

NEW YORK STATE EDUCATION DEPARTMENT



**Request for Proposals
for the**

**Model Induction Program
2011 – 2014**

**Proposal Submission Due Date
October 14, 2011**

TABLE OF CONTENTS:

I.	INTRODUCTION	3
II.	PURPOSE	3
III.	DEFINITIONS.....	4
IV.	APPLICANT ELIGIBILITY REQUIREMENTS	6
V.	PROGRAM REQUIREMENTS	8
VI.	ADDITIONAL EXTRA CREDIT PROGRAM COMPONENTS	13
VII.	NARRATIVE	14
VIII.	PROPOSAL FORMAT.....	15
IX.	APPLICATION REVIEW AND SCORING	15
X.	AWARDS AND ALLOWABLE USES OF FUNDS	16
XI.	METHOD OF DETERMINING AWARD AMOUNTS	18
XII.	NARRATIVE SCORING RUBRIC (80 POINTS MAXIMUM)	18
XIII.	BUDGET AND BUDGET NARRATIVE SCORING (20 POINTS MAXIMUM)	23
XIV.	POST SELECTION PROCEDURES	24
XV.	BIDDERS CONFERENCE, QUESTIONS, CORRESPONDENCE, SUBMISSION	26
XVI.	ASSURANCES.....	29
XVII.	PROPOSAL EVALUATION RUBRIC	47
XVIII.	APPLICATION COVER PAGE	61
	ATTACHMENTS	63
	ATTACHMENT A: SAMPLE MOU	63
	ATTACHMENT B: ASSURANCE OF JOINT COMMITMENT FORM	64
	ATTACHMENT C: PARTICIPATING SCHOOL DATA.....	65
	ATTACHMENT D:	67
	ATTACHMENT E: NYS MENTORING STANDARDS.....	68

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I. INTRODUCTION

Evidence demonstrates that teacher quality is a crucial determinant of student achievement. High teacher turnover in districts can impact student achievement, and can also lead to an influx of inexperienced educators who need mentoring and induction programs. Districts also face high costs when they must recruit, hire, and train new teachers. One of the most significant challenges facing public schools in New York State is the persistent achievement gap between students of low socio-economic backgrounds in low performing schools and their more affluent peers. This problem is magnified for English language learners (ELLs) and students with disabilities. Additionally, New York State faces a labor shortage of highly-skilled teachers in the fields of science, technology, engineering, and mathematics (STEM). Many districts across New York State struggle to attract and retain effective teachers in low performing schools and shortage areas, such as STEM, teachers of ELLs, and teachers of students with disabilities.

The New York State Education Department (NYSED) will leverage the federal support from Race to the Top to provide funds to districts to improve the readiness of early career educators in low performing schools and shortage teaching areas by supporting select high quality induction programs¹. NYSED is offering a Request for Proposal (RFP) for Model Induction Programs. This RFP includes a planning period for applicants beginning in January 2012 and running until July 2012. The programs run from July 1, 2012 through June 30, 2014. A total of \$20,000,000 is allocated for this grant program.

II. PURPOSE

The purpose of NYSED's Model Induction Program is to provide competitive funds to develop and support early career educators in low performing schools and specific teacher shortage areas to become effective or highly effective, increase retention rates, and improve student learning results. This includes enhancing support provided to early career teachers working in these areas currently, as well as encouraging other early career educators to seek certification in specific shortage areas by providing them with differentiated supports and incentives. This program also seeks to build a cadre of

¹ Under [Part 100 of the Commissioner's Regulations](#) school districts in New York State are required to provide one-year of mentoring to all new teachers unless the candidate has successfully completed two years of teaching experience prior to such teaching in the public schools. Candidates for professional certification must provide verification from their districts that they received mentoring as prescribed in [Part 80-3.4 of the Commissioner's Regulations](#) as one requirement for professional certification. This RFP, however, is designed to strengthen and enhance mentoring for specific early career educators.

carefully-selected mentors who can continue to support early career teachers after the end of the grant period.

Specifically, this program intends to provide grants to school districts to create, or scale up, induction models that serve teachers working in high poverty schools (as defined below) and teachers in these shortage areas including:

- Teachers of English language learners, especially in bilingual classrooms and secondary grades and subjects;
- Teachers of students with disabilities, especially in secondary grades and subjects;
- Teachers of STEM disciplines in secondary grades; and
- Common Branch teachers with strong math and science pedagogical and content knowledge in low performing elementary schools.

Rather than prescribe specific approaches to how mentors and early career teachers interact (minimum periods of mentoring time, number of sessions, etc), this RFP requests applicants to provide plans that ensure differentiated support is provided to each early career educator based upon assessment of his or her skills and abilities, and to describe the outcomes in terms of level of proficiency of practice and student learning goals.

NYSED is interested in proposals for programs that are innovative and use research-based practices to achieve their desired outcomes. In addition, extra credit will be granted to proposals that provide incentives and structures to obtain additional or new, full-certification in specific shortage areas, and/or pilot the usage of "Impact Awards." NYSED expects proposals to also demonstrate plans to sustain the programs beyond the end of the grant period.

III. DEFINITIONS

- **Board of Education:** governing board of any public school or public school district.
- **Board Of Cooperative Educational Services (BOCES):** a public organization that provides shared educational programs and services to component school districts as a formally recognized middle or intermediate unit in New York State's public education system. There are currently 37 BOCES incorporating all but nine of the 697 school districts in New York State.

- **Certified Teacher:** a teacher who holds a state teaching certificate appropriate to his/her teaching position, including the subject area in which employed.
- **Early Career Educator:** any teacher who has not yet received tenure.
- **Eligible Grant Recipient:** a school district; a BOCES in partnership with one or more of its component school districts; and/or an eligible partnership or consortium of eligible recipients; each of which must have at least one eligible school (as defined in Section IV of this RFP) identified in the application that will participate in the Model Induction Program.
- **Eligible Partnership or Consortium:** an eligible partnership or consortium consists of an eligible grant recipient in partnership with one or more other eligible grant recipients, a non-profit organization, or an Institution of Higher Education in New York State with a registered program in either the subject content area or in teacher preparation in the specific area of focus within the application. A Network Team within New York City will be considered, for this RFP, as a consortium. An eligible partnership or consortium is defined through a signed Memorandum of Understanding (MOU), as a formal agreement among the members of the partnership or consortium and the MOU must be submitted with the application.
- **High Poverty School:** a school 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).
- **Low Performing School:** one of the schools designated as either:
 1. Schools Under Registration Review (SURR)
http://www.p12.nysed.gov/accountability/APA/SURR/SURR_home.html
 2. Schools identified as Persistently Lowest Achieving (PLA)
<http://www.p12.nysed.gov/irs/accountability/LowAchieve/2009/PLASchools-d3tod6.pdf>
 3. Schools designated as Schools in Improvement Status (SINI)
<http://www.p12.nysed.gov/irs/accountability/designations/home.html>
- **Memorandum of Understanding (MOU):** An MOU is a written document or 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.
- **School District:** is a public school LEA (Local Education Agency), as defined in Title 2 of the NYS Education Law: a common, union free, central, central high school, enlarged, consolidated, or city school district.

- **Teacher Shortage Area:** grade/content area in which there was a shortage of certified teachers in the prior school year and in which there is a projected shortage in the current school year as evidenced by the district and/or school.

IV. APPLICANT ELIGIBILITY REQUIREMENTS

ELIGIBLE APPLICANTS:

Each application must be submitted by a school district, a BOCES in partnership with one or more of its component school districts, and/or a consortium or partnership of eligible recipients, which have at least one eligible school that will participate. Each applicant must complete Attachment C: Participating School Data listing, by name, the specific school(s) that will be served by this grant. An “eligible” school must be high-poverty under the definitions described within the RFP **and meet at least two of the following additional characteristics:**

1. Low performing school, classified as a SINI, PLA, SURR;
2. High concentrations of English language learners, as defined by percent of students that are above the State average ²;
3. High concentrations of students with disabilities, as defined by percent of students that are above the State average³; and/or
4. Evidence of difficulty in attracting and retaining effective teachers in at least one of the following priority areas:
 - a. Teachers of English language learners, especially in bilingual classrooms and/or secondary grades and subjects;
 - b. Teachers of students with disabilities, especially in secondary grades;
 - c. Teachers of STEM disciplines, especially in secondary grades; and
 - d. Elementary Common Branch teachers with strong math and science pedagogical and content knowledge.

Evidence of difficulty in attracting and retaining these teachers includes district and/or school data, which is above the State average⁴, in the following categories: turnover rate, average experience level, and/or teaching out of certification. Additionally, evidence may include district and/or school data that demonstrates the magnitude of teacher and/or subject area shortages through

² New York State average for English language learners is 7% (see: <http://www.p12.nysed.gov/biling/docs/NYSLEP-ELLDataJune2011WebDoc.pdf>).

³ New York State average for students with disabilities is 13% (see: <http://www.p12.nysed.gov/sedcar/state.htm>).

⁴ New York State average teacher turnover rate is 13%; the average experience level (percentage with fewer than three years) is 6%; the average percentage of teachers teaching out of certification is 3% (see Statewide: <https://www.nystart.gov/publicweb-external/2010statewideAOR.pdf> and School District: <https://www.nystart.gov/publicweb/AllDistrict.do?year=2010>).

data such as the number of applicants per vacancy in these areas compared to other areas within the district.

Note: Applications will be rejected and will not be reviewed or scored if they do not name each of the eligible participating school(s) in Attachment C and do not list all partnership or consortium entities in the application, if applicable.

ALLOWABLE PARTNERSHIPS AND PARTNERSHIP ELIGIBILITY:

NYSED Consortium Policy for State and Federal Discretionary Grant Programs:

A group of eligible grant recipients can form a partnership or consortium to apply for the grant. In order to do so, the partnership or consortium must meet the following requirements:

1. The partnership or consortium must designate one of the participants to serve as the applicant and fiscal agent for the grant. The applicant agency must be an eligible grant recipient. All other consortium members must be eligible grant participants and must be identified on the application cover page. The specific services that each participant will provide must be outlined in the application and the partnership/consortium MOU, and a copy of the MOU must be included with the application.
2. In the event a grant is awarded to an eligible partnership/consortium, the grant or grant contract will be prepared in the name of the applicant agency/fiscal agent, not the partnership/consortium, since the group is not a legal entity.
3. The applicant agency/fiscal agent must meet the following requirements:
 - a. Must be an eligible grant recipient as defined by this RFP;
 - b. Must receive and administer the grant funds and submit the required reports to account for the use of grant funds;
 - c. Must require consortium partners to sign an agreement with the fiscal agent that specifically outlines all services each partner agrees to provide.
 - d. Is PROHIBITED from subgranting funds to other recipients. The fiscal agent is permitted to contract for services with other consortium partners or consultants to provide services that the fiscal agent cannot provide itself.
 - e. Must be responsible for the performance of any services provided by the partners, consultants, or other organizations and must coordinate how each one plans to participate.

Collective Bargaining Agreement: 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. Part of Attachment B, Assurance of

Joint Commitment form, certifies this is true and must be completed and included in application submitted.

Implement Teacher Evaluation in Compliance with Education Law §3012-c in participating schools: If applicants have not already implemented teacher evaluation by the start of the 2012-13 school year, they must provide a letter of commitment in the form of a signed Memorandum of Understanding (MOU) from their collective bargaining unit(s) that confirms the applicant will implement teacher evaluation consistent with the Commissioner's Regulations and Education Law §3012-c in schools participating in this grant by the start of the 2012-13 school year for all of the teachers and principals in the schools. (See Attachment B).

V. PROGRAM REQUIREMENTS

MANDATORY REQUIREMENTS:

The following requirements are mandatory. **Please note that applications will not be considered if they fail to meet any of the following mandatory eligibility requirements:**

- 1) Participating districts or BOCES programs must implement teacher evaluation in compliance with Education Law §3012-c in the participating schools. Applications will not be considered if the school district has not already implemented teacher evaluation in compliance with Education Law §3012-c, or if the applicant fails to provide a letter of commitment between the district and the collective bargaining unit(s), as applicable, confirming agreement to implement teacher evaluation in the schools participating in this grant, in compliance with Education Law §3012-c for the 2012-13 school year. (If, after the 2011-12 planning period, the applicant fails to implement Education Law §3012-c for the 2012-13 school year in the participating schools, NYSED will withhold future payments related to the Model Induction Program).

Note: Complete Attachment B to provide evidence of meeting this criterion.

- 2) Applicants must describe how they meet the applicant eligibility requirements under this grant by proposing an induction program that:
 - a. Serves schools that meet the definition of high-poverty as described within this RFP; and
 - b. Serves schools that meet at least two of the additional characteristics as described in Section IV.

Note: Complete Attachment C to provide evidence of meeting this criterion.

- 3) As a condition of receiving awards for the Model Induction Program, applicants must agree to participate in a research study conducted by NYSED that will evaluate the efficacy of the proposed model induction program compared with non-participating programs within the district both during and following the grant period.

Note: Complete Attachment B to provide evidence of meeting this criterion.

- 4) 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. Applications will not be considered that do not include certification that this is true.

Note: Complete Attachment B to provide evidence of meeting this criterion.

- 5) For applications that include a partnership or consortium, an MOU delineating the roles and responsibilities of each entity must be included in the application and signed by all parties.

Note: Complete Attachment A, and where applicable, attach additional required supporting documents.

GENERAL REQUIREMENTS:

Summary:

The applicant must provide a narrative summary for the teacher induction and mentoring approach being proposed that describes:

- a. The current, existing induction and mentoring approach(es) used within the district and explains how any initiative funded by this award will enhance or complement the existing induction and mentoring already provided for all early career educators;
- b. The theoretical foundation and relevance in peer reviewed scholarly literature, NYS mentoring standards and/or other best practices;
- c. The method(s) used for implementation at school level;
- d. The methods that will be used for assessing and evaluating the program activities and outcomes, and how/when the results of formative and summative evaluations of the program activities and outcomes conducted

by the applicant and/or any partners will be reported to NYSED (results must be reported, at a minimum, on an annual basis).

Applicant Capacity and Sustainability:

- 1) Applicants must provide an overall project plan, including a timeline for the planning period, that describes their capacity to oversee and manage the proposed program, including evidence of adequate human, organizational, and professional resources and associated abilities to meet the needs of their proposed programs, as well as their ability to deliver results (any track record of successful induction and mentoring program results by the applicant and/or partners should be included and discussed here).
- 2) Applicants must describe how they will involve key stakeholders (e.g., unions, key teachers, school leaders) in any initiative funded by this award to ensure there is support, particularly for specific programmatic components (e.g., common planning time, collaborative efforts and opportunities) and to build internal school capacity, and describe how school leaders will lead the program as part of a coherent school-wide development initiative.
- 3) Applicants must describe a sustainability plan for how they will continue this induction program, including the additional proposed services and components, after the expiration of this grant, and demonstrate how the program will be maintained fiscally by identifying sources of potential funds.

PROGRAM REQUIREMENTS FOR EARLY CAREER EDUCATORS:

Applicants must meet the following requirements for the services provided to the participating early career educators:

Formative Assessment and Differentiated Programs and Supports:

- 1) Applicants must describe how their program will provide differentiated programmatic offerings based on initial and ongoing formative assessment results of each educator and their student learning data, and how the applicant will determine whether the effectiveness of each early career educator has improved as a result of the program.
- 2) Applicants must describe in what other ways supports provided to early career educators utilize NYS Mentoring Standards (see Attachment E), other research-based innovations, or best practices.

Assessment and Development of Shortage Area Skills:

For teachers of English language learners, students with disabilities, and/or any STEM discipline, including enhancing math and science content pedagogy of Common Branch teachers, applicants must describe how they will assess and develop the specific skills and knowledge needed to advance student learning and ensure student growth for these students (English language learners, students with disabilities, and students in STEM disciplines) in the participating early career educators.

Best practices for induction programs specifically focused on teachers of these areas have important differences from more generalized approaches to teacher induction. Applicants must explain how their proposed approach is rooted in research or has otherwise been shown to have good results for students in these specific areas.

PROGRAM REQUIREMENTS FOR MENTORS:

Applicants must meet the following requirements within their programs for mentors:

Mentor Selection:

- 1) Applicants must establish rigorous and challenging mentor selection criteria that ensure high quality mentors and explain how selected mentors and early career educators will be matched for the proposed program. For the mentor selection criteria, applicants will:
 - a. Describe their mentor candidate eligibility requirements and mentor selection process in the planning period and beyond:
 - i. Explain their selection process and how they will ensure that only mentors who are specialists (i.e., English language learners, students with disabilities, STEM disciplines) and able to achieve significant student achievement gains in their particular grade/content areas are allowed to mentor the participating early career educators, including the type of evidence relied upon to make this selection;
 - ii. Explain what level of performance under the teacher evaluation system is required to become a mentor and to remain a mentor once the full evaluation system is established in the school;
 - iii. Describe how their selection criteria incorporate recommendations from the recently adopted New York State Mentoring Standards (Attachment E) and/or other best practices in mentoring selection.

Mentor Training, Supports, and Development:

- 1) Applicants must provide mentors selected for their program any additional professional development supports that they need to be proficient and able to support participating early career educators with:
 - Common Core Standards;
 - Data-driven inquiry;
 - Evidence-based observation aligned with district evaluation models, including the district’s selected teacher practice rubric;
 - Student growth goal-setting process, as required by the district’s evaluation process;
 - Current best practices and specific strategies for English language learners and students with disabilities, with specific focus on instruction in literacy, research based practices in the provision of specialized instruction for students with disabilities, Response to Intervention, and Positive Behavioral Intervention and Supports, as well as native language development.
- a. Applicants must include a detailed description of the types of individualized supports, differentiated professional development, and training that will be provided during the planning period of this grant (and ongoing) to selected mentors on the above components, as well as the New York State Mentoring Standards (Attachment E).
- b. Applicants must explain the tools (e.g., mentor skill rubrics, performance assessments, surveys of mentored teachers, etc) that will be used to continuously evaluate mentors and inform the individualized supports and ongoing professional development, as well as describe their plans for removing ineffective mentors.

Use of technology

Applicants must describe in detail how the program incorporates the use of technology, including one or more of the following:

- Exemplar videos of outstanding teachers for professional development⁵;
- Video as a tool for teacher reflection;

⁵ Exemplar videos that are produced in the course of this grant program will be deemed to be owned by the New York State Education Department or, in the alternative, the applicants will grant to the Department a perpetual, royalty free license to duplicate, distribute, make derivatives or otherwise use the videos in any manner, solely for the Department’s educational purposes.

- Coaching by mentors through collaborative inquiry such as review of videos of teachers, online interactions;
- Remote mentoring via technology such as Skype, or satellite;
- Blended mentoring (remote mentoring from content experts and on-site mentoring from school-based experts);
- On-line classroom modules, On-line professional learning communities, virtual simulation exercises, etc for collaboration amongst content specific teachers across the state.

The applicant must describe how the program will incorporate the use of technology, any research to support their approach, and how they will evaluate the effectiveness of the technology usage (e.g., types of data and metrics that will be collected). The proposal explains why there is a demonstrated need for an investment in this approach to technology for this induction model (e.g., without remote mentoring, the district could not provide content expert mentors to their new science teachers).

VI. ADDITIONAL EXTRA CREDIT PROGRAM COMPONENTS

Presentation of a program that meets the standards set forth above will result in a rigorous and research based induction programs for early career educators. However, through this Model Induction Program RFP, NYSED also desires to encourage applicants to leverage the Race to the Top funds to pilot innovative practices.

- **Applicants whose program provides incentives and structures** to enable early career educators who are not yet certified in shortage areas to obtain the requisite credentials that will allow them to become eligible and prepared to teach as a fully certified New York State teacher in that shortage area.

Within the overall project narrative and budget narrative, applicants must include an additional section that describes the specific incentives and structures the program will provide to early career educators to provide incentives to them to seek additional or new, full-certification in specific shortage areas. Applicants should describe how they will ensure educators complete their certification, and what, if any, commitments will be required of applicants after they complete their certification, such as remaining within low performing schools in the district.

- **Applicants who structure their program to pilot the usage of “Impact Award” funding**, meaning financial or other incentives, to reward individuals, schools, and/or third party partners who achieve key benchmarks:

- Reward success based on achievement of key interim benchmarks at various stages over the course of the grant, such as:
 - Percentage of mentored teachers, receiving ratings of Developing or better, retained in their school/the district.
 - Percentage of mentored teachers who receive evaluation ratings above Developing.
 - Number of new teachers, receiving ratings of Developing or better, who seek new certification in a shortage area.

Within the overall project narrative and budget narrative, applicants must include an additional section that describes how their proposed Model Induction Program will incorporate the use of Impact Awards, and which key interim benchmarks will be used by the district at which points in time. Applicants should explain how they will ensure that the benchmarks selected are ambitious and challenging, how rewards will be made before the end of the grant period, and a sustainability plan for how remaining awards will be funded after the conclusion of the grant period June 30, 2014.

VII. NARRATIVE

The narrative should describe the 2012 – 2014 proposed activities of the Model Induction Program in detail, including the overall objectives, strategies, planning, implementation, and evaluation of all proposed activities, and the elements within the Model Induction Program.

The narrative should present a cohesive document with each individual section related to all other sections and must adhere to the format described in this section. The narrative must not exceed **25** pages, double spaced, 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.

Applicants must include the following in the proposal narrative:

- Document how application meets the mandatory requirements set forth in Section V.
- Detailed responses to the program requirement criteria set forth in Section V.
- Detailed responses to additional extra credit program component criteria set forth in Section VI, as applicable.

VIII. PROPOSAL FORMAT

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

- A. Application Cover Page (see Section XVIII)
- B. Table of Contents
- C. Proposal Narrative
- D. FS-10: Proposed Budget for a Federal or State Project
(<http://www.oms.nysed.gov/cafe/forms/>)
- E. Budget Summary for entire grant period (Attachment D)
- F. Budget Narrative
- G. Additional Required Attachments:
 - a. Partnership/Consortium MOU, if applicable (sample Attachment A)
 - b. Attachment B, Assurance of Commitment form
 - c. Attachment C, Participating School Data form
 - d. Payee information form, (<http://www.oms.nysed.gov/cafe/forms/>), if required
- H. Required Assurances (see Section XVIII)

IX. APPLICATION REVIEW AND SCORING

Applicants will be evaluated using the criteria set forth in this Model Induction RFP. Proposals will be listed in rank order of average score received and funds will be awarded to the top proposals by region until all funds are allocated. In case of a tie score the applicant with a higher score in the additional extra credit program component criteria will be awarded the grant.

Applications must first meet the mandatory requirements set forth in Section V to advance to the programmatic scoring. The Program Narrative and attachments will be reviewed to confirm that the mandatory requirements have been met. If an application fails to meet any of the mandatory requirements set forth in Section V then the applicant will be notified, via email, and will then have 5 business days to re-submit any missing and/or incomplete materials in order to meet the mandatory requirements.

The General, Early Career Educator and Mentor requirement components of each application will be scored for all applicants meeting the mandatory requirements.

Two technical reviewers will review each application. A third review will be performed if there is a difference of more than ten (10) points between the two scores. When a third review is necessary, the lowest score will be dropped and the score on this portion will be based on the average of the remaining two evaluations.

Applicants may receive up to 70 points for this portion of the proposal and must receive an average score of 53 (75% of available points) to move to the budget review and Additional Extra Credit Program Components review. In cases where a third review is necessary and the application meets the minimum score for the section, the remainder of the application will be evaluated by those technical reviewers giving the two highest scores in that section. The reviewer providing the dropped score will not continue the evaluation of the application.

Twenty points is available for the review of the budget and budget narrative. An additional 10 points is available to those applicants who meet the above minimum and propose program models that include either or both of the additional extra credit program component criteria.

Final scores will be determined by adding the scores from the General, Early Career Educator and Mentor components to any score for the additional extra credit program component section and the budget score. Refer to the evaluation rubric in Section XVII for further details on how the narrative is scored.

Applications must receive a final average score of **67 or above** to be eligible to receive an award.

All reviewers will be trained on all aspects of the Model Induction program with specific reference to Section XII Narrative Scoring Rubric, and Section XIII Budget and Budget Narrative Scoring.

X. AWARDS AND ALLOWABLE USES OF FUNDS

PROJECT PERIOD:

NYSED anticipates granting awards for The Model Induction Program in December 2011. The program period starts January 1, 2012 and end June 30, 2014. Districts will commence their planning periods in January 2012, with programs for early career educators beginning in the Summer of 2012. This RFP will provide funds for programs through June 2014.

AWARD SIZE:

Applicants may request awards for up to \$500,000 per application; however, in no case will an award exceed \$50,000 per participating school. It is understood that the funds

will not all be spent directly in each participating school and the needs may vary from school to school, but the \$50,000 per school maximum is a mechanism to set allowable grant size. The awards requested will vary depending on the number of estimated mentors and early career educators served, and the type of program proposed. As such, applicants may request up to \$500,000 for their overall proposed Model Induction Program and up to \$50,000 per participating school, but this request must be justified within the budget and budget narrative.

ALLOWABLE USES OF FUNDS:

Applicants must submit a detailed budget accompanied by a budget narrative that describes how they intend to use up to \$50,000 per participating school within their proposed Model Induction Program. Each application may not request total awards over \$500,000. Applicants may not request awards over \$50,000 per school. Within these funds there are categories of allowable expenses which include the following:

- Design costs for the program structure
- Expenses related to mentor selection and training during the planning period
- District expenses related to residency or internship experiences that districts conduct with new teacher employees before they take over a classroom as the teacher of record
- Ongoing support and tools for selected mentors and early career educators, including equipment, supplies, and materials
- Release time or per-session costs for mentors and/or early career educators
- Costs related to use of technology
- Costs related to the additional extra credit program criteria components for the proposed Model Induction Program model:
 - Incentives for early career educators to seek additional or new, full-certification in shortage areas; and/or
 - “Impact Awards” based on achievement of specified targets.

The budget will be reviewed and adjustments will be made by the program office to eliminate non-allowable budgeted items and any other items deemed to be inappropriate (costs will be examined to determine if they are necessary, reasonable, and allowable under applicable guidelines, statutes, and regulations). The review of the projected budget will determine whether the applicant can achieve the objectives of the project with reasonable efficiency and economy under the proposed budget. There is no guarantee that an applicant will be funded for the full amount requested in their application.

XI. METHOD OF DETERMINING AWARD AMOUNTS

Awards will be made to successful applicants in one of two regions: New York City and Rest of State, who meet the requirements set forth in this RFP. Applicants will be ranked in order of score received, by region, until available funds are exhausted.

The available funds allocated to each region are based on the percentage of schools in need of improvement per region. **Applicants from New York City are eligible to receive up to 50% of the overall awards granted. If funds remain from either of the two funding regions after all successful applicants have been awarded in that region, the remaining funds will be added to the other region to be awarded.**

XII. NARRATIVE SCORING RUBRIC (80 points maximum)

A. PROGRAM OBJECTIVES, STRATEGIES, ACTIVITIES, SERVICES, AND PERFORMANCE MEASURES/DATA SOURCES (Maximum 70 points)

Summary (Up to 10 points):

The proposal provides for the teacher induction and mentoring approach being proposed a narrative summary that describes:

- a. The current, existing induction and mentoring approach(es) used within the district, and explains how any initiative funded by this award will enhance or complement the existing induction and mentoring already provided for all early career educators;
- b. The theoretical foundation and relevance in peer reviewed scholarly literature, NYS mentoring standards and/or other best practices;
- c. The method(s) used for implementation at the district or school level; and
- d. The methods that will be used for assessing and evaluating the program activities and outcomes and how and when the results of formative and summative evaluations of the program activities and outcomes conducted by the applicant and/or any partners will be reported to NYSED (results must be reported, at a minimum, on an annual basis).

Applicant Capacity and Sustainability (Up to 10 points):

- 1) The proposal provides an overall project plan, including a timeline for the planning period, that describes the applicant's capacity to oversee and manage

the proposed program including evidence of adequate human, organizational, and professional resources and associated abilities to meet the needs of their proposed program, as well as their propensity to deliver results (any track record of successful induction and mentoring program results by the applicant and/or partners should be included and discussed here).

- 2) The proposal describes how any initiative funded by this award will aim to involve key stakeholders (e.g., unions, key teachers, school leaders) to ensure there is support, particularly for specific programmatic components (e.g., common planning time, collaborative efforts and opportunities) and to build internal school capacity, and describes how school leaders will lead the program as part of a coherent school-wide development initiative.
- 3) The proposal describes a sustainability plan for how the applicant will continue this induction program, including many if not all of the additional proposed services and components, after the expiration of this grant, and demonstrate how the program will be maintained fiscally by identifying sources of potential funds.

Program Requirements For Early Career Educators (Up To 20 Points):

Formative Assessment and Differentiated Programs and Supports (Up to 10 points):

- 1) The proposal must describe how the program will provide differentiated programmatic offerings based on initial and ongoing formative assessment results of each educator and their student learning data, and how the applicant will know whether and how the effectiveness of each early career educator improves.
- 2) The proposal describes in what other ways supports provided to early career educators utilize NYS Mentoring Standards (see Attachment E), other research-based innovations, or best practices.

Assessment and Development of Shortage Area Skills (Up to 10 points):

For teachers of English language learners, students with disabilities, and/or any STEM discipline, including enhancing math and science content pedagogy of Common Branch teachers, for which the applicant focuses, the proposal describes how specific skills and knowledge needed to advance student learning and ensure student growth for these students (English language learners,

students with disabilities, and students in STEM disciplines) will be assessed and developed in early career educators.⁶

Program Requirements for Mentors (Up To 20 Points):

Mentor Selection (Up to 15 points):

- 1) The proposal establishes rigorous and challenging mentor selection criteria that ensures high quality mentors, and explains how selected mentors and early career educators will be matched for the proposed program. For the mentor selection criteria, the proposal:
 - a. Describes the mentor candidate eligibility requirements and mentor selection process in the planning period and beyond:
 - i. Explains the selection process and how the applicant will ensure that only mentors who are specialists (i.e., English language learners, students with disabilities, STEM disciplines) and able to achieve significant student achievement gains in their particular grade/content areas are allowed to mentor early career educators, including the type of evidence relied upon to make this selection;
 - ii. Explains what level of performance under the teacher evaluation system is required to become a mentor and to remain a mentor once the full evaluation system is established in the school;
 - iii. Describes how the selection criteria incorporates recommendations from the recently adopted New York State Mentoring Standards (Attachment E) and/or other best practices in mentoring selection.

Mentor Training, Supports, and Development (Up to 5 points):

- 1) The proposal provides mentors selected for the program any additional professional development supports that they need to be proficient, and able to support early career educators, with:
 - Common Core Standards;
 - Data-driven inquiry;
 - Evidence-based observation aligned with district evaluation models, including the district's selected teacher practice rubric;
 - Student growth goal-setting process, as required by the district's evaluation process;

⁶ Best practices for induction programs specifically focused on teachers of these areas have important differences from more generalized approaches to teacher induction, and applicants must explain how their proposed approach is rooted in what is known to have good results for students in these specific areas.

- Current best practices and specific strategies for English language learners and students with disabilities, with specific focus on instruction in literacy, research based practices in the provision of specialized instruction for students with disabilities, Response to Intervention, and Positive Behavioral Intervention and Supports, as well as native language development.
- a. The proposal includes a detailed description of the types of individualized supports, differentiated professional development, and training that will be provided during the planning period of this grant (and ongoing) to selected mentors on the above components, as well as the New York State Mentoring Standards (Attachment E).
 - b. The proposal explains the tools (e.g., mentor skill rubrics, performance assessments, surveys of mentored teachers, etc) that will be used to continuously evaluate mentors and inform the individualized supports and ongoing professional development, as well as describe their plans for removing ineffective mentors.

Use of Technology (Up To 10 Points):

The proposal describes in detail how the program incorporates technology, including one or more of the following:

- Exemplar videos of outstanding teachers for professional development⁷;
- Video as a tool for teacher reflection;
- Coaching by mentors through collaborative inquiry such as review of videos of teachers, online interactions;
- Remote mentoring via technology such as Skype, or satellite;
- Blended mentoring (remote mentoring from content experts and on-site mentoring from school-based experts);
- On-line classroom modules, On-line professional learning communities, virtual simulation exercises, etc for collaboration amongst content specific teachers across the state.

The proposal describes how the program will incorporate the use of technology, any research to support their approach, and how they will evaluate the effectiveness of the technology usage (e.g., types of data and metrics that will be collected). The proposal explains why there is a demonstrated need for an investment in this approach to technology for this induction model (e.g., without remote mentoring, the district could not provide content expert mentors to their new science teachers).

⁷ Exemplar videos that are produced in the course of this grant program will be deemed to be owned by the New York State Education Department or, in the alternative, the applicants will grant to the Department a perpetual, royalty free license to duplicate, distribute, make derivatives or otherwise use the videos in any manner, solely for the Department's educational purposes.

B. ADDITIONAL EXTRA CREDIT PROGRAM CRITERIA (Maximum 10 points)

- 1) *Proposals whose program provides incentives and structures to enable additional or new full-certification in shortage areas (0 or 5 points):*

The proposal describes how the program will provide incentives and structures to enable early career educators who are not yet certified in shortage areas to obtain the requisite credentials that will allow them to become eligible and prepared to teach as a fully certified New York State teacher in that shortage area.

The proposal describes the specific incentives and structures the program will provide to early career educators to provide incentives to them to seek additional, or new, full-certification in specific shortage areas. The proposal describes how the applicant will ensure educators complete their certification, and what, if any, commitments will be required of applicants after they complete their certification, such as remaining within low performing schools in the district.

- 2) *Proposals whose program pilots the usage of "Impact Award" funding (0 or 5 points)*

The proposal describes how the program will pilot the usage of "Impact Award" funding, meaning financial or other incentives, to reward individuals, schools, and/or third party partners who achieve key benchmarks:

- Reward success based on achievement of key interim benchmarks at various stages over the course of the grant, such as:
 - Percentage of mentored teachers, receiving ratings of Developing or better, retained in their school/the district.
 - Percentage of mentored teachers who receive evaluation ratings above Developing.
 - Number of new teachers, receiving ratings of Developing or better, who seek new certification in a shortage area.

The proposal describes how the program will incorporate the use of Impact Awards, and which key interim benchmarks will be used by the district at which points in time. The proposal explains how the applicant will ensure that the benchmarks selected are ambitious and challenging, how rewards will be allocated before the end of the grant period, and a sustainability plan for how

remaining awards will be funded after the conclusion of the grant period in July 2014.

XIII. BUDGET AND BUDGET NARRATIVE SCORING (20 points maximum)

The budget section of the proposal represents 20 points of the overall score (See Section X for allowable uses of award funds). Applicants who submit a budget and budget narrative that requests awards over \$500,000 total per application and/or over \$50,000 per school will automatically receive a score of zero for this section.

The budget and budget narrative must comply with the following:

1. Complete an [FS-10](#) that shows in detail all expenses requested from the Model Induction Program funds during the six-month planning period. Also complete a Budget Summary form (Attachment D) including summary expenses of requested funds from the grant for the entire grant period. A summary of any district and other source contributions, if any, should be listed on the chart where requested.
2. Provide a budget narrative that justifies all proposed expenditures and indicates the basis of calculation for each cost during the six-month planning period and the two year grant 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. The budget narrative expenditure descriptions should also include a description of any district and other source contributions.
3. Describe how proposed expenditures are appropriate, reasonable and necessary to support the project activities and goals.
4. Describe how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided.

Criteria for submitted budgets:

- 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 mentors and early career educators to be served in each school is stated, and the costs per school are reasonable and cost-efficient in relation to the number of estimated mentors and early career educators to be served and to the anticipated results and benefits.
- 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 equipment, supplies, and materials are reasonable and adequately justified.
- The costs related to any additional extra credit program components selected, such as technology, incentives, and/or impact awards are reasonable and clearly explained.
- The costs do not exceed the maximum of \$500,000 per application and \$50,000 per school proposed to be supported.

XIV. POST SELECTION PROCEDURES

DEBRIEFING PROCEDURES:

All unsuccessful vendors may request a debriefing within five (5) business days of receiving notice from NYSED. Vendors may request a debriefing letter on the selection process regarding this RFP by submitting a written request to the Fiscal Contact person at:

NYS Education Department
Attn: Lynn Caruso, RFP #GT-06
Contract Administration Unit
89 Washington Avenue
Room 505W EB
Albany, NY 12234

The Fiscal Contact person will make arrangements with program staff to provide a written summary of the proposal's strengths and weaknesses, as well as recommendations for improvement. Within ten 10 business days, the program staff will issue a written debriefing letter to the vendor.

PROTEST PROCEDURES:

Applicants who receive a notice of non-award may protest the NYSED award decision subject to the following:

1. 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.
2. The protest must be filed within ten (10) business days of receipt of the debriefing letter. The protest letter must be filed with:

NYS Education Department
Attn: Lynn Caruso, RFP #GT-06
Contract Administration Unit
89 Washington Avenue
Room 505W EB
Albany, NY 12234

3. 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.
4. 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.

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 a bidder's proposal and/or to determine a bidder's compliance with the requirements of solicitation; (16) to request best and final offers.

XV. BIDDERS CONFERENCE, QUESTIONS, CORRESPONDENCE, SUBMISSION

A. Bidders Conference by Webinar:

The New York State Education Department will host a Bidders Conference by Webinar on **September 20, 2011 from 1:00 to 3:00 pm**. To reserve a spot in the webinar, send an e-mail to: **inductionrfp@mail.nysed.gov** by **September 15, 2011**. Subject: Bidders Webinar Reservation.

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

B. Important Dates:

Information on how to connect to the webinar will be sent to registered participants on **September 16, 2011**.

The Bidders Webinar is scheduled for **September 20, 2011**.

Proposals must be postmarked by **October 14, 2011** or hand delivered no later than 5:00 p.m. on **October 14, 2011**.

Applicants will be informed of funding decisions on or about **December 15, 2011**.

Project start date: **January 1, 2012**

Planning Period: **January 1, 2012 to June 30, 2012**

C. Correspondence:

Questions regarding this RFP must be submitted by email to **inductionrfp@mail.nysed.gov** no later than the close of business **September 23, 2011**.

Questions regarding this request should be identified as Program or Fiscal, and submitted to the appropriate individual listed here:

Program Matters

Amy Cox

Email address

inductionrfp@mail.nysed.gov

Fiscal Matters

Lynn Caruso

Email Address

inductionrfp@mail.nysed.gov

A Questions and Answers Summary will be posted to **<http://usny.nysed.gov/rttt/rfp.html>** no later than **September 30, 2011**.

D. Submission:

Applications must be postmarked or hand delivered to the following address by October 14, 2011:

NYS Education Department
Attn: Lynn Caruso, RFP #GT-06
Contract Administration Unit
89 Washington Avenue
Room 505W EB
Albany, NY 12234

Institutions must submit one original, three copies and one electronic copy in MS Word CD format of the application for funding as described in the Narrative Format section of this RFP. The original must be clearly identified with original signature of the CEO or designee.

(Facsimile or emailed submission of the proposals are NOT acceptable).

XVI. ASSURANCES

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
- Appendix A-2

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 in Appendix B which exceed ten percent (10%) of such category must receive the approval of the Commissioner of Education and the Office of the State Comptroller.
- 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 said agreement shall be the sole and exclusive property of the New York State Education Department. The material prepared under the terms of this agreement by the Contractor shall be prepared by the Contractor in a form so that it will be ready for copyright in the name of the New York State Education Department. 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 any copyrightable work produced pursuant to said agreement shall be the sole and exclusive property of the New York State Education Department and that such work shall be prepared in a form ready for copyright by the New York State Education Department. A copy of such agreement shall be provided to the State.
- B. 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.
- C. This agreement cannot be modified, amended, or otherwise changed except by a written agreement signed by all parties to this contract.
- 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 RFP, 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 30, 2009. 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.

XVII. PROPOSAL EVALUATION RUBRIC

Score Sheet
 New York State Education Department
 Model Induction Program RFP
 SED Use Only

Raters are asked to evaluate each element of the proposal narrative as listed in the application. Two raters will independently read and evaluate each proposal. If there is a difference of 10 points or more between the two reviewers' scores, a third reviewer will review the application and the lowest score will be dropped and the score on this portion will be based on the average of the remaining two evaluations. Only applicants that first meet all of the mandatory requirements will advance to scoring. The Program Narrative and attachments will be reviewed to confirm that the mandatory requirements have been met. The General, Early Career Educator, and Mentor requirement components of each application will be scored for all applications that meet the mandatory requirements. Application may receive up to 70 points for this portion of the proposal and must receive an average score of 53 to move to the budget review and Additional Extra Credit Program Component review. Applications must receive a final average score of 67 or above to be eligible to receive an award.

Rater:	Applicant:
Meets Mandatory Requirements (Yes/No):	New York City or Rest of State:
	Required Component Review Score:
	Budget and Budget Narrative Score:
	Additional Extra Credit Component Score:
	Final TOTAL Score:

Rating Guidelines:

Quality Indicator	Description
Very Good	The response is specific and comprehensive. There is complete, detailed, and clearly articulated information as to how the criteria are met. The ideas presented are innovative, well-conceived and thoroughly developed.
Good	The response is reasonably comprehensive and includes sufficient detail. It contains many of the characteristics of a response that is very good even though it may require additional specificity, support or elaboration in places.
Fair	The response is non-specific and lacks focus and detail. The response addresses some of the selection criteria, but not all. Some ideas presented are sound, but others are not responsive to the purpose of the RFP. Additional information is needed in order to be reasonably comprehensive and meet the criteria of a response that is good.
Poor	The response does not meet many criteria; provides inaccurate information or provides information that requires substantial clarification as to how the criteria are met; lacks meaningful detail; demonstrates lack of preparation; or otherwise raises substantial concerns about the applicant's understanding of the issue in concept and/or ability to meet the requirement in practice.
No Evidence	The response does not address the criteria or simply re-states the criteria.

OVERALL EVALUATION		
	SCORE	ADDITIONAL COMMENTS
Summary (General Requirements)		
Applicant Capacity and Sustainability (General Requirements)		
Program Requirements for Early Career Educators		
Program Requirements for Mentors		
Use of technology		
SUBTOTAL SCORE (Summary, Applicant Capacity and Sustainability, Program Requirements Educators, Program Requirements Mentors, Technology)		<i>Subtotal must average 53 across reviewers to be further reviewed and considered</i>
Additional Extra Credit Program Criteria (New/Additional Certification)		
Additional Extra Credit Program Criteria (Impact Awards)		
Budget and Budget Narrative		
TOTAL SCORE (SUBTOTAL SCORE, Budget and Budget Narrative Score, and Additional Extra Credit Program Criteria Score(s), as applicable)		<i>Total score must average 67 across reviewers to be eligible for an award</i>
Overall Recommendation:		

Elements of the Proposal Narrative:

	Do applicants meet the following mandatory requirements:	Yes/No	Type of Evidence Provided
Mandatory Requirements	1) The applicant has confirmed that the participating school(s) where the proposed program will take place has already implemented teacher evaluation in compliance with Education Law §3012-c; or , the applicant has provided MOU that confirms an agreement to implement teacher evaluation in compliance with Education Law §3012-c signed with their collective bargaining unit(s) for the 2012-13 school year.		
	2) The applicants describes in Attachment C how they meet the applicant eligibility requirements under this grant by proposing an induction program that: a. Will serve schools that meet the definition of high-poverty as described within this RFP; and b. Meets at least two of the additional characteristics within their schools served as described in Section IV.		
	3) The applicant has agreed (see Attachment B) to participate in a research study conducted by NYSED that will evaluate the efficacy of the proposed model induction program compared with non-participating programs within the district both during and following the grant period.		
	4) The applicant has ensured, where applicable and in accordance with law and regulation that new initiatives described in their application are allowable under collective bargaining agreements (see Attachment B and any additional related attachments).		
	5) If the application is for a partnership or consortium then the required MOU delineating the roles and responsibilities of each entity is included as an attachment with Section A and signed by all parties.		

Do not advance to scoring if there are any NO responses within this section.

SUMMARY (GENERAL REQUIREMENTS) (Up to 10 points)				
0	1 - 2	3 - 5	6 - 8	9-10
<input type="checkbox"/> No Evidence	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good	<input type="checkbox"/> Very Good
Score:	Score:	Score:	Score:	Score:
<p>The proposal describes:</p> <ul style="list-style-type: none"> a. The current, existing induction and mentoring approach(es) used within the district, and explains how any initiative funded by this award will enhance or complement the existing induction and mentoring already provided for all early career educators; b. The theoretical foundation and relevance in peer reviewed scholarly literature, NYS mentoring standards and/or other best practices; c. The method(s) used for implementation at the district or school level; and d. The methods that will be used for assessing and evaluating the program activities and outcomes and how and when the results of formative and summative evaluations of the program activities and outcomes conducted by the applicant and/or any partners will be reported to NYSED (results must be reported, at a minimum, on an annual basis). 			Score:	Explanation of Score:

APPLICANT CAPACITY AND SUSTAINABILITY (GENERAL REQUIREMENTS) (Up to 10 points)

0	1 - 2	3 - 5	6 - 8	9-10
<input type="checkbox"/> No Evidence	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good	<input type="checkbox"/> Very Good
Score:	Score:	Score:	Score:	Score:

<p>1) The proposal provides an overall project plan, including a timeline for the planning period, that describes the applicant’s capacity to oversee and manage the proposed program including evidence of adequate human, organizational, and professional resources and associated abilities to meet the needs of their proposed program, as well as their propensity to deliver results (any track record of successful induction and mentoring program results by the applicant and/or partners should be included and discussed here).</p> <p>2) The proposal describes how any initiative funded by this award will aim to involve key stakeholders (e.g., unions, key teachers, school leaders) to ensure there is support, particularly for specific programmatic components (e.g., common planning time, collaborative efforts and opportunities) and to build internal school capacity, and describes how school leaders will lead the program as part of a coherent school-wide development initiative.</p> <p>3) The proposal describes a sustainability plan for how the applicant will continue this induction program, including many if not all of the additional proposed services and components, after the expiration of this grant, and demonstrate how the program will be maintained fiscally by identifying sources of potential funds.</p>	Score:	Explanation of Score:
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PROGRAM REQUIREMENTS FOR EARLY CAREER EDUCATORS (Up to 20 points)

0	1 - 6	7 - 12	13 - 18	19 - 20
<input type="checkbox"/> No Evidence	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good	<input type="checkbox"/> Very Good
Score:	Score:	Score:	Score:	Score:

<p><i>Formative Assessment and Differentiated Programs and Supports (Up to 10 points):</i></p> <ol style="list-style-type: none"> 1) The proposal must describe how the program will provide differentiated programmatic offerings based on initial and ongoing formative assessment results of each educator and their student learning data, and how the applicant will know whether and how the effectiveness of each early career educator improves. 2) The proposal describes in what other ways supports provided to early career educators utilize NYS Mentoring Standards (see Attachment E), other research-based innovations, or best practices. 	Score:	Explanation of Score:
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<p><i>Assessment and Development of Shortage Area Skills (Up to 10 points):</i></p> <p>For teachers of English language learners, students with disabilities, and/or any STEM discipline, including enhancing math and science content pedagogy of Common Branch teachers, the proposal describes how specific skills and knowledge needed to advance student learning and ensure student growth for these students (English language learners, students with disabilities, and students in STEM disciplines) will be assessed and developed in early career educators.</p> <p>Note: Best practices for induction programs specifically focused on teachers of these areas have important differences from more generalized approaches to teacher induction, and applicants must explain how their proposed approach is rooted in what is known to have good results for students in these specific areas.</p>	Score:	Explanation of Score:
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PROGRAM REQUIREMENTS FOR MENTORS (Up to 20 points)

0	1 - 6	7 - 12	13 - 18	19 - 20
<input type="checkbox"/> No Evidence	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good	<input type="checkbox"/> Very Good
Score:	Score:	Score:	Score:	Score:

Mentor Selection (Up to 15 points):

The proposal establishes rigorous and challenging mentor selection criteria that ensures high quality mentors, and explains how selected mentors and early career educators will be matched for the proposed program. For the mentor selection criteria, the proposal:

- a. Describes the mentor candidate eligibility requirements and mentor selection process in the planning period and beyond:
 - i. Explains the selection process and how the applicant will ensure that only mentors who are specialists (i.e., English language learners, students with disabilities, STEM disciplines) and able to achieve significant student achievement gains in their particular grade/content areas are allowed to mentor early career educators, including the type of evidence relied upon to make this selection;
 - ii. Explains what level of performance under the teacher evaluation system is required to become a mentor and to remain a mentor once the full evaluation system is established in the school;
 - iii. Describes how the selection criteria incorporates recommendations from the recently adopted New York State mentoring standards and/or other best practices in mentoring selection.

Score:

Explanation of Score:

<i>Mentor Training, Supports, and Development (Up to 5 points):</i>	Score:	Explanation of Score:
<p>The proposal provides mentors selected for the program any additional professional development supports that they need to be proficient, and able to support early career educators, with:</p> <ul style="list-style-type: none"> • Common Core Standards; • Data-driven inquiry; • Evidence-based observation aligned with district evaluation models, including the district’s selected teacher practice rubric; • Student growth goal-setting process, as required by the district’s evaluation process; • Current best practices and specific strategies for English language learners and students with disabilities, with specific focus on instruction in literacy, research based practices in the provision of specialized instruction for students with disabilities, Response to Intervention, and Positive Behavioral Intervention and Supports, as well as native language development. <ol style="list-style-type: none"> a. The proposal includes a detailed description of the types of individualized supports, differentiated professional development, and training that will be provided during the planning period of this grant (and ongoing) to selected mentors on the above components, as well as the New York State mentoring standards. b. The proposal explains the tools (e.g., mentor skill rubrics, performance assessments, surveys of mentored teachers, etc) that will be used to continuously evaluate mentors and inform the individualized supports and ongoing professional development, as well as describe their plans for removing ineffective mentors. 		

USE OF TECHNOLOGY (Up to 10 points)

0	1 - 3	4 – 5	6 - 8	9-10
<input type="checkbox"/> No Evidence	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good	<input type="checkbox"/> Very Good
Score:	Score:	Score:	Score:	Score:

Proposals whose program incorporates technology (Up to 10 points):

The proposal describes in detail how the program incorporates technology, such as:

- Exemplar videos of outstanding teachers for professional development;
- Video as a tool for teacher reflection;
- Coaching by mentors through collaborative inquiry such as review of videos of teachers, online interactions;
- Remote mentoring via technology such as Skype, or satellite;
- Blended mentoring (remote mentoring from content experts and on-site mentoring from school-based experts);
- On-line classroom modules, On-line professional learning communities, virtual simulation exercises, etc for collaboration amongst content specific teachers across the state.

The proposal describes how the program will incorporate the use of technology, any research to support their approach, and how they will evaluate the effectiveness of the technology usage (e.g., types of data and metrics that will be collected).

The proposal explains why there is a demonstrated need for an investment in this approach to technology for this induction model (e.g., without remote mentoring, the district could not provide content expert mentors to their new science teachers).

Score:

Explanation of Score:

PLEASE STOP YOUR REVIEW

**CONTRACT ADMINISTRATION UNIT (CAU) WILL
CALCULATE A SUBTOTAL SCORE UP TO THIS POINT
PLEASE ELECTRONICALLY PROVIDE CAU THE SUBTOTAL
SCORE TO THIS POINT**

DOES THIS APPLICATION MEET AN AVERAGE MINIMUM SCORE of 53?

Yes or No

IF YES, PROCEED WITH SCORING.

IF NO, STOP SCORING.

ADDITIONAL EXTRA CREDIT SECTIONS (Up to 10 points)

0	5
Unclear or insufficient explanation to justify granting credit. Not likely to attract more teachers into shortage areas.	Clear, coherent explanation of proposal. Likely to increase supply of teachers in the relevant shortage area.
<input type="checkbox"/> No Evidence	<input type="checkbox"/> Evidence
Score:	Score:

Proposals whose program provides incentives and structures to enable additional or new full-certification in shortage areas (0 or 5 points):

The proposal describes how the program will provide incentives and structures to enable early career educators who are not yet certified in shortage areas to obtain the requisite credentials that will allow them to become eligible and prepared to teach as a fully certified New York State teacher in that shortage area.

The proposal describes the specific incentives and structures the program will provide to early career educators to provide incentives to them to seek additional, or new, full-certification in specific shortage areas.

The proposal describes how the applicant will ensure educators complete their certification, and what, if any, commitments will be required of applicants after they complete their certification, such as remaining within low performing schools in the district.

Score:

Explanation of Score:

Proposals whose program pilots the usage of "Impact Award" funding (0 or 5 points)

The proposal describes how the program will pilot the usage of "Impact Award" funding, meaning financial or other incentives, to reward individuals, schools, and/or third party partners who achieve key benchmarks such as:

- Reward success based on achievement of key

Score:

Explanation of Score:

<p>interim benchmarks at various stages over the course of the grant, such as:</p> <ul style="list-style-type: none">▪ Percentage of mentored teachers, receiving ratings of Developing or better, retained in their school/the district.▪ Percentage of mentored teachers who receive evaluation ratings above Developing.▪ Number of new teachers, receiving ratings of Developing or better, who seek new certification in a shortage area. <p>The proposal describes how the program will incorporate the use of Impact Awards, and which key interim benchmarks will be used by the district at which points in time.</p> <p>The proposal explains how the applicant will ensure that the benchmarks selected are ambitious and challenging, how rewards will be made before the end of the grant period, and a sustainability plan for how remaining awards will be funded after the conclusion of the grant period in July 2014.</p>		
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BUDGET AND BUDGET NARRATIVE SCORING (Up to 20 points)

NOTE: Applicants who submit a budget and budget narrative that requests awards over \$500,000 total per application and/or \$50,000 per school will automatically receive a score of zero for this section.

The budget and budget narrative must comply with the following:

1. Complete an [FS-10](#) that shows in detail all expenses requested from the Model Induction Program funds during the six-month planning period. A complete Budget Summary form (Attachment D) is also included summarizing expenses of requested funds from the grant for the entire grant period. A summary of any district and other source contributions, if any, is listed on the chart where requested.
2. 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..
3. Describe how proposed expenditures are appropriate, reasonable and necessary to support the project activities and goals.
4. Describe how the expenditures and activities are supplemental to and do not supplant or duplicate services currently provided.

0	1 – 6	7 – 12	13 - 18	19 - 20
<input type="checkbox"/> No Evidence	<input type="checkbox"/> Poor	<input type="checkbox"/> Fair	<input type="checkbox"/> Good	<input type="checkbox"/> Very Good
Score:	Score:	Score:	Score:	Score:
Are the requested awards amounts over the \$500,000 total per application or the \$50,000 total per school participant? NOTE: If YES, STOP scoring and give an automatic score of zero (0) for this section.			Yes/No	Explanation of Score:
<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 			Score:	Explanation of Score:

<p>objectives, design, and potential significance of the proposed project.</p> <ul style="list-style-type: none">• The estimated number of mentors and early career educators to be served in each school is stated, and the costs per school are reasonable and cost-efficient in relation to the number of estimated mentors and early career educators to be served and to the anticipated results and benefits.• 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 equipment, supplies, and materials are reasonable and adequately justified.• The costs related to any additional extra credit program components selected, such as technology, incentives, and/or impact awards are reasonable and clearly explained.		
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XVIII. APPLICATION COVER PAGE

For Discretionary Grant Programs Model Induction Program

APPLICATION COVER PAGE

Please refer to the Application Instructions for detailed information about completing this page and the other required components of this application.

Agency Code

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Is this application being submitted in partnership or consortium? If so, list all members on this cover page and provide the requested information for the applicant/fiscal agent in the boxes below.

Agency Name:	Contact Person:
Address:	Title:
	Telephone:
	Fax:
	E-Mail:
City: Zip Code:	

County:	Funding Requested:
<p>I hereby certify that I am the applicant's chief school/administrative officer and that the information contained in this application is, to the best of my knowledge, complete and accurate. I further certify, to the best of my knowledge, that any ensuing program and activity will be conducted in accordance with all applicable Federal and State laws and regulations, application guidelines and instructions, Assurances, Certifications, Appendix A, and that the requested budget amounts are necessary for the implementation of this project. It is understood by the applicant that this application constitutes an offer and, if accepted by the NYS Education Department or renegotiated to acceptance, will form a binding agreement. It is also understood by the applicant that immediate written notice will be provided to the grant program office if at any time the applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.</p>	
Authorized Signature (in blue ink)	Chief School/Administrative Officer Title:
Typed Name:	Date:

ATTACHMENTS

ATTACHMENT A: SAMPLE MOU

**SAMPLE
(Insert Name) School District and (Insert Name) School District/IHE/BOCES/ Non- Profit
Organization
Model Teacher Induction Program**

This cooperative agreement reflects the overall commitment as well as the specific responsibilities and the roles of the (Insert Name) School District and (Insert Name) School District/IHE/BOCES/ Non-Profit Organization to enhance the preparation of early career educators. The purpose of this partnership is to work collaboratively to ensure early career educators in low performing schools and specific teacher shortage areas served by this model induction program achieve high standards of effectiveness, increase retention rates, and improve student learning.

Up front Planning Activities: _____

SPECIFIC ROLES AND RESPONSIBILITIES

The partnership of the (Insert Name) School District and the (Insert Name) School District/IHE/BOCES/ Non- Profit Organization entails the following:

The (Insert Name) School District agrees to:	The (Insert Name) School District/IHE/BOCES/Non-Profit Organization agrees to:
List all activities/services/etc. that the School District will provide to the partnership.	List all activities/services/etc. that the School District/IHE/BOCES/Non-Profit Organization will provide to the partnership.

Name of School District _____ Signature _____ Date _____

Superintendent _____ Signature _____ Date _____

Name of partnering School District/IHE/BOCES/ Non-Profit Organization _____

Superintendent/Dean/CEO _____ Signature _____ Date _____

THE AGREEMENT FOR YOUR PROGRAM SHOULD REFLECT THE SPECIFICS OF YOUR PROGRAM AND YOUR PARTNERS. ALL ACTIVITIES/SERVICES, ETC. THAT ARE PERTINENT TO YOUR PROJECT SHOULD BE INCLUDED.

ATTACHMENT B: ASSURANCE OF JOINT COMMITMENT FORM

By signing this document, the school district 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 2011-12 academic school year. In addition, the school district 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 school district and its collective bargaining agent(s) also certify that they agree to participate in a research conducted the New York State Education Department.

District 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 C: PARTICIPATING SCHOOL DATA

The following information is required as part of the application. All participating schools must meet the definition of high poverty as described within this RFP and **at least two** of the additional characteristics described in Section IV.

Step 1: Please list all of the participating schools:	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 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 have high concentrations of student with disabilities (as defined by numbers that are above the State average)? (Yes/No and the %)	Step 6: Does this district have difficulty attracting and retaining effective teachers of ELLs, students with disabilities, and/or STEM disciplines? (Yes/No and provide narrative below in Step 6 continued)
Sample: SCHOOL X	YES	SURR	Yes, 11%	No	No
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
11.					

12.					
13.					
14.					
15.					

Step 6 Continued.

As applicable, please provide a brief narrative below, using [district data](#), that explains your district’s **evidence of difficulty in attracting and retaining effective teachers** of English language learners, especially in bilingual classrooms and/or secondary grades and subjects; students with disabilities, especially in secondary grades; and elementary Common Branch teachers with strong math and science pedagogical and content knowledge.

Note: Evidence of difficulty in attracting and retaining these teachers includes [district](#) and/or school data, which is above [State](#) averages, in the following categories: turnover rate (above 13%), average experience level (percentage with fewer than three years) (6%), teaching out of certification (3%). Additionally, evidence may include district and/or school data that demonstrates the magnitude of teacher and/or subject area shortages through data such as the number of applicants per vacancy in these areas compared to other areas within the district.

Step 7.

Please check one:

District is already implementing teacher and principal evaluation in compliance with Education Law §3012-c.

OR

District provides a signed MOU (See Attachment B) 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.

ATTACHMENT D:

**BUDGET SUMMARY OF FUNDS REQUESTED
FOR THE PROGRAM**

For the Period: January 1, 2012 through June 30, 2014

SUBTOTAL	CODE	Planning Period 1/1/12 – 6/30/12	PROJECT COSTS YEAR 2 7/1/12 – 6/30/13	PROJECT COSTS YEAR 3 7/1/13 – 6/30/14	TOTAL
Professional Salaries	15				
Support Staff Salaries	16				
Purchased Services	40				
Supplies and Materials	45				
Travel Expenses	46				
Employee Benefits	80				
Indirect Cost	90				
BOCES Services	49				
Minor Remodeling	30				
Equipment	20				
GRANT TOTAL					
District and/or Other Source contributions, if any.					

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

ATTACHMENT E: NYS MENTORING STANDARDS

New York State Mentoring Standards: An Overview

The purpose of this document is to offer a set of standards that guide the design and implementation of teacher mentoring programs in New York State through teacher induction. Induction, in this context, refers to sophisticated and systematic efforts to “initiate, shape, and sustain the first work experiences of prospective career teachers.”⁸

A high-quality induction program with an effective mentoring component positively supports the recruitment and the retention of new teachers while strengthening teaching practice as informed by the New York State Teaching Standards, the Learning Standards of New York State, including the New York State P-12 Common Core Learning Standards, the New York State Professional Development Standards, and the New York State Code of Ethics. Teacher induction is critical to the overall preparation and professional development of beginning teachers and builds on their continuum of experiences from pre-service programs to ongoing career development spanning time as described within the Teacher Career Development Continuum. Coupled with mentoring standards, induction accelerates the process of creating highly-effective teachers whose goal is to enhance student learning and achievement.

Therefore, the research-based mentoring standards defined in this document will enable educators to plan, implement and enhance their own local programs whereby novice teachers are guided by their mentors to rise to ever higher performance levels thus affecting students’ cognitive and emotional growth.⁹ Mentor-mentee partnerships help beginning teachers to acclimate themselves to a new environment by shattering the walls of isolation that they often experience at the outset of their careers and, as a direct result, raise student outcomes by expanding pedagogical and interactive social skills.

The professional learning community that embraces the new teacher is significantly strengthened by dedicated mentors who are essential to the induction process, and who, through their avowed commitment to education, recognize the need to increase student achievement/growth through enhanced teaching practice.

⁸ Mager, G. “The Place of Induction in Becoming a Teacher.” In Gary DeBolt (ed.), *Teacher Induction and Mentoring: School-Based Collaborative Programs*. New York: SUNY series, *Educational Leadership*, November 1992.

⁹ Ingersoll, R. and Strong, M. (2011). “The Impact of Induction and Mentoring Programs for Beginning Teachers: A Critical Review of the Research.” Sage Publications, Inc. *Review of Education Research*, 2011.

There are ten standards for effective mentoring.

1. *Program Philosophy and Purposes:* **The philosophy of the mentoring program upholds the assertion that induction is a crucial transition between teacher preparation and continuing professional development.** Mentoring is the first step in the Teacher Career Development Continuum. The mentoring program facilitates the transition of the beginning teacher from success in preparation programs to effective practice in new contexts of the classroom and school district (NYSTS II, VI, & VII).
2. *Program Design:* **The mentoring program is designed as a crucial component of a comprehensive induction plan and is embedded in an integrated professional culture.** The design supports a district's mission and vision and is consistent with school, district, and state standards in addressing the Learning Standards of New York State including the New York State P-12 Common Core Learning Standards (NYSTS I, II, III, VI, & VII).
3. *Program Implementation:* **The mentoring program is implemented to meet New York State Teaching Standards and sustain program activities that support the development of all beginning teachers.** An infrastructure (resources, time, staff, and preparation) is established to help ensure that beginning teachers receive the continuum of support and development necessary to foster effective teaching and learning (NYSTS I, II, VI, & VII).
4. *Mentor Selection:* **Mentors are recruited and selected through a rigorous and transparent process guided by criteria that consider the mentor candidate's commitment to the profession and teaching experience.** The mentor selection process is aligned with a district's needs as well as those of the beginning teacher (NYSTS I, II, VI, & VII).
5. *Mentor Development:* **Mentoring is a professional practice with its own knowledge and research base, strategies and best practices.** Mentor development is a comprehensive and continuous program extending from initial preparation through ongoing professional learning (NYSTS I, II, V, VI, & VII).
6. *Mentors Have Clearly Defined Roles and Responsibilities:* **The role of the mentor is to engage, inspire, assist, encourage and advance the professional learning of a beginning teacher and to model professional conduct.** The mentor as a teacher/leader serves as a model of professional conduct and embodies a vision of excellence in teaching (NYSTS II, III, VI, & VII).
7. *Mentoring Skill and Knowledge:* **Mentors must be familiar with research-based practices, data analysis, and technological advances that promote student learning and growth at the various stages of development.** Additionally, mentors

should be immersed in the knowledge, research, policy updates, and best practices of mentoring (NYSTS I, II, III, V, VI, & VII).

8. *Shared Leadership and Administration:* **Leadership of the mentoring program is a shared responsibility among all stakeholders.** Administrative processes that provide instructional support to both beginning teachers and mentors are embedded within the comprehensive induction program (NYSTS I, II, III, V, VI, & VII).
9. *Beginning Teacher Knowledge, Skills, and Dispositions:* **Beginning teachers bring valued knowledge, skills, and dispositions to the new context of the classroom, school, and districts where they are first employed.** The beginning teachers must display a readiness to continue learning about teaching, and invite collaborative support and guidance (NYSTS I, II, III, IV, V, VI, & VII).
10. *Program Evaluation:* **The mentor program includes a comprehensive system of formative and summative assessments,** evaluates and analyzes program concepts, involves program participants and other stakeholders, and leads to substantive and continual improvements (NYSTS I, II, III, IV, VI, & VII).

Standard 1: Program Philosophy and Purposes

Aligned with NYSTS II, VI, and VII

Standard: The philosophy of the mentoring program upholds the assertion that induction is a crucial transition between teacher preparation and continuing professional development. Mentoring is the first step in the Teacher Career Development Continuum. The mentoring program facilitates the transition of the beginning teacher from success in preparation programs to effective practice in new contexts of the classroom and school district (NYSTS II, VI, & VII).

Elements:

- a. The purpose of the mentoring program is to facilitate the transition of the beginning teacher from success in preparation programs to effective practice in new contexts of the classroom and school district (VI.2a, VI.2b, VI.2d, & VI.4d).
- b. A comprehensive mentoring program provides support to the new teacher and is intended to sustain a vibrant teaching career that embodies a learner-focused practice resulting in student achievement/growth (VI.2e, & VI.2f).

Performance Indicators:

1a. The philosophy of the mentorship program connects teacher induction to what teachers need to know and be able to do. The new teacher must receive articulated strategic guidance to become an effective/highly effective teacher (VI.2c & VI.2e).

1b. The mentorship program provides a clearly stated purpose and set of goals based on a philosophy of teacher growth and development that addresses the unique needs and learning styles of the beginning teacher, as well as teaching practice that reflects the Learning Standards of New York State including the New York State P-12 Common Core Learning Standards, school, school district, and state goals in closing the achievement gap (II.1e, II.4a, & II.4b).

1c. The purpose and goals reflect a multi-year effort and are part of a continuum of professional learning that builds on and extends the development of the beginning teacher from preparation into induction and practice (VI.2b & VI.2c).

1d. The philosophy includes the central role of a highly-proficient mentor and provides for the support of the mentor teacher (VI.1e, VII.1c, VII.2a, & VII.2b).

1e. The program purpose and goals include a focus on a strategic support system that includes adequate allocation of time, resources, and staff, for the support of beginning teachers (VI.2c & VI.2f).

1f. The mentorship program utilizes a data driven formative and summative evaluation process for continuous program improvements (VI.1c).

Standard 2: Program Design

Aligned with NYSTS I, II, III, VI, and VII

Standard: The mentoring program is designed as a crucial component of a comprehensive induction plan and is embedded in an integrated professional culture. The design supports a district's mission and vision and is consistent with school, district, and state standards in addressing the Learning Standards of NYS including the NYS P-12 Common Core Learning Standards (NYSTS I, II, III, VI, & VII).

Elements:

a. The program incorporates a purposeful, logically-sequenced structure of extended preparation and professional development that is comprehensive, coherent, and sustained (VI.1e, VII.2b, VII.3b, & VII.3c).

b. The design supports a district's mission and vision and is consistent with school, district, and state standards in addressing the Learning Standards of NYS including the NYS P-12 Common Core Learning Standards (I.5a, II.1e, III.1a, & VI. 2a).

c. The mentoring program is designed in a way that ensures quality mentors, effective mentoring relationships, and feedback for program improvement. A sound, well-articulated philosophy grounded in research and effective practice guides the purpose and goals of the program (II.1c, VII.3a, and VII.3c & VII.4c).

Performance Indicators:

2a. The mentoring program is designed to build on the strengths of beginning teachers in the continuum of development from pre-service to ongoing professional learning and provides for the ongoing identification of beginning teacher needs as they emerge (VII.2a, VII.2b, & VII.3c).

2b. The mentoring program includes well-structured teacher networks and “study groups” to extend the mentor relationship beyond a stand-alone design to a comprehensive, coherent, and sustained learning community. Sufficient resources are allocated (funds, time, and personnel) for sustaining the learning community (VI.2e, VII.3b, VII.4a, & VII.4b).

2c. The mentoring program seeks input from and directly involves partnerships with all district stakeholders, statewide mentoring networks, and teacher preparation programs to collaborate in support of beginning teachers (P-16) (VI.2c, VI.2e, VI.2f, & VII.4a)

2d. The mentoring program is standards based, informed by New York State Teaching Standards, to ensure that all students meet or exceed the Learning Standards of New York State including the New York State P-12 Common Core Learning Standards. Program goals and intended outcomes are clearly articulated, reviewed, and revised as necessary based on formative program evaluation data (III.1a & III.3b).

2e. The mentoring program is embedded into the school- and district-wide culture, and reflects long-term planning for teaching and learning that is aligned with the instructional philosophy of the school and district. It is an integral part of the district’s professional development plan, based on relevant data, and responsive to local contexts (VI.2a & VI.2d).

2f. The mentoring program delineates clear roles and expectations for district and school leaders (e.g., superintendent, principal), program administrators, other stakeholders in the Pre-K–16 continuum and in the general community, and the mentor and beginning teacher (VI.2a & VI.5d).

2g. The mentoring program is designed to ensure that mentors are sufficiently prepared and adequately supported in their continuous professional learning. Partnerships with universities, Teacher Centers, and regional BOCES should be sought for the design of this professional development strategy (VI.2e, VI.2f, VII.4a, VII.4b, & VII.4c).

2h. The mentoring program is designed to allow sufficient common time for classroom visitations, reflection on teaching practices, feedback, and instructional skills support. The design considers the need for reduced workloads, release time and placement in classes with less, rather than more, demanding students (VI.1c, VI.5a & VI.5d).

Standard 3: Program Implementation

Aligned with NYSTS I, II, VI and VII

Standard: The mentoring program is implemented to meet New York State Teaching Standards and sustain program activities that support the development of all beginning teachers. An infrastructure (resources, time, staff, and preparation) is established to help ensure that beginning teachers receive the continuum of support and development necessary to foster effective teaching and learning (NYSTS I, II, VI, & VII).

Elements:

- a. Implementation is research based and reflects core best practice principles of effective mentoring/induction (VII.4c).
- b. A comprehensive infrastructure of resources is established to ensure that beginning teachers receive the continuum of support and development that fosters effective/highly effective teaching and learning (VI.2e & VI.2f).

Performance Indicators:

3.a The mentoring program is implemented as a comprehensive, district-wide initiative seamlessly aligned with district goals, plans, and improvements (VI.2a & VI.4d).

3.b The mentoring program is implemented within the context of the community, the mission of the school, and the diverse learning characteristics of the students (I.3a, I.3b, I.5a, I.5b, II.6d, II.6e, VI.2a, & VI.4d).

3.c Mentor development is a transformational process that promotes active teacher participation in the reform and improvement of the profession (VII.4a, VII.4b, & VII.4 c).

Standard 4: Mentor Selection Process and Criteria

Aligned with NYSTS I, II, VI, and VII

Standard: Mentors are recruited and selected through a rigorous and transparent process guided by criteria that consider the mentor candidate's commitment to the profession and teaching experience. The mentor selection process is aligned with a district's needs as well as those of the beginning teacher (NYSTS I, II, VI, & VII).

Elements:

- a. Mentor candidates are fully certified and identified as effective or highly effective. They should be highly-respected teachers with demonstrated classroom success. They must be of high moral and professional character, highly competent, experienced, and possessing strong interpersonal skills (VI.1e & VI.1a).

b. The mentor selection process is aligned with district needs as well as those of the beginning teacher (VI.2a & VI.2d). The mentor selection process and criteria should be well defined, transparent, and consistent with the mentor responsibilities and local program purpose and needs (VI.2a, VI.2d, & VI.5d).

c. The selection of mentors is guided by high standards of knowledge, expertise, and evidence of reflective practice. The selection committee should determine what qualities make for effective mentors. Mentors should possess extensive knowledge of pedagogy, content, and best practice (I.2c, II.1c, VI.1c, & VII.4c).

Performance Indicators:

4a. The mentoring program establishes formal structures (e.g., a mentor selection committee) for the selection of mentors, and the matching of mentors and beginning teachers based on grade levels, subject areas, or other factors related to the needs of the beginning teacher (VI.5d & VI.5e).

4b. The selection process and criteria should be known by teachers throughout the district. The process should also ensure confidentiality of the selection committee's deliberations and outcomes (VI.2a, VI.5d, & VI.5e).

4c. The mentor selection process makes use of a selection committee comprised of a majority of teachers, and reflects shared decision making between the administration and local teachers' bargaining associations (VI.5d & VI.5e).

4d. The mentor selection process takes into consideration the needs of the newly-hired teacher, teaching assignments (subject and grade level), geographical proximity, and qualifications of the mentor (VI.5d & VI.5e).

4e. The mentor selection process includes use of a candidate selection rubric to ensure that final consensus on the selected mentor is based on a common reference point of high-quality teaching (VI.2c & VI.2e).

Standard 5: Mentor Development

Aligned with NYSTS I, II, V, VI and VII

Standard: Mentoring is a professional practice with its own knowledge and research-based, strategies and best practices. Mentor development is a comprehensive and continuous program extending from initial preparation through ongoing professional learning within the Teacher Career Development Continuum (NYSTS I, II, V, VI, & VII).

Elements:

- a. Initial preparation provides the foundation for mentors as they begin their mentoring assignments, and ongoing development deepens mentors' skillfulness, knowledge, and effectiveness at providing instructional support for the beginning teacher (VII.4c).
- b. Mentor development provides for systematic application, practice, and follow up that results in professional growth for the mentor and beginning teacher. The design of mentor development programs is informed by best practices of professional development (VII.3b).

Performance Indicators:

5.a Mentor development is aligned with the NYS Teaching Standards, best practices in pedagogy, content knowledge, and uses of technology and data to guide instruction (I.2c, II.1c, III.1b, V.2a, V.2c, V.3b, V.4c, & VI.2c).

5.b Mentor development utilizes current research on effective mentoring and induction to improve teachers' instructional skills and knowledge (I.1c, II.1c, & VII.4c).

5.c Mentor development provides adequate time and resources for mentors to engage in ongoing activities that enable them to reflect on and refine both their mentoring skills and their continuous work with beginning teachers (VI.1c & VII.4b).

5.d Mentor development results in professional growth for both mentor and beginning teacher. It prepares mentors to utilize effective strategies in coaching and providing feedback (VII.2b & VII.3b).

5.e Mentor development is aligned with school/district/state professional development goals and initiatives, and is supported through mentor participation in ethical and professional learning communities including online and on-site networks (VI.2a, VI.2e, & VI.2f).

5.f Mentor development provides effective strategies, grounded in adult learning theory to meet a teacher's continuing growth. Mentor development enables teachers to assess teachers, and differentiate instruction based on the individual needs and learning styles of mentees (VII.1b, VII.1c & VII.2a).

5.g Mentor development promotes communication skills that help to establish, develop and maintain a trusting, collaborative, peer relationship (VII.3a & VII.3c).

Standard 6: Mentors Have Clearly Defined Roles and Responsibilities

Aligned with NYSTS I, II, III, VI, and VII

Standard: The role of the mentor is to engage, inspire, assist, encourage and advance the professional learning of a beginning teacher and to model professional conduct. The mentor

as a teacher/leader serves as a model of professional conduct and embodies a vision of excellence in teaching (NYSTS II, III, VI, & VII).

Elements:

a. The mentor serves as a model of professional conduct with a strong commitment to collaboration, and a demonstrated understanding of content, pedagogy, human development and the many issues teachers face in their practice (II.1c & VII.2b).

b. The mentor guides the teacher toward mastering elements of effective teaching including planning and preparation, the classroom environment, and pedagogy aligned with the Learning Standards of New York State including the New York State P-12 Common Core Learning Standards and the New York State Teaching Standards as well as district and national standards (II.1e, II.4a, II.4b, II.6d, & III.1a).

Performance Indicators:

6a. The mentor maintains professional conduct at all times, demonstrating pride in the profession (VI.1a).

6b. The mentor assists in creating and facilitating a network of supportive collegial relationships within a professional community of learners, helping them to acclimate to the academic standards and vision of the district, and the broader educational community (e.g. professional organizations) (I.5a, VI.2 a, VII.1c, & VII.3b).

6c. The mentor advocates for policies, practices, and working conditions that promote teacher success (VI. 5a, VI.5d & VI.5e).

6d. The mentor establishes and maintains a relationship built on trust and confidentiality in which the skills of the beginning teacher are recognized and nurtured (VI.1a & VI.2c).

6e. The mentor participates in initial and ongoing professional development, including updating technological skills and other activities related to the knowledge, and best practices of mentoring for supporting 21st century teaching (VII.2a, VII. 2b, & VII.4c).

6f. The mentor engages in ongoing dialog with the beginning teacher seeking to encourage reflection about all aspects of the teacher's practice (VII.3a & VII.3c).

6g. The mentor establishes a plan for mutual peer classroom observation, and assists the beginning teacher in fostering relationships and trust with members of the school community (VI.2a, VI.2d, VI.2e, VI.2f, & VII.3b).

6h. The mentor anticipates and is responsive to the various concerns and challenges facing the new teacher, identifying opportunities, and resources for professional development and problem solving (VI.5e & VII.4b).

6i. The mentor assists the beginning teacher in the use of data to inform instruction (III.6a, V.1a, V.1b, & V.2c). The mentor promotes the use of multiple instructional methodologies to support student learning and the use of research-based instructional practices for all students, including those with special needs (I.2c, II.1a, II.1c, III.1b, III.2d, III.3c, III.4b, & VII.4c).

Standard 7: Mentoring Skill and Knowledge

Aligned with NYSTS I, II, III, V, VI, and VII

Standard: Mentors must be familiar with research-based practices, data analysis, and technological advances that promote student learning and growth at the various stages of development. Additionally, mentors should be immersed in the knowledge, research, policy updates, and best practices of mentoring (NYSTS I, II, III, V, VI, & VII).

Elements:

a. Mentors must be familiar with research-based practices and technical advances that promote student learning and growth at the various stages of development of all students. (I.1a, I.1b, I.1c, I.2c, II.1c, & III.1b).

b. The mentor maintains and upholds the principles of ethical standards and establishes opportunities for reflective practice (VI.1a, VI.1c, VI.1d, VI.5b, & VII.3c).

c. Additionally, mentors should be immersed in the knowledge, research base, technology, data-driven decision making, and best practices of mentoring (VII.2b, VII.4b, & VII.4c).

Performance Indicators:

7a. The mentor establishes a reciprocal learning relationship with the beginning teacher (VII.3a).

7b. The mentor utilizes coaching time effectively to ensure that the mentee receives the necessary support and guidance and appropriate technology to make effective decisions (VII.3a & VII.3c).

7c. The mentor demonstrates the use of appropriate interpersonal skills to communicate effectively with the beginning teacher (II.2d).

7d. The mentor demonstrates practice guided by the New York State Code of Ethics for Educators (<http://www.highered.nysed.gov/tcert/resteachers/codeofethics.html>) (VI.1a & VI.1d).

7e. The mentor demonstrates the ability to analyze student work and other data to inform practice through data-driven decisions and assists the mentee in using data to develop goals and monitor progress towards achieving goals (V.2a, V.2c, V.2d, V.3b, V.4c, & VII.1a).

7f. The mentor demonstrates practice informed by cultural sensitivity (I.5a, I.5b, I.5c, & II.2a).

7g. The mentor is familiar with current research on the mentor/mentee relationship, multiple behavior management strategies, and a repertoire of instructional strategies (I.2c, II.1c, & VII.4c).

Standard 8: Shared Leadership and Administration

Aligned with NYSTS I, II, III, V, VI, and VII

Standard: Leadership of the mentoring program is a shared responsibility among all stakeholders. Administrative processes that provide instructional support to both beginning teachers and mentors are embedded within the comprehensive induction program (NYSTS I, II, III, V, VI & VII).

Elements:

a. The vision, goals, and action plans of the comprehensive mentoring program are part of the school district's comprehensive education plan (VI.2a, VI.4d, & VI.5d).

b. Administrative processes that provide instructional support to both beginning teachers and mentors are embedded within the comprehensive induction program and leaders committed to a vision of mentoring as a means of improving student achievement/growth and developing and retaining beginning teachers. (VI.2b, VI.2c, VI.2e, & VI.2f).

Performance Indicators:

8a. Leaders promote institutional commitment for a comprehensive induction program representing the Teacher Career Development Continuum from pre-service to ongoing professional learning and the District Professional Development Plan (I.5a, VI.2e, & VI.2f).

8b. Leaders of the mentoring program operate within the context of shared and sustainable leadership, ensuring participation of appropriate stakeholders. Consensus on goals, expectations, and outcomes is established and broadly communicated within the school community. Roles and responsibilities for each participating partner are clearly articulated (I.5a & VI.2d).

8c. Administrators and staff have clear authority, and sufficient resources to support implementation of the program. Administrative processes are coordinated to enhance communication and opportunities for systemic change (VII.3b).

8d. Leaders rigorously monitor program outcomes to ensure that mentoring practices support student learning. Leaders facilitate regular meetings of key stakeholders to discuss program design, development, implementation, and program improvement (VI.3b & VII.1a).

8e. Program leaders possess deep knowledge regarding teacher induction. Additionally, leaders include ongoing research and professional development related to mentoring as part of their own professional development (II.1c, VI.2c, VI.2e, & VI.2f).

8f. Program leaders facilitate the use of data for continuous improvement by using a variety of sources indicating student achievement/growth (III.6c, V.1f, V.3b, V.4a, V.4c, & VII.1a).

Standard 9. Beginning Teacher Knowledge, Skills, and Dispositions

Aligned with NYSTS I, II, III, IV, V, VI, and VII

Standard: Beginning teachers bring valued knowledge, skills, and dispositions to the new context of the classroom, school, and districts where they are first employed. The beginning teachers must display a readiness to continue learning about teaching, and invite collaborative support and guidance (NYSTS I, II, III, IV, V, VI, & VII).

Elements:

a. The beginning teachers must share what they have accomplished in prior experiences as a starting point for present learning and development (VII.1b, VII.1c, & VII.2a).

b. They must display a readiness to continue learning about teaching, and invite collaborative support and guidance (VII.2a & 2b).

Performance Indicators:

9a. The beginning teacher shares evidence of a teaching philosophy and prior learning such as might be represented in a professional portfolio, lesson and unit plans, and draws upon this learning in the development of their classroom practice (VI.3b, VI.4a, VI.4c, VII.1b, VII.1c, & VII.2a).

9b. The beginning teacher is an active participant in the mentoring program that is a continuation of the pre-service experience (VI.2b, VI.2c, VI.2e, & VI.2f).

9c. The beginning teacher plays an active role in helping to determine the scope and depth of the mentoring program, providing ongoing feedback on progress toward meeting established goals, and on other elements of the mentoring program (VII.1c, VII.2a, VII.3a, & VII.3c).

9d. The beginning teacher collaborates with the mentor teacher in developing professional relationships with colleagues and other beginning teachers (VI.2b & VII.3b).

9e. The beginning teacher seeks feedback from the mentor teacher and other colleagues to inform practice on topics such as teaching in a standards-based environment, the use of formative and summative assessments, differentiation, and lesson and unit planning (I.3a, I.3b, II.1e, III.6a, V.1b, V.1c, & V.1d).

9f. The beginning teacher engages in reflection and self-evaluation as a way of continually developing the knowledge, skills, and dispositions related to effective work in both the classroom and in the school (VI.1c, VII.1b, VII.2a, & VII.3c).

Standard 10: Program Evaluation

Aligned with NYSTS I, II, III, IV, VI, and VII

Standard: The mentor program includes a comprehensive system of formative and summative assessments, evaluates and analyzes program concepts, involves program participants and other stakeholders, and leads to substantive and continual improvements (NYSTS I, II, III, IV, VI, & VII).

Elements:

a. The program evaluation is aligned with professional standards, the Learning Standards of NYS including the NYS P-12 Common Core Learning Standards, the NYS Teaching Standards, and their respective assessments. Periodic needs assessments should be designed to determine needs and to ensure a continuous feedback loop for program design and implementation (II.1e, II.4a, III.1a, VI.2a, VI.5d, VII.1c, VII.2a, VII.3a, & VII.3c).

b. Data are to be collected, analyzed, and used for mentoring program improvement and influencing policy at the local, state and federal levels. The methodology provides meaningful involvement of professional practitioners and P-16 partners in program revision. District record keeping requirements and systems should be used as appropriate to ensure consistency and reliability of analyses and reporting (V.2a, VI.4a, VI.5a, VI.5d, VI.5e, & VII.1a).

c. Evidence of an effective comprehensive mentoring program includes retaining quality teachers, enhancing student achievement/growth, providing improvement strategies, and meeting goals of the program (VI.2c, VI.2e, & VI.2f).

Performance Indicators:

10a. Evaluation includes formative and summative processes using data from multiple sources such as teachers, stakeholders from the P-16 continuum, program staff, and administration. The set of questions that guide the mentoring program evaluation addresses all the important practices and issues, and include input from the stakeholders who participate in the content, design, and implementation of the program (VI.5a & VII.3b).

10b. Program leaders identify or design instruments and procedures for collecting data relevant to the questions that guide the evaluations (i.e., surveys, interviews, focus groups, case studies, journal entries), describe and broadly communicate the processes for gathering, reviewing, analyzing evaluation data, and providing timely program adjustments (VI.5b, VI.5d, & VI.5e).

10c. Program leaders collect ongoing feedback on program quality and effectiveness from all participants using formal and informal methodologies (VI.1c & VII.3c).

10d. Data related to the dynamics and effectiveness of the mentor/mentee partnership and the mentor's role as an integral part of the program are collected in the evaluation with opportunities for adjustments as needed (VI.1c, VII.3a, & VII.3c).

10e. The program develops well-defined evaluation plans that are inclusive of multiple data types and based upon the articulated goals and intended outcomes of the program. Ongoing evaluation of the impact of the program on teacher practice, teacher satisfaction, retention, and student achievement/growth is included in the plan. The evaluation addresses and captures emerging research-based knowledge about teaching and learning (I.2c, VII.4b, & VII.4c).

10f. Program evaluation data are not used to monitor individual teacher performance, nor are they used for individual teacher or pre-service preparation evaluations except in so far as this use is explicitly represented in the district's collective bargaining agreement (VI.5e).