review of the administrative operations of the House, Ms. Hansen's primary focus was the usage and assignment of space, office furnishings staffing and budget, and identification of duplicative services performed by the Office of the Chief Administrative Officer (CAO) and Architect of the Capital (OAC). During her tenure, she was permanently assigned as CAO liaison with the Architect of the Capital, House Office Building Commission. (HOBC), Clerk and Sergeant-at-Arms for special projects, including maintenance, refurbishing, construction and security issues. After the Oklahoma City bombing, conducted a fire and safety study (Threat Assessment) of leading docks, mail facilities, parking garage and other immediate areas of concern in the U.S. House and Annex Buildings. Made recommendation to the CAO and HOBC regarding relocation of the House mail facility and obtained Commission and Speaker's Approval. Coordinated TSCM sweeps of CAO occupied space with Capitol Hill Police. She was primarily responsible for the planning and execution of the first ever Furniture Auction held on the House side of the aisle, and produced the first House Furniture and Furnishings Catalog for member and staff usage. This catalog was web-based and allowed the placement of standard paint chips, and carpet drapery samples to be placed in the virtual office setting, saving staff time and money.

Ms. Hansen also served as the Contract Officer Representative for the first three privatization efforts in the 104th Congress, the Beauty Shop; Barber Shop; and Shoe Shine Shop Operation. She researched 40 years of Civil Service and House personnel regulations, and prepared all personnel documentation for the transition of these contracts to the private sector. Ms. Hansen exercised approval authority, procurement and coordination responsibility for all Leadership Finishing Schedules, as well as personnel and budgetary responsibility for Office Furnishings staff of 200 with a 2.5 million dollar budget.

**March 1993 thru December 1994 The Hudson Institute**

Ms. Hansen served as the Facility Security Officer for DoD Top Secret Facility and Office Administrator for the Washington Office. In her capacity as Facility Security Officer, Ms. Hansen was responsible for the security operations of a trusted facility with emphasis on Defense Scientific and Intelligence contracts. She also served as the Document and COMSEC Custodian for the facility. As Office Manager, she managed the day-to-day operations. Ms. Hansen also provided administrative support and coordination of media interviews for the Washington Office Director, a former Director of the National Security Agency.

**March 1989 thru 1993 The White House, Office of the Counsel to the President**

Ms. Hansen served as the Facility Security Officer for DoD Top Secret Facility and Office Administrator for the Washington Office. In her capacity as Facility Security Officer, Ms. Hansen was responsible for the security operations of a trusted facility with emphasis on Defense Scientific and Intelligence contracts. She also served as the Document and COMSEC Custodian for the facility. As Office Manager, she managed the day-to-day operations. Ms. Hansen also provided administrative support and coordination of media interviews for the Washington Office Director, a former Director of the National Security Agency.

Ms. Hansen served as the Administrative Assistant (AA) to the Counsel to the President of the United States. During this Administration, the AA position was the highest ranking non-commissioned officer position within the Counsel's Office. She managed the day-to-day operations of the Counsel's Office, served as COMSEC Custodian and liaison to the FBI White House Liaison Office regarding clearance issues, U.S. Secret Service regarding physical security matters, White House Badge Office, White House Personnel and other administrative offices in the complex. Coordinated installation of encrypted communication devices and other physical surveillance equipment in residence. Scheduled TSCM sweeps. Ms. Hansen held the delegation of authority from the Counsel to act on his behalf in all administrative matters. Held approval authority for all time sheets for attorney and support staff. She also managed the Office Entertainment Account and Travel Accounts, prepared all travel vouchers for the Counsel and Deputy Counsel, prior to obtaining the Counsel and Deputy Counsel's signature. Ms. Hansen reviewed and approved all staff domestic and foreign travel requests for accuracy and regulatory compliance, and, conducted due diligence on all travel and invitations for conflict of interest issue for the Counsel. Her responsibilities extended to review of Executive and Legislative Branch policy documents and assignment to attorney for response, ensuring attorney and support staff coverage during periods of leave and Presidential support missions, supporting the Judicial Selection process to include Supreme Court selection, nomination process and confirmation hearings. Coordinated judicial selection meetings with the U.S. Department of Justice and the Deputy Chief of Staff to the President. Ms. Hansen also had the opportunity to plan official events, including photo-ops with the President and First Lady. For official events, Ms. Hansen prepared the scheduling request and briefing paper for POTUS and FLOTUS.

**August 1988 thru March 1989 The White House, Office of White House Personnel**

Ms. Hansen served as Deputy to the Director for White House Personnel where she was responsible for execution of all inter-agency agreements, identification of agency personnel for specialized assignments, as well as preparation of and coordination of all inter-agency agreements for individuals detailed to the White House in support of their home agencies. Inter-agency agreements also required coordination with the Office of Personnel Management. Ms. Hansen worked closely with Sr. White House Officials to identify personnel needs and compensation packages while remaining within the number of positions and budgetary constraints allotted by Congress. Ms. Hansen prepared salary histories, conducted salary reviews and prepared recommendations for the approval of the Director of White House Personnel and Assistant to the President for Administration. She also reviewed resumes, conducted new hiring briefs, handled resignations, promotions and reassignments, as well as preparation and updating of the Commissioned Officers list. She served as liaison with the White House Administrative Office regarding personnel matters for the Presidential Transition from President Reagan to President GHW Bush.

**March 1987 thru August 1988 The White House, Office of the Assistant to the President for Domestic Affairs**

Ms. Hansen was responsible for the day-to-day operations, including personnel, facility requests, and security issues. She managed all scheduling requests, coordination of briefings and official events and staffing assignments. In the absence of the Assistant to the President, prepared remarks for staffing memoranda. She managed the Travel and Entertainment accounts and prepared all travel authorizations and vouchers.

Previous work included Office of the Attorney General of the United States; Office of the Deputy Attorney General of the United States; and U. S. Department of Education

**Other Relevant Qualifications**

**Education:**

1979 BA in Communications from Virginia Intermont College, Bristol, VA.

**Certifications:**

Congressional Internship 1976

DOJ Special Achievement Award 1986  
Executive Office of the President, Non-Commissioned officers Certificate 1989  
U.S. House of Representatives, Total Quality Management Certificate 1995  
Defense Security Service (DSS), FSO Program Management Certificate 2000  
National Security Agency, COMSEC Custodian Certificate 2003  
DSS Information System Security Certificate 2003  
DSS Special Access Program Overview 2004  
National Counterintelligence Executive/NSA Interagency OPSEC Support Training 2004  
DSS Systems X Conference 2005  
Member of National Classification Management Society  
Member of ASIS International  
Member of Women in Defense  
Member of NDIA  
Member of DSS Sponsored CI Working Group for the Frederick, MD area

***Civilian human resource management experience, and workforce development:***

Develop something like Bob's example



Appendix 12 - Richard Wilson

Richard A. Wilson	
Center for Applied Innovation, LLC	Labor Category
7 Years	Subject Matter Expert
Total Years of Experience	Security Clearance
51 Years	Top Secret
Education	
<p>Boston University, Boston, MA, Master of Arts in International Relations - 01/1977            University of Connecticut, Storrs, CT, Bachelor of Fine Arts in Graphic Design - 05/1968            Advanced Techniques of SAIC Project Management, SAIC PM 202, 2006            Advanced Project Management: Project Planning, Analysis and Control, SAIC PM 201, 2006            Joint Planning Orientation Course, Joint Forces Staff College, Norfolk, VA 2004            Security Assistance Management Overseas Course, Wright-Patterson AFB, OH, 1995            Defense Intelligence Agency (DIA)/J2 Crisis management Orientation Course, 1994            National Senior Intelligence Course, DIA, Washington, DC 1994            U.S. Army Inspector General Course, Fort Belvoir VA, 1993 and 1986            Armed Forces Staff College, Norfolk, VA, 1983            Special Forces Officer Qualification Course, Fort Bragg, NC, 1980</p>	
Summary of Qualifications	
<p>Mr. Wilson has 51 years of leadership, management and facilitation experience as both a U.S. Army officer and Program/Project Manager in support of the Department of Defense (DoD). He was assigned worldwide to positions of increasing responsibility in Army, joint and combined active duty assignments related to intelligence, international security cooperation, political-military affairs, special operations, and inspector general functions. He served as a U.S. Army Inspector General in three separate assignments for a total of seven years of experience. He attended the U.S. Army Inspector General Course twice to maintain knowledge of current policy and procedures. As an inspector general, he was responsible for providing a continuing assessment of the operational and administrative effectiveness of his assigned organization to the commanding general or director through evaluation of managerial procedures and practices pertaining to personnel, materiel, and funding resources; identifying problems, situations, or circumstances that affected mission performance; isolating the root causes of identified problems; initiating corrective actions and evaluating the adequacy of such actions; and determining of the state of mission readiness, economy, efficiency, discipline, training, and morale throughout the command or agency. He conducted both special topic assessments and complete organizational inspections; received and responded to Soldiers' and civilians' action requests for assistance; and investigated military and civilian complaints of fraud, waste, abuse, violations of Equal Employment Opportunity, and discrimination on the basis of race, national origin, gender, or religion. He retired as a U.S. Army Colonel from the senior position of Command Inspector General of the U.S. Army Intelligence and Security Command. As a defense contractor, he currently supports to the Defense Language and National Security Education Office (DLNSEO) by providing subject matter expertise on the Defense Language, Regional Expertise and Culture (LREC) Program and in support of the DoD Foreign Area Officer (FAO) Program. From February through September 2019, he assisted the Center for Applied Innovation (CAI) as a Senior Research Analyst in support of a Workload Measures Study for the Virginia Department of Social Services (VDSS). Mr. Wilson is highly skilled facilitating team building, problem-solving, and instructional forums.</p>	

### **Employment History**

#### **09/2013-Present, Program Manager, Management Analysis Technologies, Inc. - Fredericksburg, VA**

Mr. Wilson has served since September 2015 as MAT's Senior FAO Advisor to the DLNSEO and provided subject matter expertise in support of the Defense LREC Program and DoD FAO Council. He served from February through September 2019 as a Senior Research Analyst in support of the CAI's Workload Measures Study for the VDSS, which involved a comprehensive analysis and the development of workload measures for the benefit and family service programs delivered by 120 local departments of social services across the Commonwealth of Virginia. He managed the Human Resource, Strategy and Program Management Support contract (May 2013-November 2016) that provided independent, non-personal program management support to USTRANSCOM's JECC at Naval Station Norfolk, VA and its subordinate commands in strategic manpower planning, resource planning and programming, balancing the workforce, financial management, drafting and maintaining policy, strategic planning, Reserve Component policy and support, information technology acquisition and configuration management.

#### **02/2002-08/2013, Project Manager, Science Applications International Corporation (SAIC) - Norfolk, VA.**

He managed a team of six professionals providing diverse program management support to USTRANSCOM's JECC and served concurrently as a Joint Command and Control (JC2) analyst in the JECC Strategy and Policy Division (J5). He focused on future initiatives, including strategic planning, force programming and policy development; and ensured JECC equities were accurately reflected in strategic guidance, joint publications (JP) and instructions, and CCMD OPLANs. He served on USJFCOM's cross-functional, Joint Task Force Headquarters (JTF HQ) Focus Integration Team in coordination with the Command and Control (C2) Capability Portfolio Manager, responsible for developing Program Objective Memorandum (POM) recommendations and white papers on new joint enabling capabilities to enhance the formation and readiness of JTF HQ and the planning and execution of CCMD OPLANs. As the Military Systems Analyst on the USJFCOM Reach-back Support Team supporting the North Atlantic Treaty Organization (NATO) International Security Assistance Force (ISAF) in Afghanistan, he analyzed the operational environment and conducted campaign and operational assessments. He participated as a member of the Experiments and Evaluation Integrated Product Team for the conduct of the three-year Defense Advanced Research Projects Agency (DARPA)-USJFCOM Conflict Modeling, Planning and Outcome Experimentation (COMPOEX) Program that was focused on improving Joint OPLAN planning and procedures. As the System of Systems Analysis (SoSA) Team Lead within the USJFCOM Standing Joint Task Force Headquarters (SJFHQ), he developed the training needs analysis, program of instruction and lesson plans for a two-week analytical training course focused on Joint Intelligence Preparation of the Operational Environment (JIPOE) and led the SoSA/JIPOE instructional effort at four of the five geographic CCMDs and in support of U.S. Central Command (USCENTCOM) Joint Task Force IV (Reconstruction of Iraq).

#### **10/2000-02/2002, Case Reviewer, MSM Security Services - Greenbelt, MD**

Performed quality control and finalized Single-Scope Background Investigations (SSBI)/Personnel Security Investigations contracted by the National Security Agency and U.S. Customs Service.

**07/1999-10/2000, Security Consultant/Contract Investigator, Self-Employed - Alexandria, VA**

Advised defense contractors on industrial security and conducted SSBI/Personnel Security Investigations for the Defense Security Service and Internal Revenue Service. Developed and presented, in country, an Information Security Training Program for the Bahrain Armed Forces.

**10/1997-06/1998, Command Inspector General (IG), U.S. Army Intelligence and Security Command (INSCOM) - Fort Belvoir, VA**

Evaluated command and readiness, training, the economy and efficiency of operations, discipline, morale and esprit de corps in subordinate INSCOM commands worldwide. Led multidiscipline Joint IG teams from the National Security Agency, National Reconnaissance Office, and Service Cryptologic Elements to inspect Regional Signal Intelligence Operations Centers and Mission Ground Stations. Initiated joint inspections of Special Access Programs with the Department of the Army IG (DAIG). Conducted inquiries and investigations of employee complaints. Performed intelligence oversight. Participated in strategic planning and policy formulation activities. Reduced budget/operating expenditures by 28 percent.

**09/1995-09/1997, Chief, U.S. Liaison Office, American Embassy Abu Dhabi - UAE**

Served concurrently as senior Security Assistance Officer (SAO) and U.S. Defense Representative in the United Arab Emirates. Managed a multi-billion-dollar Foreign Military Sales program, coordinated administrative and security matters for all DOD elements in country, negotiated and implemented bilateral military agreements, facilitated combined operations planning, and coordinated host nation support. Served as first International Cooperative Administrative Services Support (ICASS) Council Chairman overseeing American Embassy budget and expenditures.

**08/1993 - 09/1995, Deputy Assistant Inspector General for Inspections, Defense Intelligence Agency (DIA) - Arlington, VA**

Participated in 1993 organizational inspection of DIA's National Military Intelligence Systems Center (NMISC). Resolved operations, security, training, safety and logistics accountability problems in conjunction with leading the first DIA organizational inspection of the Missile and Space Intelligence Center (MSIC) in 1994. Planned, coordinated and led a one-year functional inspection of "DIA Support to Combatant Commanders" in all Unified Commands, which enhanced DIA intelligence production and automated systems support to the agency's customers. Provided DIA IC oversight of the Defense HUMINT Service transition and commented extensively on HUMINT regulatory guidance. Drafted a DIA regulation on Protected Disclosures (Whistleblower Protection).

**11/1992 - 08/1993, Special Assistant to Director, Plans and Policy (J5), U.S. Central Command (USCENTCOM), MacDill AFB, FL**

Advised Commander-in-Chief, USCENTCOM and Director, Plans and Policy (J5) on command and national goals and objectives for the Kingdom of Saudi Arabia. Researched and prepared country and regional assessments, reports and briefings to support joint planning, programming and policy formulation. Performed research and analysis and presented briefings in support of bilateral consultative programs and OPLANs. Participated in the negotiation of international

agreements and access arrangements.

**05/1992 – 11/1992, Commander, Military Coordination Center (MCC) - Zakhu, Iraq in support of Operation PROVIDE COMFORT, Incirlik Air Base, Turkey**

Commanded a Joint Service, Combined Liaison Element, forward deployed under hostile fire conditions at Zakhu, Iraq. Maintained direct communication with Iraqi military and government officials, Kurdish civil and military leaders, United Nations officials and non-governmental organizations (NGOs) in Northern Iraq. Provided daily situation reports on security and humanitarian relief operations, de-conflicted potential confrontational issues, investigated incidents, presented Coalition demarches, and coordinated relief operations.

**08/1968-04/1992, U.S. Army Officer - Worldwide**

- 1991: Director of Plans and Policy, USCENTCOM Staff Element, Riyadh, Saudi Arabia.
- 1990 to 1991: Deputy Chief, Political-Military Division, J5, and USCENTCOM Liaison Officer to American Embassy Riyadh during Operations DESERT SHIELD/DESERT STORM
- 1989 to 1990: Political-Military Analyst and Chief, Near East Branch, Political-Military Division, Plans and Policy Directorate (CCJ5), USCENTCOM
- 1986 to 1989: Chief, Inspection Division, Office of the Inspector General, USAINSCOM, Arlington Hall Station, VA
- 1983-1986: Security Assistance Officer (SAO), Directorate of Logistics (J4/7), USCENTCOM, Tampa, FL
- 1979-1982: Operations Officer and Commander, Military Intelligence Company, 5th Special Forces Group (Airborne), Fort Bragg, NC.
- 1968-1979: Other Joint and Army intelligence staff assignments in Yemen, Belgium and Vietnam.

# Zion Howard

21576 Hackney Circle, Lincoln, De | (302)-841-7312 | zion.howard.2021@gmail.com

## EDUCATION

**Virginia Wesleyan University**, Virginia Beach, VA Anticipated December 2020  
Bachelor of Arts  
Major: Psychology  
Minors: Business and English  
GPA: 3.86

## Honors and Awards

- President's List Fall 2019; Dean's List all semesters; Secretary, Psi Chi

## Relevant Coursework and Academic Experiences

- Individual Assessment of Differences, IO Psychology, Social Psychology, Research Methods Principles of Management, Lifespan Development
- Development and evaluation of a survey instrument, utilizing SPSS, to determine validity and reliability, running tests to determine factors such as Cronbach's Alpha, Inter-item covariance, and discriminate and convergent validity
- Utilized a computer-based simulation to evaluate its influence on confidence when compared to traditional methods of teaching; gained IRB approval, conducted a literature review, recruited participants, administered the experiment, organized/analyzed the data using SPSS, and defended findings to VWU psychology faculty

## LABORATORY EXPERIENCE

**Research Assistant** August 2020-Present  
Self-Regulation, Education, and Aging Lab, Virginia Beach, VA

- Recruit participants via phone and email for research opportunities
- Assist in organizing data obtained from eye tracking study
- Proctor studies on metacognition, memory, and aging
- Collaborate with researchers at TCU for older adult studies

## PROFESSIONAL EXPERIENCE

**Research Assistant** May 2020-Present  
Center for Applied Innovation, LLC., Yorktown, VA

- Generate surveys to evaluate performance of contractors
- Write reports that appropriately convey findings of survey
- Recommend changes or modifications based on evidence

## Human Resource Intern

Braathe Enterprises, Saratoga Springs, NY September 2020-Present

- Update job postings, descriptions, and relevant material
- Evaluate potential candidates based on knowledge, skills, and abilities
- Collaborate with team to generate learning opportunities

# Zion Howard

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## Server

June 2013 – Present

Salero on the Beach, Rehoboth Beach, DE

- Train and supervise 6 coworkers
- Ensured customer satisfaction by catering to needs of customer
- Maintain food quality by ensuring order accuracy and being detail-oriented

## EXTRACURRICULAR ACTIVITIES

### Motivation Specialist and Goals Director (CEO)

2020

The Marlins Exposé, Virginia Wesleyan University

- Led and organized team of 14 members
- Constructed proposal for future conference
- Engaged in public outreach to secure sponsorships

### Student-Athlete

2017-2018

Virginia Wesleyan University Baseball Team

### Chief Executive Officer

Shark Tank, Virginia Wesleyan University

2017

- Developed and executed business plan for academic purposes
- Created financial statements, forecasts, and marketing plan
- Persuaded business professionals to invest in business

## VOLUNTEERISM

Blacks in Industrial Organization Psychology

June 2020-Present

- Law Enforcement Task Force
  - Brainstorm initiatives for law enforcement reform
  - Contribute to development by assisting on publications
  - Organize and develop materials for meetings and presentations
- Business Development Committee
  - Encourage donations from public and others
  - Generate methods for greater exposure of Blacks in I/O

Leverage Assessments Inc., Bronx, NY

June 2020-Present

- Develop research proposals for SIOP Anti-Racism Grant
- Assist writing academic papers for publication
- Engage in community discussion on topics, such as Law Enforcement Reform

Indian River Road Clean-up

April 2017

- Disposed of trash and other waste in community

Big League and Junior League World Series, Roxana, DE

August 2012-2016

- Maintained field and equipment conditions

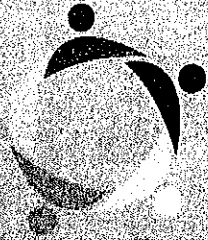
Atlantic Community Thrift Shop, Ocean View, DE

October 2014 and October 2015

- Loaded and organized furniture for transport

# Susan M. Shaffer

## President, MAEC



AMERICAN  
EDUCATIONAL  
RESEARCH  
ASSOCIATION

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Civil Rights Compliance  
Family, School & Community Engagement (FSCE)  
Gender Equity & Culturally Responsive Education  
Title IX Sexual Harassment & Bullying  
Technical Assistance & Training  
Disproportionality & Discipline  
Systems Change Organization Development, Management, & Oversight  
Grants Management  
Publications Development

MAEC

1992 - present

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**CO-FOUNDER, MAEC**  
**PRESIDENT AND CHAIR, BOARD OF DIRECTORS (2010-PRESENT)**

Established in 1992, MAEC is an education nonprofit whose mission is to promote excellence and equity in education, birth to 21, to achieve social justice. Responsible for all program direction; staff management; budget management and publications development; liaison with the Department of Education and other funding agencies; all fund-raising for the organization including federal, state and district grants, and private foundations; and development of policy and establishment of long- and short-term objectives in conjunction with the Board of Directors.

Responsible for all program direction; staff management; budget management and publications development; liaison with the Department of Education and other funding agencies; all fund-raising for the organization including federal, state and district grants, and private foundations; and development of policy and establishment of long- and short-term objectives in conjunction with the Board of Directors.

Selected Recent  
Projects

**EQUITY ASSISTANCE CENTER**

Serves as the Executive Director (2016-present) for the Center for Education Equity (CEE), the U.S. Department of Education Equity Assistance Center for Region I. CEE provides assistance in educational program development to 4,440 school districts in Maryland, West Virginia, Delaware, Pennsylvania, Kentucky, Maine, Massachusetts, New Hampshire, New Jersey, New York, Puerto Rico, Rhode Island, Vermont and the Virginia Islands. As executive director, coordinates with the funding agency; manages budgetary functions; develops policy; selects and supervises sub-contractors, partners, and deputy director; oversees design and implementation of Center projects; and monitors program alignment and evaluations.

Served as the Executive Director (2011-2016) for the Mid-Atlantic Equity Center (MAC), the predecessor to CEE. MAC was the Equity Assistance Center for then-Region III, providing technical assistance to Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, and West Virginia.

Served as the Deputy Director (1993-2007) and the Director of the Gender Equity Program of MAC. Managerial and supervisory functions included: development and management of a \$700,000 budget and supervision of all administrative functions, including supervising financial planning; setting and implementing policies and procedures; hiring, supervising and evaluating consultants; handling liaison with clients; and assisting executive director with funding agency and university. Development of comprehensive technical assistance and training programs, including coordinating delivery of services; providing direct services to clients; evaluating programs and activities; managing conferences; designing training events and materials, resource notebooks and reference materials for staff development; and supervising development of public relations related to technical assistance and training.

**EQUITY-BASED CONTINUOUS IMPROVEMENT MODEL**

Serves as Principal Investigator (2019-present). Under a Model Design and Initiation (MDI) grant from the Bill & Melinda Gates Foundation, MAEC is enhancing our approach to continuous improvement through the lens of equity. The MDI grants are awarded to organizations to improve their capacity to support networks of secondary schools to use data for continuous improvement, strengthen secondary school leadership teams, and provide high quality technical assistance to secondary school.



**MARYLAND STATE PARENTAL INFORMATION RESOURCE CENTER**

Served as the Executive Director (2006-2011). MD PIRC was designed to assist Maryland parents and educators to address issues related to family engagement and closing academic achievement gaps. Managed budgetary functions, all subcontracts, and the external evaluator; select and supervise staff; oversaw design, implementation and evaluation of technical assistance.

**JOURNEYS, WOMEN'S STORIES: IN SEARCH OF OUR MULTI-CULTURAL FUTURE**

Served as the Director (1996-1997), *Women's Educational Equity Act Program*. U.S. Department of Education, Washington, D.C.

PRIOR TO IMAGE

(1991) - (1992)

**DIRECTOR  
MATHEMATICS + SCIENCE = OPPORTUNITY**

*Women's Educational Equity Act Program*. U.S. Department of Education, Washington, D.C.

(1989) - (1992)

**CO-DIRECTOR  
STARTING EARLY: EXPANDING ROLE OPTIONS FOR K-6TH GRADE**

*Women's Educational Equity Act Program*. U.S. Department of Education, Washington, D.C.

(1987) - (1990)

**DIRECTOR, SEX EQUITY PROGRAMMING  
MID-ATLANTIC EQUITY CENTER  
THE AMERICAN UNIVERSITY, WASHINGTON, D.C.**

(1979) - (1983)

**ASSOCIATE DIRECTOR  
THE MID-ATLANTIC EQUITY CENTER  
THE NETWORK, INC., WASHINGTON, D.C.**

Managed the daily operation of a technical assistance and training center in conjunction with the director; identified, developed and disseminated a variety of curriculum and technical assistance resources for teachers and school administrators; designed and implemented conferences, workshops and training events; coordinated media related activities.

1984-1984  
1985-1987

**COORDINATOR, CURRICULUM AND RESOURCES  
DIRECTOR, TRAINING FOR SEX EQUITY IN EDUCATION**

*Mid-Atlantic Equity Center, The American University, Washington, D.C.*  
Responsible for administrative and financial functions, Served as chief liaison between the District of Columbia Public Schools, The American University and the Department of Education; Designed and implemented specific training materials.

1981-1982

**MICRO-TEACHING SUPERVISOR  
PROJECT INTERSECT**

*The Network, Inc.* Served as program coordinator for experimental teacher group, responsibilities included collecting data and observing teacher-student interactions. Provided feedback evaluation to teachers regarding teaching styles and the quality of student-teacher interactions.

1977-1978

**CO-FOUNDER AND CO-DIRECTOR; TEACHER  
OPPORTUNITY SCHOOL, MOUNT DIABLO HIGH SCHOOL, CONCORD, CA**

An alternative educational program and curriculum for approximately 75 fourteen and fifteen-year-old students who had been unsuccessful in traditional high school programs. Responsibilities included budget preparation, organization and administration of the program. Coordinated with other education institutions, members of the community, parents and teaching staff on behalf of the Opportunity School. Designed curriculum and taught Social Studies, Women's Studies, Ethnic Studies and United States History.

1976-1978

**CO-FOUNDER AND DIRECTOR; TEACHER  
ALTERNATIVE SCHOOL, YGNACIO VALLEY HIGH SCHOOL, CONCORD, CA**

Co-founded, devised and administered a program for students who were not responsive to or stimulate by the standard school curriculum. Served as the chief liaison with staff, parents and students; delivered speeches to community and parent groups on behalf of the Alternative School. Developed individualized learning programs for students. Designed curriculum and taught Social Studies, Comparative Political Systems, Contemporary Survival, United States World and Modern European History and Women's Studies.

SUMMARY OF  
OTHER PROMINENT  
WORK

Bill and Melinda Gates Foundation Continuous Improvement for Equity Resource and Website Enhancement and Maintenance, PI, 2020  
Bill and Melinda Gates Foundation Model Design and Initiation, PI, 2019-Present  
Bill and Melinda Gates Foundation Continuous Improvement for Equity, Member of National Team, 2019  
Collaborative Action for Family Engagement (CAFÉ), State Family Engagement Center, PI, 2019-Present  
W. K. Kellogg Foundation with the Council of Chief State School Officers, State Consortium for Family Engagement, 2018-Present  
Maryland Family Engagement Framework Committee, Co-chair, 2014-2016  
Equity-Centered Capacity Building Network, 2014-Present  
National Association of Family, School and Community Engagement, Co-founder and Chair, 2013-Present  
Bowie State University, School of Education, Board of Directors, 2012 – 2019  
Committee of Title I Practitioners, Maryland State Department of Education, 2010-Present  
National Family, School, and Community Engagement Working Group, 2009 - 2013  
Maryland Superintendent's Family Engagement Advisory Council. 2008 – Present  
Harmony Through Education, Board of Directors. 2006 – Present  
Maryland Women's Heritage Center, Board of Trustees. 2004 - Present  
Women's Leadership Fund, 2000 - Present  
White House, Conference on Teenagers, 2000  
White House, Celebration of 25th Anniversary of Title IX, 1997  
University Of Maryland, Gender Equity Issues for Educators, Advisory Board Member, 1995 - 1997  
Montgomery County Commission For Women, Member, 1993 - 1997  
National Institute Of Health, Expert Testimony, 1993  
National Science Foundation, Reader, 1992  
Prince George's County Public Schools, MD, Equity Advisory Board, 1990 - 1991  
National Association For Multicultural Education (NAME), Member  
Association for Gender Equity Leadership in Education (AGELE), Member  
Center For Women Policy Studies, Associate Member  
PTA, Member

**POST-SECONDARY  
TEACHING**

2013 - Present

**ADJUNCT PROFESSOR, HOWARD UNIVERSITY, WASHINGTON, D.C.**  
"EAGLE III Community Leadership"

2012 - 2013

**INSTRUCTOR, BOWIE STATE UNIVERSITY, MD**  
Family School Community Engagement & Culturally Responsive Leadership

1996 - 1999

**INSTRUCTOR, MONTGOMERY COUNTY PUBLIC SCHOOLS, MD**  
Gender Equity in Education

1994 - 1988

**LECTURER, THE UNIVERSITY OF MARYLAND, COLLEGE PARK**  
Women in the Secondary Curriculum

1978 - 1981

**PROFESSORIAL LECTURER, THE AMERICAN UNIVERSITY, WASHINGTON, D.C.**  
Sexism in School and Society

**EDUCATION**

1971 - 1972

**POST-GRADUATE WORK IN CURRICULUM DEVELOPMENT**  
UNIVERSITY OF CALIFORNIA, BERKELEY; UNIVERSITY OF CALIFORNIA, LOS ANGELES

1970

**MASTER'S IN EDUCATION**  
UNIVERSITY OF CALIFORNIA, BERKELEY GRADUATE SCHOOL OF EDUCATION, PTA ACADEMIC SCHOLARSHIP

1969

**B.A., HISTORY, MAGNA CUM LAUDE**  
UNIVERSITY OF CALIFORNIA, BERKELEY

**AWARDS**

2009

**MD PIRC: "CERTIFICATE OF SPECIAL RECOGNITION"**

2001

**FORWARD MAGAZINE, THIRD PLACE**

1977

**MARYLAND STATE DEPARTMENT OF EDUCATION, CERTIFICATE OF APPRECIATION**