

**Undergraduate Clinically Rich Teacher Preparation Pilot Program
Request for Proposals**

RFP #GT-05

ANNOUNCEMENT OF FUNDING OPPORTUNITY

Legislative Authority	Race to the Top (RTTT) through New York State Education Department (NYSED)		
Purpose	The purpose of this Request for Proposals (RFP) is to encourage and support innovative, clinically rich undergraduate upper division teacher preparation pilot program partnerships that will prepare candidates to become effective educators in high-need public schools with high concentrations of under-served and/or under-prepared students, such as those living in poverty, those with special needs, or those who are learning English as a second language.		
Eligible Applicants	<p>Institution of Higher Education (IHE) in partnership with at least one eligible Local Education Agency (LEA). Eligible applicants are only those IHEs within New York State with a currently registered, active and accredited program(s) in the Targeted Certification Title(s) for which the proposal is submitted.</p> <ul style="list-style-type: none"> ▪ SWD 7-12 Generalist, with or without SWD subject area extensions and with or without bilingual extensions; ▪ Math 7-12 or Science 7-12 Education (Physics, Chemistry, Biology, and Earth Science) with or without bilingual extensions; ▪ Teaching English to Speakers of Other Languages (TESOL). <p>(Note: Dual certificate programs are not eligible.) The eligibility requirements are solely for purposes of this RFP.</p>		
Funding	<p>Source: RTTT Estimated Funds Available: \$9.7 million</p> <p align="center"><u>Awards will be made subject to availability of funding by the U.S. Department of Education</u></p>		
Important Dates for Awarding Grants	Applications must be received by: June 29, 2012	Anticipated Preliminary Award Notification: August 15, 2012	Anticipated Project Period: 11/1/12-8/31/14
Additional Information	<p>Questions about this RFP should be sent to the e-mail address identified below. Questions about this RFP should be sent no later than May 17, 2012. A Webinar will be held on 5/14/12. Questions and Answers will be posted on 6/4/12 at http://usny.nysed.gov/rttt/rfp/. No individual responses will be provided.</p>		
SED Contacts	<p>Program Matters: Elena F. Bruno UGTEACHERRFP@mail.nysed.gov</p>	<p>Fiscal Matters: Lynn Caruso UGTEACHERRFP@mail.nysed.gov</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 must complete and submit a [Payee Information Form](#) with their application.

Timetable of Important Dates

Activity	Date
Issue of RFP	4/30/2012
Applicant Webinar	5/14/2012
Final Receipt of Questions	5/17/2012
Official Responses to Questions	6/4/2012
Proposal Due Date	6/29/2012
Anticipated Preliminary Award Notification	8/15/2012
Anticipated Program Start	11/1/2012

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Submission Checklist

This grant application must contain the following documents:

Required Documents	Checked – Applicant	Checked – SED
Proposal Cover Page – Attachment A	<input type="checkbox"/>	<input type="checkbox"/>
Table of Contents	<input type="checkbox"/>	<input type="checkbox"/>
Program Narrative –maximum 25 pages	<input type="checkbox"/>	<input type="checkbox"/>
Budget Narrative	<input type="checkbox"/>	<input type="checkbox"/>
FS-10 – http://www.oms.nysed.gov/cafef/forms/	<input type="checkbox"/>	<input type="checkbox"/>
Signed MOU with partner – Attachment B	<input type="checkbox"/>	<input type="checkbox"/>
Mandatory Requirements Certification – Attachment C	<input type="checkbox"/>	<input type="checkbox"/>
Residency School Data – Attachment D	<input type="checkbox"/>	<input type="checkbox"/>
Statement of Assurances – Attachment E	<input type="checkbox"/>	<input type="checkbox"/>
Yearly Budget Summary – Attachment F	<input type="checkbox"/>	<input type="checkbox"/>
Application for Program Registration	<input type="checkbox"/>	<input type="checkbox"/>

SED Comments:

Has the applicant complied with the application instructions?

Reviewer: _____ **Date:** _____

PURPOSE

The New York State Education Department (NYSED) is seeking proposals for innovative, clinically rich undergraduate upper division¹ teacher preparation pilot program partnerships that will prepare cohorts of candidates to become effective educators in high-need public schools (including charter schools) with high concentrations of under-served and/or under-prepared students, such as those living in poverty, those with special needs, or those who are learning English as a second language. NYSED's goal is for successful candidates to be placed as permanent full-time teachers in high-need schools upon completion of the Undergraduate Clinically Rich Teacher Preparation Pilot Program (UGCRTPPP).

ELIGIBILITY REQUIREMENTS

Each proposal must be submitted by an eligible Institution of Higher Education (IHE) in partnership with at least one eligible Local Education Agency (LEA), as defined below. Each proposal must designate by name one or more eligible Residency Schools, as defined below. This section also defines "eligible candidate" and "eligible certificate title." The eligibility requirements below are solely for purposes of this RFP.

Eligible applicants are only those IHEs within New York State with a currently registered, active and accredited program(s) in the Targeted Certification Title(s) for which the proposal is submitted.

An **eligible partnership** is a formal partnership between an IHE and an eligible local education agency (LEA), and defined through a signed Memorandum of Understanding (MOU) (see MANDATORY REQUIREMENTS). An IHE must have a separate MOU with each partner. An eligible partnership may in addition to the LEA partner include other not-for-profit organizations or Boards of Cooperative Educational Services with historical evidence of success in education that provide services supporting undergraduate candidate and/or mentor-teacher development. .

An **eligible LEA** is defined as one of the following:

- a public school district within New York State that has one or more high-need schools; or
- a charter school within New York State that meets the definition of "high-need school"

Note that, because teacher performance and accountability is a critical component of the pilot programs, each Partner LEA, in order to be eligible, must submit an Annual

¹ **Upper division program:** Solely for the purposes of this RFP, an upper division program is a program that typically consists of the final two years of a baccalaureate program. A student cannot enter such a program as a freshman. The admission level presumes prior completion of the equivalent of two years of college study and substantial prerequisites.

Professional Performance Review Plan under Education Law §3012-c to NYSED no later than July 1, 2012 for review, AND each Partner LEA must have an approved APPR plan for the 2012-2013 school year by August 14, 2012. See MANDATORY REQUIREMENTS.

Residency Schools are the designated high-need P-12 school(s) within one or more partner LEAs where candidates will be placed for their clinical residencies. Residency schools may include charter schools. To be eligible, a Residency School must meet the following criteria:

- It must have at least 50 percent of its students in poverty, as determined using the criteria specified under section 1113(a)(5) of the Elementary and Secondary Education Act; AND
- It must be low-performing, as indicated by its designation as either a School Under Registration Review (http://www.p12.nysed.gov/accountability/APA/SURR/SURR_home.html), a Persistently Lowest Achieving (PLA) school (<http://www.p12.nysed.gov/irs/accountability/LowAchieve/2009/PLASchools-d3tod6.pdf>), or a School in Need of Improvement (<http://www.p12.nysed.gov/irs/accountability/designations/home.html>)

Note: NYSED prefers that each Residency School should have improving performance and/or positive academic growth of one or more groups of students relevant to the Targeted Certificate area(s) of the candidate(s) placed there—i.e., students with disabilities (SWD), English language learners (ELL), and/or students in science or mathematics (STEM) courses, as applicable.

To be an **eligible candidate** for this upper division program, a candidate must have completed the equivalent of two years of college study and substantial prerequisites for a baccalaureate degree.

Only the following **Targeted Certificate Titles** are eligible for funding:

- SWD 7-12 Generalist, with or without SWD subject area extensions and with or without bilingual extensions;
- Math 7-12 or Science 7-12 Education (Physics, Chemistry, Biology, and Earth Science) with or without bilingual extensions;
- Teaching English to Speakers of Other Languages (TESOL).

(Note: Dual certificate programs are not eligible.)

REGIONAL FUNDING

The applicant region (NYC and Rest of State) will be based upon the location of the IHE.

- Applicants may apply for a maximum of three programs.

- Applicants are required to submit separate proposals for each program certification area along with a separate program registration application for each program.
- Funding per applicant (IHE) will not exceed a cumulative total of **\$1,595,350** NYC region and **\$1,660,465** ROS region over the life of the grant.

The available funds allocated to each region are based on the number of schools in that region identified as “schools in need of improvement” (SINI) by NYSED as a proportion of all SINI schools across the state. A list of 2011-2012 SINI schools can be found at <http://www.p12.nysed.gov/irs/accountability/designations/home.html> The distribution of funding is determined by the percentage of schools on the list from each region. Of the SINI schools listed, 49 percent are within the New York City region and 51 percent of are within the Rest of State region.

Table 1: Regional Funding Available

Region	Secondary ELL	Secondary SWD	Adolescent 7-12 Math / Science	Regional Total
NYC	Funding available of up to \$531,783 per program	Funding available of up to \$531,783 per program	Funding available of up to \$531,783 per program	\$4,786,049
	TOTAL: \$1,595,350	TOTAL: \$1,595,350	TOTAL: \$1,595,350	
ROS	Funding available of up to \$553,488 per program	Funding available of up to \$553,488 per program	Funding available of up to \$553,488 per program	\$4,981,397
	TOTAL: \$1,660,465	TOTAL: \$1,660,465	TOTAL: \$1,660,465	
TOTAL FUNDING				\$9,767,446

- If a program leads to an SWD 7-12 Generalist Certificate, with or without bilingual extensions, funding will come from the Secondary SWD monies.
- If a program leads to a Math/Science 7-12 Certificate with bilingual extensions or TESOL, funding will come from the Secondary ELL monies.
- If a program leads to a Math/Science 7-12 Certificate without bilingual extensions, funding will come from the Adolescent 7-12 Math/Science monies.

Estimated Funding Available	\$9,767,446
Estimated Number of Awards	Approximately 18

IMPORTANT DATES

Activity	Date
Issue of RFP	4/30/12
Applicant Webinar	5/14/12
Final Receipt of Questions	5/17/12
Official Responses to Questions	6/4/12
Proposal Due Date	6/29/12
Anticipated Preliminary Notification of Awards	8/15/12
Projected Start Date	11/1/2012

The grant(s) resulting from this RFP will be for a term beginning November 1, 2012, and ending on or before August 31, 2014, after the 2013-14 school year is completed.

OVERVIEW OF PROGRAM REQUIREMENTS

NYSED is pioneering changes at the graduate level of teacher preparation in the Targeted Certificate areas of science and math (STEM), English language learners (ELL), and students with disabilities (SWD), and is prepared to support similar changes at the undergraduate level.

NYSED is offering this RFP to fund Undergraduate Clinically Rich Teacher Preparation Pilot Programs. The pilot programs' time frame is **November 1, 2012-August 31, 2014**. All pilot programs must be completed by August 2014 and must lead to a baccalaureate degree. Due to the innovative design of the pilot programs, the applicant must be mindful of the educational requirements for awards and loans (8 NYCRR §145-2.1[a][1]) if applicant intends for the pilot program to be eligible for such assistance.

NYSED seeks to identify IHEs that will each partner with one or more LEA(s) serving students in high-need schools to address the Targeted Certificate Titles through undergraduate upper division clinically rich teacher preparation programs. The collaboration between IHE and LEA(s) will advance the shared responsibility for teacher preparation and offer the critical support teacher candidates need in a clinically rich program.

The statewide purposes of the Undergraduate Clinically Rich Teacher Preparation Pilot Program are to effectively prepare teachers in the designated subject areas to serve in schools serving high-need students and to increase the retention of these teachers in order to positively impact student growth and achievement. This initiative will do so by:

- Creating undergraduate upper division clinically rich teacher preparation pilot programs for candidates who will teach in **high-need schools** in the following Targeted Certificate Titles:
 - SWD 7-12 Generalist, with or without SWD subject area extensions and with or without bilingual extensions;
 - Math 7-12 or Science 7-12 Education (Physics, Chemistry, Biology, and Earth Science) with or without bilingual extensions;
 - Teaching English to Speakers of Other Languages (TESOL); and
- Developing practices that can be adapted more broadly across the participating IHE and by other institutions for their teacher preparation programs.

The clinically rich preparation in these pilot programs is an effort to emphasize school-based experiences rather than what is traditionally a more college-classroom-based academic preparation with relatively minor hands-on experiences in the P-12 classrooms. NYSED encourages applicants to plan for sustainability of clinically based programs after the completion of this grant.

Research identifies the following components of a clinically rich teacher preparation program. SED has modeled its RFP on these components:

1. Rigorous recruitment of candidates and intensive candidate selection criteria
2. Collaboration for rigorous selection and training of the mentor-teacher
3. Integration of pedagogy with on the job training
4. Guided classroom practice through a residency of one school year with an effective educator
5. Mentoring by a trained mentor-teacher
6. Candidates are enrolled in rigorous undergraduate level course work leading to a baccalaureate degree that include learning theory, research and content
7. Candidates are placed in cohorts
8. Institutional accountability
9. Support of partnerships through on-going professional development for mentor-teachers
10. Integration of technology
11. Continued support for the first years upon successful completion of the program²

The coursework of the undergraduate program is woven around and into the clinical experience. The clinical teaching experience of small cohorts will allow for multiple opportunities to study problem-based learning in the P-12 classrooms with an effective trained educator offering extensive guidance. By preparing teachers to meet the needs of the school districts, it emphasizes the joint responsibility of LEAs and higher education for preparation and induction of future teachers. Candidates are presented with authentic activities directly related to real world teaching.

NYSED expects programs approved for this grant to have candidates in the senior year of the undergraduate upper division program placed in a school-year-long clinical teaching residency under the guidance of a mentor-teacher. The residency placement is supervised by the trained mentor-teacher and the IHE faculty supervisor. In the residency, candidates develop their pedagogical skills through the collaboration between the trained mentor- teacher, the college faculty's supervision, and the Residency School's administration.

Admission into this upper division program should be competitive, and IHEs should select only those undergraduates with the highest potential to be effective teachers in the Targeted Certificate Titles and who will remain in the field. Additionally, NYSED is interested in programs and selection criteria that:

- attract new candidates into teaching (for example, by attracting arts and sciences undergraduates to earn a teacher credential);
- encourage a teacher candidate to add or switch to one of the shortage Targeted Certificate Titles; or

² National Council for Accreditation of Teacher Education (2010), *Transforming Teacher Education Through Clinical Practice: A National Strategy To Prepare effective Teachers*. Washington DC: www.ncate.org/publications

- encourage existing paraprofessionals who hold an associates degree, and meet the transfer requirements of the IHE, to enroll in the pilot program.

Candidates must commit to complete the program and to teach for four years in a high-need school in the Targeted Certificate Title. Candidates are required to complete the new Teacher Performance Assessment in addition to other required certification exams, even if, for any reason, the Board of Regents has not adopted regulations requiring the new Teacher Performance Assessment of all candidates for teacher certification at the point when the candidates funded by this grant complete their programs.

Applicants must meet a 90% candidate program completion rate resulting in the Targeted Certificate areas of the UGCRTPPP as proposed in their application by the end of the pilot program, or a financial penalty will be imposed (see Section C. Program Completer Targets described within the Reporting and Evaluation Requirements).

NYSED is seeking programs that collaborate with LEA partners to select schools for clinical residencies where the principal is committed to involving the school community in the preparation of new teachers. For the SWD and STEM Targeted Certificate areas, these must be secondary schools. For TESOL programs, schools can be at any K-12 level. Within the Residency Schools, mentor teachers should be chosen based on rigorous selection criteria which include teachers who have demonstrated student gains, expertise in content areas, and expertise in teaching. Mentor-teachers must receive formal mentor training, including training in the New York State Mentoring Standards approved by the Board of Regents, in order to support the candidate in the Residency School classroom. Collaboration between the IHE and the LEA will be required for the training process of the mentor teacher.

Finally, programs approved under this grant must address how the undergraduate classroom curriculum needs to evolve to support and take advantage of the enriched clinical experience. This is likely to require collaboration between college faculty in Education and Liberal Arts and Sciences.

DEFINITIONS

The following definitions are solely for purposes of this RFP.

High-need school: A P-12 public school (including charter schools) within New York State that meets both of the following criteria:

- At least 50 percent of its students are in poverty, as determined using the criteria specified under section 1113(a)(5) of the Elementary and Secondary Education Act; AND
- It is low-performing, as indicated by its designation as either a School Under Registration Review (http://www.p12.nysed.gov/accountability/APA/SURR/SURR_home.html), a Persistently Lowest Achieving (PLA) school

(<http://www.p12.nysed.gov/irs/accountability/LowAchieve/2009/PLASchools-d3tod6.pdf>), or a School in Need of Improvement (<http://www.p12.nysed.gov/irs/accountability/designations/home.html>)

Institution of Higher Education (IHE): A collegiate institution within New York State with a currently registered, active and accredited program(s) in the targeted certification title(s) for which the proposal is submitted. See ELIGIBILITY REQUIREMENTS.

Initial certificate: The first teaching certificate obtained by a candidate that qualifies that individual to teach in the public schools of New York State, excluding the transitional certificate and temporary license, and subject to the limitations and requirements set forth in the teacher certification requirements of Commissioner's Regulations.

Local Education Agency (LEA) is defined as one of the following:

- a public school district within New York State that has one or more high-need schools; or
- a charter school within New York State that meets the definition of "high-need school";

Memorandum of Understanding (MOU): A written agreement between the IHE and each Partner LEA that delineates all roles and responsibilities to which the parties will commit in the contract resulting from this RFP (see MANDATORY REQUIREMENTS). A Template is included as Attachment B.

Mentor teacher: An experienced and effective/highly effective certified teacher who is employed in the Residency School that is hosting the candidate for the clinical experience, who is trained as a mentor and who is assigned to provide mentoring and support to a candidate in this pilot program. The mentor-teacher is the teacher of record for the class in which the candidate is a resident. For this RFP, adolescence level special education teachers who are providing a range of services to students with disabilities (i.e., resource room, consultant teacher, special class teacher) may serve as the mentor-teacher.

Partner LEA or Partnership: is a formal partnership between an IHE and one or more eligible local education agencies (LEAs), and defined through a signed Memorandum of Understanding (see MANDATORY REQUIREMENTS). An eligible partnership may additionally include other not-for-profit organizations with a historical evidence of success in education that provide services supporting undergraduate candidate and/or mentor-teacher development.

Program or Pilot Program: An undergraduate upper division clinically rich teacher preparation pilot program.

Program completer: Undergraduate candidate who successfully completes all program requirements as part of the program developed and supported through this RFP.

Residency School: are the designated high-need P-12 school(s) within one or more partner LEAs where candidates will be placed for their clinical residencies. Residency schools may include charter schools.

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

Upper division program: A program that typically consists of the final two years of a baccalaureate teacher preparation program. A student cannot enter such a program as a freshman. The admission level presumes prior completion of the equivalent of two years of college study and substantial prerequisites.

Teacher of Record: The teacher with primary responsibility for instruction and grading in the classroom.

Teacher Performance Assessment: NYSED and the Board of Regents have announced the development of new teacher certification exams for initial certification, one of which is the Teacher Performance Assessment (TPA). Authored and developed by a team of Stanford University researchers, with substantive advice from teacher educators, the TPA is designed to be used as a portfolio-based assessment for pre-service teacher candidates. Supported by an initiative involving more than 20 states and more than 175 teacher preparation programs, as well as the American Association of Colleges for Teacher Education (AACTE), the TPA will be available in New York beginning in 2012-13 academic year. See <http://www.nystce.nesinc.com/index.asp> for more information.

MANDATORY REQUIREMENTS

A. Memorandum of Understanding

Each MOU between the IHE and an eligible partner (Template, Attachment B) must:

- a) Name the eligible applicant and LEA, and name the Residency School(s) where the candidates will be placed for their clinical residency during the program.
- b) Outline the roles and responsibilities of each of the partners in the design, implementation, and evaluation of the pilot program, as well as outline the specific services, materials, and/or fiscal resources to be provided.
- c) Include a commitment for all candidates to complete the new Teacher Performance Assessment in the context of the clinical residency.

- d) Demonstrate a willingness and ability to place undergraduate candidates during the clinically rich residency.
- e) Specify that the LEA either (a) has an approved new Annual Professional Performance Review (APPR) plan that covers all Residency Schools for 2012-13, in compliance with Education Law §3012-c, including the name of the teacher and principal practice rubrics chosen by the LEA(s), if available; or (b) intends to submit its APPR plan for approval no later than July 1, 2012.

B. Annual Professional Performance Review Plan

Because teacher performance and accountability is a critical component of the pilot programs, each Partner LEA, in order to be eligible, must submit an Annual Professional Performance Review Plan under Education Law §3012-c to NYSED no later than July 1, 2012 for review, AND each Partner LEA must have an approved APPR for the 2012-2013 school year by August 14, 2012.

If its submitted plan is not approved based on NYSED's initial review, the LEA will have the opportunity to correct deficiencies and resubmit the plan, but NYSED cannot guarantee that plans resubmitted after July 1 will be re-reviewed by August 14. Therefore, it is strongly suggested that LEAs submit their APPR plans for approval as soon as possible, to maximize their opportunity to correct any deficiencies identified in NYSED's initial review. In any case, if the partner LEA's APPR is not approved by August 14, 2012 the LEA is not an eligible partner and will be disqualified from participating in this grant.

If a charter school is selected as a Partner LEA, but is not subject to the requirements of Education Law §3012-c, the charter school must demonstrate that it has a robust teacher evaluation system in place.

C. Application for Program Registration

With the UGCRTPPP proposal, IHEs are required to submit an Application for Program Registration for the specific Undergraduate Clinically Rich Teacher Preparation Pilot Program being proposed, according to 52.21(b) of the Commissioner's Regulations.

Applications for Program Registration may be found online at:

http://usny.nysed.gov/rttp/rfp/undergrad_teacher_prep/nysed-rfp-gt-05-application.doc

Institutions that qualify for an award will be notified via e-mail by the Office of College and University Evaluation (OCUE) of any program deficiencies in their Program Registration Applications. Institutions will have 7 days upon receipt of deficiencies to work with OCUE to rectify the deficiencies.

An Application for Program Registration that does not meet the Commissioner's Regulations will result in rejection of the program application and this grant proposal as non-responsive. It is required that the pilot program meet the general registration standards established by the Board of Regents (in Sections 52.21(b)(1),(b)(2),(b)(2)(i),(b)(2)(ii),(b)(2)(iv),(b)(3), and 52.21(a) of the Commissioner's regulations) for undergraduate curricula in terms of instructional time, faculty qualifications (including the requirement that at least one faculty member teaching in each curriculum culminating in a bachelor's degree shall hold an earned doctorate in an appropriate field), pedagogical study, and the rigor of curriculum. The manner in which the curriculum will be delivered will be determined by the partnership.

Institutions that receive a final award are required to register their programs with OCUE **within 30 days of award notification.** Institutions will receive program registration notification from OCUE upon completion of the registration process.

REPORTING & EVALUATION REQUIREMENTS

A. Interim Report

Institutions must submit an interim report at the end of the first year, no later than August 31, 2013. The interim report will be used to determine progress toward milestones proposed by the partnership. It must include the following information:

1. Summary of programmatic learning to date as it relates to training teachers in the Targeted certificate titles for high-need schools;
2. Number of teacher candidates and mentor-teachers who began and are retained in the program;
3. Description of actual clinical experience as implemented and any program or curriculum changes made as described in original application
4. Evidence of teacher candidate learning using formative or summative assessments of skills and knowledge as described in original application;
5. Program improvement data for program reflection of year one that will be used to frame year two;
6. Program evaluation data as determined by NYSED and applicant ;
7. Actual expenditures and anticipated final year expenditures;
8. Personnel changes; and/or
9. Faculty qualifications and loads.

B. Final Report

Institutions must submit a final report covering the entire project at the end of the program, no later than August 31, 2014. The final year report will be summary in nature. It will be used to determine if the applicant met the program completion target of 90% for the UGCRTPPP by the end of the pilot program (see below). Failing to submit the final report due August 31, 2014 will result in withholding of the final payment for this

grant. Format and required information for the final year report will be similar to that of the interim report. NYSED reserves the right to require additional information.

C. Program Completer Target

Applicants must meet a 90% candidate program completion rate resulting in the Targeted Certificate areas of the UGCRTPPP as proposed in their application by the end of the pilot program or a financial penalty will be imposed.

If the grantee does not meet the 90% program completer target, the grantee's budget will be proportionally reduced by the difference between 90% and the actual completion rate, up to the total amount of the final payment.

For example: If the proposed program planned to enroll 20 candidates and at the end of the pilot program 18 candidates completed the program, that would satisfy the 90% program completer target requirement because 18 is 90% of 20. If, however, only 17 (85%) of the candidates completed the program, the final payment would be reduced by 5% (90% - 85%).

D. Program Evaluation

Institutions shall agree to participate fully in any research-based evaluation conducted by NYSED or an external party authorized by NYSED..

PROGRAM NARRATIVE (Total points: 80)

A. Program Summary (10 points)

Briefly summarize your proposed program and its theory of change, including how the IHE and LEA will collaborate on this new undergraduate upper division clinically rich teacher preparation initiative to improve supply of effective secondary teachers of ELLs, SWDs, and/or Adolescent 7-12 Math/Science teachers committed to work in high-need secondary schools. Include discussion of each of the points below that apply to your program:

- How will the program attract new candidates into teaching or attract teaching candidates into high-need schools and the Targeted Certificate areas where they wouldn't otherwise teach? Examples: shift candidates from low-need certificate areas; give incentives to candidates to add secondary ELL or SWD certifications; draw new candidates into Adolescent 7-12 Math/Science from arts and sciences majors; or attract candidates to teach in high-need schools through clinical experience in similar schools.
- How will the program improve effectiveness of teacher candidates in the Targeted Certificate areas sought in this RFP: longer clinical experience; enhanced formative and summative assessments around teacher practice rubrics used in participating districts; enhanced program focus on data driven instruction and/or common core learning standards.
- How will the program improve placement and retention of teacher candidates in the Targeted Certificate shortage areas into high-need schools? Examples:

districts agree to open new secondary ELL or SWD programs as candidates complete program; districts agree to place graduates in high-need schools; districts/leas design mentoring and support after job placement for candidates

B. Program Elements (Total 40 points)

B1. Selection of teacher candidates: (10 points)

- Describe how the admission requirements, standards and process will lead to recruitment and rigorous selection of a high-caliber, diverse group of candidates.
- Describe how program will ensure that candidates are committed to completing the program and teaching for four years in high-need schools in the Targeted Certificate Title.

B2. Selection of Residency Schools and mentor-teachers, and training of mentor-teachers (10 points)

- For each designated Residency School, submit evidence of improving performance and/or positive academic growth of one or more groups of students relevant to the Targeted Certificate areas of candidate(s) placed there—i.e., students with disabilities, English language learners, and/or students in STEM courses, as applicable. Examples of acceptable evidence include, but are not limited to, significant improvements in the following areas:
 - Regents exams and/or state assessments
 - Graduation Rates
 - Student and/or teacher perceptions of learning environment and culture
- For each designated Residency School, describe the principal’s demonstrated committed to supporting the preparation of new teachers.
- Describe the recruitment and selection of mentor-teachers including assessing their teaching practice using the NYS Mentoring Standards, and ensuring that mentor-teachers have demonstrated positive impact on student achievement results in their own classrooms.
- Describe the initial training program of the mentor-teacher and tools used to ensure mentor-teachers improve their abilities to coach and develop other teachers. Include the roles of LEA and IHE and any other partners if applicable in this training program.
- Describe the on-going professional development that will be offered through the partnerships to mentor-teachers.
- In describing selection, training, and professional development of mentor-teachers, address the each of the following:
 - How will the IHE and LEA ensure that mentor-teachers are implementing the Common Core Standards in their own classrooms?
 - How will the IHE and LEA ensure that mentor-teachers are skilled in using multiple forms of student assessment data to inform their lesson planning, and daily instruction?

- How will the IHE and LEA ensure that the mentor-teachers are skilled in special knowledge and skills for the targeted certification areas addressed by this program?

B3. Design of Clinical Residency Component and program support: (10 points)

- Describe the design of the school year-long residency
- Describe how the residency will be innovative and different than the current required student teaching
- How will the residency incorporate teacher practice rubrics, used in partnering LEAs as part of their teacher evaluation system, into the preparation program and incorporate formative assessment of teacher candidates using these rubrics
- Describe program expectations for experiences candidates will have during their residencies and what specific responsibilities the mentor-teachers will have. What opportunities will candidates have for increasing their responsibility over the residency period for lesson leadership? What expectations does the program have for the role of the principal and other staff in the residency school to support and develop the candidates?
- Describe how the collaboration between IHE and Residency Schools will provide clinically rich teaching experiences while connecting theory and practice
- Describe support of candidates for the first years upon the successful completion of the program.

B4: Undergraduate Curriculum: (10 points)

- To what degree will the IHE's pre-existing undergraduate coursework be modified or enhanced to meet the needs of this RFP? Briefly describe the pre-existing curriculum and how the applicant IHE determined what changes to make for this program.
- How will the IHE prepare candidates for the new Teacher Performance Assessment?
- Whether pre-existing or new coursework, describe how the undergraduate coursework offered by the proposed program(s) will prepare teacher candidates to:
 - have positive impact on their students' learning;
 - use multiple sources of student learning data to inform instruction;
 - understand and implement the Common Core Standards in their classrooms;
 - develop the knowledge and skills required by the particular shortage area focus of this program (e.g., students with disabilities, 7-12 Math/Science, ELLs);
 - differentiate instruction based on needs, learning styles and cultural differences of their students;
 - engage constructively with parents and community members.

- Describe how technology will be incorporated into the program to advance the practices of the candidates. How will the program incorporate video of teacher candidates practice and/or exemplary teacher practice into coaching and developing teacher candidates?
- Describe how the program prepares teachers in the use of technology and innovative practices to positively impact student learning.

C. Partner organizational capacity and program sustainability (Total 30 points)

C1. Project plan (8 points)

- Include any planning period activities and milestones
- Describe timelines, responsibilities and milestones to be undertaken by each partner to develop and launch the program
- Describe the process for overseeing the project plan, adjusting activities and timelines as needed, and ensuring ongoing communication amongst partners and key staff.

C2. Demonstrated organizational capacity and track record of partners (10 points)

- Demonstrate track record including data or research evidence of the IHE's ability to produce candidates who enter full-time teaching with a high level of teaching skill and are able to have a positive impact on the achievement of their students. Include evidence of track record in the shortage areas addressed by this program.
- Demonstrate track record of the LEA of recruiting and developing new teachers to reach a high level of practice and have positive impact on student learning. Include evidence of track record in the certification shortage areas addressed by this program.
- Describe history of collaboration between the LEA(s) and IHE around other initiatives to recruit, develop and/or retain effective teachers, especially in shortage certification areas. Provide evidence of the results of these initiatives.

C3. Plan for sustainability for program after end of grant period (7 points)

- Evidence of sustainability includes, but not limited to, use of grant funds for one-time development costs or training costs that can benefit future cohorts of students in the IHE's teacher preparation program; commitment of other funding sources; plans to identify new funds or shift resources to enable continuation of this program if it meets benchmarks; etc.

C4. Program Assessment (5 points)

- Applicants will be required to provide data and narrative reports to NYSED about the program during and after the grant period to support an independent evaluation of all the programs awarded under this grant.
- In addition to NYSED's evaluation:

- Describe how will the IHE and LEA(s) collaborate to gather data and assess the results of the program during and after the grant period?

BUDGET (Total points: 20)

Submitted budget must include:

- Completed FS-10 for the period of November 1,2012-August 31, 2013 and FS-10 for the period September 1,2013-August 31, 2014
- Detailed budget narrative
- Multi-year budget summary
- <http://www.oms.nysed.gov/cafe/forms/>

The Budget narrative for each partner must:

- Describe how the proposed expenditures will be used to support the project activities;
- contribute to the program goals;
- show costs are reasonable and necessary to support the project activities and goals;
- include expenditure descriptions which include a description of any institutional and/or other source of contributions; and
- justify all proposed expenditures and indicate the basis of calculation for each cost. In addition the narrative must specify the number of undergraduate candidates who will be enrolled in the proposed program.

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

Allowable Uses of Funds

Applicants may apply for up to \$531,783 per program in the NYC region and \$553,488 in the ROS region within their proposed Undergraduate Level Clinically Rich Teacher Preparation Pilot Program. The total cost per program proposed by the applicant may not exceed the regional program amounts.

Applicants may apply for up to 3 programs (a limit of 1 program in each Targeted Certification area) which are not to exceed \$1,595,350 NYC region and \$1,660,465 ROS region cumulative total funding. Adjustments to an award amount will occur if items within the proposed budget are deemed to be non-allowable or inappropriate.

Allowable uses of funds are limited to the following categories:

- A. Tuition: Program tuition and fees,
- B. Stipends: eligible candidates and mentor-teacher stipends;

- C. Program: Program development costs, including materials, incurred at commencement of program.
- D. Faculty staff time, LEA teacher time, and materials, incurred to design clinical residency, candidate and mentor selection criteria, mentor training, curriculum modifications.
- E. Costs to deliver mentor teacher training.

The sustainability of program costs and the structure of program costs will be reviewed and scored to determine sustainability of the program.. Applicants should be thoughtful about how they structure costs for this program so that it will be considered sustainable and makes efficient use of funds. For example, using grant funds more heavily for one-time expenses that build capacity for future program cohorts; identifying sources of ongoing funding that will be used during grant period and beyond or will be available after the grant period; etc.

Indirect costs are allowable under this grant. Allowable indirect cost is calculated by applying the restricted indirect cost rate (8% maximum for institutions of higher education) to the modified direct cost base of the grant. The modified direct cost base is the total direct costs of a grant less equipment, minor remodeling, purchased services with a BOCES, the portion of each subcontract exceeding \$25,000, tuition, and stipends paid to program participants. See Fiscal Guidelines for Federal and State Grants at <http://www.oms.nysed.gov/cafe/guidance/guidelines.html>

PROGRAM NARRATIVE FORMAT

The *Program Narrative* document must:

- present a cohesive document with each individual section related to all other sections
- respond to requirements in sections A-C of the program narrative above and have corresponding headings in the narrative
- not exceed **25 pages double spaced on all sides** with 1" margins, on 8 ½" X 11" size pages (other submission documents are not counted toward this page limit)
- be in Arial 12 font
- display the name of the institution in the top right corner of each page
- number all pages

BUDGET NARRATIVE

The narrative must justify all proposed expenditures and indicate the basis of calculation for each cost. The applicant must provide information for each expenditure in a manner that allows reviewers to clearly understand the basis of calculation and evaluate whether it clearly aligns with the program activities, and whether it is

reasonable in cost and necessary for the achievement of program goals. The budget narrative expenditure descriptions should also include a description of institutional and other source contributions.

- A. Follow these guidelines for use with the FS-10 form:
- a. <http://www.oms.nysed.gov/cafef/forms/>
 - b. Under Code(s) 15 and 16: Identify each salaried position by the position title, the anticipated salary, and the time contribution. Any other related expenditure information should also be provided.
 - c. Under Code 80: Indicate the actual institutional percentage rate for each category of fringe benefits.
 - d. Under Code 40: For each consultant identified under the Purchased Services category, indicate the per diem or hourly rate. For services and all other items, the unit rate or estimated average rate must also be provided.

APPLICATION REVIEW AND SCORING

Applicants will be evaluated using the criteria set forth in this Undergraduate Clinically Rich Teacher Preparation Pilot Program RFP. Proposals will be listed in rank order of average score received and funds will be awarded to the top proposals by region until all funds are allocated.

Applications have a total value of 100 points: 80 points for the *Programmatic Narrative* section, 20 points for the *Budget Narrative* section. Proposals must receive at least 75 percent of total points available (75 points) in order to be eligible for an award. Two technical reviewers will review each application. In the event there is a difference of 15 points or more between the scores assigned to the proposal by the two reviewers, a third reviewer will evaluate the proposal. The two scores mathematically closest to each other will be averaged for the score unless the difference between the third review score and the first two are equidistant; in which case the third reviewer's score will be solely used as the score.

Applications must receive a final average score of **75 or above** to be eligible to receive an award.

METHOD OF AWARD AND LOSS OF FUNDING

A. Method of Award

All proposals that receive at least the minimum required 75 points from the application review and scoring will be ranked within each region being proposed. The available funds allocated to each region are based on the number of schools identified as in need of improvement (SINI) by NYSED in that region as a proportion of all SINI schools across the state.

Applicants will be ranked by region and within each Targeted Certification area (secondary SWD, ELL or Adolescent 7-12 Math/Science) based on the scores obtained by their proposals compared to other applicants for that region and program certification area.

Applicants will be ranked by program within their region. Applicants receiving the highest scores in each program regionally will be approved until all funds for that region are expended. In the event there are insufficient funds to fund the next ranked applicant in full, the next ranked applicant may be given the opportunity to operate a smaller program using the remaining funds. If there are excess funds in one or more regional program areas these funds will be pooled and the program area with the most fundable proposals will be given priority. Awards will be made to the next highest unfunded proposal in that program area. If there are no applicants from a region, or if there are still monies left over in a region after all fundable proposals have been awarded, all excess funds will be pooled and awarded in a statewide ranking to the next highest ranked unfunded applicant(s) statewide. In a statewide ranking, again, priority will be given to the program with the most fundable proposals.

In the event of a tie score in the program, region, or statewide ranking the proposal within that group with the higher cumulative score on sections B3 Design of residency Component and Program Support and B4 Undergraduate Curriculum will be ranked higher.

B. Loss of Funding

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

- The program will lose all funding if it is not registered with OCUE within thirty days from the notice of the award;
- Failing to submit the final report due August 31, 2014 will result in withholding of the final payment for this grant.
- The program will lose a percentage of final year funding if the program does not meet the program completer target of 90%.

PROJECT SCHEDULE

A. Start Date

Anticipated grant start date is on or after November 1, 2012. Programs may begin recruiting candidates once they have completed OCUE program registration.

B. Report Due Dates

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

1. Interim Program Report (due August, 2013)
2. Final Program Report (due August 31, 2014)
3. Final Fiscal Reports (due August 31, 2014)

C. Payment Schedule

1. Payments (up to 90 percent of the grant amount per program year) are generated only by the submission of an FS-25: Request for Funds for a Federal or State Project form. Requests for Interim Payments may only represent actual expenditures plus anticipated expenditures during the next month. All FS-25's must be submitted directly to the State Education Department Grants Finance Unit at the address listed on the form for payment.
2. A final payment for the balance of the budget period will be made after an FS-10-F: Final Expenditure Report for a State or Federal Project is submitted to the Grants Finance Unit and approved. The FS-10-F is due in the Grants Finance Unit no later than September 11, 2014.

D. End Date (August 31, 2014)

APPLICANT WEBINAR AND CORRESPONDENCE

A. Applicant Webinar

The New York State Education Department will host an Applicant Webinar on: May 14, 2012.

In order to participate in the Webinar **Monday, May 14, 2012 at 1:00 p.m.**, please email UGTEACHERRFP@mail.nysed.gov the following information to register:

1. your name,
2. organization's name
3. contact email address
4. please include "UGCRTPPP Webinar" in the subject line.

Registration **must** be submitted by **close of business on Thursday, May 10, 2012.**

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

B. Questions and Correspondence Regarding This RFP

Questions regarding the request must be submitted by e-mail to UGTEACHERRFP@mail.nysed.gov no later than the close of business May 17, 2012. Questions regarding this request should be identified as Program or Fiscal.

A Questions and Answers Summary will be posted to <http://usny.nysed.gov/rttt/rfp/> no later than June 4, 2012. Individual responses will not be provided.

Program Matters	Fiscal Matters
Elena F. Bruno UGTEACHERRFP@mail.nysed.gov	Lynn Caruso UGTEACHERRFP@mail.nysed.gov

PROPOSAL FORMAT AND SUBMISSION INSTRUCTIONS

Applicants are responsible for making sure the application package is complete based on the included Application Checklist. A complete proposal application consists of one package that includes one (1) original plus five (5) copies of each of the following:

- Proposal Cover Page (Attachment A)
- Table of Contents
- Program Narrative—maximum 25 pages
- Budget Narrative
- FS-10: Proposed Budget for a Federal or State Project for the first period of November 1, 2012–August 31, 2013 and an FS-10 for project period September 1, 2013–August 31, 2014.
- Partnership MOU(s) (Attachment B)
- Attachment C, Mandatory Requirement Certification
- Attachment D, Residency School Data
- Attachment E, Statement of Assurances
- Attachment F, Yearly Budget Summary
- Application for Program Registration

These documents must be submitted as detailed below and received at NYSED no later than **3:00 p.m., June 29, 2012**:

- One (1) original and five (5) copies of the proposal package labeled **UGCRTPPP Program Proposal – RFP #GT-05**. The original must be clearly identified with the original signature of the CEO or designee; of the Partner LEA superintendent(s) or designee(s); and CEO or designee of other partner(s).
- One (1) CD containing:
 - a copy of the UGCRTPPP Program Narrative in Microsoft Word (.doc) format or portable document format (.pdf); and
 - all other proposal documents, MOUs, attachments, forms, and the Program Registration Application.

Proposals must be mailed or delivered to:

NYS Education Department
Bureau of Fiscal Management
Attn: Lynn Caruso, RFP#GT-05
Contract Administration Unit
89 Washington Avenue, Room 505W EB
Albany, NY 12234

Facsimile or emailed copies of the proposals are NOT acceptable.

RESERVATION OF RIGHTS

NYSED reserves the right to: (1) reject any or all proposals received in response to the RFP; (2) withdraw the RFP at any time, at the agency's sole discretion; (3) make an award under the RFP in whole or in part; (4) disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP; (5) seek clarifications of proposals; (6) use proposal information obtained through site visits, management interviews and the State's investigation of a bidder's qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFP; (7) prior to the bid opening, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it becomes available; (8) prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments; (9) change any of the scheduled dates; (10) waive any requirements that are not material; (11) negotiate with the successful bidder within the scope of the RFP in the best interests of the State; (12) conduct contract negotiations with the next responsible bidder, should the agency be unsuccessful in negotiating with the selected bidder; (13) utilize any and all ideas submitted in the proposals received; (14) unless otherwise specified in the solicitation, every offer is firm and not revocable for a period of 90 days from the bid opening; (15) require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an bidder's proposal and/or to determine an bidder's compliance with the requirements of the solicitation; (16) to request best and final offers.

PUBLIC RELATIONS/ATTRIBUTIONS OF FUNDING

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

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

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

New York State Education Department
Office of Higher Education
Educator Effectiveness Policy and Programs
89 Washington Avenue, Room 1071 EBA
Albany, NY 12234

CONTRACT AWARD PROTEST PROCEDURES

1. Debriefing Procedures

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

2. Protest Procedures

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

1. The protest must be in writing and must contain specific factual and/or legal allegations setting forth the basis on which the protesting party challenges the contract award by NYSED.

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

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

3. The NYSED Contract Administration Unit (CAU) will convene a review team that will include at least one staff member from each of NYSED's Office of Counsel, CAU, and the Program Office. The review team will review and consider the merits of the protest and will decide whether the protest is approved or denied. Counsel's Office will provide the applicant with written notification of the review team's decision within seven (7) business days of the receipt of the protest. The original protest and decision will be filed with OSC when the contract procurement record is submitted for approval and CAU will advise OSC that a protest was filed.

4. The NYSED Contract Administration Unit (CAU) may summarily deny a protest that fails to contain specific factual or legal allegations, or where the protest only raises issues of law that have already been decided by the courts.

New York State Education Department

Assurances for Federal Discretionary Program Funds

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

Federal Assurances and Certifications, General:

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

Federal Assurances and Certifications, NCLB (if appropriate):

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

- NCLB Assurances
- School Prayer Certification

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

- Appendix A
- Appendix A-1G
- Appendix A-2

ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

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

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

equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

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

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

**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER
RESPONSIBILITY MATTERS**

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

1. LOBBYING

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

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

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

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

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

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

A. The applicant certifies that it and its principals:

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

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

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

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

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

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

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

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

Instructions for Certification

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

Certification

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

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

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

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

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

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

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

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

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

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

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

(9) in the case of a local educational agency, as a condition of receiving funds under the No Child Left Behind Act, the applicant is complying with the requirements of Education Law § 3214(3)(d) and (f) and the Gun-Free Schools Act (20 U.S.C. § 7151);

(10) in the case of a local educational agency, as a condition of receiving funds under the No Child Left Behind Act, the applicant is complying with the requirements of 20 U.S.C. § 7908 on military recruiter access;

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

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

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

SCHOOL PRAYER CERTIFICATION

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

APPENDIX A
STANDARD CLAUSES FOR NYS CONTRACTS

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

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

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

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

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

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

220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

6. WAGE AND HOURS PROVISIONS. If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the Labor Law, the Contractor understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by the State of any State approved sums due and owing for work done upon the project.

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

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

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

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

11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION. (a) 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
30 South Pearl St -- 7th Floor
Albany, New York 12245
Telephone: 518-292-5220
Fax: 518-292-5884
<http://www.empire.state.ny.us>

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

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

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

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

21. RECIPROCITY AND SANCTIONS PROVISIONS. Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

22. COMPLIANCE WITH NEW YORK STATE INFORMATION SECURITY BREACH AND NOTIFICATION ACT. Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208).

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

requirement to submit an annual employment report for the contract to the agency that awarded the contract, the Department of Civil Service and the State Comptroller.

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

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

To the extent this agreement is a contract as defined by Tax Law Section 5-a, if the contractor fails to make the certification required by Tax Law Section 5-a or if during the term of the contract, the Department of Taxation and Finance or the covered agency, as defined by Tax Law 5-a, discovers that the certification, made under penalty of perjury, is false, then such failure to file or false certification shall be a material breach of this contract and this contract may be terminated, by providing written notification to the Contractor in accordance with the terms of the agreement, if the covered agency determines that such action is in the best interest of the State. (December 2011)

APPENDIX A-1 G

General

- A. In the event that the Contractor shall receive, from any source whatsoever, sums the payment of which is in consideration for the same costs and services provided to the State, the monetary obligation of the State hereunder shall be reduced by an equivalent amount provided, however, that nothing contained herein shall require such reimbursement where additional similar services are provided and no duplicative payments are received.
- B. This agreement is subject to applicable Federal and State Laws and regulations and the policies and procedures stipulated in the NYS Education Department Fiscal Guidelines found at <http://www.nysed.gov/cafe/>.
- C. For each individual for whom costs are claimed under this agreement, the contractor warrants that the individual has been classified as an employee or as an independent contractor in accordance with 2 NYCRR 315 and all applicable laws including, but not limited to, the Internal Revenue Code, the New York Retirement and Social Security Law, the New York Education Law, the New York Labor Law, and the New York Tax Law. Furthermore, the contractor warrants that all project funds allocated to the proposed budget for Employee Benefits represent costs for employees of the contractor only and that such funds will not be expended on any individual classified as an independent contractor.
- D. Variations in each budget category not exceeding ten percent (10%) or One Thousand Dollars (\$1,000.00) of such category, whichever is greater, may be approved by the Commissioner of Education. Any such variations shall be reflected in the final expenditure report and filed in the Office of the State Comptroller.
- 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 thereof. 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
- A violation of law.

Appendix D

Background Resources

American Association of Colleges for Teacher Education.(2010, March 11). *The clinical preparation of teachers-A policy brief*. Washington DC:

[http://www.aacte.org/pdf/Government_Relations/Clinical %20prep%20Papaer_03-11-2010.pdf](http://www.aacte.org/pdf/Government_Relations/Clinical%20prep%20Papaer_03-11-2010.pdf)

Berry, B., Montgomery, D., & Snyder, J. (2008). *Urban teacher residency models and institutes of higher education: Implications for teacher preparation*. Chapel Hill, NC: Center for Teaching Quality.

Berry, B., Montgomery, D., Curtis, R., Hernandez, M., Wurtzel, J., & Snyder, J. (2008). *Creating and sustaining urban teacher residencies: A new way to recruit, prepare, and retain effective teachers in high-needs districts*. Aspen Institute: Center for Teaching Quality.

Boyd,D.Grossman, P.,Lankford,H.,Loeb,S.,&Wyckoff,J.H.(2008, September). *Teacher preparation and student achievement*. NBER Working Paper No. W14314. Cambridge, MA: National Bureau of Economic Research.

Darling-Hammond,L.(2006). Constructing 21st-Centrury Teacher Education. *Journal of Teacher Education*, vol. 57 No.3 May/June.

Gimbert, B., Bol, L., & Wallace, D. (2007). The influence of teacher preparation on student achievement and the application of national standards by teachers of mathematics in urban secondary schools. *Education and Urban Society*, 40(1), 91-117.

Grossman,P.(2010,May). *Learning to practice: The design of clinical experience in teacher preparation*. Policy brief. Washington,DC: Partnership for Teacher Quality, National Education Association and American association for Colleges for Teacher Education. [http://www.aacte.org/pdf/Publications/Reports](http://www.aacte.org/pdf/Publications/Reports_studies/Clinical%20Experience%20-%20Pam%20Grossman.pdf) - studies/Clinical%20Experience%20-%20Pam%20Grossman.pdf

Hinds, M. (2002). *Teaching as a clinical profession: A new challenge for education*. New York: Carnegie Foundation.

Honawar, V. (2007). New teacher project brings holistic style to urban districts. *Education Week*, 27(1), 1-19.

Hopkins, M. (2008). Training the next teachers for America: A proposal for reconceptualizing TFA. *Phi Delta Kappan*, 89(10), 721-725.

McIntyre, A. (2003). Participatory action research and urban education: Reshaping the teacher preparation process. *Equity & Excellence in Education*, 36(1), 28-40.

McKinney, S.E., Haberman, M., Stafford-Johnson, D., & Robinson, J. (2008). Developing teachers for high-poverty schools: The role of the internship experience. *Urban Education*, 43(1), 68-82.

National Council for Accreditation of Teacher Education (2010). *Transforming Teacher Education Through Clinical Practice: A national Strategy To Prepare Effective Teachers*. Washington DC: www.ncate.org/publications

Pierce Brown, C.(2010). *Children of Reform: The Impact of high-Stakes Education Reform on Preservice Teachers* .Journal of Teacher Education online

Tennessee Board of Regents Teacher Education Reform: *The Undergraduate Teaching Residency*(2010). <http://tbr.edu>

Tsafos, V.(2009) Developing a practice theory model in pre-service teacher education in Greece. *Action Research*, vol. 8, 153-170.

The Aspen Institute.(2008). *Rethinking Human Capital in Education: Singapore As A Model for Teacher Development*. Washington DC: Sclafani,S., and Lim,E.

Urban Teacher Residency United: <http://www.utruncated.org/about-us/research-and-publications>

Web conference: Teacher Residency Models: *Lessons from Practice in Teacher Education*. AACTE: September 15-17, 2009.

Appendix E
Scoring Rubrics

NARRATIVE SCORING RUBRIC (Total 80 points):		
PROGRAM SUMMARY <i>(Maximum of 10 points)</i>		
	Score	Explanation of Score:
<ul style="list-style-type: none"> ▪ How the IHE and LEA will collaborate on this new undergraduate upper division clinically rich teacher preparation initiative to improve supply of effective secondary teachers of ELLs, SWDs, and/or Adolescent 7-12 Math/Science teachers committed to work in high-need secondary schools. Include discussion of any of the points below that apply to your program: • How will the program attract new candidates into teaching or attract teaching candidates into high-need schools and the Targeted Certificate areas where they wouldn't otherwise teach? Examples: shift candidates from low-need certificate areas; give incentives to candidates to add secondary ELL or SWD certifications; draw new candidates into Adolescent 7-12 Math/Science from arts and sciences majors; or attract candidates to teach in high-need schools through clinical experience in similar schools. • How will the program improve effectiveness of teacher candidates in the Targeted Certificate areas sought in this RFP: longer clinical experience; enhanced formative and summative assessments around teacher practice rubrics used in participating districts; enhanced program focus on data driven instruction and/or common core learning standards. • How will the program improve placement and retention of teacher candidates in the Targeted Certificate shortage areas into high-need schools? Examples: districts agree to open new secondary ELL or SWD programs as candidates complete program; districts agree to place graduates in high-need schools; districts/leas design mentoring and support after job placement for candidates 		

<p>Program Elements (Total 40 points)</p>		
<p><u>Selection of teacher candidates (up to 10 points):</u></p> <ul style="list-style-type: none"> • Describe how the admission requirements, standards and process will lead to recruitment and rigorous selection of a high-caliber, diverse group of candidates. • Describe how program will ensure that candidates are committed to completing the program and teaching four four years in high-need schools in the Targeted Certificate Title. For example, will there be a service commitment required of candidates selected for this program? 	Score	Explanation of Score:
<p><u>Selection of residency schools and mentor-teachers, and training of mentor-teachers (up to 10 points):</u></p> <ul style="list-style-type: none"> • Submit evidence of improving performance and/or positive academic growth of student populations relevant to the Targeted Certificate areas. Examples of acceptable evidence include, but are not limited to, significant improvements in the following areas: <ul style="list-style-type: none"> ▪ Regents exams and/or state assessments ▪ Graduation Rates ▪ Student and/or teacher perceptions of learning environment and culture • How strong were the IHE's and LEA's methods for ensuring that each Residency School has a principal who is committed to supporting the preparation of new teachers, and how strong is the evidence? • Describe the recruitment and selection of mentor-teachers, including assessing their teaching practice using the NYS Mentoring Standards, and ensuring that mentor-teachers have demonstrated positive impact on student achievement results in their own classrooms. • Describe the initial training program of the mentor-teacher and tools used to ensure mentor-teachers improve their abilities to coach and develop other teachers. Include the roles of LEA and IHE in this training program. • Describe the ongoing professional development that will be offered to mentor-teachers through the partnerships. 	Score	Explanation of Score:

<ul style="list-style-type: none"> • In describing selection, training, and professional development of mentor-teachers, address each of the following: <ul style="list-style-type: none"> ○ How will the IHE and LEA ensure that mentor-teachers are implementing the Common Core Standards in their own classrooms? ○ How will the IHE and LEA ensure that mentor-teachers are skilled in using multiple forms of student assessment data to inform their lesson planning, and daily instruction? ○ How will the IHE and LEA ensure that the mentor-teachers are skilled in special knowledge and skills for the targeted certification areas addressed by this program? 		
<p><u>Design of clinical residency component and program support (up to 10 points):</u></p> <ul style="list-style-type: none"> • Describe the design and length of the residency • Describe how the residency will be innovative and different than the current required student teaching • How will the residency incorporate teacher practice rubrics, used in partnering LEAs, into the preparation program and incorporate formative assessment of teacher candidates using these rubrics • Describe program expectations for experiences candidates will have during their residencies and what specific responsibilities the mentor-teachers will have. What opportunities will candidates have for increasing their responsibility over the residency period for lesson leadership? What expectations does the program have for the role of the principal and other staff in the residency school to support and develop the candidates? • Describe how the collaboration between IHE and residency schools will provide clinically rich teaching experiences while connecting theory and practice • Describe support of candidates for the first years upon the successful completion of the program. 	Score	Explanation of Score:
<p><u>Undergraduate curriculum (up to 10 points):</u></p> <ul style="list-style-type: none"> • To what degree will the IHE’s pre-existing undergraduate coursework be modified or enhanced to meet the needs of this RFP? Briefly describe the pre-existing curriculum and how the applicant IHE determined what changes to make for this program. 	Score	Explanation of Score:

<ul style="list-style-type: none"> • How will the IHE prepare candidates for the new Teacher Performance Assessment? • Whether pre-existing or new coursework, describe how the undergraduate coursework offered by the proposed program(s) will prepare teacher candidates to: <ul style="list-style-type: none"> ○ have positive impact on their students' learning; ○ use multiple sources of student learning data to inform instruction; ○ understand and implement the Common Core Standards in their classrooms; ○ develop the knowledge and skills required by the particular shortage area focus of this program (e.g., students with disabilities, STEM, ELLs); ○ differentiate instruction based on needs, learning styles and cultural differences of their students; ○ engage constructively with parents and community members. • Describe how technology will be incorporated into the program to advance the practices of the candidates. • How will the program incorporate video of teacher candidates practice and/or exemplary teacher practice into coaching and developing teacher candidates? • Describe how the program prepares teachers in the use of technology and innovative practices to positively impact student learning. <p>Partner organizational capacity and program sustainability (Total 30 points)</p> <p>Project plan (up to 8 points)</p> <ul style="list-style-type: none"> • Include planning period activities and milestones if requested by applicants • Describe timelines, responsibilities and milestones to be undertaken by each partner to develop and launch the program • Describe the process for overseeing the project plan, adjusting activities and timelines as needed, and ensuring ongoing communication amongst partners and key staff <p>Demonstrated organizational capacity and track record of partners (up to 10 points)</p> <ul style="list-style-type: none"> • Demonstrated track record including data or research evidence of the IHEs ability to produce candidates who 		
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<p>enter full-time teaching with a high level of teaching skill and are able to have appositve impact on the achievement of their students. Include evidence of track record in the shortage areas addressed by this program.</p> <ul style="list-style-type: none"> • Demonstrated track record of the LEA of recruiting and developing new teachers to reach a high level of practice and have positive impact on student learning. Include evidence of track record in the certification shortage areas addressed by this program. • Describe history of collaboration between the LEA(s) and IHE around other initiatives to recruit, develop and/or retain effective teachers, especially in shortage certification areas. Provide evidence of the results of these initiatives. <p>Plan for sustainability for program after end of grant period (up to 7 points)</p> <ul style="list-style-type: none"> • Evidence of sustainability includes, but not limited to, use of grant funds for one-time development costs or training costs that can benefit future cohorts of students in the IHE’s teacher preparation program; commitment of other funding sources; plans to identify shift resources to enable continuation of this program if it meets benchmarks; etc. <p>Program assessment (up to 5 points)</p> <ul style="list-style-type: none"> • Applicants will be required to provide data and narrative reports to SED about the program during and after the grant period to support an independent evaluation of all the programs awarded under this grant. Please indicate applicants’ understanding of this requirement which will be discussed in more detail upon award. • In addition to SED’s evaluation, describe how will the IHE and LEA(s) collaborate to gather data and assess the results of the program during and after the grant period? 		
<p>TOTAL</p>		

BUDGET AND BUDGET NARRATIVE SCORING RUBRIC for Section D (20 points)			
<i>This section describes the proposed expenditures are appropriate, reasonable and necessary to support the project activities and goals. The expenditures and activities are supplemental to and do not supplant or duplicate services currently provided.</i>			
Score	Description	Score	Explanation of Score:
1. Proposed expenditures will be used to support the proposal's initiatives and goals			
6-8	Clear alignment between the proposed expenditures and the proposal's initiatives and goals are described in detail.		
3-5	Alignment between the proposal expenditure and the proposed initiatives and goals is vague. The description is sufficient, but more detail would be helpful.		
0-2	There is a lack of alignment between the proposed expenditure and the proposed initiatives and goals and/or the description is insufficient.		
2. Costs are reasonable and necessary to support the proposal's initiatives and goals			
6-8	A detailed explanation of the costs justifies why they are reasonable and necessary to support the proposals' initiatives and goals.		
3-5	The explanation of costs is not detailed enough but enough information is provided to suggest that they might be reasonable and necessary to support the proposal's initiatives and goals.		
0-2	The explanation of costs is vague or not included and leaves open to question whether they are reasonable and necessary to support the proposal's initiatives and goals.		
3. Proposed expenditures are supplemental and do not supplant or duplicate current initiatives (may enhance current initiatives)			
4	Applicant clearly explains how the expenditures are supplemental and do not supplant or duplicate current initiative. Applicant describes clearly and in detail how the proposed expenditures are designed to develop new initiatives and/or enhance current initiatives.		
2-3	Applicant offers a vague explanation of how the expenditures are supplemental and do not supplant or duplicate current initiatives. Applicant describes how the proposed expenditures are designed to enhance current initiatives but the description is not detailed and/or clear.		
0-1	Applicant does not offer an explanation or offers a weak and unconvincing explanation of how the expenditures are supplemental and do not supplant or duplicate current initiatives. There is no mention of how the expenditures		
TOTAL SCORE			

Attachment A: Proposal Cover Page

New York State Education Department Undergraduate Level Clinically Rich Teacher Preparation Pilot Program		DO NOT WRITE IN THIS SPACE	
Check only ONE Program per proposal: <input type="checkbox"/> Secondary ELL <input type="checkbox"/> Secondary SWD <input type="checkbox"/> Adolescent 7-12 Math/Science		Log Number	Date Received
Applicant Name		Department/ Unit, if applicable	County
Applicant Authorized Signatory <i>(Last Name, First Name, Dr./Mr./Ms.)</i>			
Title	Telephone Number/Extension ()	Fax Number ()	
E-mail Address			
Address <i>(Street, City, Zip Code)</i>			
Project Director <i>(Last Name, First Name, Dr./ Mr./ Ms.)</i>			
Title	Telephone Number/Extension ()	Fax Number ()	
E-mail Address			
Address <i>(Street, City, Zip Code)</i>			
President/Chief Executive Officer/Chancellor <i>(Last Name, First Name, Dr./Mr./Ms.)</i>			
Title	Telephone Number/Extension ()	Fax Number ()	
E-mail Address			
Address <i>(Street, City, Zip Code)</i>			
Contact Person		Same person as Project Director? <input type="checkbox"/>	
Title	Telephone Number/Extension ()	Fax Number ()	
E-mail Address			
Address <i>(Street, City, Zip Code)</i>			
Application Type	<input type="checkbox"/> Program provider with one LEA partner	<input type="checkbox"/> Program provider with more than one LEA partner	<input type="checkbox"/> Program provider with multiple partnerships, including at least one LEA
Total Funds Requested			

Region for which funding is being sought Region is determined by applicant IHE location				
INSTRUCTIONS: Provide partner name, and Type, Partner SEDREF code and BEDS Code if appropriate				
Partner (check box)	<input type="checkbox"/> LEA with Residency School(s)	<input type="checkbox"/> Other Partner	<input type="checkbox"/> SEDREF Code	BEDS Code
Name of Partner:				
Partner (check box)	<input type="checkbox"/> LEA with Residency School(s)	<input type="checkbox"/> Other Partner	<input type="checkbox"/> SEDREF Code	BEDS Code
Name of Partner:				
Partner (check box)	<input type="checkbox"/> LEA with Residency School(s)	<input type="checkbox"/> Other Partner	<input type="checkbox"/> SEDREF Code	BEDS Code
Name of Partner:				
Partner (check box)	<input type="checkbox"/> LEA with Residency School(s)	<input type="checkbox"/> Other Partner	<input type="checkbox"/> SEDREF Code	BEDS Code
Name of Partner:				

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

Attachment B: Memorandum of Understanding Between Partners

Template

INSTRUCTION: Provide a completed MOU for each partner in the application.

Name of Sponsoring Institution

and the participating partner for the
New York State Undergraduate Level Clinically Rich Teacher Preparation Pilot Program

Partner name and address

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

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

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

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

Include a commitment for all candidates to complete the new Teacher Performance Assessment.

Partner agrees to:

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

For Eligible LEA partners:

- Name each Residency School agreeing to place candidates during the program.
- Please include a plan to provide up to one continuous school year of mentored clinical experience by the assigned mentor-teacher for the candidate and support by a team comprised of program faculty, teachers and administrators at the high-need school and, if applicable, the superintendent. The plan must include a commitment to enable all candidates to complete the new Teacher Performance Assessment in the context of the clinical residency.
- Please include a statement that the LEA either (a) has an approved new Annual Professional Performance Review (APPR) plan that covers all Residency Schools for 2012-13, in compliance with Education Law §3012-c, including the name of the teacher and principal practice rubrics chosen by the LEA(s), if available; or (b) intends to submit its APPR plan for approval no later than July 1, 2012.

Institution Name _____

Name and Title _____

Signature _____ Date _____
(In blue ink)

Partner or LEA Name: _____

Principal or Authorized Administrator Name and Title:

Signature _____ Date _____
(In blue ink)

**Attachment C: Mandatory Requirements Certification
Undergraduate Clinically Rich Teacher Preparation Pilot Program**

By signing this form, the undersigned certifies it can provide and/or meet the mandatory requirements listed below and outlined in the RFP. Please use the chart provided, to describe where in the application NYSED may verify that this application meets these specified requirements.

1. Signed Memorandum of Understanding is completed and included with this proposal for each partner.
2. Each partner LEA has submitted or will submit by July 1, 2012 an Annual Professional Performance Review Plan as specified in the Program Requirements section of this RFP.
3. Completed Application for Program Registration as specified in the Program Requirements section of this RFP is included with this proposal.

**Mandatory Requirements will be met as follows:
(Please clearly document how this proposal meets the mandatory requirements)**

Mandatory Requirements	Application addresses/ includes the requirement	As supported in this application
<i>Please indicate:</i>	<i>YES/NO</i>	<i>Page(s)</i>
1. Signed Memorandum of Understanding for each partner		
2. A submitted Annual Professional Performance Review Plan by the LEA partner		
3. Completed Application for Program Registration		

Proposals that do not include the complete and signed Mandatory Requirements Certification will be disqualified and removed from further consideration.

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

Attachment D: Residency School Data

The following information is required as part of the application. All Residency Schools must meet the requirements in the ELIGIBILITY REQUIREMENTS section of this RFP Attach additional sheets if needed. (Note: NYSED’s intent is that each Residency School should have improving performance and/or positive academic growth of one or more groups of students relevant to the Targeted Certificate area(s) of the candidate(s) placed there—i.e., students with disabilities (SWD), English language learners (ELL), and/or students in science or mathematics (STEM) courses, as applicable. Therefore, in the Program Narrative portion of the proposal, applicants will be prompted to provide evidence of such improving performance and/or positive academic growth for each designated Residency School.)

1: List each Residency Schools by name:	2: Are at least 50% of students in poverty under ESEA §1113(a)(5)? Yes/No	3. Is this school classified under SINI/PLA/SURR? Mark all that apply	4: In which LEA is this school located?	5: According to the Partner MOU, when will this LEA submit its APPR plan for NYSED review and approval? Select one: Approved DATE Submitted DATE Will submit by DATE
Sample: SCHOOL X	YES	SURR, SINI	XYZ School District	Submitted June 1, 2012
1.				
2.				
3.				
4.				
5.				
6.				
7.				

Attachment E: Statement of Assurances

1. The institution shall agree to coordinate with the Office of College and University Evaluation staff to ensure that the program complies with the Regulations of the Commissioner of Education and is registered by within thirty days after the date of the award.
2. The institution will, if funded, operate a Undergraduate Level Clinically-Rich Preparation Pilot Program within the letter and spirit of all pertinent legislation (Article 130, Section 6455 of Education Laws).
3. Educational activities conducted under this project will take place in accordance with appropriate sections of the following Acts:
 - A. Title VI of the Civil Rights Act of 1964
 - B. Title IX of the Education Amendments of 1972
 - C. Section 504 of the Rehabilitation Act of 1973
 - D. Section 303 of the Age Discrimination Act of 1975
4. Funds from the Undergraduate Level Clinically Rich Teacher Preparation Pilot Program award will supplement, not supplant local expenditures and will not duplicate expenditures from other sources.
5. All activities supported by Undergraduate Level Clinically Rich Teacher Preparation Pilot Program funds will, to the extent possible, be accessible by persons with disabilities. Upon request, the recipient will provide State Education Department staff access to its records and other information necessary to determine whether violations of civil rights have occurred.
6. Upon request, the recipient will provide State Education Department staff access to its records and other sources of information concerning the operation of the Undergraduate Level Clinically-Rich Teacher Preparation Pilot Program.
7. All materials developed in whole or in part with the support of Undergraduate Level Clinically Rich Teacher Preparation Pilot Program funds, including publicity releases and program announcements, will include the following Statement:

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

8. The funds requested will be used to administer an Undergraduate Level Clinically Rich Teacher Preparation Pilot Program to effectively prepare teachers for high-

need schools, and increase the retention of teachers in order to positively impact student growth and achievement.

9. The institution agrees to submit a detailed evaluation plan to assess program effectiveness in bringing about student learning, including at least two measures based upon relevant research in peer-reviewed journals, in a form prescribed by the Commissioner.
10. The institution agrees to submit results of data analysis and evidence of using data for program improvement, in a form prescribed by the Commissioner.
11. The institution shall agree to submit an interim and/or annual program report containing information such as number of candidates and mentor-teachers, personnel changes, faculty qualifications and loads, and evaluation data, in a form prescribed by the Commissioner..
12. Institutions shall agree to participate fully in any research-based evaluation conducted by an external party authorized by the New York State Education Department.

CHIEF EXECUTIVE OFFICER CERTIFICATION

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

Signed* _____ Date _____

(Chief Executive Officer)
Print _____ name _____ and _____ title _____

*Original signature of Chief Executive Officer is required.

Attachment F: Yearly Budget Summary

SUBTOTAL	CODE	PROJECT COSTS YEAR 1 11/1/12-8/31/13	PROJECT COSTS YEAR 2 9/1/13-8/31/14	TOTAL
Professional Salaries	15			
Support Staff Salaries	16			
Purchased Services	40			
Supplies and Materials	45			
Travel Expenses	46			
Employee Benefits	80			
Indirect Cost	90			
BOCES Services	49			
Minor Remodeling	30			
Equipment	20			
TOTAL				

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

There is no requirement to request funds for the term of the RFP if your proposal is less than the full allowable period.