

NEW YORK STATE EDUCATION DEPARTMENT



**Request for Proposals
for the
Graduate-Level Clinically-Rich Principal Preparation Pilot Program
March 15, 2012 – August 23, 2014**

**Proposal Submission Due Date
November 29, 2011**

THE UNIVERSITY OF THE STATE OF NEW YORK

Regents of The University

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New York State Education Department Graduate-Level Clinically-Rich Principal Preparation Pilot Program

Purpose

The New York State Education Department (NYSED) Graduate-Level Clinically-Rich Principal Preparation Pilot Program is seeking proposals for innovative, clinically-rich principal preparation pilot program partnerships that will prepare cohorts of candidates to take roles as principals or assistant principals in high-need, low-achieving schools, and with high concentrations of underserved and/or underprepared students, like those living in poverty, those with special needs, or those who are learning English as a second language.

Eligibility

Eligible applicants are not-for-profit collegiate and non-collegiate entities, such as systems of institutions of higher education, educational corporations, charter-management organizations, research centers, and cultural centers, provided they meet Education Law §216-a, as defined in full Section V. For-profit institutions are not eligible to apply or to partner with eligible institution applicants for this Request for Proposals (RFP).

Each proposal must be submitted by an eligible applicant in partnership with at least one Local Education Agency (LEA), as defined in this RFP. The partnership could also include, in addition to the LEA(s), other not-for-profit organizations that provide services supporting School Building Leader (SBL) candidate and principal mentor development. Refer to Section VI Applicant Eligibility Requirements for details related to institutional eligibility.

Funding & Regional Awards

Estimated Funding Available	\$9,917,500 over a two-year period
Estimated Number of Awards	9-12

The available funding for each region is listed in Table 1 below. The applicant region will be based upon the location of the partnering placement LEA(s)' schools. The available funds allocated to each region are based on the number of schools identified as in need of improvement under NCLB in that region as a proportion of all schools in need of improvement (SINI) across the state. Applicants may not be funded in all regions that they apply for. Applicants may apply for funds from more than one region, with a total cumulative pilot program award amount not to exceed \$960,000 per applicant. Applicants must identify the region(s) for which they are applying; one proposal may cover multiple regions.

Refer to Section XIII Method for Determining Award Amounts for detailed award procedures. A list of counties for each region can be found in Appendix 1 on page 53.

Table 1: Regional Funding Available by Need

	% of SINIs*	Funding Available
Queens/Staten Island	9.9%	\$ 985,950
Brooklyn	15.1%	\$ 1,500,674
Manhattan	8.9%	\$ 884,455
Bronx	15.9%	\$ 1,580,420
New York City Total	49.9%	\$ 4,951,500
Buffalo Region	6.8%	\$ 674,216
Syracuse Region & North Country	8.8%	\$ 877,206
Rochester Region & Southern Tier	9.4%	\$ 935,203
Capital Region	6.1%	\$ 608,969
Yonkers Region	10.9%	\$ 1,080,196
Long Island	8.0%	\$ 790,210
Rest of State	50.1%	\$ 4,966,000
Total		\$ 9,917,500

*SOURCE: NYSED Office of Accountability; Projected 2011-12 SINI Data

Timetable

Activity	Date
Issue of RFP	10/19/2011
Applicant Webinar	10/31/2011
Final Receipt of Questions	11/4/2011
Official Responses to Questions	11/15/2011
Proposal Due Date	11/29/2011
Anticipated Notification of Awards	2/15/2012
Project Start Date	3/15/2012

Program Period

The grant(s) resulting from this RFP will be for a term beginning March 15, 2012, when planning for the 2012-13 school year can begin, and ending on or before August 23, 2014, after the 2013-14 school year is completed. For budgeting purposes, the budget years will be 3/15/12 – 6/30/12, 7/1/12 – 6/30/13, and 7/1/13 – 8/23/14.

Full funding is not guaranteed for all years, as applicants must place candidates according to NYSED placement targets, details are found in Section XIII(B): Successful Program-Completer Placement Targets.

Components Contained in RFP Proposal #GT-02

- 1.) Description Of Program
- 2.) Submission Requirements
- 3.) Application Review and Scoring and Method of Award
- 4.) Attachments
- 5.) Appendices

Applicant Webinar

There will be an applicant webinar for this RFP on October 31, 2011 from 2:00-4:00 P.M. The applicant webinar will be held as an Elluminate webinar. Applicants should pre-register for the webinar by sending an email to GradPrinRFP@mail.nysed.gov. Once the email is received, directions and a link for the webinar will be sent to you. Please register for the webinar at least 24 hours before it commences. IMPORTANT NOTE: Go to the following website to check your minimum requirements at least one day before the scheduled webinar <http://www.elluminate.com/Support/?id=62/>. You may need to work with your information technology support staff to upgrade your requirements.

Questions Regarding This RFP

Questions regarding this RFP must be submitted by email to GradPrinRFP@mail.nysed.gov no later than 4:00 P.M. November 4, 2011. Questions regarding this request should be identified as Program or Fiscal.

A Questions and Answers Summary will be posted to <http://usny.nysed.gov/rttt/rfp/gt-02/home.html> no later than November 15, 2011.

Program Matters	Fiscal Matters
Monica Young GradPrinRFP@mail.nysed.gov	Lynn Caruso GradPrinRFP@mail.nysed.gov

Submission

The following documents must be submitted, as detailed in the Submission section of the RFP, and be received at NYSED no later than November 29, 2011 by 3:00 PM:

- One (1) original and five (5) copies of the application (in the format described in Section X) labeled - RFP #GT-02.
- One (1) CD or flash drive containing a copy of the application in Microsoft Word (.doc) format or portable document format (.pdf). Include all appendices, MOA's, and attachments on the CD or flash drive.

The mailing address for all the above documentation is:

NYS Education Department
Bureau of Fiscal Management
Contract Administration Unit
89 Washington Avenue, Room 505W EB
Albany, NY 12234

ATTN: Lynn Caruso, RFP #GT-02

(Facsimile or emailed copies of the proposals are NOT acceptable)

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New York State Education Department Graduate-Level Clinically-Rich Principal Preparation Pilot Program

I. INTRODUCTION

More than ever before, New York State school leaders' knowledge and capabilities are of critical importance in leading a major change to education in the State, as we move to adopt new, rigorous learning standards, new curriculum and assessments, and implement a fair and rigorous educator evaluation system. Highly qualified, committed, creative, and visionary school leaders, will help ensure all of our students meet the high educational standards that are needed to be college and career ready. Indeed, a growing body of research—including a meta-analysis of 30 years of educational research conducted by Mid-continent Research for Education and Learning (McREL)—has shown that principals, after teachers, have the next biggest impact on student learning (Marzano, Waters, and McNulty, 2003).

As we seek to prepare all students to reach these new rigorous learning standards under the Common Core State Learning Standards, we must recognize the challenges we face. The economic condition of the State and nation put increased pressure on schools, and funding at the State and local level may face further reductions. For schools to succeed in this environment, and for students to be successful learners and productive citizens in their communities, we require talented, creative leaders with the vision and commitment to further develop programs and resources to meet these challenges. To compound this challenge, a number of principals currently do not have sufficient knowledge of the changes taking place at the State level that will help prepare all students for college and careers. In addition, when compared to our elementary schools, significantly more of New York's secondary schools are in need of improvement and will only continue to struggle as we near 2014 unless we address the challenge.

Such conditions compel us to make changes to the ways we recruit, select, and prepare educational leaders for our schools, and in the ways we provide them with ongoing support and professional development. Simply increasing the number of individuals certified as school building leaders is not answer enough. The question of quantity, in fact, is secondary to the most important consideration, that of quality, which will be, in part, addressed through comprehensive programs funded by this Request for Proposal (RFP).

II. BACKGROUND A

Nationally recognized educational leaders stress that a full-time clinical experience where School Building Leader (SBL) candidates gain practical experience on the job while learning from an experienced educator is often seen in exemplary leadership programs. Also essential for candidate development is the cohort experience where SBL candidates learn together and rely on each other to problem solve (Darling-Hammond, 2007).

Experience has shown that innovative organizations and program providers that are successful in preparing candidates for the principalship focus heavily on identifying high-quality SBL candidates early in the selection process. The identification of high-quality mentor principals capable of supporting and developing the next generation of principals, and with a willingness to learn, is equally important to principal preparation (Rainwater Leadership Alliance, 2009).

NYSED also recognizes the importance of data and technology in school improvement efforts, and has begun implementing a plan to integrate the use of both to drive instructional practice, as well as decision making, at the school level. Perez et al. (2011) finds that using data

significantly changes candidates' understanding of being a leader, with candidates conceptualizing data as powerful evidence to stimulate urgency for change.

III. BACKGROUND B

Regents Reform Agenda

The Graduate-Level Clinically-Rich Principal Preparation Program shall, to the extent practicable, bolster the entire Board of Regents Reform Agenda, but focus primarily on improving school leader preparation and effectiveness by emphasizing the following key skills and abilities:

- leadership in an environment with Common Core Standards and related new assessments;
- an understanding of and implementation strategies for data-driven instruction;
- improvement of teacher effectiveness by recruiting, developing, and retaining effective teachers while utilizing New York State's rigorous new evaluation system in support of this goal; and
- instructional leadership and support of learning for all students, including English language learners, students with disabilities and those far below grade level.

IV. PURPOSE

The New York State Education Department (NYSED) Graduate-Level Clinically-Rich Principal Preparation Pilot Program is seeking proposals for innovative, clinically-rich principal preparation pilot programs and partnerships that will prepare cohorts of candidates to take roles as principals or assistant principals in high-need, low-achieving schools, particularly in secondary grades or schools, and with high concentrations of underserved and/or underprepared students, like those living in poverty, those with special needs, or those who are learning English as a second language.

NYSED's goals for the Graduate-Level Clinically-Rich Principal Preparation Pilot Programs are for program providers to select SBL candidates who have a demonstrated track record of success with high-need student populations, and are committed to careers as school leaders serving these students, and then place these candidates in year-long intensive clinical experiences with principals who have track records of success leading schools, particularly those with secondary grades, that have high-need populations (i.e., "achieving high-need schools"). Program providers must ensure that in addition to the clinical experience, SBL candidates will receive coursework and rich opportunities to reflect on their experiences together as a cohort of SBL candidates and subsequently build on these experiences in order to reinforce skill development and readiness for full-time leadership roles.

NYSED requests providers to propose innovative partnerships and programs that are grounded in the standards of the Interstate School Leaders Licensure Consortium (ISLLC) and centered on the practice of research-based school leadership skills and best practices, which should be key drivers of student achievement and lead to whole school improvement. Programs must also meet NYSED's requirements and guidelines as outlined below. Most importantly, providers should be partners with the State in this work as we strive to fundamentally change what we expect of our next generation of leaders.

In order to make use of the benefits of this pilot program for future educational purposes, NYSED SHALL OWN ALL MATERIALS (INCLUDING BUT NOT LIMITED TO TRAINING

MATERIALS, ASSESSMENTS, AND SCOPE AND SEQUENCE DOCUMENTS) AND PRODUCTS (SOFTWARE, CODE, DOCUMENTATION, AND OTHER WRITTEN MATERIALS) DEVELOPED UNDER THE AGREEMENTS RESULTING FROM THIS RFP. In the alternative, NYSED shall grant to the awardees the right to copyright the materials produced under the terms of the resulting agreements, however, NYSED AND THE STATE OF NEW YORK SHALL HAVE A NONEXCLUSIVE, IRREVOCABLE, ROYALTY-FREE LICENSE TO COPY, DISSEMINATE, CREATE DERIVATIVES, AND USE IN ANY WAY SUCH COPYRIGHTED MATERIALS, SOLELY FOR EDUCATIONAL PURPOSES¹.

The applicant institution should indicate in its proposal cover page (see Attachment A) which alternative it chooses, NYSED ownership or a perpetual license to NYSED. For either alternative, at the end of the resulting agreement, the awardee shall deliver paper copies and the source code for all such materials to NYSED. The applicant institution shall ensure that any sub-contractor is also bound by these terms.

V. DEFINITIONS

Achieving high-need school

A high-need school that is demonstrating improving performance and/or positive academic growth with one or more groups of high-need students.

Blue Ribbon Commission

A panel of national experts in educational leadership and innovative school change who will review and score proposal narratives.

Clinical experience

A preparation experience that a SBL candidate receives during the program where he or she spends time in one school under the guidance of a principal mentor for at least one school year. The clinical experience must be at least one full school year.

Eligible applicant

An eligible applicant in New York shall mean the following organizations, which shall be not-for-profit:

- 1) An individual named institution of higher education as defined in Education Law § 50.1;
- 2) Systems of institutions of higher education provided that they submit applications on behalf of named institutions within their system, have a written commitment from the named institutions, and the application specifically sets out the role and responsibilities of each named institution;
- 3) An education corporation as defined in Education Law §216-a;
- 4) A corporation having an educational purpose that is formed under the Not-for-Profit Corporation Law or the Business Corporation Law with the consent of the Commissioner pursuant to Education Law §216 (“§216 Consent”);
- 5) A Limited Liability Company having an educational purpose that is formed under the Limited Liability Company Law with §216 Consent;
- 6) Institutions other than institutions of higher education, including, but not limited to, cultural institutions, libraries, research centers, charter-management organizations, and other organizations with an educational mission;
- 7) Institutions that meet the Regulations of the Commissioner of Education in sections 52.1 and 52.21; and

¹ This option does not apply to non-public sectarian institutions of higher education that are not eligible for Bundy Aid.

- 8) Institutions that have their programs registered with the Department prior to the date their Graduate-Level Clinically-Rich Principal Preparation Pilot Program begins.

Eligible partnership

An eligible partnership is defined through a signed Memorandum of Agreement (MOA). For the purposes of this RFP there must be at least one eligible partnership between an LEA and an eligible applicant as defined with a signed MOA. Additional eligible partnerships may include those between a non-profit organization, an Institution of Higher Education in New York State with a registered program in educational leadership that leads to a school building leader certificate, one or more eligible local education agencies (LEAs), a charter-management organization, and/or other non-profit entities or agencies that are able to support in preparing principals and assistant principals for low-performing high-need schools

Local Education Agency (LEA)

Solely for the purposes of this RFP, an LEA is defined as a public school district which has one or more high-need schools, or a charter school that meets the definition of “high-need school,” within New York State.

Low-performing high-need school or high-need school

Solely for the purposes of this RFP, a high-need school is one in which at least 50 percent of students are eligible for free or reduced-price lunches under the Richard B. Russell National School Lunch Act or in which at least 50 percent of students are from low-income families as determined using one of the criteria specified under section 1113(a)(5) of the Elementary and Secondary Education Act (ESEA) AND holds the designation of one of the following:

1. School Under Registration Review (SURR)
http://www.p12.nysed.gov/accountability/APA/SURR/SURR_home.html;
2. School identified as Persistently Lowest Achieving (PLA)
http://www.p12.nysed.gov/accountability/APA/SURR/SURR_home.html;
3. School in Need of Improvement (SINI)
www.p12.nysed.gov/irs/accountability/designations/2010/Nov/Schools-identified-in-improvement-status.pdf).

Memorandum of Agreement (MOA)

An MOA is a written agreement between each of the partners that delineates all roles and responsibilities to which the parties will commit in the contract resulting from this RFP (a sample is included as Attachment B).

Mentor school

School identified by applicant where clinical experience takes place; must be “achieving high-need school,” where school has shown significant recent improvement in student achievement and other measures of student learning and learning environment, and has done so with high-need students, most importantly with English language learners, students with disabilities, and students living in poverty. Mentor schools should also be implementing Education Law §3012-c or for schools that are not required to implement Education Law §3012-c, components of robust teacher evaluation. The proposal must include the methodology used to determine, and evidence of, mentor principal and school success in improving student learning. Mentor schools may be but are not required to be in the same LEA(s) that commits to placing the candidates upon program completion.

Pilot program

The pilot program, including the clinical experience component, as well as any additional content that may be delivered concurrently and other leadership development experiences, must be at least one school year. At completion of the pilot program, candidates must be recommended for initial school building leader (SBL) certificate, and the institution may award either a Master's Degree or a Certificate of Advanced Study.

Placement LEA

LEA identified by the applicant that agrees to place (i.e. hire) program-completers after successful completion of the clinically-rich pilot program. The school(s) within the placement LEA(s) where program completers are placed must be low-performing high-need school(s), so the placement LEA(s) should have sufficient low-performing high-need schools for the placement of program-completers. Placement LEA may be but is not required to be the same LEA where the clinically-rich experiences take place. Location of Placement LEA(s) determines region for funding awards.

Principal mentor

The current building principal identified by applicant who will serve as the primary support to SBL candidates in his/her school during the clinical experience; requirements of principal mentor selection defined in Section VII.

Program-completer

SBL candidate who successfully completes all program requirements as part of the program developed and supported through this RFP, and is pursuing a leadership position within a partner placement LEA in a New York State low-performing, high-need school.

School Building Leader (SBL) candidate

A teacher, or certified administrator, who does not yet hold a school building leader certificate from New York State or similar certificate from another entity and who has never held a principal position, who will be prepared by the applicant to serve as a principal in New York State.

Secondary grades or schools

Secondary grades are defined as those higher than fifth. A secondary school is one that exclusively serves a majority of grades higher than fifth (i.e. 9-12, 6-12, 6-8, etc.).

VI. APPLICANT ELIGIBILITY REQUIREMENTS

In order to be eligible as a provider of a Graduate-Level Clinically-Rich Principal Preparation Pilot Program, institutions must be an eligible applicant as defined in Section V and agree to the requirements of this RFP, indicating their agreement in the Statement of Assurances (Attachment E), which must be submitted with their proposal.

A. Eligible Partnerships

- 1) Each proposal must be submitted by an eligible applicant in partnership with at least one LEA.
- 2) The partnership could additionally include other not-for-profit organizations that provide services supporting SBL candidate and principal mentor development. Examples of partnerships include:
 - a. An institution of higher education partners with the LEA in which it resides, and the LEA agrees to place SBL candidates and successful program-completers in the LEA.

- b. An institution of higher education partners with two LEAs, and one LEA agrees to place all SBL candidates for the clinically-rich mentorship to learn from successful principal mentors, while the other LEA agrees to place successful program completers in positions after they complete the program.
 - c. An eligible applicant partnering with an organization or agency that specializes in supporting English language learners or students with disabilities;
 - d. An institution of higher education partners with a charter-management organization; and/or
 - e. An eligible applicant could partner with a LEA and an organization that supplies services related to the Regents Reform Agenda, like developing candidates in using data for instructional improvement.
- 3) An eligible partnership is defined through a signed MOA as a formal partnership between eligible applicant and LEA(s), and other partners if applicable. (See Attachment B) The MOAs must list the names of the specific schools where the candidates will be placed during the program, and the names of the schools that have agreed to offer a placement to a successful program-completer, if available.
- a. If the proposal does not include an MOA for each partnership, the applicant will be notified, via email, and will then have 5 (five) business days to re-submit any missing and/or incomplete materials. The MOA must outline the roles and responsibilities of each of the partners in the design, implementation, and evaluation of the pilot program, as well as outline the specific services, materials, and/or fiscal resources to be provided.
 - b. The application must include MOA(s) with eligible LEA partner(s) that, for each SBL candidate, demonstrate a willingness and ability to place SBL candidates during the clinically-rich experience and/or after program completion.
 - c. The MOA(s) must specify that the eligible LEA partner(s) mentor school(s) are implementing Education Law §3012-c. Charter school LEAs must provide assurance in their MOA(s) that they have implemented, or have a letter that confirms an agreement to implement, a teacher and principal evaluation system that is rigorous, uses student growth data, and aligns to NYSED's four rating categories (Highly Effective, Effective, Developing, Ineffective) to the best of their ability.
- 4) The mentor LEA partner(s) must have sufficient achieving high-need schools, as defined in Section V, located within the LEA, to which the SBL candidates will be assigned, and placement LEA partner(s) must have sufficient low-performing high-need schools as defined in Section V in which program-completers will be placed. It is the responsibility of the applicant to determine which schools are achieving gains sufficient for this selection as mentor schools for placement of SBL candidates for this pilot program, and these schools should be identified at the time of application as they will be assessed as part of the scoring by the Blue Ribbon Commission.
- 5) Applicant institutions shall include letters of support indicating their track record in preparing SBL candidates to lead low-performing high-need schools and to improve student learning there. These letters should include specifics about this track record as well as the length of time and type of relationship that they have been able to build and sustain in partnerships with schools, communities, and other entities to further student learning.
- 6) Applicants must ensure, where applicable and in accordance with law and regulation, that new initiatives described in their application are allowable under collective bargaining agreements, if applicable. Part of Attachment C, Assurance of Joint Commitment form, certifies this is true and must be completed and included in submitted proposal.

B. Program Requirements

- 1) All programs should recommend candidates for an initial School Building Leader certificate, lead to the awarding of a Master's Degree or Certificate of Advanced Study, and prepare candidates for service as a principal or assistant principal in a high-need school in New York State. Applicants must fill out the Graduate-Level Clinically-Rich Pilot Program Registration Document to be submitted in the application package for review by the Office of College and University Evaluation (OCUE).
- 2) Institutions shall agree, if awarded program funds, to coordinate with the Office of College and University Evaluations (OCUE) to ensure that the program is registerable. Institutions must submit the Graduate-Level Clinically-Rich Pilot Program Registration Document with their application to determine potential eligibility for program registration according to §52.21(c) of the Commissioner's Regulations. OCUE will review the program registration and will advise applicants of any deficiencies. Applicants who are advised of deficiencies in their program registration application will be given 5 (five) business days to successfully address those deficiencies in their Graduate-Level Clinically-Rich Pilot Program Registration Document. Graduate-Level Clinically-Rich Pilot Program Registration Document may be found online, at the bottom of the RFP #GT-02 webpage: <http://usny.nysed.gov/rttt/rfp/gt-02/home.html>.

C. SBL Candidate Minimum Qualifications Requirement

Programs must ensure that candidates meet the following mandatory minimum requirements:

- 1) A baccalaureate or graduate degree and at least a 3.0 cumulative grade point average, or its equivalent, in the program leading to the baccalaureate or graduate degree, or shall have been found by an officer designated by the registered program to have the necessary knowledge and skills to successfully complete the program, which finding shall be in writing and include the basis for that finding;
- 2) Permanent or professional certificate in a classroom teaching service or pupil personnel service, or to demonstrate the potential for instructional leadership based on prior experiences that are evaluated using criteria established by the program and uniformly applied;
- 3) Three years of experience in the classroom teaching service and/or pupil personnel service prior to participation in the pilot program; and
- 4) Written commitment to be a school building leader for at least four years in a New York State low-performing high-need school after completion of this program.

D. Reporting and Evaluation Requirements

- 1) Institutions shall agree to submit an interim report by August 1, 2013 and a final report covering the entire project by August 23, 2014.
 - a. The interim report must be submitted at the end of the first year and will be used to determine progress toward milestones proposed by the applicant and placement targets set by NYSED (75 percent of program-completers successfully placed as principals or assistant principals in high-need schools in New York State). Up to 20 percent of per candidate Year 1 funding could be withheld as a result of failing to submit an interim report or for not meeting placement targets set for the program. If the placement target of 75 percent is not met prior to submission of the interim report, the awardees' budget will be proportionally reduced by the amount of the percentage deficiency from the composite budget. For example, if the actual candidate placement is six of the eight candidates who were enrolled in the pilot program, the awardees' budget will be reduced by 20 percent of the per candidate costs for two candidates. The interim program report must include the following information.

- (1) Summary of programmatic learning to date as it relates to training principals for high-need schools;
 - (2) number of SBL candidates and mentor principals who begin and complete program;
 - (3) number of program-completers successfully placed as a principal or assistant principal in a high-need school in New York State
 - (4) evidence of SBL candidate learning;
 - (5) program improvement data;
 - (6) program evaluation data;
 - (7) expenditures;
 - (8) personnel changes; and/or
 - (9) faculty qualifications and loads.
- b. The final year report will be submitted after the second year of the program, and will be summary in nature. It will be used to determine if the applicant met NYSED placement targets (75 percent of candidates successfully placed as principals or assistant principals in high-need schools in New York State). Failing to submit a final year report or not meeting NYSED placement targets could result in withholding of up to 20 percent of per candidate funds in Year 2 for each candidate that is not placed. Format and required information for the final year report will be similar to that of the interim report.
- 2) Institutions shall agree to participate fully in any research-based evaluation conducted by NYSED or an external party authorized by NYSED and/or the Board of Regents.
 - 3) LEAs included in the application must implement teacher and principal evaluation in the mentor school(s) in compliance with Education Law §3012-c. Applications will not be considered if the LEA does not plan to implement teacher and principal evaluation in the mentor school(s) in compliance with Education Law §3012-c in 2012-13 and has indicated that in the application, or if the applicant fails to provide a letter that confirms an agreement for the mentor school(s) to be implementing teacher and principal evaluation, that includes the name of the teacher and principal practice rubrics chosen by the LEA(s), in compliance with Education Law §3012-c signed with their collective bargaining unit(s) for the 2012-13 school year (Attachment C.) Charter school LEAs must provide assurance that they have implemented, or have a letter that confirms an agreement to implement, a teacher and principal evaluation system that is rigorous, uses student growth data, and aligns to NYSED's four rating categories (Highly Effective, Effective, Developing, Ineffective) to the best of their ability.

E. Funding Requirements

- 1) Applicants should demonstrate that the awarded funds will not be used to supplant current expenditures on leadership preparation by applicant or the partnering LEAs. Applicants with programs that currently prepare SBL candidates for service in any LEA will have to demonstrate in their proposal that they will be taking on additional candidates, opening up programs with a different design, etc., for the purposes of this initiative (See Statement of Assurances [Attachment E]). LEAs partnering with institutions will need to demonstrate similarly that the number of SBL candidates funded under this grant will be over and above existing principal preparation efforts funded by the LEA directly or through grants obtained by the LEA, if any. Proposals should include, as relevant:
 - a. the number of SBL candidates the preparation program has graduated for the past three years;
 - b. the number of SBL candidates program leaders plan to prepare regardless of obtaining grant funds over the grant life;

- c. the number of SBL candidates completing an LEA-funded or sponsored principal preparation program for each of the LEA partners in the application.

VII. PROGRAMMATIC NARRATIVE REQUIREMENTS

A. Core Program Design for SBL Candidates

Recruitment and Selection of SBL Candidates

The selection of high-quality educators who are ready and willing to become building leaders in low-performing high-need schools is a crucial component to the success of this pilot program. Equally important is an innovative standards-aligned program that uses performance assessments in a meaningful way and that structures the clinical experience in such a way that both the SBL candidate and principal mentor both show significant professional growth during their time together.

Programs must provide their plans for recruiting and selecting a diverse set of candidates that demonstrate the following, in addition to the minimum qualifications in Section VI(C):

- 1) A track record of achieving learning gains in past roles as a teacher, teacher leader, or assistant principal;
- 2) Readiness to lead a turnaround effort, and intent to do so for four years in a New York State low-performing high-need school;
- 3) Experience with such proven strategies as Response to Intervention and Positive Behavioral Intervention and Supports; and
- 4) Strong instructional knowledge; including research-based instructional strategies to improve the performance of students with disabilities and English language learners, including native and English language development.

Program Alignment and Delivery: Applicants should also describe how the design of the clinical experience, coursework, curriculum delivery, and performance assessments are aligned to ISLLC 2008 standards and the Board of Regents Priorities.

ISLLC 2008

- Facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by the school community;
- Advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth;
- Ensuring management of the organization, operations, and resources for a safe, efficient, and effective learning environment;
- Collaborating with families and community members, responding to diverse community interests and needs, and mobilizing community resources;
- Acting with integrity, fairness, and in an ethical manner; and
- Understanding, responding to, and influencing the larger political, social, economic, legal, and cultural content.

Innovative, Research-Based Program: Applicants must provide a clear and rational description of how the suggested program is innovative, while incorporating practices that are research-based and/or rooted in best practice literature.

Use of Performance Assessments: Applicants must include in their proposal how they will use formative assessments to provide candidates with substantive feedback and target supports

throughout the program, as well as summative assessments to determine candidates' readiness for a role as a principal. Programs may attach samples of the performance assessments used in their programs to the Blue Ribbon Commission Proposal Narrative, which will not count toward their maximum page count.

Clinical Experience Design: description of how the clinical experience will develop and support candidates, including a thorough description of the candidates' roles and responsibilities while working in the mentor school.

B. Core Program Design for Principal Mentors

Principal Mentors should serve as one of the primary supports to SBL candidates during their clinical experience, so a rigorous selection process that screens for highly effective principal mentors capable of supporting SBL candidates in achieving high-need schools is key to a successful mentorship program. This program also must support principal mentors so that they continue to develop and learn as professionals, and successfully mentor the SBL candidates in their building. Programs should also include their plan for assessing principal mentors' learning and ability to serve in the capacity necessary for this program.

Recruitment and Selection of Principal Mentors: Rationale, methodology, and process for selection of principal mentors, including relevant research base, with an explicit focus on:

- High expectations for everyone in school;
- An ability to teach and lead adults;
- An openness to learning; and
- Knowledge of strategies for English language learners and students with disabilities.

Selection of Mentor Schools: Rationale, methodology, and process for selection of mentor schools, with a requirement for, and evidence of, schools where improved results and/or positive student learning is being achieved by the identified mentor principal with high-need populations (even if the school still has more to do to reach college and career readiness levels of achievement for all). These include, but are not limited to, significant improvements in the following areas:

- Regents exams and/or state assessments
- Graduation Rates
- Student and/or teacher perceptions of learning environment and culture

Mentor schools included in the application must implement teacher and principal evaluation in compliance with Education Law §3012-c. Charter schools that will serve as mentor schools must be implementing a teacher and principal evaluation system that is rigorous, uses student growth data, and aligns to NYSED's four rating categories (Highly Effective, Effective, Developing, Ineffective) to the best of their ability.

Principal Mentor Training: Applicants should provide a description of the scope of training provided to principal-mentors for continuous development, including the additional LEA training required for the LEA's specific approach to robust teacher evaluation as required by Education Law §3012-c or a charter school LEA's professional evaluation system.

Principal Mentor Support: Applicants should also include a description of the support principal-mentors receive during the program, and how it fosters open communication and collaboration between program provider, candidate, and mentor.

C. Organizational Capacity of Providers

Applicants must provide a description of the organizational capacity of all partners to carry out the proposed principal preparation pilot program, and should address their demonstrated track record in the field.

Collaboration Between Program Providers and Partnering LEA(s): Applicants should provide a description of how the partners collaboratively developed the program. Applicants should be explicit about each partner's role in developing the program so that all needs are met during the pilot, and include a description of the timelines for implementation, resource allocation, and how the program will be managed.

Partner Capacity to Support SBL Candidates and Mentor Principals: Applicants should provide a description of how the partners will support SBL candidates and principal mentors during clinical experience.

Demonstration of Impact on Student Outcomes: Applicants should provide a description of each partner's track record of impact on student outcomes, or work in service of students with disabilities, English language learners, and students living in poverty.

D. Program Evaluation

Pilot program partners must be willing to report to the State evidence of impact with high-need populations, specifically students living in poverty, English language learners, and students with disabilities. The State will work with grantees to define this after selection for submission with the interim and final pilot program report. Leading and lagging indicators of pilot program impact will align to the State's priorities, and will include:

- 1) Evidence of professional growth for SBL candidates and principal mentors;
- 2) Placement and retention of candidates in New York State low-performing high-need schools upon completion of program or within six months;
- 3) Improved student, teacher and/or parent perceptions of instruction and/or school climate;
- 4) Improved learning climate metrics like discipline incidents and student suspensions; retention of highly effective teachers; change in teacher evaluation practices;
- 5) Gains in student learning, possibly for students at the lower levels of achievement as well as those at the advanced level; impact in closing the achievement gap;
- 6) Improved graduation rates: overall graduation rate, as well as advanced designations;
- 7) Improved college-readiness/college-going rates of students;
- 8) Indicators of progress with English language learners and students with disabilities;
- 9) Improved evaluations of teachers in target schools.

VIII. BOARD OF REGENTS NARRATIVE REQUIREMENTS

A. Regents Reform Agenda and Innovation

The Board of Regents Narrative should be a description of how this proposal aligns with the Regents Reform Agenda as described in Section III, and how the applicant has proposed an innovative approach to address this agenda. An innovative program must incorporate research-based approaches to principal preparation that include clinically-rich education models. The narrative should also provide a description of how the awardee will ensure that SBL candidates complete the program with a deep understanding of Regents Priorities AND encourage candidates to use technology to support their implementation of the following Regents Priorities:

- 1) *Common Core State Learning Standards* - understanding and leading with the Common Core;

- 2) *Using Data* - utilizing student learning data for instructional improvement and for teacher evaluation; and
- 3) *Teacher Evaluation* - assessing teachers using observation rubrics, and developing them based on that information, and information about the learning growth of their students.

B. Serving High-Need Communities

Included in the Regents narrative should be a description of how the program prepares SBL candidates to work in a low-performing high-need school, particularly in secondary schools or schools with secondary grades, and partner with and engage diverse communities, all with a focus on improving teachers' capacity to improve student achievement for educationally at-risk students, such as students with disabilities, English language learners, and students living in poverty. Applicants should also describe the type(s) of relationship(s) they currently have with high-need school(s) in this section.

C. Sustainability

Applicants should include in their plan for program and financial sustainability the following information that would demonstrate their ability to continue this pipeline once Race to the Top money is exhausted:

- 1) *Building of institutional capacity*: description of a plan for how this pilot program, or key components of it, will continue after the pilot is completed.
 - a) *Continuation of mentor support structure*: how could mentor principals trained under this program be utilized after the grant ends in ways that further build the pipeline for future school leaders
 - b) *Support of graduates after program completion*: description of how institutions and/or LEAs currently monitor new SBLs while on the job as administrators and the institutions' and LEAs track record for supporting graduates after graduation, as well as plans for monitoring and supporting graduates in the future.
- 2) *Responsibility for costs related to program*: programs should describe the proportion of the expenditures each partner will be financially responsible for related to preparation (See Table 2 below), including SBL candidates' salary or stipend and mentor principal stipend, if applicable, and potential funding sources that could be used to continue this program in the future. Describe how the Race to the Top funding source will be replaced at the end of the program, either through identification of the partner who would take over these costs or identification of new or repurposed funding streams to cover these costs. Please include Table 2 with your Board of Regents Narrative.

Table 2: Percent of Shared Costs Related to Program for Determination of Sustainability

Line No.	Category	Percent of Proposed Shared and Other Funds		
		Total % of LEA Contribution (1)	Total % of Institution Contribution (2)	% of Other Sources Contribution (3)
1	SBL candidate Salaries/Stipends			
2	Principal Mentor Stipends			
3	Tuition and Tuition-Related Expenses			
4	Other (please identify: _____)			

IX. NARRATIVE FORMAT

The *Programmatic Narrative* document should be **25 pages maximum**, double-spaced and single-sided in 12-point font with 1” margins on all sides on 8 ½” x 11” size pages (other submission documents are not counted toward this page limit). The name of the applicant must appear in the top right corner of each page. All pages must be numbered. The Programmatic Narrative should present a cohesive document with each individual section related to all other sections, and should include all areas identified in Section VII: Programmatic Narrative Requirements.

The *Board of Regents Narrative* should be a **ten page** summary (double-spaced, single-sided in 12-point font with 1” margins on all sides on 8 ½” x 11” size pages. Table 2 is not counted toward this page limit) and include a description of how the proposed Graduate-Level Clinically-Rich Principal Preparation Program will address and accomplish the Regents Priorities identified in Section VIII. The *Board of Regents Narrative* should present a cohesive document separate from the *Programmatic Narrative*.

X. PROPOSAL FORMAT

A complete proposal application consists of one package that includes the following:

- Proposal Cover Page (Attachment A)
- Table of Contents
- Programmatic Narrative (maximum of 25 pages)
- Board of Regents Narrative (maximum of 5 pages)
- Application for Program Registration (submitted in a separate envelope)
- FS-10: Proposed Budget for a Federal or State Project (Download from NYSED website: <http://www.oms.nysed.gov/cafe/forms/>) **(Include a separate FS-10 for each region where funding is being requested.** Submit in a separate envelope with the Budget Narrative.)
- Budget Narrative and Funding Source (Attachment E) **(Include a separate Funding Source Attachment for each region where funding is being requested.** Submit in a separate envelope with the FS-10.)

- Additional Required Attachments (include one (1) set of attachments in a separate envelope)
 - Partnership MOA(s), (sample Attachment B)
 - Attachment C, Assurance of Joint Commitment form
 - Attachment D, Participating LEA Data
 - Attachment E, Statement of Assurances
 - Attachment G, Budget Summary (Include a single Budget Summary that covers expenses over the entire award period for all regions where funding is being requested.)

XI. BUDGET NARRATIVE

The budget narrative shall be no longer than two pages, and should include the Funding Source Attachment (Attachment F). The Funding Source Attachment will not be counted toward the two page maximum and is separate from the FS-10. The budget narratives must describe how the proposed expenditures will be used to support the project activities and contribute to the program goals. The budget narrative must show costs are reasonable and necessary to support the project activities and goals. The narrative must also justify all proposed expenditures and indicate the basis of calculation for each cost. In addition the narrative must specify the number of SBL candidates who will be enrolled in the proposed program per year.

The applicant should provide information for each expenditure in a manner that allows reviewers to clearly understand the basis of calculation and evaluate whether it clearly aligns with the program activities, and whether it is reasonable in cost and necessary for the achievement of program goals, and describe how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided. The budget narrative expenditure descriptions should also include a description of any institutional and/or other source contributions.

A. Follow these guidelines for use with the FS-10 form:

- 1) Each FS-10 budget should include the applicant name and the title of the grant. Although the grant award period is for two years and five months (March 15, 2012 to August 23, 2014), applicants should submit a FS-10 form for the initial project period – the planning phase of March 15 to June 30, 2012 – AND the first year of implementation – July 1, 2012 to June 30, 2013. **A separate FS-10 must be submitted for each region where funds are being requested during each fiscal period.**
- 2) Under Codes 15 and 16: Identify each salaried position by the position title, the anticipated salary, and the time contribution. Any other related expenditure information should also be provided.
- 3) Under Code 80: Indicate the actual institutional percentage rate for each category of fringe benefits.
- 4) Under Code 40: For each consultant identified under the Purchased Services category, indicate the per diem or hourly rate. For services and all other items, the unit rate or estimated average rate must also be provided.

XII. APPLICATION REVIEW AND SCORING

Applications have a total value of 100 points: 60 points for the *Programmatic Narrative* section, 20 points for the *Board of Regents Narrative* section, and 20 points for the *Budget Narrative* section. These reviews will occur concurrently as described below. Proposals must receive at least 75 percent of total points available (75 points) in order to be eligible for an award. All proposal applications must be mailed to and received by the NYSED Office of Educator Effectiveness by the due date.

A. Blue Ribbon Commission (BRC) Review

The *Programmatic Narrative* section of all proposals will be reviewed by a Blue Ribbon Commission (BRC) of national and local experts in the field of leadership preparation. Two members of the BRC will assess each narrative for evidence that the application satisfactorily addresses each area identified in the Programmatic Narrative Guidelines, Section VII. The maximum number of points a proposal can receive is 60.

In the event there is a 15-point or more difference between the scores assigned to the proposal by the two reviewers, a third BRC reviewer will evaluate the proposal. The two scores mathematically closest to each other will be averaged for the BRC score unless the difference between the third review score and the first two are equidistant; in which case the third reviewer's score will be solely used as the BRC score.

B. Board of Regents Review

The *Board of Regents Narrative* will be concurrently reviewed by a Committee of the New York State Board of Regents (Committee) for scoring of the Regents Priorities. The Chancellor will appoint members of the Board of Regents to serve on the Committee to review the narratives submitted under this pilot program. Applications may receive up to 20 points in this review.

The Board of Regents Narrative will be reviewed and scored by two members of the Committee. The scores from the two Committee reviewers will be averaged to create a Final Board of Regents Score. The Final BRC Score and the Final Board of Regents Score will be added together to compute the Final Programmatic Score.

C. Program Office Budget Review

The budget and budget narrative for each region will be reviewed by the Program Office for scoring of the *Budget Narrative* out of 20 points. **Applicants may apply for funds from more than one region, with a total cumulative pilot program award amount not to exceed \$960,000 per applicant and/or over \$60,000 per SBL candidate.** NYSED will determine amount per SBL candidate by dividing the regional funding requested for each region by the number of SBL candidates proposed for each region.

The budget and Budget Narrative submission must include and comply with the following:

1. Completed FS-10 (<http://www.oms.nysed.gov/cafe/forms/>) that shows in detail all expenses requested from the Clinically-Rich Graduate-Level Principal Preparation Pilot Program funds during the planning period and another FS-10 detailing expenses for the first full year. A separate FS-10 is required for each region where funding is being requested.
2. Completed Budget Summary forms (Attachments F and G) including summary expenses of the requested funds from the program for the entire award period and the yearly summary expenditures. A summary of any district and other source contributions, if any, should be listed on the Funding Source Attachment chart where requested. A separate Funding Source Attachment must be submitted for each region where funding is being requested.
3. A narrative that justifies all proposed expenditures and indicates the basis of calculation for each cost during the entire award period. For each item, provide the information in a manner that will allow reviewers to clearly understand the basis of calculation for each proposed expenditure. Also include in the budget narrative, at a minimum:
 - a. a description of any LEA, institutional, and other source contributions;

- b. a description of how the proposed expenditures are appropriate, reasonable and necessary to support the project activities and goals; and,
- c. a description of how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided.

Criteria for submitted budgets:

- The proposed budget lists separate costs for each region where funding is being requested. Budgets **must** break out costs by region if they are applying for funding in multiple regions.
- The proposed budget is thorough, specific, and supports the proposed project.
- The proposed budget presents expenses that are allowable, realistic, accurate, cost-efficient, and clearly relate to and reflect project activities, objectives, and outcomes.
- The costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.
- The estimated number of SBL candidates to be served is stated, and the costs per SBL candidate do not exceed \$60,000.
- The requested funds to cover tuition for SBL candidates do not exceed \$20,000.
- The required personnel, professional and technical services, and/or travel for the proposed project are clearly and adequately explained.
- The justifications for expenditures are reasonable and clearly explained.
- The costs for supplies and materials are reasonable and adequately justified.
- The costs do not exceed the maximum of \$960,000 per applicant.
- Indirect costs are not allowed.

The Program Office will then add the point scores for Final Programmatic Score and the Budget Score, and will ensure submitted budgetary information meets the State's requirements. The applications will be rank ordered by region based on their scores.

D. Program Registration Review

All applicants must include a completed Graduate-Level Clinically-Rich Pilot Program Registration Document (<http://usny.nysed.gov/rttt/rfp/gt-02/home.html>) in the application package. The Office of College and University Evaluation (OCUE) will conduct a thorough review of this application (see Section VI(B) for details). Only winning proposals' Graduate-Level Clinically-Rich Pilot Program Registration Document will be reviewed by OCUE and those programs will receive notice of Program Registration approval within 50 days of award notice.

XIII. METHOD OF DETERMINING AWARD AMOUNTS

A. Regional Awards

All proposals that receive at least the minimum required 75 points from the application review and scoring will be ranked within each region being proposed. Regional awards will be made to the highest ranked proposal(s) to successful applicants who meet all the requirements of the RFP. Applicants must identify which region(s) they are requesting funding in. The region(s) is based upon the location of the LEA's schools that will place the program-completers, not the location of the applicant institution, the mentor school, or other partners. Awards will be made to the highest ranked applications in each region until funds for the region are not sufficient to grant a complete award. At the point when complete awards are not possible from the funds remaining in any of the regions, the funding will be combined into a statewide pool and will be distributed beginning with the highest ranked proposal across all regions that has not yet received funding. More funds may be available in several regions than are allowed by the

program funding maximums listed in Section XIV: Awards and Allowable Uses of Funds, so it is very likely that additional programs will be funded through the statewide pooled approach.

Applicants may apply for funds from more than one region, with a total cumulative pilot program award amount not to exceed \$960,000 per applicant. Applicants must identify the region(s) for which they are applying on the Proposal Cover Page; one proposal may cover multiple regions. Applicants must also separately list the costs for each region (if multiple regions are included). For the purposes of this RFP, applicants do not have to be located in the same region as the program-completer placement LEA(s), mentor school(s), or other entities with which they will partner. The available funds allocated to each region are based on the number of schools identified as in need of improvement under NCLB in that region as a proportion of all SINI schools across the state. Applicants may not be funded in all regions that they apply for.

Table 3: Regional Funding Available by Need

	% of SINIs*	Funding Available
Queens/Staten Island	9.9%	\$ 985,950
Brooklyn	15.1%	\$ 1,500,674
Manhattan	8.9%	\$ 884,455
Bronx	15.9%	\$ 1,580,420
New York City Total	49.9%	\$ 4,951,500
Buffalo Region	6.8%	\$ 674,216
Syracuse Region & North Country	8.8%	\$ 877,206
Rochester Region & Southern Tier	9.4%	\$ 935,203
Capital Region	6.1%	\$ 608,969
Yonkers Region	10.9%	\$ 1,080,196
Long Island	8.0%	\$ 790,210
Rest of State	50.1%	\$ 4,966,000
Total		\$ 9,917,500

*SOURCE: NYSED Office of Accountability; Projected 2011-12 SINI Data

B. Successful Program-Completer Placement Targets

With regard to the number of candidates in both the total program and individual cohorts, applicants are urged to only propose programs for which they (and their partner(s), if applicable) can commit to placing successful program-completers in low-performing high-need schools before the beginning of each school year. Applicants will be held to meet a target of 75% for placement of successful program-enrollees into low-performing high-need schools in the partnering placement LEA(s). NYSED recognizes that not all SBL candidates will successfully complete the pilot program and be placed in a high-need school, as the expectation is that programs will use rigorous criteria for determining which SBL candidates are ready for placement as principals or assistant principals in high-need schools.

Programs that fail to meet the placement target will not be reimbursed up to 20% of the per candidate funds for each of the unplaced candidates.

C. Loss of Funding

Institutions may lose some or all funding if they do not meet the following requirements:

- The proposed program will lose all funding if it is not registered with OCUE within fifty days from the date of the grant award letter; and/or
- The program could lose up to 20% of per candidate funding for each of the unplaced candidates if the program does not meet the minimum placement target of 75% for program-completers. Per candidate funding is calculated by dividing the total budgeted amount by the number of participating SBL candidates.

XIV. AWARDS AND ALLOWABLE USES OF FUNDS

Project Period:

NYSED anticipates granting awards for the Graduate-Level Clinically-Rich Principal Preparation Pilot Program in February 2012. Awardees will enter into a grant contract and upon approval may begin work in the spring or summer of 2012. This RFP will provide funds for school years 2012-13 and 2013-14, with programs ending in August 2014.

Program and Cohort Maximums

Awards will be made to successful applicants/projects at a rate of up to \$60,000 per SBL candidate for allowable expenses (as identified in Section VII: Programmatic Narrative Requirements and Section IX: Board of Regents Narrative Requirements), with a maximum funding of 16 candidates over the two-year funding period, with yearly cohorts no larger than 8. Applicants may recruit candidates above the maximum number, however funding per candidate and maximum number of funded candidates, will be maintained at the limits specified in this RFP. Total program funding will not exceed \$960,000 for any single eligible applicant.

Allowable Uses of Funds

Applicants may apply for up to \$60,000 per SBL candidate within their proposed Graduate-Level Clinically-Rich Principal Preparation Pilot Program. The total cost per SBL candidate for the program proposed by the applicant may exceed \$60,000, but the applicant may only request up to \$60,000 per candidate to be funded through this RFP. Adjustments to an award amount will occur if items within the proposed budget are deemed to be non-allowable or inappropriate. Allowable uses of funds are limited to the following three categories:

- A. Tuition: Program tuition and fees, up to \$20,000 per candidate;
- B. Stipends: SBL candidate and principal mentor stipends;
- C. Program: Program development costs, including materials, incurred at commencement of program. Program development costs cannot include any capital equipment/capital furniture purchases².

The sustainability of program costs will be reviewed and scored by the Board of Regents to determine sustainability of the program. The structure of program costs will be reviewed and scored by the Program Office as part of the Budget Review. As funds are limited to \$60,000 per candidate, applicants should be thoughtful about how they structure costs for this program so that it will be considered sustainable and makes efficient use of funds. Applicants cannot be reimbursed or funded for any activities that take place before final approval of a contract or the approved contract start date, whichever is earlier.

² Non-public sectarian institutions of higher education that are ineligible for Bundy Aid may not purchase equipment/materials that are not completely consumed by the end of this grant period.

XV. BLUE RIBBON COMMISSION PROGRAMMATIC NARRATIVE SCORING RUBRIC

The following elements included in Sections VI and VII will be scored by the Blue Ribbon Commission, worth a total of up to 60 points.

Blue Ribbon Commission Proposal Narrative Scoring Rubric Allotted Points	Points Available
Core Program Design for SBL candidates	30 points
<i>Recruitment and Selection of SBL candidates (10 points)</i>	
<i>Program Alignment and Delivery (5 points)</i>	
<i>Innovative, Research-Based Program (5 points)</i>	
<i>Use of Performance Assessments (5 points)</i>	
<i>Clinical Experience Design (5 points)</i>	
Core Program Design for Principal-Mentors	15 points
<i>Recruitment and Selection of Principal-Mentors (5 points)</i>	
<i>Selection of Mentor Schools (5 points)</i>	
<i>Principal-Mentor Training (3 points)</i>	
<i>Principal-Mentor Support (2 points)</i>	
Organizational Capacity of Providers	12 points
<i>Collaboration Between Program Providers and Partnering LEAs (4 points)</i>	
<i>Partner Capacity to Support SBL Candidates and Mentor Principals (4 points)</i>	
<i>Demonstration of Impact on Student Outcomes (4 points)</i>	
Program Evaluation	3 points

XVI. BOARD OF REGENTS NARRATIVE SCORING RUBRIC

The following elements included in Section VIII: Board of Regents Narrative Requirements will be scored by the Board of Regents and are worth up to 20 points. Scores from this round will be combined with those earned from the Blue Ribbon Commission scoring, and proposals will be forwarded to the Program Office for scoring of the Budget Narrative.

Board of Regents Narrative Scoring Rubric Allotted Points	Points Available
Regents Reform Agenda and Innovation	6 points
Serving High-Need Communities	8 points
Sustainability	6 points

XVII. BUDGET SCORING RUBRIC

The elements included in Section XI: Budget Narrative will be scored by the Program Office and are worth up to 20 points. After the Program Office scores the budget, a total score will be calculated based on the final scores of all three parts of the review. The final score will be used in the determination of awards.

XVIII. PROJECT SCHEDULE

A. Start Date (March 15, 2012)

Awarded programs may begin recruiting candidates once they have an approved contract and completed program registration. Applicants may budget for planning time from execution of the contract to program start date, but should note this in their budget narrative.

B. Report Due Dates

Each funded project is responsible for completing and submitting interim and final reports. Report templates will be forwarded to funded projects only.

1. Interim Program Report (due August 1, 2013)
2. Final Program Report (due August 23, 2014)
3. Final Fiscal Reports (due August 23, 2014)

C. Payment Schedule

1. Funds will be distributed using the NYSED grant contract payment process. The first payment of 20% of the first period budget will be generated upon the execution of the grant contract providing that the grantee has met all program registration requirements. Thereafter, additional payments (up to 90 percent of the grant amount per program year) are generated only by the submission of an FS-25: Request for Funds for a Federal or State Project form. Requests for Interim Payments may only represent actual expenditures plus anticipated expenditures during the next month. All FS-25's must be submitted directly to the State Education Department Grants Finance Unit at the address listed on the form for payment.
2. A final payment for the balance of the budget period will be made after an FS-10-F: Final Expenditure Report for a State or Federal Project is submitted to the Grants Finance Unit and approved. The FS-10-F is due in the Grants Finance Unit no later than 90 days after the end of each budget period.

D. End Date (August 23, 2014)

XIX. APPLICANT WEBINAR, QUESTIONS, AND CORRESPONDENCE

A. Applicant Webinar

The New York State Education Department will host an Applicant Webinar on October 31, 2011 from 2:00 – 4:00 PM. To reserve a spot in the webinar, send an e-mail to GRADPRINRFP@mail.nysed.gov, Subject: "Applicant Webinar Reservation."

All interested applicants should consider attending this webinar because critical project information will be shared, followed by a question and answer period.

B. Important Dates

Activity	Date
Issue of RFP	10/19/2011
Applicant Webinar	10/31/2011
Final Receipt of Questions	11/4/2011
Official Responses to Questions	11/15/2011
Proposal Due Date	11/29/2011
Anticipated Notification of Awards	2/15/2012
Project Start Date	3/15/2012

C. Submission

Proposals must be mailed or delivered to:

NYS Education Department
Bureau of Fiscal Management
Contract Administration Unit
89 Washington Avenue, Room 505W EB
Albany, NY 12234

ATTN: Lynn Caruso, RFP #GT-02

Applicants must submit one original and five (5) copies of the application, along with one electronic copy in MS Word or pdf on a CD or flash drive, as described in Section X: Proposal Format. The original must be clearly identified with the original signature of the applicant CEO or designee; of the superintendent or designee in the partnering LEA(s), as applicable; and/or of CEO or designee of other partner(s) included in application, as applicable on each required attachment. FAXED OR EMAILED SUBMISSIONS ARE NOT ACCEPTABLE.

D. Correspondence

Any questions regarding this request for proposal must be submitted by e-mail to GRADPRINRFP@mail.nysed.gov no later than the close of business on November 4, 2011, and a summary of questions and answers will be posted by November 15, 2011 at: <http://usny.nysed.gov/rttt/rfp/gt-02/home.html>.

Questions regarding this request should be identified as either “Program” or “Fiscal.”

Program Matters Name: Monica Young Email: GradPrinRFP@mail.nysed.gov	Fiscal Matters Name: Lynn Caruso Email: GradPrinRFP@mail.nysed.gov
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XX. RESERVATION OF RIGHTS

NYSED reserves the right to: (1) reject any or all proposals received in response to the RFP; (2) withdraw the RFP at any time, at the agency’s sole discretion; (3) make an award under the RFP in whole or in part; (4) disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP; (5) seek clarifications of proposals; (6) use proposal information obtained through site visits, management interviews and the State’s investigation of a bidder’s qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency’s request for clarifying information in the course of evaluation and/or selection under the RFP; (7) prior to the bid opening, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it becomes available; (8) prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments; (9) change any of the scheduled dates; (10) waive any requirements that are not material; (11) negotiate with the successful bidder within the scope of the RFP in the best interests of the State; (12) conduct contract negotiations with the next responsible bidder, should the agency be unsuccessful in negotiating with the selected bidder; (13) utilize any and all ideas submitted in the proposals received; (14) unless otherwise specified in the solicitation, every offer is

firm and not revocable for a period of 90 days from the bid opening; (15) require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an bidder's proposal and/or to determine an bidder's compliance with the requirements of the solicitation; (16) to request best and final offers.

XXI. PUBLIC RELATIONS/ATTRIBUTIONS OF FUNDING

In order to ensure the continued support and the commitment of resources to projects, there must be public awareness of the program's positive impact on the lives of project participants and their families, schools, and communities. Positive publicity and community awareness also help to ensure that those who are eligible and who could benefit from participation are informed of the project's existence.

To facilitate public awareness, all funded projects are required to ensure that all public relations materials and activities, such as project brochures and award ceremonies, acknowledge that the project and its activities are supported, in whole or in part, by a grant from the New York State Education Department. In addition, when local, Statewide, or national media report on the project's success or on honors received by students or staff, New York State Education Department funding must be acknowledged.

In addition, the project director should submit copies of all local, Statewide, or national media stories about the project and/or the project participants and staff to the State Education Department at the following address:

New York State Education Department
Office of Higher Education
Office of Educator Effectiveness
89 Washington Avenue, Room 1071 EBA
Albany, NY 12234
ATTN: Graduate-Level Clinically-Rich Principal Project Manager

XXII. CONTRACT AWARD PROTEST PROCEDURES

1. Debriefing Procedures

- a. All unsuccessful applicants may request a debriefing within five (5) business days of receiving notice of non-award from NYSED. Applicants may request a debriefing letter on the selection process regarding this RFP by submitting an email to GradPrinRFP@mail.nysed.gov
- b. A summary of the application reviewer's comments will be emailed back to the applicant within fifteen (15) business days.

2. Protest Procedures

- a. Applicants who receive a notice of non-award may protest the NYSED award decision subject to the following:
 - i. The protest must be in writing and must contain specific factual and/or legal allegations setting forth the basis on which the protesting party challenges the contract award by NYSED.
 - ii. The protest must be filed within ten (10) business days of receipt of a debriefing. The protest letter must be filed with:
NYS Education Department

Contract Administration Unit
89 Washington Avenue
Room 505W EB
Albany, NY 12234

- b. The NYSED Contract Administration Unit (CAU) will convene a review team that will include at least one staff member from each of NYSED's Office of Counsel, CAU, and the Program Office. The review team will review and consider the merits of the protest and will decide whether the protest is approved or denied. Counsel's Office will provide the applicant with written notification of the review team's decision within seven (7) business days of the receipt of the protest. The original protest and decision will be filed with OSC when the contract procurement record is submitted for approval and CAU will advise OSC that a protest was filed.
- c. The NYSED Contract Administration Unit (CAU) may summarily deny a protest that fails to contain specific factual or legal allegations, or where the protest only raises issues of law that have already been decided by the courts.

New York State Education Department

Assurances for Federal Discretionary Program Funds

The following assurances are a component of your application. By signing the certification on the application cover page you are ensuring accountability and compliance with State and federal laws, regulations, and grants management requirements.

Federal Assurances and Certifications, General:

- Assurances – Non-Construction Programs
- Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters
- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions
- General Education Provisions Act Assurances

Federal Assurances and Certifications, NCLB (if appropriate):

The following are required as a condition for receiving any federal funds under the Elementary and Secondary Education Act, as amended by the No Child Left Behind Act of 2001.

- NCLB Assurances
- School Prayer Certification

New York State Assurances and Certifications: (For discretionary grant programs only.)

- Appendix A
- Appendix A-1G

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Education Department Program Contact listed in the Application. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, and by signing the Application Cover Page, I certify that the applicant:

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

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328), which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.), which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Standard Form 424B (Rev. 7-97), Prescribed by OMB Circular A-102, Authorized for Local Reproduction, as amended by New York State Education Department

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of the Application Cover Page provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

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

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

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

ED 80-0013, as amended by the New York State Education Department

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION — LOWER TIER COVERED TRANSACTIONS

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing the Application Cover Page, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms “covered transaction,” “debarred,” “suspended,” “ineligible,” “lower tier covered transaction,” “participant,” “person,” “primary covered transaction,” “principal,” “proposal,” and “voluntarily excluded,” as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled “Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions,” without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

ED 80-0014, as amended by the New York State Education Department

**NEW YORK STATE DEPARTMENT OF EDUCATION
GENERAL EDUCATION PROVISIONS ACT ASSURANCES**

These assurances are required by the General Education Provisions Act for certain programs funded by the U.S. Department of Education. These assurances are not applicable to certain programs, such as the No Child Left Behind Act. If you have any questions, please contact NYSED.

As the authorized representative of the applicant, by signing the Application Cover Page, I certify that:

- (1) that the local educational agency will administer each program covered by the application in accordance with all applicable statutes, regulations, program plans, and applications;
- (2) that the control of funds provided to the local educational agency under each program, and title to property acquired with those funds, will be in a public agency and that a public agency will administer those funds and property;
- (3) that the local educational agency will use fiscal control and fund accounting procedures that will ensure proper disbursement of, and accounting for, Federal funds paid to that agency under each program;
- (4) that the local educational agency will make reports to the State agency or board and to the Secretary as may reasonably be necessary to enable the State agency or board and the Secretary to perform their duties and that the local educational agency will maintain such records, including the records required under section [1232f](#) of this title, and provide access to those records, as the State agency or board or the Secretary deem necessary to perform their duties;
- (5) that the local educational agency will provide reasonable opportunities for the participation by teachers, parents, and other interested agencies, organizations, and individuals in the planning for and operation of each program;
- (6) that any application, evaluation, periodic program plan or report relating to each program will be made readily available to parents and other members of the general public;
- (7) that in the case of any project involving construction –
 - (A) the project is not inconsistent with overall State plans for the construction of school facilities, and
 - (B) in developing plans for construction, due consideration will be given to excellence of architecture and design and to compliance with standards prescribed by the Secretary under section [794](#) of title [29](#) in order to ensure that facilities constructed with the use of Federal funds are accessible to and usable by individuals with disabilities;
- (8) that the local educational agency has adopted effective procedures for acquiring and disseminating to teachers and administrators participating in each program significant information from educational research, demonstrations, and similar projects, and for adopting, where appropriate, promising educational practices developed through such projects; and
- (9) that none of the funds expended under any applicable program will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the purchasing entity or its employees or any affiliate of such an organization.

**NEW YORK STATE DEPARTMENT OF EDUCATION
NO CHILD LEFT BEHIND ACT ASSURANCES**

These assurances are required for programs funded under the No Child Left Behind Act.

As the authorized representative of the applicant, by signing the Application Cover Page, I certify that:

- (1) each such program will be administered in accordance with all applicable statutes, regulations, program plans, and applications;
- (2) (A) the control of funds provided under each such program and title to property acquired with program funds will be in a public agency or in a nonprofit private agency, institution, organization, or Indian tribe, if the law authorizing the program provides for assistance to those entities; and
(B) the public agency, nonprofit private agency, institution, or organization, or Indian tribe will administer the funds and property to the extent required by the authorizing statutes;
- (3) the applicant will adopt and use proper methods of administering each such program, including—
 - (A) the enforcement of any obligations imposed by law on agencies, institutions, organizations, and other recipients responsible for carrying out each program; and
 - (B) the correction of deficiencies in program operations that are identified through audits, monitoring, or evaluation;
- (4) the applicant will cooperate in carrying out any evaluation of each such program conducted by or for the State educational agency, the Secretary, or other Federal officials;
- (5) the applicant will use such fiscal control and fund accounting procedures as will ensure proper disbursement of, and accounting for, Federal funds paid to the applicant under each such program;
- (6) the applicant will—
 - (A) submit such reports to the State educational agency (which shall make the reports available to the Governor) and the Secretary as the State educational agency and Secretary may require to enable the State educational agency and the Secretary to perform their duties under each such program; and
 - (B) maintain such records, provide such information, and afford such access to the records as the State educational agency (after consultation with the Governor) or the Secretary may reasonably require to carry out the State educational agency's or the Secretary's duties;
- (7) before the application was submitted, the applicant afforded a reasonable opportunity for public comment on the application and considered such comment;
- (8) the applicant has consulted with teachers, school administrators, parents, nonpublic school representatives and others in the development of the application to the extent required for the applicant under the program pursuant to the applicable provisions of the No Child Left Behind Act;
- (9) in the case of a local educational agency, as a condition of receiving funds under the No Child Left Behind Act, the applicant is complying with the requirements of Education Law § 3214(3)(d) and (f) and the Gun-Free Schools Act (20 U.S.C. § 7151);
- (10) in the case of a local educational agency, as a condition of receiving funds under the No Child Left Behind Act, the applicant is complying with the requirements of 20 U.S.C. § 7908 on military recruiter access;

(11) in the case of a local educational agency, as a condition of receiving funds under the No Child Left Behind Act, the applicant is complying with the requirements of 20 U.S.C. § 7904 on constitutionally protected prayer in public elementary and secondary schools;

(12) in the case of a local educational agency, as a condition of receiving funds under the No Child Left Behind Act, the applicant is complying with the requirements of Education Law § 2802(7), and any state regulations implementing such statute and 20 U.S.C. § 7912 on unsafe school choice; and

(13) in the case of a local educational agency, the applicant is complying with all fiscal requirements that apply to the program, including but not limited to any applicable supplement not supplant or local maintenance of effort requirements.

SCHOOL PRAYER CERTIFICATION

As a condition of receiving federal funds under the Elementary and Secondary Education Act, as amended by the No Child Left Behind Act of 2001 (NCLB), the local educational agency hereby certifies that no policy of the local educational agency prevents, or otherwise denies participation in, constitutionally protected prayer in public elementary schools and secondary schools, as detailed in the current guidance issued pursuant to NCLB Section 9524(a).

APPENDIX A

STANDARD CLAUSES FOR NYS CONTRACTS

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, "the contract" or "this contract") agree to be bound by the following clauses which are hereby made a part of the contract (the word "Contractor" herein refers to any party other than the State, whether a contractor, licensor, licensee, lessor, lessee or any other party):

1. EXECUTORY CLAUSE. In accordance with Section 41 of the State Finance Law, the State shall have no liability under this contract to the Contractor or to anyone else beyond funds appropriated and available for this contract.

2. NON-ASSIGNMENT CLAUSE. In accordance with Section 138 of the State Finance Law, this contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or otherwise disposed of without the State's previous written consent, and attempts to do so are null and void. Notwithstanding the foregoing, such prior written consent of an assignment of a contract let pursuant to Article XI of the State Finance Law may be waived at the discretion of the contracting agency and with the concurrence of the State Comptroller where the original contract was subject to the State Comptroller's approval, where the assignment is due to a reorganization, merger or consolidation of the Contractor's business entity or enterprise. The State retains its right to approve an assignment and to require that any Contractor demonstrate its responsibility to do business with the State. The Contractor may, however, assign its right to receive payments without the State's prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.

3. COMPTROLLER'S APPROVAL. In accordance with Section 112 of the State Finance Law (or, if this contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds \$50,000 (or the minimum thresholds agreed to by the Office of the State Comptroller for certain S.U.N.Y. and C.U.N.Y. contracts), or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds \$10,000, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office. Comptroller's approval of contracts let by the Office of General Services is required when such contracts exceed \$85,000 (State Finance Law Section 163.6.a).

4. WORKERS' COMPENSATION BENEFITS. In accordance with Section 142 of the State Finance Law, this contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this contract for the benefit of such employees as are required to be covered by the provisions of the Workers' Compensation Law.

5. NON-DISCRIMINATION REQUIREMENTS. To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

6. WAGE AND HOURS PROVISIONS. If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the Labor Law, the Contractor

understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by the State of any State approved sums due and owing for work done upon the project.

7. NON-COLLUSIVE BIDDING CERTIFICATION. In accordance with Section 139-d of the State Finance Law, if this contract was awarded based upon the submission of bids, Contractor affirms, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further affirms that, at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to the State a non-collusive bidding certification on Contractor's behalf.

8. INTERNATIONAL BOYCOTT PROHIBITION. In accordance with Section 220-f of the Labor Law and Section 139-h of the State Finance Law, if this contract exceeds \$5,000, the Contractor agrees, as a material condition of the contract, that neither the Contractor nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Contractor, or any of the aforesaid affiliates of Contractor, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the contract's execution, such contract, amendment or modification thereto shall be rendered forfeit and void. The Contractor shall so notify the State Comptroller within five (5) business days of such conviction, determination or disposition of appeal (2NYCRR 105.4).

9. SET-OFF RIGHTS. The State shall have all of its common law, equitable and statutory rights of set-off. These rights shall include, but not be limited to, the State's option to withhold for the purposes of set-off any moneys due to the Contractor under this contract up to any amounts due and owing to the State with regard to this contract, any other contract with any State department or agency, including any contract for a term commencing prior to the term of this contract, plus any amounts due and owing to the State for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto. The State shall exercise its set-off rights in accordance with normal State practices including, in cases of set-off pursuant to an audit, the finalization of such audit by the State agency, its representatives, or the State Comptroller.

10. RECORDS. The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, "the Records"). The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. The State shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the State's right to discovery in any pending or future litigation.

11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION. (a) **FEDERAL EMPLOYER IDENTIFICATION NUMBER and/or FEDERAL SOCIAL SECURITY NUMBER.** All invoices or New York State standard vouchers submitted for payment for the sale of goods or services or the lease of real or personal property to a New York State agency must include the payee's identification number, i.e., the seller's or lessor's identification number. The number is either the payee's Federal employer identification number or Federal social security number, or both such numbers when the payee has both such numbers. Failure to include this number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or New York State standard voucher, must give the reason or reasons why the payee does not have such number or numbers.

(b) **PRIVACY NOTIFICATION.** (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law. (2) The personal information is requested by the purchasing unit of the agency contracting

to purchase the goods or services or lease the real or personal property covered by this contract or lease. The information is maintained in New York State's Central Accounting System by the Director of Accounting Operations, Office of the State Comptroller, 110 State Street, Albany, New York 12236.

12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN. In accordance with Section 312 of the Executive Law and 5 NYCRR 143, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000.00, whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of \$100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of \$100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then the following shall apply and by signing this agreement the Contractor certifies and affirms that it is Contractor's equal employment opportunity policy that:

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on State contracts and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(b) at the request of the contracting agency, the Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

Contractor will include the provisions of "a", "b", and "c" above, in every subcontract over \$25,000.00 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the Work is for the beneficial use of the Contractor. Section 312 does not apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this section. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Department of Economic Development's Division of Minority and Women's Business Development pertaining hereto.

13. CONFLICTING TERMS. In the event of a conflict between the terms of the contract (including any and all attachments thereto and amendments thereof) and the terms of this Appendix A, the terms of this Appendix A shall control.

14. GOVERNING LAW. This contract shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

15. LATE PAYMENT. Timeliness of payment and any interest to be paid to Contractor for late payment shall be governed by Article 11-A of the State Finance Law to the extent required by law.

16. NO ARBITRATION. Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

17. SERVICE OF PROCESS. In addition to the methods of service allowed by the State Civil Practice Law & Rules ("CPLR"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon the State's receipt of the return thereof by the United States Postal Service as refused or undeliverable. Contractor must promptly notify the State, in writing, of each and every change of address to which service of process can be made. Service by the State to the last known address shall be sufficient. Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

18. PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS. The Contractor certifies and warrants that all wood products to be used under this contract award will be in accordance with, but not limited to, the specifications and provisions of Section 165 of the State Finance Law, (Use of Tropical Hardwoods) which prohibits purchase and use of tropical hardwoods, unless specifically exempted, by the State or any governmental agency or political subdivision or public benefit corporation. Qualification for an exemption under this law will be the responsibility of the contractor to establish to meet with the approval of the State.

In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in §165 State Finance Law. Any such use must meet with the approval of the State; otherwise, the bid may not be considered responsive. Under bidder certifications, proof of qualification for exemption will be the responsibility of the Contractor to meet with the approval of the State.

19. MACBRIDE FAIR EMPLOYMENT PRINCIPLES. In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Contractor hereby stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.

20. OMNIBUS PROCUREMENT ACT OF 1992. It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development
Division for Small Business
30 South Pearl St -- 7th Floor
Albany, New York 12245
Telephone: 518-292-5220
Fax: 518-292-5884
<http://www.empire.state.ny.us>

A directory of certified minority and women-owned business enterprises is available from:

NYS Department of Economic Development
Division of Minority and Women's Business Development
30 South Pearl St -- 2nd Floor
Albany, New York 12245
Telephone: 518-292-5250
Fax: 518-292-5803
<http://www.empire.state.ny.us>

The Omnibus Procurement Act of 1992 requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than \$1 million:

- (a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;
- (b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;
- (c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and
- (d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

21. RECIPROCITY AND SANCTIONS PROVISIONS. Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York

State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

22. COMPLIANCE WITH NEW YORK STATE INFORMATION SECURITY BREACH AND NOTIFICATION

ACT. Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208).

23. COMPLIANCE WITH CONSULTANT DISCLOSURE LAW. If this is a contract for consulting services, defined for purposes of this requirement to include analysis, evaluation, research, training, data processing, computer programming, engineering, environmental, health, and mental health services, accounting, auditing, paralegal, legal or similar services, then, in accordance with Section 163 (4-g) of the State Finance Law (as amended by Chapter 10 of the Laws of 2006), the Contractor shall timely, accurately and properly comply with the requirement to submit an annual employment report for the contract to the agency that awarded the contract, the Department of Civil Service and the State Comptroller.

24. PROCUREMENT LOBBYING. To the extent this agreement is a "procurement contract" as defined by State Finance Law Sections 139-j and 139-k, by signing this agreement the contractor certifies and affirms that all disclosures made in accordance with State Finance Law Sections 139-j and 139-k are complete, true and accurate. In the event such certification is found to be intentionally false or intentionally incomplete, the State may terminate the agreement by providing written notification to the Contractor in accordance with the terms of the agreement.

25. CERTIFICATION OF REGISTRATION TO COLLECT SALES AND COMPENSATING USE TAX BY CERTAIN STATE CONTRACTORS, AFFILIATES AND SUBCONTRACTORS.

To the extent this agreement is a contract as defined by Tax Law Section 5-a, if the contractor fails to make the certification required by Tax Law Section 5-a or if during the term of the contract, the Department of Taxation and Finance or the covered agency, as defined by Tax Law 5-a, discovers that the certification, made under penalty of perjury, is false, then such failure to file or false certification shall be a material breach of this contract and this contract may be terminated, by providing written notification to the Contractor in accordance with the terms of the agreement, if the covered agency determines that such action is in the best interest of the State.

June 2011

APPENDIX A-1 G

General

- A. In the event that the Contractor shall receive, from any source whatsoever, sums the payment of which is in consideration for the same costs and services provided to the State, the monetary obligation of the State hereunder shall be reduced by an equivalent amount provided, however, that nothing contained herein shall require such reimbursement where additional similar services are provided and no duplicative payments are received.
- B. This agreement is subject to applicable Federal and State Laws and regulations and the policies and procedures stipulated in the NYS Education Department Fiscal Guidelines found at <http://www.nysed.gov/cafe/>.
- C. For each individual for whom costs are claimed under this agreement, the contractor warrants that the individual has been classified as an employee or as an independent contractor in accordance with 2 NYCRR 315 and all applicable laws including, but not limited to, the Internal Revenue Code, the New York Retirement and Social Security Law, the New York Education Law, the New York Labor Law, and the New York Tax Law. Furthermore, the contractor warrants that all project funds allocated to the proposed budget for Employee Benefits, represent costs for employees of the contractor only and that such funds will not be expended on any individual classified as an independent contractor.
- D. Variations in each budget category not exceeding ten percent (10%) of such category may be approved by the Commissioner of Education. Any such variations shall be reflected in the final expenditure report and filed in the Office of the State Comptroller. Variations in each budget category which do exceed ten percent (10%) of such category must be submitted to the Office of the State Comptroller for approval.
- E. Funds provided by this contract may not be used to pay any expenses of the State Education Department or any of its employees.
- F. For all State grant contracts funded in whole or in part with a federal award to the State, Contractor affirms that it has provided all required certifications and/or assurances to the State. All federal assurances required by the award that funds this Agreement are hereby incorporated by reference and made a part hereof.

Terminations

- A. The State may terminate this Agreement without cause by thirty (30) days prior written notice. In the event of such termination, the parties will adjust the accounts due and the Contractor will undertake no additional expenditures not already required. Upon any such termination, the parties shall endeavor in an orderly manner to wind down activities hereunder.

Safeguards for Services and Confidentiality

- A. Any copyrightable work produced pursuant to this agreement shall be the sole and exclusive property of the author(s) of the work. Should the Contractor use the services of consultants or other organizations or individuals who are not regular employees of the Contractor, the Contractor and such organization or individual shall, prior to the performance of any work pursuant to this agreement, enter into a written agreement, duly executed, which shall set forth the services to be provided by such organization or individual and the consideration

therefore. Such agreement shall provide that the State shall have the rights outlined in this Agreement with regard to any copyrightable work produced pursuant to said agreement. A copy of such agreement shall be provided to the State.

- B. The New York State Education Department will receive a copy of any such written document owned by the author(s) in both hard copy and electronic form. The New York State Education Department shall have a non-exclusive, royalty-free right to use any such copyrightable works for non-commercial purposes including but not limited to dissemination of written materials, using excerpts of written materials in other documents issued by the Department, or using copyrightable works or providing the copyrightable works to future contractors for derivative use including creating derivative works for non-commercial purposes of the Department. The data received by the Contractor or authors from survey responses, and other input received from interested groups or persons as a result of this contract, shall belong to the Department and the Contractor and the authors shall have a non-exclusive, royalty-free right to use such data or other input for further research or other non-commercial purposes.
- C. All reports of research, studies, publications, workshops, announcements, and other activities funded as a result of this proposal will acknowledge the support provided by the State of New York.
- D. No failure to assert any rights or remedies available to the State under this agreement shall be considered a waiver of such right or remedy or any other right or remedy unless such waiver is contained in a writing signed by the party alleged to have waived its right or remedy.
- E. Expenses for travel, lodging, and subsistence shall be reimbursed in accordance with the policies stipulated in the aforementioned Fiscal guidelines.
- F. No fees shall be charged by the Contractor for training provided under this agreement.
- G. Nothing herein shall require the State to adopt the curriculum developed pursuant to this agreement.
- H. All inquiries, requests, and notifications regarding this agreement shall be directed to the Program Contact or Fiscal Contact shown on the Grant Award included as part of this agreement.
- I. This agreement, including all appendices, is, upon signature of the parties and the approval of the Attorney General and the State Comptroller, a legally enforceable contract. Therefore, a signature on behalf of the Contractor will bind the Contractor to all the terms and conditions stated therein.
- J. The parties to this agreement intend the foregoing writing to be the final, complete, and exclusive expression of all the terms of their agreement.

Appendix A-2

American Recovery and Reinvestment Act of 2009 (ARRA) ADDITIONAL CONTRACT RECORD KEEPING REQUIREMENTS

This contract, is funded, in whole or in part, by the American Recovery and Reinvestment Act of 2009 (ARRA). The United States Office of Management and Budget (OMB) has released, "Implementing Guidance for Reports on Use of Funds Pursuant to the American Recovery and Reinvestment Act of 2009." (M-09-21) This guidance provides detailed information on reporting requirements included in Section 1512 of the Recovery Act.

Recipient vendors receiving ARRA funding will be required to submit quarterly information which will include at a minimum the following information:

- Vendor name and zip code of Vendor headquarters;
- Expenditures (per quarter and cumulative);
- Expenditure description; and
- Estimates on jobs created or retained via the expenditure of these funds by the Vendor.

Additional data may be required from vendors as a result of guidance issued by OMB.

Vendors will be required to submit the ARRA data in a form and format to be determined by the New York State Education Department (NYSED). NYSED anticipates that the reporting information will be provided to Vendors no later than August 30th. There will be no additional compensation for this reporting activity and it is anticipated that the Quarterly Reporting forms will be required in both paper and electronic formats.

An employee of any non-federal employer receiving ARRA funds may not be discharged, demoted, otherwise discriminated against as a reprisal for disclosing to law enforcement and other officials information that the employee reasonably believes is evidence of:

- Gross mismanagement;
- Gross waste of covered funds;
- A danger to public health and safety;
- An abuse of authority; or
- A violation of law.

Attachment A

New York State Education Department		DO NOT WRITE IN THIS SPACE	
Graduate-Level Clinically-Rich Principal Preparation Pilot Program		Log Number	Date Received
GRANT PROPOSAL COVER SHEET			
Applicant Name		Department/ Unit, if applicable	County
Applicant Authorized Signatory <i>(Last Name, First Name, Dr./Mr./Ms.)</i>			
Title		Telephone Number/Extension ()	Fax Number ()
E-mail Address			
Address <i>(Street, City, Zip Code)</i>			
Project Director <i>(Last Name, First Name, Dr./ Mr./ Ms.)</i>			
Title		Telephone Number/Extension ()	Fax Number ()
E-mail Address			
Address <i>(Street, City, Zip Code)</i>			
President/Chief Executive Officer/Chancellor <i>(Last Name, First Name, Dr./Mr./Ms.)</i>			
Title		Telephone Number/Extension ()	Fax Number ()
E-mail Address			
Address <i>(Street, City, Zip Code)</i>			
Contact Person			Same person as Project Director? <input type="checkbox"/>
Title		Telephone Number/Extension ()	Fax Number ()
E-mail Address			
Address <i>(Street, City, Zip Code)</i>			
Application Type	<input type="checkbox"/> Program provider with one LEA partner	<input type="checkbox"/> Program provider with more than one LEA partner	<input type="checkbox"/> Program provider with multiple partnerships, including at least one LEA
2-year Total Funds Requested			
Region(s) for which funding is being sought (Regions identified must be the location of the Placement LEA(s))			
Ownership of Materials and Products Developed Under this RFP (CHOOSE ONE OPTION)	<input type="checkbox"/> NYSED ownership of all materials and products developed under the agreements	<input type="checkbox"/> NYSED and the State of New York will be provided a perpetual License of materials and	

				resulting from this RFP.	products developed under the agreements resulting from this RFP. ³
Partner (check box)	<input type="checkbox"/> Mentor LEA	<input type="checkbox"/> Placement LEA	<input type="checkbox"/> Other Partner	BEDS Code	
Name of Partner:					
Partner (check box)	<input type="checkbox"/> Mentor LEA	<input type="checkbox"/> Placement LEA	<input type="checkbox"/> Other Partner	BEDS Code	
Name of Partner:					
Partner (check box)	<input type="checkbox"/> Mentor LEA	<input type="checkbox"/> Placement LEA	<input type="checkbox"/> Other Partner	BEDS Code	
Name of Partner:					
Partner (check box)	<input type="checkbox"/> Mentor LEA	<input type="checkbox"/> Placement LEA	<input type="checkbox"/> Other Partner	BEDS Code	
Name of Partner:					

(If there are additional LEA(s) or partners, please include them on a separate page)

³ This option does not apply to non-public sectarian institutions of higher education that are not eligible for Bundy Aid.

Attachment B

SAMPLE Memorandum of Agreement Between Partners

Name of Sponsoring Institution

and the participating partner for the
New York State Graduate-Level Clinically-Rich Principal Preparation Pilot Program

LEA(s) name and address
Additional Partner(s)

This cooperative agreement reflects the overall commitment of each of the partners, as well as details the specific roles and responsibilities, services, materials, and/or fiscal resources each partner will provide to enhance the preparation of School Building Leaders. The purpose of this partnership is to prepare and support educational leaders to help all students achieve high standards of learning and development. This MOA must include the following: the roles of each partner in the recruitment, preparation, and mentoring of candidates; the selection and evaluation criteria and recruitment process for principal mentors; a commitment to actively recruit and select candidates who demonstrate excellence in teaching, experience working as advocates for children and families in high-need schools, leadership capability, and a sincere intent to serve as instructional leaders; and, the various types of assessments that will be used to evaluate candidates throughout the program, and how such assessments will be utilized to prescribe study and authentic, real-world experiences that will enable candidates to develop the knowledge, understanding, and skills necessary to successfully meet the requirements of the program, provide effective leadership in high-need schools, and to obtain certification upon completion of the program.

Institution of higher education and/or other institution and its school/department of education agree to:

Please summarize the roles and responsibilities of this partner in the design, implementation, and evaluation of the pilot program; as well as the specific services, materials, and/or fiscal resources to be provided by this partner.

The institution must include a plan which shall include, but not be limited to, setting selection criteria, the recruitment and training processes for mentors, and developing plans to provide professional development programs based on research and best practices for mentors and school leaders.

Partner LEA(s) agrees to (include a summary for each partner):

Please summarize the roles and responsibilities of this partner in the design, implementation, and evaluation of the pilot program; as well as the specific services, materials, and/or fiscal resources to be provided by this partner. Name each school agreeing to place candidates during the program and those schools agreeing to place program completers.

Please include a plan to provide up to one continuous school year of mentored clinical experience by the assigned principal-mentor for the candidate and support by a team comprised of program faculty, teachers and administrators at the high need school and, if applicable, the superintendent.

Please include a statement that the LEA(s) will be implementing teacher and principal evaluation in the mentor school(s) in compliance with Education Law §3012-c in 2012-13,

including the name of the teacher and principal practice rubrics chosen by the LEA(s), if available. Charter school LEAs must provide assurance that they have implemented, or have a letter that confirms an agreement to implement, a teacher and principal evaluation system that is rigorous, uses student growth data, and aligns to NYSED's four rating categories (Highly Effective, Effective, Developing, Ineffective) to the best of their ability.

Institution Name _____

Name and Title _____

Signature _____ Date _____

(In blue ink)

Partner or LEA Name: _____

Principal or Authorized Administrator Name and Title:

Signature _____ Date _____

(In blue ink)

Partner or LEA Name: _____

Principal or Authorized Administrator Name and Title:

Signature _____ Date _____

(In blue ink)

Partner or LEA Name: _____

Principal or Authorized Administrator Name and Title:

Signature _____ Date _____

(In blue ink)

Attachment C

ASSURANCE OF JOINT COMMITMENT FORM

By signing this document, the LEA and its collective bargaining agent(s) hereby certify that all new and/or existing collective bargaining agreements for teachers and principals are consistent with and/or have been amended and/or modified as necessary to require that all classroom teachers and building principals **in schools participating in this grant** will be evaluated in accordance with the provisions of Education Law §3012-c and Commissioner’s regulations for the 2012-13 academic school year. In addition, the LEA and its collective bargaining agent(s) certify that any initiatives described within this application are allowable under collective bargaining agreements. By signing this document, the LEA and its collective bargaining agent(s) also certify that they agree to participate in a research conducted the New York State Education Department.

LEA Name:

CHIEF ADMINISTRATIVE OFFICER (Superintendent)	
Signature (in blue ink)	Date
Type or print name	

BOARD OF EDUCATION PRESIDENT	
Signature (in blue ink)	Date
Type or print name	

LOCAL ADMINISTRATORS UNION PRESIDENT	
Signature (in blue ink)	Date
Type or print name	

LOCAL TEACHERS UNION PRESIDENT	
Signature (in blue ink)	Date
Type or print name	

Attachment D

PARTICIPATING SCHOOL/LEA DATA

The following information is required as part of the application. All participating *mentor schools* must meet the definition of high-need as described within this RFP and **must demonstrate improving performance and/or positive academic growth with one or more groups of high-need students.**

The application should identify **any** schools within an LEA that will be considered as potential *placement schools* for principal candidates.

Step 1: Please list all of the participating schools and/or LEAs:	Step 2: Is this a mentor school/LEA or a placement school/LEA?	Step 2: Is this school high poverty? (Yes/No)	Step 3: Is this school classified under SINI/PLA/SURR? (Mark all applicable)	Step 4: Does this school/LEA have high concentrations of English language learners (as defined by numbers that are above the State average)? (Yes/No and the %)	Step 5: Does this school/LEA have high concentrations of student with disabilities (as defined by numbers that are above the State average)? (Yes/No and the %)	Step 6: Is this school/LEA demonstrating improving performance and/or positive academic growth? (Yes/No and provide narrative below in Step 6 continued)
Sample: SCHOOL X		YES	SURR	Yes, 11%	No, 5%	No
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						
9.						

10.						
<p>Step 6 Continued. Please provide a brief narrative below, using district data or other compelling data that explains evidence of improving performance and/or positive academic growth with one or more groups of high-need students.</p>						
<p>Step 7. Please check one:</p> <p>LEA is already implementing teacher and principal evaluation in compliance with Education Law §3012-c. OR</p> <p style="text-align: center;"><input type="checkbox"/></p>			<p>LEA provides a signed MOU (See Attachment C) between the applicant and their collective bargaining unit(s) that confirms an agreement to implement teacher and principal evaluation in compliance with Education Law §3012-c for the 2012-13 school year for all of the teachers and principals in schools participating in this grant.</p> <p style="text-align: center;"><input type="checkbox"/></p>			

Attachment E

STATEMENT OF ASSURANCES

1. The institution shall demonstrate through letters of support, indicating the length of time and type of relationship that it has been able to build and sustain partnerships with LEAs, communities, and other entities to further student learning.
2. The institution shall agree to submit in the application package Memoranda of Agreement for partnership with LEA(s) and other partners, establishing roles and responsibilities of each partner, as well as specific services, materials, and/or fiscal resources to be provided.
3. The institution shall agree, if it is awarded program funds, to coordinate with the Office of College and University Evaluation staff to ensure that the program complies with the Regulations of the Commissioner of Education and is registered within forty days after the date of the award.
4. The institution shall agree, if it is awarded program funds and if the program will continue past the pilot, to apply for accreditation by the National Council for Accreditation of Teacher Education (NCATE) or Teacher Education Accreditation Council (TEAC) and receive such accreditation within the timeframe set forth by the accrediting body.
5. The institution will, if funded, operate a Graduate-Level Clinically-Rich Principal Preparation Pilot Program within the letter and spirit of all pertinent legislation (Article 130, Section 6455 of Education Laws).
6. Educational activities conducted under this project will take place in accordance with appropriate sections of the following Acts:
 - A. Title VI of the Civil Rights Act of 1964
 - B. Title IX of the Education Amendments of 1972
 - C. Section 504 of the Rehabilitation Act of 1973
 - D. Section 303 of the Age Discrimination Act of 1975
7. Funds from the Graduate-Level Clinically-Rich Principal Preparation Pilot Program award will supplement, not supplant, local expenditures and will not duplicate expenditures from other sources.
8. All activities supported by Graduate-Level Clinically-Rich Principal Preparation Pilot Program funds will, to the extent possible, be accessible by persons with disabilities. Upon request, the recipient will provide State Education Department staff access to its records and other information necessary to determine whether violations of civil rights have occurred.
9. Upon request, the recipient will provide State Education Department staff access to its records and other sources of information concerning the operation of the Graduate-Level Clinically-Rich Principal Preparation Pilot Program.

10. All materials developed in whole or in part with the support of Graduate-Level Clinically-Rich Principal Preparation Pilot Program funds, including publicity releases and program announcements, will include the following Statement:

Support for the development and production of this material was provided by a contract award under the New York State Graduate-Level Clinically-Rich Principal Preparation Pilot Program administered by the New York State Education Department Office of Higher Education.

11. The funds requested will be used to administer a Graduate-Level Clinically-Rich Principal Preparation Pilot Program to effectively prepare principals for high-need schools, and increase the retention of principals in order to positively impact student growth and achievement.
12. The institution agrees to submit a detailed evaluation plan to assess program effectiveness in bringing about student learning, including at least two measures based upon relevant research in peer-reviewed journals, in a form prescribed by the Commissioner.
13. The institution agrees to submit results of data analysis and evidence of using data for program improvement, in a form prescribed by the Commissioner.
14. The institution shall agree to submit an interim and/or annual program report containing information such as number of candidates and principal-mentors, personnel changes, faculty qualifications and loads, and evaluation data, in a form prescribed by the Commissioner.
15. Institutions shall agree to participate fully in any research-based evaluation conducted by an external party authorized by the New York State Education Department and the Board of Regents.

CHIEF EXECUTIVE OFFICER CERTIFICATION

I hereby certify that the information in this application is correct and in total compliance with appropriate State laws and regulations and that the program design will be carried out as described in the application.

Signed* _____ Date _____
(Chief Executive Officer)

Print name and title _____
*Original signature of Chief Executive Officer is required.

Attachment F

RTTT Funding Source Attachment March 2012 - September 2014 Expenditures and Other Funds
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Line No.	Expenditure Category	Total Proposed Expenditure Amount Total of columns 1-4	Shared, Other, and Requested Funds			
			Total LEA Contribution (1)	Total Institution Contribution (2)	Other Sources Contribution (3)	Total Requested in Proposal (4)
1	Stipends/Salaries for SBL Candidates					
2	Stipends for Principal-Mentors					
3	Tuition and fees					
4	Salaries for Professional Staff					
5	Salaries for Support Staff					
6	<u>Supplies & Materials</u>					
	a. Instructional					
	b. Other					
7	<u>SUBTOTAL of Lines 1-6</u>					
8	<u>GRAND TOTAL</u>					

The figures in columns 1-4 must correspond to the total proposed expenditure. Column 4 is the amount of grant funds requested in this proposal.

Attachment G

PROJECT BUDGET SUMMARY

SUBTOTAL	CODE	PROJECT COSTS 3/15/12 – 6/30/2012	PROJECT COSTS 7/1/12 – 6/30/2013	PROJECT COSTS 7/1/2013 – 8/23/2014	TOTAL
Professional Salaries	15				
Support Staff Salaries	16				
Purchased Services	40				
Supplies and Materials	45				
Travel Expenses	46				
Employee Benefits	80				
BOCES Services	49				
Minor Remodeling	30				
Equipment	20				
	TOTAL				

This form should reflect all funds requested for your proposal itemized for each year of the project period.

APPENDIX 1
 New York State Education Department
 Graduate-Level Clinically-Rich Principal Preparation Pilot Program
 Request for Proposals

List of Counties, by Region

Buffalo Region
Orleans
Niagara
Genesee
Wyoming
Erie
Allegany
Cattaraugus
Chautauqua

Capital
Saratoga
Schenectady
Fulton
Montgomery
Albany
Rensselaer
Columbia
Greene
Otsego
Delaware
Washington
Warren
Schoharie

Yonkers Region
Sullivan
Ulster
Dutchess
Orange
Rockland
Westchester
Putnam

Long Island
Nassau
Suffolk

New York City
Brooklyn
Bronx
Manhattan
Queens/Staten Island

Syracuse & North Country
Onondaga
Oswego
Jefferson
St Lawrence
Franklin
Clinton
Oneida
Herkimer
Cortland
Chenango
Madison
Hamilton
Essex
Lewis

Rochester Region & Southern Tier
Monroe
Ontario
Yates
Wayne
Livingston
Steuben
Seneca
Chemung
Tompkins
Cayuga
Broome
Schuyler
Tioga

APPENDIX 2

New York State Education Department
 Graduate-Level Clinically-Rich Principal Preparation Pilot Program
 Request for Proposals
Scoring Rubrics

BLUE RIBBON COMMISSION NARRATIVE SCORING RUBRIC: CORE PROGRAM DESIGN FOR SBL CANDIDATES (Maximum of 30 points)		
<u>Recruitment and Selection (up to 10 points):</u> Applicant describes their plans for recruiting and selecting a diverse set of candidates that demonstrate the following, in addition to the minimum qualifications in Section VI(B): 1. A track record of achieving learning gains in past roles as a teacher, teacher leader, or assistant principal; 2. Readiness to lead a turnaround effort, and intent to do so for four years in a New York State low-performing high-need school; 3. Experience with such proven strategies as Response to Intervention and Positive Behavioral Intervention and Supports; and 4. Strong instructional knowledge; including research-based instructional strategies to improve the performance of students with disabilities and English language learners, including native and English language development.	Score	Explanation of Score:
<u>Program Alignment (up to 5 points):</u> Applicant describes how the design of the clinical experience, coursework, curriculum delivery, and performance assessments are aligned to ISLLC 2008 standards and the Board of Regents Priorities,	Score	Explanation of Score:
<u>Innovative, Research-Based Program (up to 5 points):</u> Applicant provides a clear and rational description of how the suggested program is innovative, while incorporating practices that are research-based and/or rooted in best practice literature.	Score	Explanation of Score:
<u>Use of Performance Assessments (up to 5 points):</u> Applicants must include in their proposal how they will use formative assessments to provide candidates with substantive feedback and target supports throughout the program, as well as summative assessments to determine candidates' readiness for a role as a principal. Programs may attach samples of the performance assessments used in their programs to the Blue Ribbon Commission Proposal Narrative, which will not count toward their maximum page count.	Score	Explanation of Score:
<u>Clinical Experience Design (up to 5 points):</u> Applicant describes how the clinical experience will develop and support candidates, including a thorough description of the candidates' roles and responsibilities while working in the mentor school.	Score	Explanation of Score:
TOTAL		

BLUE RIBBON COMMISSION NARRATIVE SCORING RUBRIC: CORE PROGRAM DESIGN FOR PRINCIPAL MENTORS (Maximum of 15 points)		
<p><u>Recruitment and Selection of Principal Mentors (up to 5 points):</u> Rationale, methodology and process for selection of principal mentors, including relevant research base, with an explicit focus on:</p> <ul style="list-style-type: none"> • High expectations for everyone in school; • An ability to teach and lead adults; • An openness to learning; and • Knowledge of strategies for English language learners and students with disabilities. 	Score	Explanation of Score:
<p><u>Selection of Mentor Schools (up to 5 points):</u> Rationale, methodology and process for selection of mentor schools, with a requirement for, and evidence of, schools where improved results and/or positive student learning is being achieved by identified mentor principal with high-need populations (even if the school still has more to do to reach college and career readiness levels of achievement for all). These include, but are not limited to, significant improvements in the following areas:</p> <ul style="list-style-type: none"> • Regents exams and/or state assessments • Graduation Rates • Student and/or teacher perceptions of learning environment and culture <p>Mentor schools included in the application must implement teacher and principal evaluation in compliance with Education Law §3012-c. Charter schools that will serve as mentor schools must be implementing a teacher and principal evaluation system that is rigorous, uses student growth data, and aligns to NYSED’s four rating categories (Highly Effective, Effective, Developing, Ineffective) to the best of their ability.</p>	Score	Explanation of Score:
<p><u>Principal Mentor Training (up to 3 points):</u> Applicants should provide a description of the scope of training provided to principal-mentors for continuous development, including the additional LEA training required for the LEA’s specific approach to robust teacher evaluation as required by Education Law §3012-c or a charter school LEA’s professional evaluation system.</p>	Score	Explanation of Score:
<p><u>Principal Mentor Support (up to 2 points):</u> Applicants should also include a description of the support principal-mentors receive during the program, and how it fosters open communication and collaboration between program provider, candidate, and mentor.</p>	Score	Explanation of Score:
TOTAL		

BLUE RIBBON COMMISSION NARRATIVE SCORING RUBRIC:		
Organizational Capacity of Program Providers <i>(Maximum 12 points)</i>		
<u><i>Collaboration between Program Providers and Partnering LEAs (up to 4 points)</i></u> Applicants should provide a description of how the partners collaboratively developed the program. Applicants should be explicit about each partner's role in developing the program so that all needs are met during the pilot, and include a description of the timelines for implementation, resource allocation, and how the program will be managed.	Score	Explanation of Score:
<u><i>Partner Capacity to Support SBL Candidates and Mentor Principals (up to 4 points)</i></u> Applicants should provide a description of how the partners will support SBL candidates and principal mentors during clinical experience.	Score	Explanation of Score:
<u><i>Demonstration of Impact on Student Outcomes (up to 4 points):</i></u> Applicant describes each partner's demonstrated track record of impact on student outcomes on, or work in service of students with disabilities, English language learners, and students living in poverty	Score	Explanation of Score:
TOTAL		
BLUE RIBBON COMMISSION NARRATIVE SCORING:		
Program Evaluation		
<u><i>Program Evaluation (up to 3 points):</i></u> Pilot program partners must be willing to report to the State evidence of impact with high-need populations, specifically students living in poverty, English language learners, and students with disabilities. The State will work with pilot program partners to define this after selection for submission with the interim and final pilot program report. Leading and lagging indicators of pilot program impact will align to the State's priorities, and will include: 1) Evidence of professional growth for SBL candidates and principal mentors; 2) Placement and retention of candidates in New York State low-performing high-need schools upon completion of program or within six months; 3) Improved student, teacher and/or parent perceptions of instruction and/or school climate; 4) Improved learning climate metrics like discipline incidents and student suspensions; retention of highly effective teachers; change in teacher evaluation practices; 5) Gains in student learning, possibly for students at the lower levels of achievement as well as those at the advanced level; impact in closing the achievement gap; 6) Improved graduation rates: overall graduation rate, as well as advanced designations; 7) Improved college-readiness/college-going rates of students; 8) Indicators of progress with English language learners and students with disabilities; 9) Improved evaluations of teachers in target schools.	Score	Explanation of Score:
TOTAL		

**BOARD OF REGENTS PRIORITIES SCORING RUBRIC:
CORE PROGRAM DESIGN FOR PRINCIPAL MENTORS
(Maximum 20 points)**

<p><u>Regents Reform Agenda (up to 6 points):</u> The applicant provides a description of how they will ensure SBL candidates complete the program with a deep understanding of the Regents Priorities AND encourage candidates to use technology to support their implementation of the following Regents Priorities:</p> <ul style="list-style-type: none"> • Common Core State Learning Standards - understanding and leading with the Common Core • Using Data - utilizing student learning data for instructional improvement and for teacher evaluation • Teacher Evaluation - assessing teachers using observation rubrics, and developing them based on that information, and information about the learning growth of their students 	Score	Explanation of Score:
<p><u>Serving High-Need Communities (up to 8 points):</u> Applicant describes how the program prepares SBL candidates to work in a low-performing high-need school, particularly in secondary schools or schools with secondary grades, and partner with and engage diverse communities, all with a focus on improving teachers' capacity to improve student achievement for educationally at-risk students, such as students with disabilities and English language learners, and students living poverty. Applicants should also describe the type(s) of relationship(s) they currently have with high-need school(s)</p>	Score	Explanation of Score:
<p><u>Sustainability (up to 6 points):</u> Applicants should include in their plan for program and financial sustainability the following information that would demonstrate their ability to continue this pipeline once Race to the Top money is exhausted:</p> <ul style="list-style-type: none"> • <i>Building of institutional capacity:</i> description of a plan for how this pilot program, or key components of it, will continue after the pilot is completed. <ul style="list-style-type: none"> ○ <i>Continuation of mentor support structure:</i> how could mentor principals trained under this program be utilized after the grant ends in ways that further build the pipeline for future school leaders ○ <i>Support of graduates after program completion:</i> description of how institutions and/or LEAs currently monitor new SBLs while on the job as administrators and the institutions' and LEAs track record for supporting graduates after graduation, as well as plans for monitoring and supporting graduates in the future. • <i>Responsibility for costs related to program:</i> programs should describe which partner will be financially responsible for costs related to preparation (See Table 2 below), including SBL candidate's salary or stipend and mentor principal stipend, if applicable, and potential funding sources that could be used to continue this program in the future. Describe how the Race to the Top funding source will be replaced at the end of the program, either through identification of the partner who would take over these costs or identification of new or repurposed funding streams to cover these costs. • Table 2 is included. 	Score	Explanation of Score:
TOTAL SCORE		

BUDGET AND BUDGET NARRATIVE SCORING (Up to 20 points): Applicants proposing work in more than one region will have submitted a budget and budget narrative for each region being proposed. Reviewer should independently score each budget/budget narrative as it relates to the rubric below

NOTE: Applicants may apply for a total cumulative pilot program award amount not to exceed \$960,000 per applicant and/or \$60,000 per SBL candidate. NYSED will determine amount per SBL candidate by dividing the regional funding requested for each region by the number of SBL candidates proposed for each region.

The budget and budget narrative must comply with the following:

1. Complete an [FS-10](#) that shows in detail all expenses requested from the Graduate-Level Clinically-Rich Principal Preparation Program funds during the award period and another detailing expenses for the full year. A separate FS-10 is required for each region where funding is being requested.
2. Complete Budget Summary forms (Attachments F and G) including summary expenses of the requested funds from the program for the entire award period and the yearly summary expenditures. A summary of any district and other source contributions, if any, should be listed on the Funding Source Attachment chart where requested. A separate Funding Source Attachment must be submitted for each region where funding is being requested.
3. Provide a budget narrative that justifies all proposed expenditures and indicates the basis of calculation for each cost. For each item, provide the information in a manner that will allow reviewers to clearly understand the basis of calculation for each proposed expenditure. The budget narrative expenditure descriptions should also include a description of any district and other source contributions.
4. Describe how proposed expenditures are appropriate, reasonable and necessary to support the project activities and goals.
5. Describe how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided.

<ul style="list-style-type: none"> • The budget is thorough, specific, and supports the proposed project. • The proposed project budget presents expenses that are allowable, realistic, accurate, cost-efficient, and clearly relate to and reflect project activities, objectives, and outcomes. • The costs are reasonable in relation to the objectives, design, and potential significance of the proposed project. • The estimated number of SBL candidates is stated, and the costs per SBL candidate do not exceed \$60,000. • The required personnel, professional and technical services, and/or travel for the proposed project are clearly and adequately explained. • The justifications for expenditures are reasonable and clearly explained. • The costs for supplies and materials are reasonable and adequately justified. • The costs do not exceed the maximum of \$960,000 per applicant. • Indirect costs are not allowed. 	Score:	Explanation of Score:
TOTAL SCORE		