

**Strengthening Teacher and Leader Effectiveness 3:  
Teacher and Principal Leadership  
Request for Proposals # GT-23**

**ANNOUNCEMENT OF FUNDING OPPORTUNITY**

<b>Legislative Authority</b>	Race to the Top (RTTT) through New York State Education Department (NYSED)
<b>Purpose</b>	The overarching purpose of this request for proposals (RFP) is to encourage and support eligible districts and public charter schools to develop, implement and/or enhance a career ladder as part of a comprehensive systems approach to recruitment, development, retention and equitable distribution of effective teachers and school leaders as part of their implementation of the Annual Professional Performance Review (APPR) system required by Education Law §3012-c.
<b>Eligible Applicants</b>	<p>Eligible applicants are:</p> <ul style="list-style-type: none"> <li>• Individual New York State public school districts (“Eligible Districts”) and public charter schools (“Eligible Charter Schools”) that have at least 25% of students from low-income families as determined using the criteria specified in Code 0198 (Poverty - from low-income family) in the New York State Student Information Repository System (SIRS), also known as the Level 2 Statewide data warehouse, for the 2012-2013 school year. A list of public school districts and public charter schools that meet this criterion, and are thus Eligible Districts or Eligible Charter Schools, can be found at <a href="http://usny.nysed.gov/rttt/rfp/gt-23/eligibility.html">http://usny.nysed.gov/rttt/rfp/gt-23/eligibility.html</a>. The eligibility list is based on the data submitted and certified by public school districts and public charter schools in the SIRS BEDS Day Enrollment Verification Report by Location of Enrollment &amp; Student Subgroup.; <b>OR</b></li> <li>• Consortia, as follows: <ul style="list-style-type: none"> <li>– A Board of Cooperative Educational Services (BOCES)-led consortium comprised of one or more of its component Eligible Districts as consortium members; or</li> <li>– Eligible District-led consortia comprised of Eligible Districts as consortium members; or</li> <li>– Eligible Charter School-led consortia comprised of Eligible Charter Schools as consortium members (note: a charter management organization cannot be a lead applicant or be a consortium member)</li> </ul> </li> </ul> <p>Additional requirements:</p> <ul style="list-style-type: none"> <li>• Eligible Districts or Eligible Charter Schools can apply individually <b>OR</b> as a part of a consortium, but <b>not</b> both. A BOCES is not an eligible individual applicant.</li> <li>• The consortium lead must be an active participant in the consortium, providing a minimum of 20% of the grant activities, and cannot act solely</li> </ul>

	<p>as a flow-through for grant funds.</p> <ul style="list-style-type: none"> <li>No public charter school or public school district, or BOCES (as applicable) may individually apply for, lead or be a member of an applicant consortium, for more than one STLE 3 grant application.</li> <li>An Eligible District or Eligible Charter School that received a grant under Strengthening Teacher and Leadership 2 (STLE 2), as an individual applicant, or consortium member, may not apply for STLE 3.</li> <li>Any Eligible District or Eligible Charter School with more than 50,000 students may <u>not</u> apply as part of a consortium, either as the lead applicant or a consortium member.</li> </ul>		
<b>Funding</b>	<p>Source: RTTT  Estimated Funds Available: \$ 24,180,000  <b><u>Awards will be made subject to availability of funding by the U.S. Department of Education</u></b></p>		
<b>Distribution of Funding</b>	<p>Funds available will be divided into two categories: (1) individual public school district or individual charter school awards; and (2) consortium awards. The funding allocated for individual school district/public charter school applications is \$12,090,000 and the funding allocated for consortium applications is \$12,090,000. Please see the Award Methodology section of this RFP for additional information.</p>		
<b>Important Dates for Awarding Grants</b>	<p>Applications must be received by:  December 2, 2013</p>	<p>Anticipated Preliminary Award Notification:  January 31, 2014</p>	<p>Anticipated Project Period: March 3, 2014 –  June 30, 2015</p>
<b>Questions and Answers</b>	<p>Questions and Answers: Questions about this RFP must be sent to the e-mail address identified below no later than November 5, 2013. Questions and Answers will be posted by November 12, 2013, at <a href="http://usny.nysed.gov/rttt/rfp/gt-23/home.html">http://usny.nysed.gov/rttt/rfp/gt-23/home.html</a>. No individual responses will be provided.</p>		
<b>Webinar</b>	<ul style="list-style-type: none"> <li>Webinar: A prerecorded webinar will be posted to <a href="http://usny.nysed.gov/rttt/rfp/gt-23/home.html">http://usny.nysed.gov/rttt/rfp/gt-23/home.html</a> by October 29, 2013.</li> </ul>		
<b>SED Contacts</b>	<p>Program Matters:  Courtney Max  <a href="mailto:STLE3@mail.nysed.gov">STLE3@mail.nysed.gov</a></p>	<p>Fiscal Matters:  Nell Brady  <a href="mailto:STLE3@mail.nysed.gov">STLE3@mail.nysed.gov</a></p>	

Note: All entities, except for public entities exempted by the State Comptroller, are required to go through the contract process. Any agency that has not previously received funding with the State Education Department should complete and submit a [Payee Information Form](#) with their application.

## **NYSED's 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) utilize any and all ideas submitted in the proposals received; (13) unless otherwise specified in the solicitation, every offer is firm and not revocable for a period of 90 days from the bid opening; (14) require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offerer's proposal and/or to determine an offerer's compliance with the requirements of the solicitation; (15) to request best and final offers.

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## APPLICATION GUIDANCE

### RFP Purpose

The overarching purpose of this request for proposals (RFP) is to encourage and support eligible applicants<sup>1</sup> (districts, public charter schools, and consortiums) to develop, implement and/or, if applicable, enhance a career ladder as part of a comprehensive systems approach to recruitment, development, support, retention and equitable distribution of effective teachers and school leaders as part of their implementation of the Annual Professional Performance Review (APPR) system required by Education Law §3012-c.

The New York State Education Department (NYSED) recognizes that the APPR system will have more beneficial effects if it is implemented in ways that support recruitment, development, and retention of effective educators. Doing so involves numerous activities beyond the technical completion of APPR negotiations and the implementation of annual educator ratings. This RFP intends to help applicants integrate APPR into a coherent system of support for educators throughout their careers by developing, implementing and/or enhancing a career ladder to ensure districts and/or public charter schools can continuously meet the needs of schools and students by having, retaining and professionally developing effective educators.

Under this RFP, districts and/or public charter schools must develop, implement and/or enhance a career ladder for teachers and principals. Career ladders funded under this RFP should be designed to be part of the Teacher and Leader Effectiveness Continuum (as illustrated in Figure 1 and described below) for attracting, developing, supporting and retaining educators. Using this approach will allow districts and/or public charter schools to use data from the TLE continuum, including the new educator evaluation system and the career ladder, to continuously improve their ability to meet their needs for effective educators.

### RFP Context

NYSED's original Race to the Top (RTTT) application envisioned supporting all aspects of the TLE continuum (see Figure 1 below) by awarding funds to districts, as well as Institutions of Higher Education (IHEs) and their partners to fund specific aspects of the TLE continuum (for example, teacher preparation or induction). This RFP combines funds from several of the original RTTT projects and seeks to encourage and support districts and/or public charter schools to develop, implement and/or enhance a career ladder as part of the overall TLE-system.

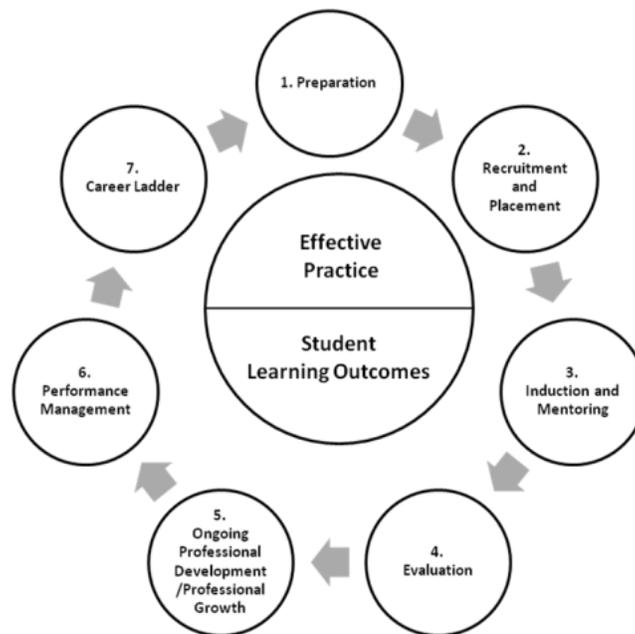
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<sup>1</sup> Unless specified for consortium applicants, all references to "districts" and "public charter schools" include consortiums.

Also consistent with other RTTT initiatives, this RFP puts emphasis on TLE programs that specifically support high needs students by improving the learning of English Language Learners (ELLs) and Students With Disabilities (SWDs), advancing student learning in Science, Technology, Engineering and Mathematics (STEM) disciplines, and improving the equitable distribution of effective and highly effective educators within schools and/or across districts and/or public charter schools with different levels of academic and/or economic need(s).

## TLE Continuum:

**Figure 1: TLE Continuum**



*This graphic represents the TLE continuum recommended by the New York State Education Department.  
(Adapted from: Heneman and Milanowski, 2007)*

As demonstrated by seminal research from Heneman and Milanowski (2007), in order to strengthen educator effectiveness at all levels, districts and/or public charter schools should develop comprehensive strategies and management processes that utilize data to inform decision-making about educator practice and student learning. Within the context of a comprehensive TLE system, data about educator practice and student learning obtained from evaluation systems can help inform both district-wide and individual decisions around recruitment, development and retention of educators. Districts and/or public charter schools that use the APPR in this way can leverage the power of the new evaluation system, not as merely an end in itself, but as a true vehicle for the improvement of effective educator practice and student learning.

For the purposes of this RFP, NYSED includes the following components in a fully developed TLE continuum, and are applicable to both teachers and school leaders.

1. **Preparation** – Collaboration or formal partnership between the applicant and IHEs and/or other eligible partner.
2. **Recruitment and Placement** – Activities to attract educators to the district and the schools that need them.
3. **Induction and Mentoring** – Individualized support for new and early career educators to advance their professional practice and improve their ability to produce positive student outcomes.
4. **Evaluation** – The new APPR system based on Education Law §3012-c.
5. **Professional Development/Growth** – Differentiated ongoing support for teacher and/or leader effectiveness, based on evidence of practice and student learning.
6. **Performance Management** – Use of evaluation data in development and employment decisions.
7. **Career Ladder** – Opportunities for advancement for educators identified as highly effective or effective.

### **RFP Focus: Career Ladder**

Under New York State’s Race to the Top application, the State committed to the creation of a teacher and principal career continuum to provide recognition and advancement for educators as they demonstrate increased performance.

Currently, many districts and/or charter schools have at least two career ladder “steps” or “rungs,” while others have worked with their collective bargaining units (where applicable) to implement even broader continuums with advanced roles and responsibilities. New York State sets the requirements for entry into the teaching profession and school building leader administration through initial certification (sometimes referred to as “novice” or “probationary”) and professional certification (sometimes referred to as “professional”). These certifications create two “steps” or “rungs.” Typically, in order for teachers to advance beyond professional certification, they must take on additional duties or assignments, which frequently move them out of their full-time classroom instructional roles, such as becoming coaches or curriculum specialists. Additionally, teachers may see administrative positions at the district level as their only opportunity for further advancement beyond professional certification. Similarly, school building leaders may see further advancement within administration as their only district opportunity.

Though career ladders should provide teachers and principals career advancement opportunities, they should also facilitate dialogue between teachers and principals, allowing them to share their expertise with colleagues to improve student achievement. A key goal of

career ladder opportunities is to attract or retain effective and highly effective educators in schools and therefore to improve the equitable distribution of educator talent. NYSED aims to support districts and public charter schools in determining methods for extending the influence of the most effective teachers. This could include placement in positions to assist other educators and influence curriculum and instruction without having to leave the classroom or pursue administrative pathways in order to seek advancement. NYSED also aims to support districts and public charter schools in extending and bolstering the influence of the most effective principals by creating means to put them in positions to help other administrators and/or administrative candidates and to support and advance their own instructional leadership.

Additionally, to support the development and implementation of a district's or public charter school's career ladder, NYSED encourages districts and public charter schools to consider using recruitment and/or transfer awards in order to attract and retain effective and highly effective teachers and principals. Recruitment and transfer awards offer the ability to provide financial incentives to attract high performing educators into hard-to-staff and specialty subject areas, as well as into high-need or low performing schools.

In order for an applicant to develop, implement, and support a career ladder, the following are design principles for consideration:

- a common language to discuss effective teaching and leadership practices;
- articulated, clear expectations for effective teaching and leadership practices, based on the NYS Teaching Standards and ISLLC Standards;
- adequate training so the educators with career ladder positions are prepared for the roles that involve new duties and responsibilities;
- initial and on-going calibration regarding effective teaching and leadership practices for conducting observations and providing feedback; and
- a focus on "a high-performing district/school culture," which may be defined as: all faculty and staff have high expectations for all students; all students, faculty, and staff are learners; all students, with the assistance of faculty, set appropriately challenging intellectual goals for themselves; everyone in a school building treats everyone else with courtesy, respect, and dignity; and treating everyone with courtesy, respect, and dignity is evident in each person's behavior and has been incorporated into the building's code of conduct.

For this RFP, NYSED will not mandate or create the specific duties and responsibilities of the career ladder continuum; rather, NYSED will offer districts and public charter schools the opportunity to create, or build upon, career ladders for teachers and principals that provide opportunities for additional duties and compensation, in addition to supporting recruitment, retention and equitable distribution of the most effective educators.

When thinking about career ladders, districts and/or charter schools should consider the following:

- Inclusion of clearly defined selection criteria for teacher and principal advancement along the career ladder.
- A process for ensuring that movement on the career ladder is tied, in part, to APPR results, with a particular focus on student achievement outcomes.
- Plans to ensure that educators receive the training they may require for roles involving new duties.
- Reasonable additional compensation for career ladder opportunities.
- Communication plans for explaining the career ladder to stakeholders.
- Funding approaches must be implemented that are sustainable over multiple years.

The following two charts include sample duties and responsibilities. These are hypothetical and illustrative only and are provided to assist districts and public charter schools considering applying for this grant. **Incorporating these examples into an applicant’s career ladder does not guarantee or increase the likelihood of funding under this RFP.**

#### **Teacher Career Ladder: Sample List of Possible Duties/Responsibilities**

Duties/responsibilities may include (but are not limited to):

- Mentor first year teachers and/or teachers who received a rating of developing/ineffective (and/or teachers who request additional support)
- Become a Coordinating Teacher for a clinical placement of a student teacher pursuing an undergraduate or graduate degree in teaching (the minimum placement is 20 days with most placements running for 8 weeks; this may be longer as determined by the district/IHE)
- Coach teachers – either one-on-one or in a small group – in specific courses/subject/topics (i.e., ELA or Literacy across non-core subjects; analyzing student learning data and engaging in instructional improvement activities)
- Conduct peer observations and/or serve as an evaluator
- Serve as an expert consulting teacher as part of a Peer Assistance and Review (PAR) program, or similar model of professional support and evaluation for teachers
- Serve on district-wide curriculum and/or assessment development team
- Transfer to a higher needs school within the district for a minimum number of years (e.g., for three years)
- Give workshops to parents and/or community stakeholders by offering workshops in specific areas (e.g., Common Core).
- Serve as a demonstration teacher in partnership with a school of education professor (e.g. co-teach with a faculty member to model a specific approach for student teacher candidates)

### Principal Career Ladder: Sample List of Possible Duties/Responsibilities

Duties/responsibilities may include (but are not limited to):

- Conduct formal mentoring of teachers, administrative interns, first year administrators, etc. to become school administrators
- Conduct formal mentoring of teacher leaders who are learning to coach and develop other adults
- Transfer to a higher needs school within the district for a minimum number of years (e.g., for three years)
- Give workshops to parents and/or community stakeholders by offering workshops in specific areas (e.g., Common Core)
- Lead or manage district-wide curriculum and/or assessment development team(s)
- Conduct lead evaluator and/or evaluator certification training (and re-certification) for administrators across the district
- Facilitate the formation of cohorts of teachers interested in pursuing National Board Certification
- Serve as a demonstration principal in partnership with a school of education professor (e.g. to model a specific leadership approach for administrative interns)

## Funding & Awards

### Background and Overview

NYSED recognizes that many districts and public charter schools are in different stages of implementation of a fully developed TLE continuum. While most districts and public charter schools are conducting discrete activities such as recruitment, professional development, and performance management, many have not yet integrated these activities into a comprehensive TLE continuum informed by data and with measurable goals. The new APPR system and the career ladder should play an important role in ensuring alignment of initiatives across the continuum. This RFP asks that applicants develop and implement and/or enhance their career ladders, with consideration of their overall TLE continuum, for their funding requests.

In RTTT, New York State made a substantial commitment to improving the equitable distribution of educator talent for high need students, and dedicated funding to initiatives involving supplemental financial awards to attract and retain effective and highly effective educators working:

- with high needs students, those with academic, economic and/or special needs; **and/or**
- in shortage subject areas, including secondary STEM disciplines, ELL, bilingual and/or special education (if district has different shortage subject areas, they must be justified).

Therefore, under this grant, applicants must address these areas, as appropriate, within the narrative and the described career ladder positions.

## Funding Requests

This competitive grant will fund initiatives under any **one or more** of the following three categories:

### **1. Career ladders that include career ladder positions for both teachers and principals.**

Through this grant, applicants should develop, implement and/or enhance career ladder positions that are necessary to strengthen the effectiveness of teachers and principals. All applicants **must** include at least the following positions as part of the career ladder (these positions must already be in place or they must be proposed for implementation):

- Novice (Novice Teacher and Novice Principal)
- Professional (Professional Teacher and Professional Principal)
- Leader (Teacher Leader and Principal Leader)

An applicant must request funding through this RFP for at least the career ladder positions included above, unless the positions are already in place and/or there is an alternate funding source. Please note: single district applicants' career ladders must be district-wide; individual charter school applicants' career ladders must be school-wide; consortium applicants' career ladder(s) must be implemented across all consortium members, including the lead applicant unless the lead applicant is a BOCES.

Additionally, all applicants may choose to include additional positions that may be funded through this grant. Additional positions may include, but are not limited to, any positions that consist of:

- additional duties and compensation offered to educators based, at least in part, on their APPR results (and may include other district and/or public charter school selection criteria);
- differentiated performance-based compensation based exclusively on educator ratings.

Please note: as detailed in Attachment V, for purposes of this RFP, applicants will be allowed to use applicant-specified selection criteria until an adequate number of years of APPR results are available.

## **AND/OR**

**2. Additional activities, if appropriate and necessary in order to develop and implement a career ladder**, which are part of an overall TLE system (as discussed in the RFP Focus: Career Ladder section). These activities may include, but are not limited to:

- Evaluator and lead evaluator training, including the process for certification, re-certification and inter-rater reliability in order to ensure that educators are utilizing

evidence-based observations and conducting feedback sessions that are useful for educators.

- Training to ensure educators on the career ladder are prepared for new duties and responsibilities.
- Tools, technology, and training supports to provide a district-wide/charter school-wide understanding of the teacher and principal evaluation system, including but not limited to: video technology for conducting video-based observations, training modules/platforms, data tracking systems, and protocols for regularly-scheduled calibration.

## **AND/OR**

**3. Recruitment and/or transfer award(s), if appropriate and necessary** in order to improve the equitable distribution of effective and highly effective educators. Recruitment and/or transfer awards should be created in order to provide financial incentives to attract teachers and/or principals with a demonstrated track record of success (or if they are new educators, demonstrated potential based on district selection criteria) into hard-to-staff and specialty subject areas, as well as into high need or low-performing schools.

## **Award distribution**

The available funding will be divided into two categories as follows:

1. Individual school district or individual public charter school awards: \$12,090,000
2. Consortium awards: \$12,090,000

Please note:

- Funding is based on the percent of students K-12 in public school districts and charter schools with 25% or higher of poverty (out of all students K-12 in public school districts and charter schools with 25% or higher poverty).
- See the Award Methodology section for additional information.

An Eligibility List including all eligible districts and charter schools, and corresponding student enrollment data, can be found at <http://usny.nysed.gov/rttt/rfp/gt-23/eligibility.html>.<sup>2</sup> (Please note: Individual school districts, individual charter schools, consortium leads, and consortium members awarded an STLE 2 grant are not eligible to apply for an STLE 3 award.) The Eligibility List must be used to determine an applicant's maximum award. Each funding category will include a total of \$12,090,000. Individual public school districts and public charter schools calculate maximum award based on \$125 per student, based on the student enrollment included in the Eligibility List. Consortium applicants calculate maximum award based on \$125 per student, based on the enrollment included in the Eligibility List, for each public school

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<sup>2</sup> If a district is not included in the Eligibility List and believes this is in error, please email [STLE3@mail.nysed.gov](mailto:STLE3@mail.nysed.gov) and NYSED will investigate the claim.

district or public charter school included in the application. No applicant's (individual's or consortium's) maximum award may be greater than \$12,090,000.

The following should be identified in the Attachment I: Application Cover Page:

- the total number of students in the district (based on the student enrollment data included in the Eligibility List posted at: <http://usny.nysed.gov/rftt/rfp/gt-23/eligibility.html>). Consortium applicants should include the total number of students in all member schools/districts combined.
- the total funding amount requested (based on the maximum award of \$125 per student, but not to exceed \$12,090,000)

Please note: applicants may choose to work with third-party organizations that are not applicants or consortium members. Any work done with the following entities should be included in your proposal narrative and budget, as appropriate. If the applicant deems it necessary, the applicant should enter into a Memorandum of Understanding, contract, and/or agreement for this work; however these documents do not need to be included as part of this application. If the partners are also eligible applicants, but they are not participating as consortium members, they cannot be factored into the calculation for maximum funding award. And in turn, these partners should not implement the career ladders or related activities in their own public school district or public charter school. They should be partnering to provide specific support and/or expertise to the individual applicant or consortium that is not intended to benefit the partner organization.

Third-party organizations that an applicant may work with include:

- Institutions of Higher Education
- Public School Districts
- BOCES
- Individual Public Schools, including Charter Schools
- Public School Districts or BOCES on behalf of their Teacher Centers subject to any limitations of Education Law §316
- Non-profit agencies/entities
- Other vendors

### **Mandatory Requirements**

1. Signed Application Cover Page (Attachment I-A for individual district/public charter school applications; Attachment I-B for consortium applications)
2. Signed Mandatory Requirements Certification (Attachment II)
3. Completed Attachment V: Proposed Career Ladder for Teachers and Principals. This attachment must *at least* contain the three "rungs": Novice, Professional, and Leader for both teachers and principals.

4. Assurance of Joint Commitment and Collaboration Form<sup>3</sup> signed by the applicant and all associated collective bargaining agent(s) as specified in Attachment III-A for individual district/charter applications and Attachment III-B for consortium applications.
5. Consortium applicants must submit a Memorandum of Understanding (MOU), as specified in Attachment IV. The lead applicant must submit one MOU that is signed by each consortium member (individual district/charter applicants should not submit the MOU).

### **Prequalification Requirement**

New York State has implemented a prequalification requirement for not for-profit entities. For this RFP, completion of the prequalification process is not necessary in order to apply. However, to be eligible to receive an award under this grant, any individual applicant or consortium-lead that is a public charter school (BOCES and public school districts are exempt) must be prequalified. The prequalification process should be completed within 30 days of receipt of notice of award. As the process may take up to a few weeks, it is advised that interested agencies begin this process immediately upon RFP announcement. Please see additional information and instructions in Appendix G.

## **REQUIRED ELEMENTS OF THE PROPOSAL**

Applicants must include a Proposal Narrative, and all applicable attachments, for Sections A-D (see Application Instructions for formatting requirements) as detailed below. Please note that there may be different instructions for individual district/public charter school applications and consortium applications.

Please be sure to review the following appendices for additional guidance and information:

- Appendix B: Career Ladders: Goals and Measurable Outcomes
- Appendix C: Sustainability Support
- Appendix D: Workplan/Timeline
- Appendix E: Scoring Rubrics
- Appendix F: NYSED Consortium Policy for State and Federal Discretionary Grant Programs
- Appendix G: Prequalification Application for Grants Reform (requirement for public charter schools **only**)
- Appendix H: Additional Resources

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<sup>3</sup> For New York City, Chancellor Walcott's or his designee's signature is required in lieu of the Chief Administrative Officer (Superintendent) and Board of Education President; for public charter school LEAs, the Chief Administrative Office's title should be included (CEO, the Chair of the Board, etc.).

As previously mentioned, this RFP is consistent with other RTTT initiatives in that it puts emphasis on career ladders that specifically support high needs students by improving the learning of ELLs and SWDs, advancing student learning in STEM disciplines, and improving the equitable distribution of effective and highly effective educators within schools and/or across districts and/or public charter schools with different levels of need, academic and/or economic, by improving the outcomes for high needs students. Please address these issues as relevant throughout your proposal, taking the scoring rubric into consideration.

## **Section A: Career Ladder Overview – 30 points**

(5-10 pages)

In order to support career development for educators, this RFP will fund the development and implementation and/or enhancement of career ladders for teachers **and** principals. NYSED is aware that many districts are in different stages of development and/or implementation of a career ladder as part of a fully-developed TLE continuum.

NYSED recognizes there is a need in many of our districts and public charter schools to first focus on targeted supports for instructional leaders in order to support the development of these new career ladders. As such, NYSED encourages applicants to think about their proposed career ladder as an opportunity to build the capacity of internal staff to lead the development of these new roles and responsibilities. The minimum three career ladder positions (Novice, Professional, Leader) may be implemented starting in Program Period 1 (March 3, 2014 through June 30, 2014) or Program Period 2 (July 1, 2014- June 30, 2015) of the grant, following capacity-building activities in preparation of career ladder implementation. Please note: all applicants' full career ladders should be implemented by September 2014 (positions may be implemented using the initial criteria specified in Attachment V).

The overarching purpose of Section A of the proposal narrative is to clearly and comprehensively detail the following:

- the career ladder the applicant intends to implement;
- all activities deemed necessary to complete implementation of the career ladder; and
- the current stage of implementation of the career ladder.

Include the following in Section A of the Proposal Narrative (charts/graphs may also be included as necessary):

### **INDIVIDUAL PUBLIC SCHOOL DISTRICT/PUBLIC CHARTER SCHOOL APPLICATION**

## A1. RELEVANT BACKGROUND INFORMATION

Please include information regarding the applicant's size, grade levels, student composition, staff and any other information necessary to understand the applicant as a whole. This should include any staffing challenges, as well as results of student testing and details about the community both in and out of the school(s). Include an explanation of how and why the applicant currently has distributed highly effective and effective teachers and leaders throughout the applicant's school(s) to ensure high needs students are served by the highest quality educators. If the applicant has not currently focused on the equitable distribution of high quality teachers and leaders, please explain what equitable distribution of teachers and leaders across the district and/or charter school will look like (and why) in the future. While this information is not specific to the current or proposed career ladder, it will provide the context for all career-ladder specific details.

## A2. CAREER LADDER DESCRIPTION

### a. Career Ladder and All Career Ladder Positions:

Please include a detailed description of the current (as applicable) and proposed career ladder, including all career ladder positions. The career ladder **must** have positions for teachers **and** principals (and may include additional staff), including title, criteria for eligibility, roles and responsibilities, and compensation.

As shown in Attachment V, Proposed Career Ladder for Teacher and Principals (which must be completed for question A3), the career ladder must include **at least** an entry level position (Novice) and two levels beyond (Professional and Leader) with differentiated duties and responsibilities clearly defined. Please note: compensation may be in the form of a direct financial payment to the educator or other forms of compensation as determined by the applicant. Please see Appendix C, Sustainability Support, for additional information regarding compensation structures.

For each position, please:

1. indicate if this is a currently existing position that will continue to be offered, a currently existing position that will be modified, or an entirely new position;
2. provide a rationale for the position, including any data/research used to create the position, how it will strengthen teacher and/or leader effectiveness and address issues of equity;
3. identify the goal(s) and the specific, measurable objective(s) for this position that will lead to achievement of the goal(s), including, as appropriate, those that will lead to improved support for high need students (please see Appendix B, Career Ladders: Goals and Measurable Outcomes);
4. explain how this position fits into the TLE continuum for the applicant; and
5. include any additional relevant details regarding the current state of the career ladder for the applicant.

Please note: if the applicant does not have any career ladder currently in place, the narrative should include as much relevant information as possible regarding the current stage of implementation, including, but not limited to, discussions about career ladder positions, considerations within the district for career ladder design, taking into consideration the state of the TLE continuum at the district level.

**b. Additional Activities for Career Ladder Implementation and Support:**

Please detail any additional activities or supplies necessary to implement the career ladder. These activities may include, but are not limited to, training, professional development, and supplies and materials. All proposed additional activities must be explained and justified in the context of the applicant's relevant background information, current state of TLE continuum, and proposed career ladder.

In order for an applicant to develop, implement, and support a career ladder, the following are design principles for consideration:

- a common language to discuss effective teaching and leadership practices;
- articulated clear expectations for effective teaching and leadership practices, based on the NYS Teaching Standards and ISLLC Standards;
- adequate training so the educators with career ladder positions are prepared for the roles that involve new duties and responsibilities;
- initial and on-going calibration regarding effective teaching and leadership practices for conducting observations and providing feedback; and
- a "high-performing district/school culture," which may be defined as: all faculty and staff have high expectations for all students; all students, faculty, and staff are learners; all students, with the assistance of faculty, set appropriately challenging intellectual goals for themselves; everyone in a school building treats everyone else with courtesy, respect, and dignity; and treating everyone with courtesy, respect, and dignity is evident in each person's behavior and has been incorporated into the building's code of conduct.

If no additional activities are deemed necessary and appropriate for the applicant, the proposal should briefly explain this in order to respond to this question.

**c. Recruitment and/or transfer award(s):**

Please provide an explanation of any recruitment and/or transfer award(s) the applicant intends to create in order to attract and retain effective and highly effective educators with a demonstrated track record of success (or if they are new educators, demonstrated potential based on specified selection criteria). Awards should provide financial incentives to attract high performing educators into hard-to-staff and specialty subject areas, as well as high-need or low-performing schools. This may include attracting educators into the district/public charter school and/or incentivizing educators to move to a different school within a district. Applicants

should include the rationale for creating the award, as well as an explanation of the design of the award. This should include relevant applicant information, relevant job descriptions, and an explanation of the award structure (e.g., the compensation and when/how it will be provided).

If no recruitment and/or transfer award(s) is deemed necessary and appropriate for the applicant, the proposal should briefly explain this in order to respond to this question.

### **A3. CAREER LADDER SUMMARY (Attachment V, Proposed Career Ladder for Teachers and Principals)**

The Career Ladder Summary must be submitted by completing Attachment V, which will provide a summary of the proposed career ladder to be implemented. This should be for the career ladders for both teachers and principals and should include all titles/positions on the career ladders (both those to be funded by this RFP and those funded through other sources, if applicable) and corresponding details for each position using a minimum of the following levels: novice, professional, and leader. If the career ladder includes other titles/positions beyond teachers and leaders, please include this as well (whether funded through this RFP or through other funding streams).

Please note: as explained in Attachment V, for purposes of this RFP, applicants will be allowed to use applicant-specified selection criteria pertaining to educator evaluation ratings until an adequate number of years of APPR results are available.

### **CONSORTIUM APPLICATION**

A consortium applicant should submit all of the above specified information as it pertains to all consortium members. Please note:

- NYSED encourages consortium applicants to create one career ladder to be implemented by all districts/charter schools that are part of the consortium, including the activities needed for career ladder development. However, NYSED recognizes that some elements may need to be tailored to a specific school district/charter school within the consortium based on local needs. The applicant must explain how the career ladder will differ across consortium members, if at all, and how any variation in the career ladders will impact implementation.
- All public school districts and public charter schools that are part of the consortium application must develop and implement a career ladder (if the lead applicant is a BOCES, no BOCES-specific career ladder has to be defined).
- The consortium lead must be an active participant in the consortium, providing a minimum of 20% of the grant activities, and cannot act solely as a flow-through for grant funds.

## **Section B: Career Ladder Support Summary – 35 points**

(5-10 pages)

The overarching purpose of Section B of the proposal narrative is to detail the communication plan, how the applicant addresses issues of equity, the workplan/timeline, the sustainability plan and the overall goals and measurable objectives for the applicant's career ladder and related activities.

Include the following in Section B of the Proposal Narrative (charts/graphs may also be included as necessary):

## **INDIVIDUAL PUBLIC SCHOOL DISTRICT/PUBLIC CHARTER SCHOOL APPLICATION**

### **B1. COMMUNICATION PLAN**

Please include a communication plan that clearly explains how and when the career ladder will be discussed with all relevant stakeholders. This should include, for the entire grant period, dates of communication and presenter(s), audience for communication (e.g., "community at large" stakeholders, such as teachers, parents), form of communication, and key content of communication.

### **B2. SUSTAINABILITY PLAN**

There should be a sustainability plan that includes each cost associated with the implementation of the career ladder to demonstrate how the district plans to fund the career ladder after the grant period. Please see Appendix C for possible funding stream options.

### **B3. ISSUES OF EQUITY**

New York State made a substantial commitment to address issues of equity in education. This commitment is to improve the equitable distribution of educator talent for high need students and to provide funding for initiatives involving supplemental financial awards to attract and retain effective and highly effective educators working with high need students, those with academic, economic and/or special needs and/or in shortage subject areas, including STEM, ELL, bilingual and/or special education. Please provide an explanation of how the proposed career ladder and/or any additional activities and/or recruitment/transfer awards proposed will address issues of equity. Please note: if the applicant has shortage areas other than those defined above, the applicant must provide an explanation and rationale.

### **B4. WORKPLAN/TIMELINE**

Please include a realistic and rational workplan/timeline that includes the steps needed for implementation and what staff or outside resources will be leading the work. This must be included in detail for the entire grant term. If appropriate, general next steps that extend beyond the life of the grant may be noted. The applicant may begin implementing career ladder positions during the first program period (March 3, 2014 through June 30, 2014), however applicants' full career ladders should be implemented by September 2014 (positions may be

implemented using the initial criteria specified in Attachment V). Please review Appendix D, which may be used as a template, if appropriate for the applicant.

## **B5. OVERALL GOALS AND MEASURABLE OUTCOMES**

In order to better develop the career ladder and determine if it is successful or not, there should be overarching goals and corresponding measurable outcomes to be achieved in order to accomplish the goals. These overarching goals and measurable outcomes should be provided with a rationale that connects to the relevant background information provided and takes into account high need students. The goals and measurable objectives included should be accomplished by the end of the grant term and will be the measure by which NYSED determines the success of the program. However, applicants are encouraged to include additional goals and measurable outcomes that extend beyond the grant term to support sustainability of their proposed initiatives. Please review Appendix B, which may be used as a template, if appropriate for the applicant.

## **CONSORTIUM APPLICATION**

A consortium applicant should submit all of the above specified information as it pertains to all consortium members. Please note:

- While the activities to develop the career ladder and proposed career ladder positions may be tailored to the needs of the public school district/public charter schools that are part of a consortium, the overall goals and corresponding measurable outcomes must be unified.

## **Section C: Evidence of applicant capacity – 15 points**

(5-10 pages)

In order to qualify for funding, applicants should describe their organizational capacity to undertake the work to be funded through this RFP (and the organizational capacity of consortium members if applying as a consortium).

Include the following in Section C of the Proposal Narrative:

## **INDIVIDUAL PUBLIC SCHOOL DISTRICT/PUBLIC CHARTER SCHOOL APPLICATION**

### **C1. SUCCESSFUL TRACK RECORD**

The applicant should submit evidence of a successful track record with two large-scale initiatives.

If the applicant has received any federal funds (including, but not limited to: Innovation Fund [i3], Promise Neighborhoods, School Improvement Grant [SIG]), the applicant must describe at least one of those initiatives in this section. The applicant must explain how they ensured appropriate fiscal stewardship of the grant and provide evidence of measurable increases in

student achievement as a result of the initiatives funded. If the applicant had any funding period during the grant term when funds were moved from one year to another, for any reason whatsoever, this must also be explained.

If the applicant has **not** received any federal funds, then the applicant should describe any initiative where measurable improvements were achieved in at least one of the following: student learning, instructional practice, equitable distribution of teachers and/or leaders, or other improvement relevant to teacher and leader effectiveness (please specify). This evidence should be large-scale across the applicant's organization.

## **C2. MONITORING AND COORDINATION PLAN**

The applicant should describe how the program funded under this RFP will be monitored and coordinated, as well as how the applicant would make any mid-course corrections required to meet the deliverables and ensure results.

## **CONSORTIUM APPLICATION**

Address C1 and C2 as detailed above and as follows:

- C1. Evidence of a successful track record must be included for the lead applicant and all consortium members. The lead applicant must demonstrate evidence, through at least two large-scale initiatives as specified above, but the initiative described should extend across one or more other organizations in order to demonstrate that the lead applicant has played a similar role to the one proposed in this application. Consortium members, who are not the lead applicant, must demonstrate evidence as specified above through at least one large-scale initiative per consortium member.
- C2. Complete C2 as specified above.

## Section D: Budget Forms – 20 points

### INDIVIDUAL PUBLIC SCHOOL DISTRICT/PUBLIC CHARTER SCHOOL APPLICATION

Please check for calculation accuracy in all budget forms. Inaccurate calculations and/or discrepancies between forms will adversely affect the scoring of this section.

#### **FS-10**

Complete two FS-10 (Proposed Budget for a Federal or State Project) forms, one for **each** program period:

- Program Period 1 ( March 3, 2014 - June 30, 2014)
- Program Period 2 (covering the period July 1, 2014- June 30, 2015).

The most current form is available online at: <http://www.oms.nysed.gov/cafef/forms/>. Please be sure to include **two FS-10s, one for each period of the grant program** and to check that all calculations, descriptions and amounts match the budget summary and budget narrative. Failure to do so will adversely affect the scoring of this section.

#### **BUDGET NARRATIVE**

(Attachment VI)

Complete Attachment VI: Budget Narrative. This must detail and justify the funding request under this RFP, including all proposed expenditures and indicate the basis of calculation for each cost during Program Periods 1 and 2, and illustrate how the proposed expenditures align with the proposal's initiatives and goals. If applicable, include a detailed description of any other funding streams/contributions related to the proposed career ladder. Please note: while already existing career ladder positions/activities may be included in the description, funding from this grant cannot supplant or duplicate positions/activities already funded through other sources. Additional sections/charts may be added as needed to provide all necessary information.

For each proposed expenditure, be sure to include the following in Attachment VI:

- All proposed expenditures are included and the calculations and amounts match the FS-10s and multi-period budget summary (Attachment VII).
- Provide all information in a manner that will allow reviewers to clearly understand the basis of calculation for each proposed expenditure, as well as why the proposed expenditure is appropriate, reasonable and necessary.
- Demonstrate that the proposed expenditures are supplemental and do not supplant or duplicate services currently provided.
- If applicable, include a description of any other sources of funds (within and outside the district/school)

Code 40: Purchased Services  
Code 46: Travel  
Code 90: Indirect Costs  
Code 30: Minor Remodeling

Code 45: Supplies & Materials  
Code 80: Employee Benefits  
Code 49: BOCES Services  
Code 20: Equipment

- Indicate, for each proposed expenditure, the total funding amount requested and the code under which it applies:

### **MULTI-PERIOD BUDGET SUMMARY**

(Attachment VII)

Complete Attachment VII: Multi-Period Budget Summary. This must be completed by program periods, Program Period 1 and Program Period 2, as labeled in the form. Please check that all amounts match the FS-10 and budget narrative (Attachment VI).

### **CONSORTIUM APPLICATION**

Consortiums should provide all of the information requested above. The lead applicant will serve as the fiscal agent for the grant and, as such, the above must be completed only by the lead applicant, in consultation with all consortium members. Budget items should include all project income and expenses for all consortium members, identifying individual members as appropriate. Consortium applications must demonstrate in the budget narrative that the lead applicant will not act solely as a flow-through for grant funds and that a minimum of 20% of the STLE 3 funding will directly support the activities of the lead consortium applicant.

### **Budget Information**

Information about the categories of expenditures, general information on allowable costs and applicable federal costs principles and administrative regulations are available in the [Fiscal Guidelines for Federal and State Aided Grants](#). Refer to the Application Guidance attached to this RFP for additional specific requirements and information about the allowable and non-allowable activities for the program.

The totals from each of the Budget Category Forms must correspond to amounts shown on the Budget Summary Form (FS-10). Please be sure to check your math.

Only equipment items with a unit cost that equals or exceeds \$5,000 should be included under Equipment, Code 20. Equipment items under \$5,000 should be included under Supplies and Materials, Code 45.

### **Allowable Activities and Costs**

Program office staff will review budgets and eliminate any items that are deemed non-allowable or inappropriate. If any changes are made to a budget category form as a result of an expenditure being non-allowable or inappropriate, the program office staff person will communicate with the program contacts identified on the Application Cover Page and return a copy of the corrected budget category form.

On an annual basis, an approved copy of the current period's Budget Summary Form (FS-10) will be returned to the contact person listed on the FS-10 cover page by the Office of Grants Finance. A window envelope will be used for the return mailing. Please make sure that the contact information is accurate, legible, and confined to the address field.

## APPLICATION ACCEPTANCE AND PROCESSING

### Application Review and Scoring

Upon receipt, an applicant's eligibility will be determined. Upon determination that an applicant is eligible, and that the mandatory requirements have been met, the application will be reviewed. **If a proposal does not meet all of the mandatory requirements, it will be rejected as non-responsive and will not be reviewed.**

Applicants will be scored on the basis of 100 possible points from reviewers: 80 points for the *Proposal Narrative*, including 30 points for Section A, 35 points for Section B, and 15 points for Section C; and 20 points for the *Budget Narrative*. Proposals must receive a minimum of 65 points out of 100 points in order to be eligible for an award.

All proposals will be reviewed by two reviewers and the scores will be averaged. If there is a score discrepancy greater than 15 points, the proposal will be read by a third reviewer. The two closest scores will be used and averaged unless the third reviewer score is equidistant from the others, in which case the third reviewer score will be solely used.

### *Award Methodology*

Applicants will be ranked within two categories: 1) individual public school districts and public charter schools and 2) consortiums. Applicants receiving the highest scores in each category will receive funding as follows:

1. Individual public school districts and public charter schools: All eligible applications will be scored then listed in rank order. The highest scoring applications will be awarded until there are insufficient funds to award the next ranked applicant in full.
2. Consortiums: All scored applications will be listed in rank order. The highest scoring applications will be awarded until there are insufficient funds to award the next ranked applicant in full.

After the award processes described above have been completed, any excess funds in either category will be awarded to the next highest ranked unfunded individual district/charter school

applicant(s). In the event that there are insufficient funds to fund the next ranked applicant in full, the next ranked applicant will be given the opportunity to operate a smaller program using the remaining funds. If there are any excess funds after all fundable individual district/charter school applicants have been awarded, the next highest ranked, fundable consortium applicant will be awarded. If there are insufficient funds to fund the next ranked applicant in full, the next ranked consortium applicant will be given the opportunity to operate a smaller program using the remaining funds.

In the event of a tie score, the applicant with the highest score for Section A, Career Ladder Overview, will be ranked higher.

Preliminary notifications of award will be made to fundable applicants that meet the requirements set forth in this RFP. All individual public school district applicants and all public school districts applying as part of a consortium application, either as the lead or a member, must, by September 1, 2013, have demonstrated that they have fully implemented an APPR plan approved or determined by the Commissioner for all principals and teachers in the district or the application will be rejected and will not receive funding under this RFP. All individual public charter school applicants must have an approved APPR plan by the STLE 3 RFP deadline (December 2, 2013), or the application will be rejected and will not receive funding under this RFP. All BOCES and/or public charter schools applying as part of a consortium application, either as the lead or a member, must have an approved APPR plan by the STLE 3 RFP deadline (December 2, 2013), or the application will be rejected and will not receive funding under this RFP.

### **Debriefing Procedures**

All applicants may request a debriefing within five (5) business days of receiving notice of non-award from NYSED. Applicants may request a debriefing on the selection process regarding this Grant by emailing the request to [STLE3@mail.nysed.gov](mailto:STLE3@mail.nysed.gov). For consortium applications, **a debriefing letter may only be requested by the lead applicant.**

In response to a request for a debriefing letter, a summary of the strengths and weaknesses of the application will be emailed to the superintendent or CEO within ten (10) business days.

### **Award Protest Procedures**

Applicants that receive a debriefing 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 by the applicant/lead applicant within ten (10) business days of receipt of the notice of the written debriefing letter. The protest letter must be filed with:  
NYS Education Department  
Contract Administration Unit, RFP# GT-23  
89 Washington Avenue  
Room 501W 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 Office of the State Comptroller (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.

***The New York State Education Department reserves the right to reject all proposals received or cancel this RFP if it is in the best interest of the Department.***

#### **Winning Applicants' Responsibility**

Projects must operate under the jurisdiction of the local board of education or other appropriate governing body and are subject to at least the same degree of accountability as all other expenditures of the local agency. The local board of education or other appropriate governing body is responsible for the proper disbursement of, and accounting for, project funds. Written agency policy concerning wages, mileage and travel allowances, overtime compensation, or fringe benefits, as well as State rules pertaining to competitive bidding, safety regulations, and inventory control must be followed. Supporting or source documents are required for all grant related transactions entered into the local agency's recordkeeping system. Source documents that authorize the disbursement of grant funds consist of purchase orders, contracts, time & effort records, delivery receipts, vendor invoices, travel documentation and payment documents, including check stubs.

Supporting documentation for grants and grant contracts must be kept for at least six years after the last payment is made unless otherwise specified by program requirements. Additionally, audit or litigation will "freeze the clock" for records retention purposes until the

issue is resolved. All records and documentation must be available for inspection by State Education Department officials or its representatives.

For additional information about grants, please refer to the [Fiscal Guidelines for Federal and State Aided Grants](#).

Contracts resulting from this RFP are funded by federal Race to the Top grant funds. Recipients of awards pursuant to this RFP are subject to the provisions of 34 CFR § 80.34, including the right of the federal government to use or authorize others to use any copyrightable work produced by a recipient under this federally funded contract, for federal purposes and royalty-free.

### **Required Reports**

Recipients of multi-year competitive grants must submit an annual performance report for each year funding has been approved in order to receive a continuation award. The performance report must demonstrate that substantial progress has been made toward meeting the project goals and the program milestones, as indicated in the applicant's work plan and/or timeline. The performance report should provide an overview of what was proposed for the year and what actually happened, including the lessons learned during the process. For this RFP, mid-year reporting is also a requirement in a form and format to be determined by NYSED. Please note: NYSED reserves the right to approve roll-over funding from Program Period 1 to Program Period 2.

**In addition, recipients of Race to the Top funds must submit quarterly reports, including the American Recovery and Reinvestment Act of 2009 (ARRA) reports. These quarterly reports, which must be submitted through the NYSED Application Business Portal by the grantee, must include a short narrative regarding quarterly activities, a summary of all jobs saved and jobs created through grant funds, and amounts expended through vendors.**

### **Electronic Processing of Payments**

In accordance with a directive dated January 22, 2010 by the Director of State Operations - Office of Taxpayer Accountability, all state agency contracts, grants, and purchase orders executed after February 28, 2010 shall contain a provision requiring that contractors and grantees accept electronic payments. Additional information and authorization forms are available at the State Comptroller's website at <http://www.osc.state.ny.us/epay/index.htm>.

### **Vendor Responsibility**

State law requires that the award of state contracts be made to responsible vendors. Before an award is made to a not-for-profit entity, a for-profit entity, a private college or university or a public entity not exempted by the Office of the State Comptroller, NYSED must make an affirmative responsibility determination. The factors to be considered include: legal authority to do

business in New York State; integrity; capacity- both organizational and financial; and previous performance. Before an award of \$100,000 or greater can be made to a covered entity, the entity will be required to complete and submit a Vendor Responsibility Questionnaire. School districts, Charter Schools, BOCES, public colleges and universities, public libraries, and the Research Foundation for SUNY and CUNY are some of the exempt entities. For a complete list, see: [http://www.osc.state.ny.us/vendrep/resources\\_docreq\\_agency.htm](http://www.osc.state.ny.us/vendrep/resources_docreq_agency.htm).

NYSED recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at [http://www.osc.state.ny.us/vendrep/vendor\\_index.htm](http://www.osc.state.ny.us/vendrep/vendor_index.htm) or go directly to the VendRep System online at <https://portal.osc.state.ny.us/>.

Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at [ciohelpdesk@osc.state.ny.us](mailto:ciohelpdesk@osc.state.ny.us).

Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website <http://www.osc.state.ny.us/vendrep/> or may contact NYSED or the Office of the State Comptroller's Help Desk for a copy of the paper form.

*Subcontractors:*

For vendors using subcontractors, a Vendor Responsibility Questionnaire and a NYSED vendor responsibility review are required for a subcontractor where:

- the subcontractor is known at the time of the contract award;
- the subcontractor is not an entity that is exempt from reporting by OSC; and
- the subcontract will equal or exceed \$100,000 over the life of the contract

**Payee Information Form/NYSED Substitute W-9 Form**

General Instructions: The Payee Information Form is a packet consisting of the Payee Information Form itself and an accompanying form known as the NYSED Substitute W-9 Form. The NYSED Substitute W-9 form may or may not be needed from your agency. Please follow the instructions for each as outlined below.

The Payee Information Form is used to establish the identity of applicant organizations and enables them to receive funds from the NYSED. An online version is available at <http://www.oms.nysed.gov/cafe/forms/PIform.pdf>.

## APPLICATION INSTRUCTIONS

Please adhere to the following instructions.

### Required Signature(s)

The **original signature** of the Chief School Administrator/Officer must appear on the Application Cover Page in **blue** ink.

### Application Checklist

Please use the application checklist to ensure your application is submitted in the correct order and is complete.

### Mandatory Requirements Certification

Please complete and sign Attachment II, Mandatory Requirements Certification. Applicants must submit this certification in order to be considered for funding. Proposals that do not include the signed Mandatory Requirements Certification will be disqualified and removed from further consideration.

Please note: NYSED will only communicate with the contacts provided in the Application Cover Page.

### Page Limits and Standards

The page limits indicated have been included as guidance for applicants. The proposal narrative should follow the below standards:

- A page is 8.5" x 11" (on one side only) with one-inch margins (top, bottom, and sides). Charts/tables are not required to adhere to this standard.
- Double space all text in the proposal narrative; double space between titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, figures, and graphs, unless not possible due to the formatting of the template.
- Each section of the proposal narrative should be clearly titled.
- Use a Times Roman or Arial font in a 12-point size.
- Include page numbers.
- Each page should include a header with the applicant's name.

## **Submission**

Applicants are responsible for making sure the application package is complete and in the correct order based on the included Application Checklist. All requirements, as detailed in the RFP, must be **received** at NYSED no later than December 2, 2013. Applications not received by December 2, 2013 will not be accepted for review.

- One (1) original signed application and four (4) copies of the application (in the format described in RFP) labeled - RFP #GT-23.
- One (1) CD containing a copy of the **signed** application in Microsoft Word (.doc) format or portable document format (.pdf). Include all appendices, MOUs (if applicable), and attachments on the CD or flash drive.

The mailing address for all the above documentation is:

NYS Education Department  
Bureau of Fiscal Management  
Contract Administration Unit  
89 Washington Avenue, Room 501W EB  
Albany, NY 12234

**ATTN: Nell Brady, RFP #GT-23**

**(The application must be mailed. Facsimile copies of the proposals will NOT be accepted)**

## Application Checklist

Please use the application checklist found below to ensure your application is complete and in the correct order:

Application Items	Description	Included in the application? Click Yes/NA
1. Application Cover Page: Attachment I	<ul style="list-style-type: none"> <li>• Attachment I-A for individual district/charter school applications.</li> <li>• Attachment I-B for consortium applications.</li> <li>• Please remember to use the eligibility list for the student enrollment.</li> </ul>	Yes <input type="checkbox"/>
2. Mandatory Requirements Certification: Attachment II	<ul style="list-style-type: none"> <li>• Completed and signed to certify that the application meets all mandatory requirements.</li> </ul>	Yes <input type="checkbox"/>
3. Section A: Narrative and Attachment V	<ul style="list-style-type: none"> <li>• Section A Narrative.</li> <li>• Attachment V: Proposed Career Ladder for Teachers and Principals, fully completed, including at least the three “rungs” Novice, Professional, and Leader for both teachers and principals.</li> </ul>	Yes <input type="checkbox"/>
4. Section B: Narrative	<ul style="list-style-type: none"> <li>• Section B Narrative.</li> </ul>	Yes <input type="checkbox"/>
5. Section C: Narrative	<ul style="list-style-type: none"> <li>• Section C: Narrative.</li> </ul>	Yes <input type="checkbox"/>
6. Section D: Budget Forms	<ul style="list-style-type: none"> <li>• FS-10s: One FS-10 for Program Period 1; One FS-10 for Program Period 2 (FS-10 form available at: <a href="http://www.oms.nysed.gov/cafe/forms/">http://www.oms.nysed.gov/cafe/forms/</a>).</li> <li>• Budget Narrative: Attachment VI.</li> <li>• Multi-Period Budget Summary: Attachment VII.</li> </ul>	Yes <input type="checkbox"/>

<p>7. Assurance of Joint Commitment and Collaboration Form: Attachment III</p>	<ul style="list-style-type: none"> <li>• Must be submitted with all necessary original signatures (applicant and applicable collective bargaining agents).</li> <li>• Attachment III-A for individual district/charter applications.</li> <li>• Attachment III-B for consortium applications.</li> </ul>	<p>Yes <input type="checkbox"/></p>
<p>8. Memorandum(s) of Understanding (MOU): Attachment IV</p>	<ul style="list-style-type: none"> <li>• An MOU between the lead applicant and each consortium member must be completed.</li> <li>• Only consortium applicants must submit an MOU.</li> </ul>	<p>Yes <input type="checkbox"/></p>
		<p>NA <input type="checkbox"/></p>

## ATTACHMENTS

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**Attachment I-A: Application Cover Page for Individual Public School  
Districts/Public Charter Schools**

**For Competitive Grant Program  
Strengthening Teacher and Leader Effectiveness 3:  
Request for Proposals #GT-23**

Please refer to the Application Instructions for detailed information about completing this page and the other required components. Please note: the applicant should include **two** program contacts for the grant.

**DISTRICT BEDS CODE**

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<b>Applicant Name:</b>			
<b>Employer's Federal Tax ID Number:</b> (charter schools only)		<b>NYS Vendor ID:</b> (charter schools only)	
<b>Address:</b>			
<b>City:</b>		<b>Zip Code:</b>	
<b>Main Program Contact:</b>		<b>Alternate Program Contact:</b>	
<b>Title:</b>		<b>Title:</b>	
<b>Organization:</b>		<b>Organization:</b>	
<b>Telephone:</b>		<b>Telephone:</b>	
<b>Fax:</b>		<b>Fax:</b>	
<b>Email:</b>		<b>Email:</b>	
<b>Total number of students in the individual school district/charter school:</b> (in the Eligibility List)		<b>Total Funding Amount Requested:</b> (\$125/total number of students, not to exceed \$12,090,000)	
<b>County:</b>			
<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, 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>			
<b>Authorized Signature</b> (in blue ink)		<b>Title</b> (Chief School/ Administrative Officer)	
<b>Typed Name</b>		<b>Date</b>	
<b>Phone number:</b>		<b>Email address:</b>	

## Attachment I-B: Application Cover Page for Consortiums

### For Competitive Grant Program

### Strengthening Teacher and Leader Effectiveness 3

### Request for Proposals #GT-23

Please refer to the Application Instructions for detailed information about completing this page and the other required components. Please note: the applicant should include **two** program contacts for the grant.

#### BEDS CODE

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<b>Applicant Name:</b>			
<b>Employer's Federal Tax ID Number:</b> (BOCES/charter schools only)		<b>NYS Vendor ID:</b> (BOCES/charter schools only)	
<b>Address:</b>			
<b>City:</b>		<b>Zip Code:</b>	
<b>Main Program Contact:</b>		<b>Alternate Program Contact:</b>	
<b>Title:</b>		<b>Title:</b>	
<b>Organization:</b>		<b>Organization:</b>	
<b>Telephone:</b>		<b>Telephone:</b>	
<b>Fax:</b>		<b>Fax:</b>	
<b>Email:</b>		<b>Email:</b>	
<b>Total combined number of students from school districts/charter schools which are part of the consortium:</b> (in the Eligibility List)		<b>Total Funding Amount Requested:</b> (\$125/total number of students, not to exceed \$12,090,000)	
<b>County Lead Applicant is located in:</b>			
<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, 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>			
<b>Authorized Signature</b> (in blue ink)		<b>Title</b> (Chief School/ Administrative Officer)	
<b>Typed Name</b>		<b>Date</b>	
<b>Phone number:</b>		<b>Email address:</b>	

## Attachment II: Mandatory Requirements Certification

By signing this form, the undersigned certifies it can provide and/or meet the mandatory requirements listed below and outlined in the RFP.

<b>Certification for (Insert Applicant Name)</b>
--

Mandatory Requirement	Explanation	Included in application? (Yes/NA)	
Application Cover Page: Attachment I	<ul style="list-style-type: none"> <li>Signed Attachment I-A for individual district/charter school applications</li> <li>Signed Attachment I-B for consortium applications</li> <li>Please remember to use the eligibility list for the student enrollment.</li> </ul>	Yes	<input type="checkbox"/>
Mandatory Requirements Certification: Attachment II	<ul style="list-style-type: none"> <li>Signed to certify that the application meets all mandatory requirements.</li> </ul>	Yes	<input type="checkbox"/>
Attachment V	<ul style="list-style-type: none"> <li>Attachment V: Proposed Career Ladder for Teachers and Principals, fully completed, including at least the three “rungs” Novice, Professional, and Leader for both teachers and principals.</li> </ul>	Yes	<input type="checkbox"/>
Assurance of Joint Commitment and Collaboration Form: Attachment III	<ul style="list-style-type: none"> <li>Must be submitted with all necessary original signatures (applicant and applicable collective bargaining agents).</li> <li>Must be submitted using Attachment III (III-A for individual district/charter applications and III-B for consortium applications)</li> </ul>	Yes	<input type="checkbox"/>
Memorandum(s) of Understanding (MOU): Attachment IV	<ul style="list-style-type: none"> <li>An MOU between the lead applicant and each consortium member must be completed, signed and submitted.</li> <li>Only consortium applicants must submit MOUs.</li> </ul>	Yes	<input type="checkbox"/>
		NA	<input type="checkbox"/>

<b>Certification for (Insert Applicant Name)</b>	
Authorized Signature (in blue ink)	Date
Type or print name	

## **Attachment III-A: Assurance of Joint Commitment and Collaboration Form for Individual Public School District/Public Charter School Applicants**

By signing this document, the applicant public school district/public charter school and, as applicable, its collective bargaining agent(s) certify as follows:

1. For charter schools only: For purposes of this grant, the governing body of the applicant public charter school will adopt an Annual Professional Performance Review (APPR) plan for all of its classroom teachers and building principals, in accordance with the requirements of Education Law §3012-c and Subpart 30-2 of the Rules of the Board of Regents. We understand that if the Commissioner has not approved the charter school's APPR plan by the Strengthening Teacher and Leader Effectiveness (STLE) 3 RFP deadline (December 2, 2013), this application will be rejected and will not receive funding under the STLE 3 RFP.
2. To receive and maintain funding under STLE 3, public school districts and public charter schools must continuously implement the APPR plan approved by the Department for all principals and teachers in the district for the entire grant period (March 3, 2014 – June 30, 2015). If a district or charter school is found by the Department to not be implementing their approved APPR plan during the course of the grant period, the result for the district or charter school will be an immediate suspension of STLE 3 funds.

For purposes of this grant, pursuant to Education Law §3012-c(2)(l), in the event a school district's APPR plan (not a charter school) expires and the school district does not have an APPR plan approved by the Commissioner, the plan most recently approved by the Commissioner shall remain in effect until a subsequent plan is approved by the Commissioner and the school district shall implement said plan.

Moreover, if the Commissioner determines a school district's (not a charter school) APPR plan pursuant to Education Law §3012-c(2) (m) for the 2013-2014 school year, such plan shall remain in effect for the entire grant period or until a subsequent plan is approved by the Commissioner and the school district shall implement said plan.

If a public charter school knows that its approved APPR plan, which was in effect upon approval of its application for the grant award is set to expire prior to the end of the grant period, the public charter school must obtain and maintain Commissioner approval of an APPR plan for all its principals and teachers in the public charter school for the entire period of the grant, with no break in force or effect of an approved APPR plan. Any lapse in approval of an approved APPR plan for the public charter school will result in the immediate suspension of STLE 3 funds.

3. All initiatives described in this application are consistent with applicable collective bargaining agreements and no collective bargaining agreements, memoranda of understanding or any other agreements in any form prevent, conflict, or interfere with full implementation of the APPR plan or with the initiatives proposed in this application.

4. If this application is awarded funding under the STLE 3 RFP, we will undertake and implement the initiatives as proposed herein.

**Public School District/Public Charter School Name:** \_\_\_\_\_

<b>CHIEF ADMINISTRATIVE OFFICER (Insert other title if applicable)</b>	
Signature (in blue ink)	Date
Type or print name	

<b>LOCAL ADMINISTRATORS UNION PRESIDENT (Insert union name if applicable)</b>		
Are the (Insert Applicant Name)'s administrators represented by a union? <i>(If yes, complete the signature and name below)</i>	<input type="checkbox"/>	<input type="checkbox"/>
	YES	NO
Signature (in blue ink)	Date	
Type or print name		

<b>LOCAL TEACHERS UNION PRESIDENT (Insert union name if applicable)</b>		
Are the (Insert Applicant Name)'s administrators represented by a union? <i>(If yes, complete the signature and name below)</i>	<input type="checkbox"/>	<input type="checkbox"/>
	YES	NO
Signature (in blue ink)	Date	
Type or print name		

## **Attachment III-B: Assurance of Joint Commitment and Collaboration Form for Consortium Applicants**

By signing this document, the lead applicant BOCES/public school district/public charter school **and** all consortium member public school districts/public charter schools, **and** as applicable, its collective bargaining agent(s) certify as follows:

1. The governing body of the lead applicant **and** all consortium members will adopt an Annual Professional Performance Review (APPR) plan for all of its classroom teachers and building principals, in full accordance with the requirements of Education Law §3012-c and Subpart 30-2 of the Rules of the Board of Regents.
2. For consortium applicants with charter schools and/or BOCES: We understand that if the Commissioner does not approve a charter school or BOCES member's APPR plan(s) by the Strengthening Teacher and Leader Effectiveness (STLE) 3 RFP deadline (December 2, 2013), this application will be rejected and the consortium will not receive funding under the STLE 3 RFP.
3. To receive and maintain funding under STLE 3, the lead and all consortium members (public school districts, public charter schools and/or BOCES) must continuously implement the APPR plan approved by the Department for all principals and teachers in the district for the entire grant period (March 3, 2014-June 30, 2015 ). If a district/charter/BOCES is found by the Department to not be implementing their approved APPR plan during the course of the grant period the result will be an immediate suspension of STLE 3 funds for the lead applicant and all consortium members.

For purposes of this grant, pursuant to Education Law §3012-c(2)(l), in the event a school district's (not BOCES or charter school) APPR plan expires and the school district does not have an APPR plan approved by the Commissioner, the plan most recently approved by the Commissioner shall remain in effect until a subsequent plan is approved by the Commissioner and the school district shall implement said plan.

Moreover, if the Commissioner determines a school district's (not BOCES or charter school) APPR plan pursuant to Education Law §3012-c(2) (m) for the 2013-2014 school year, such plan shall remain in effect for the entire grant period or until a subsequent plan is approved by the Commissioner and the school district shall implement said plan.

If a BOCES/public charter school knows that its approved APPR plan, which was in effect upon its approval of the grant award, is set to expire prior to the end of the grant, the BOCES/ public charter school must obtain and maintain Commissioner approval of an APPR plan for all its principals and teachers in the BOCES/public charter school for the entire period of the grant, with no break in force or effect of an approved APPR plan. Any lapse in approval of an approved APPR plan for the BOCES/public charter school and any district found to not be implementing their approved APPR plan will result in the immediate suspension of STLE 3 funds for the lead applicant and all consortium members.

4. All initiatives described in this application are consistent with applicable collective bargaining agreements and no collective bargaining agreements, memoranda of understanding or any other agreements in any form prevent, conflict, or interfere with full implementation of the APPR plan or with the initiatives proposed in this application.

5. If this application is awarded funding under the STLE 3 RFP, we will undertake and implement the initiatives as proposed herein.

**Lead Applicant BOCES/Public School District/Public Charter School Name:**

\_\_\_\_\_

<b>CHIEF ADMINISTRATIVE OFFICER (Insert other title if applicable)</b>	
Signature (in blue ink)	Date
Type or print name	

<b>LOCAL ADMINISTRATORS UNION PRESIDENT (Insert union name if applicable)</b>		
Are the (Insert Applicant Name)'s administrators represented by a union? <i>(If yes, complete the signature and name below)</i>	<input type="checkbox"/>	<input type="checkbox"/>
	YES	NO
Signature (in blue ink)	Date	
Type or print name		

<b>LOCAL TEACHERS UNION PRESIDENT (Insert union name if applicable)</b>		
Are the (Insert Applicant Name)'s administrators represented by a union? <i>(If yes, complete the signature and name below)</i>	<input type="checkbox"/>	<input type="checkbox"/>
	YES	NO
Signature (in blue ink)	Date	
Type or print name		

**Consortium Member Public School District/Public Charter School Name (must be submitted for all consortium members; add rows as necessary):** \_\_\_\_\_

<b>CHIEF ADMINISTRATIVE OFFICER (Insert other title if applicable)</b>	
Signature (in blue ink)	Date
Type or print name	

<b>LOCAL ADMINISTRATORS UNION PRESIDENT (Insert union name if applicable)</b>		
Are the (Insert Applicant Name)'s administrators represented by a union? <i>(If yes, complete the signature and name below)</i>	<input type="checkbox"/>	<input type="checkbox"/>
	YES	NO

Signature (in blue ink)	Date
Type or print name	

<b>LOCAL TEACHERS UNION PRESIDENT (Insert union name if applicable)</b>		
Are the (Insert Applicant Name)'s administrators represented by a union? <i>(If yes, complete the signature and name below)</i>	<input type="checkbox"/>	<input type="checkbox"/>
	YES	NO
Signature (in blue ink)	Date	
Type or print name		

### **Attachment IV: MOU (Consortium Applicants only)**

**The lead applicant must complete an MOU that is signed by each consortium member.**

**TEMPLATE**

**(Insert Lead Applicant Name) and (Insert Consortium Member Name) District/Public Charter School**

#### **Strengthening Teacher and Leader Effectiveness 3: Teacher and Principal Leadership**

This cooperative agreement reflects the overall commitment as well as the specific responsibilities and the roles of the (Insert Lead Applicant Name) and (Insert Consortium Member Names) District/Charter School.

The overarching purpose of this consortium is to develop, implement and/or enhance a career ladder(s) for (Insert Names of All Districts/Charter Schools in Consortium Application). Per the NYSED Consortium Policy for State and Federal Discretionary Grant Program (see Appendix F), (Insert Lead Applicant Name) will not act solely as a flow-through for grant funds to pass to other recipients and will be responsible for the performance of any services provided by the consortium members, any partners, consultants, or other organizations, and coordinate participation. This consortium will only benefit the (Insert Lead Applicant Name)'s and/or (Insert All Consortium Member Names)'s student populations. The (Insert Lead Applicant Name) agrees to facilitate communication with and between (Insert All Consortium Member Names) in order to ensure that all consortium members fully know all aspects/activities that will be conducted through this grant program.

**Up front Planning Activities:** \_\_\_\_\_

\_\_\_\_\_

**SPECIFIC ROLES AND RESPONSIBILITIES**

The partnership of the (Insert Lead Applicant Name) and the (Insert Consortium Member Name) District/ Charter School entails the following:

<p><b>The (Insert Lead Applicant Name) BOCES/District/Charter School agrees to:</b></p>	<p><b>The (Insert Consortium Member Name) District/Charter School agrees to:</b></p>
<p>List all activities/services/etc. that the Lead Applicant will provide to the partnership.</p>	<p>List all activities/services/etc. that the District/Charter School will provide to the partnership.</p>

**Name of Lead Applicant BOCES/School District/Charter School**

\_\_\_\_\_

Signature \_\_\_\_\_

Printed Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date \_\_\_\_\_

**Name of Consortium Member School District/ Charter School**

\_\_\_\_\_

Signature \_\_\_\_\_

Printed Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date \_\_\_\_\_

**THE AGREEMENT FOR YOUR PROGRAM SHOULD REFLECT THE SPECIFICS OF YOUR PROGRAM AND YOUR CONSORTIUM MEMBERS. ALL ACTIVITIES/SERVICES, ETC. THAT ARE PERTINENT TO YOUR PROJECT SHOULD BE INCLUDED. PLEASE MODIFY AND ADD ADDITIONAL FIELDS FOR MULTIPLE CONSORTIUM MEMBERS, AS NEEDED.**

## Attachment V: Proposed Career Ladder for Teachers and Principals

This RFP requires applicants to develop long-term eligibility criteria for all titles/positions in the proposed career ladder. While eventually applicants will be required to utilize evaluation data from their district's APPR, this RFP allows applicants to develop initial, short-term eligibility criteria, to be used as a proxy until the specified numbers of years of APPR results are available. Eligibility criteria must be as follows:

### **Long-term Criteria for Eligibility:**

The long-term criteria for eligibility must be developed for all titles/positions in the proposed career ladder. The eligibility criteria must include, at a minimum, the NYSED-specified minimum eligibility criteria included in the chart below. Applicants may choose to include additional criteria beyond the NYSED-specified minimum, if applicable to their proposal.

### **Initial Criteria for Eligibility:**

This RFP allows applicants to develop initial, short-term criteria for eligibility for those career ladder positions requiring more than one year of APPR data as district-wide APPR evaluation results only include 2012-13 school year data. The initial, short-term criteria must include the NYSED minimum criteria for eligibility with the exception of APPR evaluation results. The initial, short-term criteria should include alternate evaluation results to serve as a proxy for APPR evaluation results, where applicable. These initial, short-term criteria for evaluation may only be implemented until the specified number of years of APPR results (Highly Effective/Effective/Developing/Ineffective) are available to use for the long-term criteria for eligibility (see NYSED minimum criteria in the chart below). To be clear: Applicants **must** use State evaluation results for teachers and principals in their career ladders once there are enough years of APPR results available. Thus, when applicants develop initial, short-term criteria for eligibility, a date range should be included that identifies the time period during which the initial criteria is valid. The purpose of the initial, short-term criteria is to allow the applicant to fully implement the proposed career ladder within the grant period as well as to continue the career ladder beyond the grant period, when the minimum criteria for APPR results can be met.

### **Please adhere to the following instructions:**

- Complete all columns
- The Long-Term Criteria for Eligibility must include *at least* the NYSED Minimum Criteria included in the shaded column, and indicate the date from which the criteria is valid

- The Initial Criteria for Eligibility must include *at least* the NYSED Minimum Criteria described in the shaded column **except** should include different criteria for the evaluation rating minimum. This alternative **must** still take into account some type of applicant-determined teacher/principal evaluation results and must indicate the dates for which the criteria are valid.
- This chart has been created as a form, thus applicants should check the appropriate boxes (where applicable) and add additional language as necessary.

Please note that the chart below indicates the requisite number of years an individual must be rated at a specified minimum ranking for particular categories. For example, a Novice Teacher must have “one year of being rated Highly Effective or Effective within the past two years.” As such, once two years of APPR data becomes available, this data must immediately be utilized by the district or public charter school and automatically replaces any initial, short-term criteria that was initially supplied by the applicant. For example, for all applicants with an approved APPR plan for the 2012-13 school year, they will have two years of APPR data for all educators after the 2013-14 school year and three years of APPR data after the 2014-15 school year. Any applicant who has an APPR plan in place beginning in the 2013-14 school year will have APPR data for the novice level at the end of this school year and subsequent rungs beginning in 2014-15 and continuing into 2015-16.

### Proposed Career Ladder for Teachers

Title/ Position	NYSED Minimum Criteria for Eligibility	Long-Term Criteria for Eligibility <i>(must include at least NYSED minimum criteria for eligibility)</i>	Initial Criteria for Eligibility <i>(must include at least minimum criteria for eligibility, but should indicate the necessary proxy for evaluation results)</i>	Selection Process	Roles and Responsibilities	Compensation
Novice Teacher	<input checked="" type="checkbox"/> Initial Certification/ Transitional Certification  <input checked="" type="checkbox"/> Bachelor’s degree  <input checked="" type="checkbox"/> At least two years of	Criteria below is valid as of . <input type="checkbox"/> Initial Certification/ Transitional Certification	Criteria below is valid from to . <input type="checkbox"/> Initial Certification/ Transitional Certification			

	<p>experience as a classroom teacher</p> <p><input checked="" type="checkbox"/> At least one year of formal mentoring from trained mentor</p> <p><input checked="" type="checkbox"/> At least one year of HE/E rating in the past two years</p>	<p><input type="checkbox"/> Bachelor's degree</p> <p><input type="checkbox"/> At least two years of experience as a classroom teacher</p> <p><input type="checkbox"/> At least one year of formal mentoring from trained mentor</p> <p><input type="checkbox"/> At least one year of HE/E rating in the past two years</p> <p><input type="checkbox"/> Additional criteria (optional, please specify):</p>	<p><input type="checkbox"/> Bachelor's degree</p> <p><input type="checkbox"/> At least two years of experience as a classroom teacher</p> <p><input type="checkbox"/> At least one year of formal mentoring from trained mentor</p> <p><input type="checkbox"/> Evaluation rating criteria (specify):</p> <p><input type="checkbox"/> Additional criteria (optional, please specify):</p>			
<p><b>Professional Teacher</b></p>	<p><input checked="" type="checkbox"/> Professional Certification</p> <p><input checked="" type="checkbox"/> Master's degree</p> <p><input checked="" type="checkbox"/> At least three years of experience as a classroom teacher</p> <p><input checked="" type="checkbox"/> At least one year of satisfactory experience as a Novice Teacher</p> <p><input checked="" type="checkbox"/> At least two years of HE/E rating in the past four years</p>	<p><b>Criteria below is valid as of .</b></p> <p><input type="checkbox"/> Professional Certification</p> <p><input type="checkbox"/> Master's degree</p> <p><input type="checkbox"/> At least three years of experience as a classroom teacher</p> <p><input type="checkbox"/> At least one year of satisfactory experience as a Novice Teacher</p> <p><input type="checkbox"/> At least two years of HE/E rating in the past four years</p> <p><input type="checkbox"/> Additional criteria (optional, please specify):</p>	<p><b>Criteria below is valid from to .</b></p> <p><input type="checkbox"/> Professional Certification</p> <p><input type="checkbox"/> Master's degree</p> <p><input type="checkbox"/> At least three years of experience as a classroom teacher</p> <p><input type="checkbox"/> At least one year of satisfactory experience as a Novice Teacher</p> <p><input type="checkbox"/> Evaluation rating criteria (specify):</p> <p><input type="checkbox"/> Additional criteria (optional, please specify):</p>			

<p><b>Teacher Leader</b></p>	<p><input checked="" type="checkbox"/> At least five years of experience as a classroom teacher</p> <p><input checked="" type="checkbox"/> At least one year of satisfactory experience as a Professional Teacher</p> <p><input checked="" type="checkbox"/> At least three years of HE/E rating in the past five years</p>	<p><b>Criteria below is valid as of</b> .</p> <p><input type="checkbox"/> At least five years of experience as a classroom teacher</p> <p><input type="checkbox"/> At least one year of satisfactory experience as a Professional Teacher</p> <p><input type="checkbox"/> At least three years of HE/E rating in the past five years</p> <p><input type="checkbox"/> Additional criteria (optional, please specify):</p>	<p><b>Criteria below is valid from</b> to .</p> <p><input type="checkbox"/> At least five years of experience as a classroom teacher</p> <p><input type="checkbox"/> At least one year of satisfactory experience as a Professional Teacher</p> <p><input type="checkbox"/> Evaluation rating criteria (specify):</p> <p><input type="checkbox"/> Additional criteria (optional, please specify):</p>			
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**Proposed Career Ladder for Principals**

<p><b>Title/ Position</b></p>	<p><b>NYSED Minimum Criteria for Eligibility</b></p>	<p><b>Long-Term Criteria for Eligibility</b> <i>(must include at least minimum criteria for eligibility)</i></p>	<p><b>Short-Term Criteria for Eligibility</b> <i>(must include at least NYSED minimum criteria for eligibility, but may make necessary adaptations for evaluation results)</i></p>	<p><b>Selection Process</b></p>	<p><b>Roles and Responsibilities</b></p>	<p><b>Compensation</b></p>
<p><b>Novice Principal</b></p>	<p><input checked="" type="checkbox"/> Initial Certification</p> <p><input checked="" type="checkbox"/> Master’s degree</p> <p><input checked="" type="checkbox"/> At least one year experience as a School Building Leader (SBL) (a year-</p>	<p><b>Criteria below is valid as of</b> .</p> <p><input type="checkbox"/> Initial Certification</p> <p><input type="checkbox"/> Master’s degree</p> <p><input type="checkbox"/> At least one year</p>	<p><b>Criteria below is valid from</b> to .</p> <p><input type="checkbox"/> Initial Certification</p> <p><input type="checkbox"/> Master’s degree</p> <p><input type="checkbox"/> At least one year</p>			

	<p>long internship counts)</p> <p><input checked="" type="checkbox"/> Completed mentoring experience during first year as SBL</p> <p><input checked="" type="checkbox"/> At least one year of HE/E rating in the most recent three years as a classroom teacher</p> <p><input checked="" type="checkbox"/> At least one year of HE/E rating as SBL in the past three years</p>	<p>experience as a School Building Leader (SBL) (a year-long internship may count)</p> <p><input type="checkbox"/> Completed mentoring experience during first year as SBL</p> <p><input type="checkbox"/> At least one year of HE/E rating in the most recent three years as a classroom teacher</p> <p><input type="checkbox"/> At least one year of HE/H rating as SBL (out of no more than the past three years of experience)</p> <p><input type="checkbox"/> Additional criteria (optional, please specify):</p>	<p>experience as a School Building Leader (SBL) (a year-long internship may count)</p> <p><input type="checkbox"/> Completed mentoring experience during first year as SBL</p> <p><input type="checkbox"/> Evaluation rating criteria (specify):</p> <p><input type="checkbox"/> Additional criteria (optional, please specify):</p>			
<p><b>Professional Principal</b></p>	<p><input checked="" type="checkbox"/> Professional Certification</p> <p><input checked="" type="checkbox"/> Master's degree</p> <p><input checked="" type="checkbox"/> At least three years of experience as a SBL (a year-long internship counts as one year)</p> <p><input checked="" type="checkbox"/> At least one year of satisfactory experience as a</p>	<p><b>Criteria below is valid as of .</b></p> <p><input type="checkbox"/> Professional Certification</p> <p><input type="checkbox"/> Master's degree</p> <p><input type="checkbox"/> At least three years of experience as a SBL (a year-long internship may count as one year)</p> <p><input type="checkbox"/> At least one year</p>	<p><b>Criteria below is valid from to .</b></p> <p><input type="checkbox"/> Professional Certification</p> <p><input type="checkbox"/> Master's degree</p> <p><input type="checkbox"/> At least three years of experience as a SBL (a year-long internship may count as one year)</p> <p><input type="checkbox"/> At least one year</p>			

	<p>Novice Principal</p> <p><input checked="" type="checkbox"/> At least two years of HE/E rating in the past three years</p>	<p>of satisfactory experience as a Novice Principal</p> <p><input type="checkbox"/> At least two years of HE/E rating in the past three years</p> <p><input type="checkbox"/> Additional criteria (optional, please specify):</p>	<p>of satisfactory experience as a Novice Principal</p> <p><input type="checkbox"/> Evaluation rating criteria (specify):</p> <p><input type="checkbox"/> Additional criteria (optional, please specify):</p>			
<p><b>Principal Leader</b></p>	<p><input checked="" type="checkbox"/> At least five years of experience as a SBL (a year-long internship counts as one year)</p> <p><input checked="" type="checkbox"/> At least one year of satisfactory experience as a Professional Principal</p> <p><input checked="" type="checkbox"/> At least three years of HE/E rating in the past five years</p>	<p><b>Criteria below is valid as of .</b></p> <p><input type="checkbox"/> At least five years of experience as a SBL (a year-long internship may count as one year)</p> <p><input type="checkbox"/> At least one year of satisfactory experience as a Professional Principal</p> <p><input type="checkbox"/> At least three years of HE/E rating in the past five years</p> <p><input type="checkbox"/> Additional criteria (optional, please specify):</p>	<p><b>Criteria below is valid from to .</b></p> <p><input type="checkbox"/> At least five years of experience as a SBL (a year-long internship may count as one year)</p> <p><input type="checkbox"/> At least one year of satisfactory experience as a Professional Principal</p> <p><input type="checkbox"/> Evaluation rating criteria (specify):</p> <p><input type="checkbox"/> Additional criteria (optional, please specify):</p>			

### Attachment VI: Budget Narrative

**TEMPLATE**

The budget narrative chart below should detail and justify the funding request under this RFP, including all proposed expenditures and indicate the basis of calculation for each cost during Program Periods 1 and 2. If applicable, include a detailed description of any other funding streams/contributions related to the proposed career ladder; however, do not include these corresponding costs in the Program Period 1, Program Period 2, or Grant Total columns at right. Please note: while already existing career ladder positions/activities may be included in the description, funding from this grant cannot supplant or duplicate positions/activities already funded through other sources. Consortium applications must demonstrate that the consortium lead is an active participant, with a minimum of 20% of the STLE 3 grant funding directly supporting lead applicant activities. The lead cannot act solely as a flow-through for grant funds. Additional sections/columns and/or separate charts may be added as needed to provide all necessary information. Please be sure to check that all amounts match the FS-10s and multi-period budget summary. Please add/delete rows as needed.

EXPLANATION AND JUSTIFICATION OF PROPOSED EXPENDITURE AND CALCULATION OF COST	PROGRAM PERIOD 1 TOTAL	PROGRAM PERIOD 2 TOTAL	GRANT TOTAL
Professional Salaries (Code 15)			
Support Staff (Code 16)			
Purchased Services (Code 40)			
Supplies & Materials (Code 45)			

Travel Expenses (Code 46)			
Employee Benefits (Code 80)			
Indirect Cost (Code 90)			
BOCES Services (Code 49)			
Minor Remodeling (Code 30)			
Equipment (Code 20)			

## Attachment VII: Multi-Period Budget Summary

For Grant Term: 3/3/14-6/30/15

SUBTOTAL	CODE	PROGRAM COSTS PERIOD 1 3/3/14-6/30/14	PROGRAM COSTS PERIOD 2 7/1/14-6/30/15	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			
<b>GRANT TOTAL</b>				

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

## **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 judgment 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.

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**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. the local educational agency will administer each program covered by the application in accordance with all applicable statutes, regulations, program plans, and applications;
2. 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. 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. 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. 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. 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. 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. 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. 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. 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

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.

#### **TITLE IV, PART B**

1. The program will take place in safe and easily accessible facilities;
2. The program was developed, and will be carried out, in active collaboration with the schools the students attend;
3. The program will primarily target students who attend schools eligible for school wide programs under section 1114 and the families of such students;
4. The funds awarded under this part will be used to increase the level of State, local and other non-Federal funds that would, in the absence of funds under this part, be made available for programs and activities authorized under this part, and in no case supplant Federal, State, local or non-Federal funds;
5. The community was given notice of the intent to submit an application; and,
6. The application and any waiver request will be available for public review after submission of the application.
7. All instruction and content will be secular, neutral and non-ideological.
8. The program or facility is duly registered with the New York State Office of Children and Family Services as a school-age child care program or facility pursuant to the Social Services Law and regulations of the Commissioner of the Office of Children and Family Services if the program or facility serves seven or more children from kindergarten through age 12 and does not meet all of the following criteria:
  - (a) the program is conducted during non-school hours;

- (b) the program is operated by a public school district or by a private school or academy which is providing elementary or secondary education or both in accordance with the compulsory education requirements of the Education law; and
- (c) the program is located on the premises or campus where the elementary or secondary education is provided.

**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).

## Required for Federal and State Discretionary Grant Programs

### 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). However, such pre-approval shall not be required for any contract established as a centralized contract through the Office of General Services or for a purchase order or other transaction issued under such centralized contract.

**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) Identification Number(s). Every invoice or New York State Claim for Payment submitted to a New York State agency by a payee, for payment for the sale of goods or services or for transactions (e.g., leases, easements, licenses, etc.) related to real or personal property must include the payee's identification number. The number is any or all of the following: (i) the payee's Federal employer identification number, (ii) the payee's Federal social security number, and/or (iii) the payee's Vendor Identification Number assigned by the Statewide Financial System. Failure to include such number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or Claim for Payment, 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 the Statewide Financial System by the Vendor Management Unit within the Bureau of State Expenditures, 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  
Albany, New York 12245  
Telephone: 518-292-5100  
Fax: 518-292-5884  
email: [opa@esd.ny.gov](mailto:opa@esd.ny.gov)

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  
633 Third Avenue  
New York, NY 10017  
212-803-2414  
email: [mwbecertification@esd.ny.gov](mailto:mwbecertification@esd.ny.gov)  
<http://esd.ny.gov/MWBE/directorySearch.html>

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.

(December 2012)

## 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. Any modification to this Agreement that will result in a transfer of funds among program activities or budget cost categories, but does not affect the amount, consideration, scope or other terms of this Agreement must be approved by the Commissioner of Education and the Office of the State Comptroller when:
  - a. The amount of the modification is equal to or greater than ten percent of the total value of the contract for contracts of less than five million dollars; or
  - b. The amount of the modification is equal to or greater than five percent of the total value of the contract for contracts of more than five million dollars.
- E. Funds provided by this contract may not be used to pay any expenses of the State Education Department or any of its employees.

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

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

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

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

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

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

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

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## **Appendix B: Career Ladders: Goals and Measurable Outcomes**

### **Common Career Ladder Goals**

In Sections A and B, applicants must indicate the overarching goal(s) as well as the specific and measurable objective(s) which will determine the program's success. Additionally, applicants must indicate the goal(s) and measurable objective(s) for each proposed career ladder position.

Below includes a list of some of the common career ladder goals. This list is intended to provide support and guidance for applicants; it is not comprehensive and its use is not required.

1. Retention of highly effective and/or effective educators in schools or districts (especially in high needs schools/districts)
2. Incentive to transfer to higher needs schools and/or subject areas
3. Extend the reach of a highly effective and/or effective educator to more students through new models of classroom organization (e.g., a teacher leader working with one or more developing and/or ineffective teachers and an expanded number of students; co-teaching)
4. Share instructional leadership tasks with highly effective and/or effective teachers through career ladder roles that include part time teaching and part time coaching/supporting other teachers in various capacities or leading grade/subject data analysis/instructional improvement teams
5. Ensure that highly effective and/or effective teachers are contributing to curriculum development, assessment design and educational policy on school, district or state teams

### **Template for Goals and Measurable Outcomes**

The following is a template to be used as guidance for including the overall program goals and measurable outcomes which will determine the program's success. This may be used in its entirety, modified as necessary, or disregarded for a more appropriate format as determined by the applicant. Please note: the activities included in this template do not need to be specific, but details of these activities should be included in Section A.

Overall Goals	Activities	Quantitative Measurable Outcomes
<i>EXAMPLE:</i>		
<p><i>Ensure that highly effective and/or effective teachers are contributing to curriculum development, assessment design and educational policy on school, district or state teams</i></p>	<ul style="list-style-type: none"> <li>• <i>Professional Development in Curriculum Development</i></li> <li>• <i>Professional Development in Assessment Design</i></li> <li>• <i>Professional Development in Policy Research</i></li> </ul>	<ul style="list-style-type: none"> <li>• <i>Curriculum and Assessment Teams created and 75% of team members will be rated HE/E</i></li> <li>• <i>Creation of Policy Advisory Committee comprised of HE/E teachers with representation from at least 5 different subject areas</i></li> </ul>

## Appendix C: Sustainability Support

This RFP aims to support districts to develop, implement and/or enhance a career ladder that is sustainable after the grant period. Following is a list of possible funding streams from outside of a district, public charter school or BOCES, as well as options for compensation, for applicants to research and consider. This list is non-exhaustive and provided merely as an example to assist applicants to design a sustainable career ladder. Incorporating these examples does NOT guarantee or increase the likelihood that an applicant will be funded; however, sustainability is a sub-criterion within the Section B rubric.

### Possible Funding Streams

- **Title I, Part A of the Elementary and Secondary Education Act**, as amended (ESEA) provides financial assistance to local educational agencies (LEAs) and schools with high numbers or high percentages of children from low-income families to ensure that all children meet challenging state academic standards. Federal funds are currently allocated through four statutory formulas that are based primarily on census poverty estimates and the cost of education in each state. For more information on Title I, Part A funding please visit <http://www2.ed.gov/programs/titleiparta/eligibility.html>.
- **Title II, Part A of the No Child Left Behind Act of 2001** provides funds to all NYS local education agencies (LEAs) for the purposes of meeting NCLB highly qualified teaching requirements, by: (i) providing high quality professional development to ensure that teachers become, and remain, highly effective in helping all students to learn and achieve high performance standards; (ii) meeting ‘highly qualified teacher’ requirements for core course teaching through effective teacher recruitment, retention and professional development practices; and (iii) ensuring strong instructional leadership through effective principal recruitment, retention and professional development practices.

### Possible Options for Compensating Career Ladder Positions

While direct financial compensation is typically part of career ladder positions, please remember that each applicant may design compensation structures as is reasonable and necessary. Some possible options to consider for compensation include:

- **Financial Stipends:** Stipends may be a flat amount or may be calculated as a percentage of FTE salary and are paid directly to the educator.
- **Professional Development Stipends:** Payment in the form of either attending professional development and/or funding to obtain new certification, including reimbursement for tuition, National Board application/portfolio submission, etc. Release from “standard” duties: As an applicant’s organization would allow, educators may be released from other “standard” duties (e.g., hall or cafeteria duty).

To extent practicable, this RFP encourages applicants to develop career ladder positions that include a higher salary and/or stipend for additional duties.

### Appendix D: Workplan/Timeline

Following is a template to be used as guidance for creating the workplan/timeline required for Section B, question B4. This may be used in its entirety, modified as necessary, or disregard for a more appropriate format as determined by the applicant.

Month/Year	Details
<i>This template has been divided on a monthly basis as an example.</i>	<i>This column should include activity title(s) and brief description (1-3 sentences), including relevant staff/outside resources, general resources, etc.</i>
<b>Program Period 1 (March 3, 2014- June 30, 2014)</b>	
March 2014	
April 2014	
May 2014	
June 2014	
<b>Program Period 2 (July 1, 2014-June 30, 2015)</b>	
July 2014	
August 2014	
September 2014	
October 2014	
November 2014	
December 2014	
January 2015	
February 2015	
March 2015	
April 2015	
May 2015	
June 2015	

## Appendix E: Scoring Rubrics

As stated in the Application Review and Scoring section, all proposals will be reviewed by two reviewers and the scores will be averaged. If there is a score discrepancy greater than 15 points, the proposal will be read by a third reviewer. The two closest scores will be used and averaged unless the third reviewer score is equidistant from the others in which case the third reviewer score will be solely used.

When final scores are compiled, any proposal that scores less than 65 points out of 100 will not be considered further.

Please be sure to carefully read the criteria/descriptors in the following scoring rubrics when writing the proposal.

Unless otherwise noted, the scoring criteria are used for both individual public school district/public charter school applications and consortium applications.

Quality Indicator	Description
<b>Very Good</b>	Comprehensive and thorough with exceptional detail. Submission is highly responsive and specific and of outstanding quality.
<b>Good</b>	Reasonably comprehensive and includes sufficient detail. It contains many of the characteristics of a response that is very good even though it may lack some specificity, support or elaboration in places.
<b>Fair</b>	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/required elements of the proposal. Additional information would be needed in order to be reasonably comprehensive and meet the criteria of a response that is good.
<b>Poor</b>	Does not meet many criteria; provides inaccurate information or provides information that would require 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.

<b>Section A: Career Ladder Overview</b>			
<b>30 points</b>			
<b>A1. RELEVANT BACKGROUND INFORMATION</b>			
Poor: 0-2 points	Fair: 3-4 points	Good: 5-6 points	Very Good: 7 points
<p>Points awarded based on the extent to which relevant information regarding the applicant's size, grade levels, student composition, staff and any other information necessary to understand the applicant as a whole is included. This should include any staffing challenges, as well as results of student testing and details about the community both in and out of the school(s). An explanation of how and why the applicant currently has distributed highly effective and effective teachers and leaders throughout the applicant's school(s) to ensure high needs students are served by the highest quality educators should be included. If the applicant has not currently focused on the equitable distribution of high quality teachers and leaders, an explanation should be included for what equitable distribution of teachers and leaders across the district and/or charter school will look like (and why) in the future. While this information may not specific to the current or proposed career ladder, it will provide the context for all career-ladder specific details.</p>			
<b>A2. CAREER LADDER DESCRIPTION</b>			
Poor: 0-6 points	Fair: 7-9 point	Good: 10-12 point	Very Good: 13-15 points
<p>Points awarded based on the detailed description of the current (as applicable) and proposed career ladder and all career ladder positions as well as any additional activities which are necessary for implementation. Specifically:</p> <p>a. Career Ladder and All Career Ladder Positions:</p> <p>The career ladder must have positions for teachers and principals (and may include additional staff), including title, criteria for eligibility, roles and responsibilities, and compensation. As shown in Attachment V, Proposed Career Ladder for Teacher and Principals (which must be completed for question A3), the career ladder must include at least an entry level (Novice) and two levels beyond (Professional and Leader) with differentiated duties and responsibilities clearly defined. Please note: compensation may be in the form of a direct financial payment to the educator as well as other forms of compensation.</p> <p>For each position, the applicant should provide:</p> <ol style="list-style-type: none"> <li>1. indicate if this is a currently existing position that will continue to be offered or a currently existing position that is being modified or a new position;</li> <li>2. provide a rationale for the position, including any data/research used to create the position, how it will strengthen teacher and/or leader effectiveness and address issues of equity;</li> <li>3. identify the goal(s) and the specific and measurable objective(s) for this position which will lead to</li> </ol>			

achievement of the goal(s), including, as appropriate, those that will lead to improved support for high need students (please see Appendix B, Career Ladders: Goals and Measurable Outcomes);

4. explain how this position fits into the TLE continuum for the applicant; and
5. include any additional relevant details regarding the current state of the career ladder for the applicant.

Please note: if the applicant does not have any career ladder currently in place, the narrative should include as much relevant information as possible regarding the current stage of implementation, including, but not limited to, discussions about career ladder positions, considerations within the district for career ladder design, taking into consideration the state of the TLE continuum at the district level.

b. Additional Activities for Career Ladder Implementation:

Any additional activities necessary to implement the career ladder should be detailed. These activities may include, but are not limited to, training, professional development, supplies and materials. All additional activities must be explained and justified in context of the applicant's relevant background information, current state of TLE continuum, and proposed career ladder.

In order for an applicant to develop and implement a career ladder, the following are design principles for consideration:

- a common language to discuss effective teaching and leadership practices;
- articulated clear expectations for effective teaching and leadership practices, based on the NYS Teaching Standards and ISLLC Standards;
- adequate training so the educators with career ladder positions are prepared for the roles which involve new duties and responsibilities;
- initial and on-going calibration regarding effective teaching and leadership practices for conducting observations and providing feedback; and
- a "high-performing district/school culture" which may be defined as: all faculty and staff have high expectations for all students; all students, faculty, and staff are learners; all students, with the assistance of faculty, set appropriately challenging intellectual goals for themselves; everyone in a school building treats everyone else with courtesy, respect, and dignity; and treating everyone with courtesy, respect, and dignity is evident in each person's behavior and has been incorporated into the building's code of conduct.

If no additional activities are deemed necessary and appropriate for the applicant, the proposal should briefly explain this in order to respond to this question.

c. Recruitment and/or transfer award(s):

An explanation should be included that provides an explanation of any recruitment and/or transfer award(s) the applicant intends to create in order to attract and retain effective and highly effective educators with a demonstrated track record of success (or if they are new educators, demonstrated potential based on specified selection criteria). Awards should provide financial incentives to attract high performing educators into hard-to-staff and specialty subject areas, as well as high-need or low-performing schools. This may include attracting educators into the district/public charter school and/or to incentivize educators to move to a different school within a district. Applicants should include the rationale for creating the award, as well as an explanation of the design of the award. This should include relevant applicant information, relevant job descriptions, and an explanation of the award structure (e.g., the compensation and when/how it will be provided)

If no recruitment and/or transfer award(s) is deemed necessary and appropriate for the applicant, the proposal should briefly explain this in order to respond to this question.

### **A3. CAREER LADDER SUMMARY (Attachment VI, Proposed Career Ladder for Teachers and Principals)**

Poor: 0-2 points

Fair: 3-4 points

Good: 5-6 points

Very Good: 7-8 points

Points awarded based on the Career Ladder Summary, as detailed in Attachment V, which provides a summary of the proposed career ladder to be implemented. This should be for the career ladders for both teachers and principals and should include all titles/positions on the career ladders (both those to be funded by this RFP and those funded through other sources, if applicable) and corresponding details for each position using a minimum of the following levels: novice, professional, and leader. If the career ladder includes other titles/positions beyond teachers and leaders, please include this as well (whether funded through this RFP or through other funding streams).

Please note: as explained in Attachment V, for purposes of this RFP, applicants will be allowed to use applicant-specified selection criteria pertaining to educator evaluation ratings until an adequate number of years of APPR results are available.

#### **Consortium Applications:**

A consortium applicant should submit all of the above specified information as it pertains to all consortium members. Please note:

- NYSED encourages consortium applicants to create one career ladder to be implemented by all districts/charter schools that are part of the consortium, including the activities needed for career ladder development. However, NYSED recognizes that some elements may need to be tailored to a specific school district/charter school within the consortium based on local needs. As applicable, the applicant must explain how the career ladder(s) will differ across consortium members and how any variation in the career ladders will impact implementation.
- All public school districts and public charter schools that are part of the consortium application must develop and implement a career ladder (if the lead applicant is a BOCES, no BOCES-specific career ladder has to be defined).
- The consortium lead must be an active participant in the consortium, carrying out a minimum of 20% of the grant activities, and cannot act solely as a flow-through for grant funds.

<b>Section B: Career Ladder Support Summary</b>			
<b>35 points</b>			
<b>B1. COMMUNICATION PLAN</b>			
Poor: 0-2	Fair: 3-4	Good: 5-6	Very Good: 7
Points awarded based on the submitted communication plan, which should clearly explain how and when the career ladder will be discussed with all relevant stakeholders. This should include, for the entire grant period, dates of communication and presenter(s), audience for communication (e.g., “community at large” stakeholders, such as teachers, parents), form of communication, and key content of communication.			
<b>B2. SUSTAINABILITY PLAN</b>			
Poor: 0-2	Fair: 3-4	Good: 5-6	Very Good: 7
Points awarded based on the submitted sustainability plan that includes each cost associated with the implementation of the career ladder to demonstrate how the district plans to fund the career ladder after the grant period.			
<b>B3. ISSUES OF EQUITY</b>			
Poor: 0-2	Fair: 3-4	Good: 5-6	Very Good: 7
Points awarded based on the explanation of how the proposed career ladder and/or any additional activities will improve the equitable distribution of educator talent for high need students. Applicants should describe how this project will provide funding for initiatives involving supplemental financial awards to attract and retain effective and highly effective educators working with high need students, those with academic, economic and/or special needs and/or in shortage subject areas, including STEM, ELL, bilingual and/or special education. Please note: if the applicant has shortage areas other than those defined above, the applicant must provide an explanation and rationale.			
<b>B4. WORKPLAN/TIMELINE</b>			
Poor: 0-2	Fair: 3-4	Good: 5-6	Very Good: 7
Points awarded on the extent to which the workplan/timeline is realistic and rational, and includes the steps needed for implementation and what staff or outside resources will be leading the work. This must be included in detail for the entire grant term. If appropriate, general next steps that extend beyond the life of the grant may be noted. Please note: the applicant may begin implementing career ladder positions in Program Period 1 of the grant, however applicants’ full career ladders should be implemented by September 2014 (positions may be implemented using the initial criteria specified in Attachment V).			

<b>B5. OVERALL GOALS AND MEASURABLE OUTCOMES</b>			
Poor: 0-2	Fair: 3-4	Good: 5-6	Very Good: 7
<p>Points awarded based on the overarching goals and corresponding measurable outcomes to be achieved in order to accomplish the goals. These overarching goals and measurable outcomes should be provided with a rationale which connects to the relevant background information provided and takes into account high need students. While applicants are encouraged to include goals and measurable outcomes that extend beyond the grant term to measure success and support sustainability, goals and measurable objectives must also be included that are to be accomplished by the end of the grant term.</p> <p><b>Consortium Applications:</b></p> <p>While the activities to develop the career ladder may be tailored to the needs of each consortium member, the overall goals and measurable outcomes must be unified across all school districts/charter schools included in the consortium.</p>			

<b>Section C: Evidence of Applicant Capacity</b>			
<b>15 points</b>			
<b>C1. SUCCESSFUL TRACK RECORD</b>			
Poor: 0-2	Fair: 3-4	Good: 5-6	Very Good: 7-8
<p>Points awarded based on the applicant’s evidence of a successful track record with two large-scale initiatives.</p> <p>If the applicant has received any federal funds (including, but not limited to: Innovation Fund [i3], Promise Neighborhoods, School Improvement Grant [SIG]), the applicant must describe at least <u>one</u> of those initiatives in this section. The applicant must explain how they ensured appropriate fiscal stewardship of the grant and provide evidence of measurable increases in student achievement as a result of the initiatives funded. If the applicant had any funding period during the grant term when funds were moved from one year to another, for any reason whatsoever, this must also be explained.</p> <p>If the applicant has <b>not</b> received any federal funds, then the applicant should describe any initiative where measurable improvements were achieved in at least one of the following: student learning, instructional practice, equitable distribution of teachers and/or leaders, or other improvement relevant to teacher and leader effectiveness (please specify). This evidence should be large-scale across the applicant’s organization.</p> <p><b>Consortium Applications:</b> Evidence of a successful track record must be included for the lead applicant and all consortium members. The lead applicant must demonstrate evidence, through at least two large-scale initiatives as specified above, but the initiative described should extend across one or more other organizations in order to demonstrate that the lead applicant has played a similar role to the one proposed in this application. Consortium members, who are not the lead applicant, must demonstrate evidence as specified above through at least one large-scale initiative per consortium member.</p> <p><b>Lead applicant evidence will receive 50% of the weighting and all evidence of consortium members’ successful track records will receive 50% of the weighting for C1.</b></p>			
<b>C2. MONITORING AND COORDINATION PLAN</b>			
Poor: 0-2	Fair: 3-4	Good: 5-6	Very Good: 7
<p>Points will be awarded for the description of how the program funded under this RFP will be monitored and coordinated, as well as how the applicant would assess and implement any mid-course corrections required to meet the deliverables and ensure results.</p>			

**Section D: Budget Forms****20 points****FS-10, BUDGET NARRATIVE, AND MULTI-YEAR BUDGET SUMMARY**

Poor: 0-6

Fair: 7-9

Good: 10-12

Very Good: 13-15

Points awarded based on the following:

- Applicant provides a clear, detailed description, indicating the basis of each calculation and illustrating how the proposed expenditures align with the proposal's initiatives and goals.
- Applicant provides a thorough and detailed justification for each identified cost associated with implementing the proposed initiatives and goals, **including** why the costs are reasonable and necessary to support the proposals' initiatives and goals.
- Applicant provides a thorough and detailed description of the costs associated with the implementation of the proposal's initiatives and goals.
- Applicant outlines **all** expenditures per program period **using a separate FS-10 for each period of the grant** (Program Period 1: 3/3/14-6/30/14 and Program Period 2: 7/1/2014- 6/30/2015).
- Applicant accurately calculates all expenditures and ensures that the amounts are consistent across the Budget Narrative, FS-10s and the Multi-Period Budget Summary.

**Consortium Applications:**

In addition to the above, consortium applications must demonstrate that the consortium lead is an active participant, with a minimum of 20% of the STLE 3 funds directly supporting activities of the lead applicant. The lead cannot act solely as a flow-through for grant funds.

**PROPOSED EXPENDITURES DO NOT SUPPLANT OR DUPLICATE CURRENT INITIATIVES**

Poor: 0-1

Fair: 2-3

Good: 4

Very Good: 5

Points awarded based on the following:

- Applicant clearly describes in sufficient detail how the proposed expenditures are designed to develop new initiatives and/or enhance current initiatives.
- Applicant clearly explains how the expenditures are supplemental and do not supplant or duplicate current initiatives, though they may enhance current initiatives. Applicant clearly demonstrates any alternate funding sources, if applicable.

## **Appendix F: NYSED Consortium Policy for State and Federal Discretionary Grant Programs**

Participants can form a consortium to apply for the grant. In order to do so, the consortium must meet the following requirements:

1. The consortium must designate one of the members 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, as defined by the program statute or regulation.
2. In the event a grant is awarded to a consortium, the grant or grant contract will be prepared in the name of the applicant agency/fiscal agent, not the 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 statute;
  - 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. Must be an active member of the partnership/consortium.
  - e. Cannot act solely as a flow-through for grant funds to pass to other recipients. The fiscal agent must provide a minimum of 20% of the direct services supported by this grant, as reflected in the budget.
  - f. 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.
  - g. Must be responsible for the performance of any services provided by the partners, consultants, or other organizations and must coordinate how each plan to participate.

## Appendix G: Prequalification Application for Grants Reform

The State of New York has implemented a new statewide prequalification process designed to facilitate prompt contracting for not-for-profit vendors. Interested vendors are asked to submit commonly requested documents, and answer frequently asked questions once. The application requests organizational information about the vendor's capacity, legal compliance, and integrity. To learn more about prequalification, go to the Grants Reform website (<http://www.grantsreform.ny.gov/Grantees>) where you can preview the questions and required documents.

Following is a summary of the steps that must be undertaken in order for you to prequalify.

- Go to the Grants Reform website (<http://www.grantsreform.ny.gov/Grantees>) and download a copy of the Registration Form. Please review the instructions for submission of this Form. The form must be signed and notarized by an authorized representative of your organization, and must be sent to the Division of Budget as soon as possible in order to gain access to the Grants Gateway to enable prequalification.
- Upon submission of your Registration Form, you will be provided with a User ID allowing you to gain access to the Gateway. From there, please logon to the Gateway System ([https://grantsgateway.ny.gov/IntelliGrants\\_NYSGG/login2.aspx](https://grantsgateway.ny.gov/IntelliGrants_NYSGG/login2.aspx)) and begin your Prequalification Application.
- Vendors who already submitted registration materials and received their user credentials can begin to upload documents into the Document Vault and complete their online Prequalification Questionnaire.
- As you fill out the Questionnaire, please refer to the Gateway Training Materials and resource links posted on the "grantees" section of the Grants Reform website to help you navigate the questionnaire. If you still have questions, simply contact your State agency program contact, or post your question to [GrantsReform@Budget.ny.gov](mailto:GrantsReform@Budget.ny.gov), and someone will get back to you quickly with a response.

**Vendors are strongly encouraged to begin the process as soon as possible in order to assure that prompt contract approval is not jeopardized.**

If you have any questions about prequalification, please go to the Grants Reform website or contact your State agency representative via email at [prequal@mail.nysed.gov](mailto:prequal@mail.nysed.gov).

## Appendix H: Additional Resources

The following are resources for all components of the Teacher and Leader Effectiveness continuum.

### Standards

1. *Educational Leadership Policy Standards*. Adopted by the National Policy Board for Educational Administration. Web. 2008.  
[http://www.ccsso.org/Documents/2008/Educational\\_Leadership\\_Policy\\_Standards\\_2008.pdf](http://www.ccsso.org/Documents/2008/Educational_Leadership_Policy_Standards_2008.pdf)
2. *The New York State Mentoring Standards*. Web. 2012.  
<http://www.highered.nysed.gov/tcert/pdf/mentoringstds10032011.pdf>
3. *The New York State Teaching Standards*. Web. 2011.  
<http://www.highered.nysed.gov/tcert/pdf/teachingstandards9122011.pdf>

### General

1. *ResourceCheck Tool: Assess your District's Resource Use*. Education Resource Strategies (ERS). July 2010. Tool. Web.  
<http://www.erstrategies.org/info/tools>

### 1. Preparation

1. Adelman, Chad, Kevin Carey, Erin Dillon, Ben Miller, and Elena Silv. *A Measured Approach to Improving Teacher Preparation*. 2011. Education Sector. Web.  
[www.educationsector.org/sites/default/files/publications/TeacherPrep\\_Brief\\_RELEASE.pdf](http://www.educationsector.org/sites/default/files/publications/TeacherPrep_Brief_RELEASE.pdf)
2. Barnett, Berry, Alesha Daughtrey, and Alan Weider. *A better system for schools: developing, supporting, and retaining effective teachers*. Publication. Web.  
[http://teachersnetwork.org/effectiveteachers/images/CTQ\\_FULLResearchReport\\_021810.pdf](http://teachersnetwork.org/effectiveteachers/images/CTQ_FULLResearchReport_021810.pdf)
3. Boyd, Donald, Pamela Grossman, Hamilton Lankford, Susanna Loeb, and James Wyckoff. *Teacher Preparation and Student Achievement*. Publication. Educational Evaluation and Policy Analysis, vol.31, no. 4, pages 416-440, December 2009.
4. Goldhaber, D.D. & Brewer, D.J. (2000). *Does teacher certification matter? High school certification status and student achievement*. Educational Evaluation and Policy Analysis, 22, 129-145.
5. National Council on Teacher Quality. *National Review of Teacher Preparation Programs*. Publication. Web. <http://www.nctq.org/p/edschools/reports.jsp>

6. Teach For America. Research. Web. <http://www.teachforamerica.org/our-organization/research>
7. Wilson, S., Floden, R., & J. Ferrini-Mundy. (2001). Teacher preparation research: Current knowledge, gaps, and recommendations. University of Washington: Center for the Study of Teaching and Policy. Web. <http://depts.washington.edu/ctpmail/PDFs/TeacherPrep-WFFM-02-2001.pdf>

## 2. Recruitment and Placement

1. Alliance for Excellent Education. *Improving the Distribution of Teachers in Low-Performing Schools*. Web. [http://www.all4ed.org/files/TeachDist\\_PolicyBrief.pdf](http://www.all4ed.org/files/TeachDist_PolicyBrief.pdf)
2. Byron, Auguste, Paul Kihn, and Matt Miller. *Closing the Talent Gap: Attracting and Retaining Top-Third Graduates to Careers in Teaching*. Washington, DC: McKinsey & Company, September 2010.
3. National Center for Education Evaluation and Regional Assistance. *Moving Teachers: Implementation of Transfer Incentives in Seven Districts*. 2012. Publication. Web. [http://www.mathematica-mpr.com/publications/pdfs/education/TTI\\_fnl rpt.pdf](http://www.mathematica-mpr.com/publications/pdfs/education/TTI_fnl rpt.pdf)
4. National Center on Teacher Quality. *Bumping HR: Giving Principals More Say Over Staffing*. 2010. Publication. Web. [http://www.nctq.org/dmsView/Bumping\\_HR\\_Giving\\_Principals\\_More\\_Say\\_Over\\_Staffing\\_NCTQ\\_Report](http://www.nctq.org/dmsView/Bumping_HR_Giving_Principals_More_Say_Over_Staffing_NCTQ_Report)
5. Traveras, Jonathan and Barbara Christiansen. *Breaking the Cycle of Failure in the Charlotte-Mecklenburg Schools*. Publication. Education Resource Strategies (ERS) and The Aspen Institute. April 2010. Web. [http://www.aspeninstitute.org/sites/default/files/content/docs/ED\\_Case\\_Study\\_Strategic\\_Staffing.pdf](http://www.aspeninstitute.org/sites/default/files/content/docs/ED_Case_Study_Strategic_Staffing.pdf)

## 3. Induction and Mentoring

1. Dunne, Kathy and Susan Villani. *Mentoring New Teachers Through Collaborative Coaching: Linking Teacher and Student Learning*. Stoneham, MA : WestEd, 2007.
2. 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.
3. Leap Year: Assessing and Supporting Effective First-Year Teachers. The New Teacher Project, 2013. Web. [http://tntp.org/assets/documents/TNTP\\_LeapYear\\_2013.pdf](http://tntp.org/assets/documents/TNTP_LeapYear_2013.pdf)
4. *Significant Research and Readings on Comprehensive Induction*. Publications. Web. [http://www.newteacher.com/pdf/Significant\\_Research\\_on\\_Induction.pdf](http://www.newteacher.com/pdf/Significant_Research_on_Induction.pdf)
5. Wood, Anne and Stanulis, Randi Nevins. Publication. *Quality Teacher Induction: "Fourth-Wave" (1997-2006) Induction Programs. 2009; The New Educator; Vol. 5, No. 1; pp. 1–23; ERIC*. Web. <http://www.eric.ed.gov/PDFS/EJ868911.pdf>
6. Wong, Harry K. "New Teacher Induction: The Foundation for Comprehensive, Coherent, and Sustained Professional Development," in *New Teacher Induction and Mentoring*:

The State of the Art and Beyond, ed. Hal Portner. Thousand Oaks, Calif: Corwin Press, 2005.

#### 4. Evaluation

##### *Evaluating Teachers:*

1. Glazerman, Steven, Susanna Loeb, Dan Goldhaber, Douglas Steiger, Stephen Raudenbush, and Grover Whitehurst. *Evaluating Teachers: The Important Role of Value Added*. Rep. The Brown Center on Education Policy at Brookings, 17 Nov. 2010. Web. <http://www.brookings.edu/brown.aspx>
2. Goe, Laura. "Multiple Measures of Teacher Effectiveness." Address. National Comprehensive Center for Teacher Quality, 03 Dec. 2010. Web. <www.tqsource.com>.
3. *Issue Analysis: Building a Thriving Teacher WorkForce. Teacher Evaluation 2.0*. Publication. The New Teacher Project, Oct. 2010. Web. <http://tntp.org/assets/documents/Teacher-Evaluation-Oct10F.pdf?files/Teacher-Evaluation-Oct10F.pdf>
4. *Teacher Evaluation Tools*. Resources. Web. <http://resource.tqsource.org/GEP/>
5. Weishug, Daniel, Susan Sexton, Jennifer Mulhern, and David Keeling. *The Widget Effect: Our National Failure to Acknowledge and Act on Differences in Teacher Effectiveness*. Publication. The New Teacher Project, 2009. Web. [http://tntp.org/assets/documents/TheWidgetEffect\\_2nd\\_ed.pdf?files/TheWidgetEffect\\_2nd\\_ed.pdf](http://tntp.org/assets/documents/TheWidgetEffect_2nd_ed.pdf?files/TheWidgetEffect_2nd_ed.pdf)

##### *Evaluating Principals:*

1. *Evaluating Principals: Balancing Accountability with Professional Growth*. Rep. New Leaders for New Schools. Web. <http://www.newleaders.org/newsreports/publications/>
2. Iowa School Leaders with Support from School Administrators of Iowa and The Wallace Foundation. *Principal Leadership Performance Review: A Systems Approach*. Publication. Print.
3. *Measuring Principal Performance: How Rigorous Are Commonly Used Principal Performance Assessment Instruments?* Issue brief. Learning Point Associates, Feb. 2010. Web. <http://www.learningpt.org/expertise/educatorquality/>
4. *Principal Leadership Actions: A Guide to Assessing Principal Actions That Drive Dramatic Gains in Student Achievement*. Publication. New Leaders for New Schools. Web. <http://www.newleaders.org/>

#### 5. Professional Development/Growth

1. Association for Supervision and Curriculum Development (ASCD). Resources. Web. <http://www.ascd.org/Default.aspx>
2. EngageNY. Resources. Web. <http://engageny.org/>
3. Guskey, Thomas. *Evaluating Professional Development*. Thousand Oaks, CA: Corwin Press, 2000.
4. National Staff Development Council. Resources. Web. <http://www.learningforward.org/index.cfm>

5. *Professional Development: Learning from the Best. A Toolkit for Schools and Districts Based on the National Awards Program for Model Professional Development.* North Central Regional Educational Laboratory: Learning Point Associates. U.S. Department of Education. Web. <http://goal.learningpt.org/catalog/default.asp>
6. Udelhofen, Susan and Larson, Kathy. *The Mentoring Year: A Step-by-Step Program for Professional Development.* Thousand Oaks, CA : Corwin Press, 2003.
7. Yoon, Kwang Suk, Teresa Duncan, Silbia Wen-Yu Lee, Beth Scarloss, and Kathy L. Shaple. *Reviewing the Evidence on How Teacher Professional Development Affects Student Achievement.* 2007. Publication. Web. [http://ies.ed.gov/ncee/edlabs/regions/southwest/pdf/REL\\_2007033.pdf](http://ies.ed.gov/ncee/edlabs/regions/southwest/pdf/REL_2007033.pdf)

## 6. Performance Management

1. Heneman, Herbert G., Anthony T. Milanowski. *Assessing Human Resource Alignment: The Foundation for Building Total Teacher Quality Improvement.* 2007. Publication. Web. [http://www.smhc-cpre.org/wp-content/uploads/2009/03/carnegie-monograph\\_final.pdf](http://www.smhc-cpre.org/wp-content/uploads/2009/03/carnegie-monograph_final.pdf)
2. Watson, Jeffrey G., Sara B. Kraemer, and Christopher A. Thorn. *Data Quality Essentials. Guide to Implementation: Resources for Applied Practice.* 2009. Publication. Web. <http://cecr.ed.gov/pdfs/guide/dataQuality.pdf>
3. Weiner, Ross and Ariel Jacobs. *Designing and Implementing Teacher Performance Management Systems: Pitfalls and Possibilities.* 2011. Publication. Web. <http://www.aspeninstitute.org/publications/designing-implementing-teacher-performance-management-systems-pitfalls-possibilities-0>

## 7. Career Ladder

1. Agua Fria Union High School District. *Career Ladder Handbook 2007-2008.* Web. <http://www.aguafria.org/education/dept/deptinfo.php?sectiondetailid=5707&>
2. Amphitheater Public Schools. 2013. *Amphitheater Career Ladder Program.* Web. <http://www.amphi.com/departments--programs/career-ladder.aspx>
3. Barge, J. 2012. Georgia Professional Standards Commission. Georgia Department of Education. *Georgia Career Ladder Framework.* Web. <http://www.doe.k12.ga.us/School-Improvement/Teacher-and-Leader-Effectiveness/Documents/GA%20Career%20Ladder.pdf>
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