



THE UNIVERSITY OF THE STATE OF NEW YORK  
THE STATE EDUCATION DEPARTMENT

REQUEST FOR QUALIFICATIONS (RFQ) # GT-20

TEACHER AND PRINCIPAL  
PRACTICE RUBRIC PROVIDERS

APPLICATION PERIOD:  
CONTINUOUS AND ONGOING

**INSTRUCTIONS:**

Please use this specialized Microsoft® Word document for your response.

If you are viewing it on the Internet, be sure to **save** it to your computer.

Responses may be typed into fill-in areas *only*.

These areas will automatically expand, as needed, to accommodate text.

Some questions (e.g., Yes / No) require clicking on boxes, which look like:

To begin, you may wish to enter the **Name of Applying Entity** onto **Form A** (Page 15).

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## 1.0 GENERAL INFORMATION

### 1.1 PROGRAM SUMMARY

The New York State Education Department ("NYSED" or "Department"), as part of its requirement to implement the provisions of Education Law §3012-c, regarding annual professional performance reviews of classroom teachers and building principals, is soliciting qualification proposals from Teacher and Principal Practice Rubric providers. **THIS SOLICITATION WILL NOT RESULT IN A CONTRACT WITH THE NEW YORK STATE EDUCATION DEPARTMENT.** NYSED will use the objective criteria specified within to review such proposals and will update the list of *Approved Teacher and Principal Practice Rubrics*. This list is available at: <http://usny.nysed.gov/rttt/teachers-leaders/practicerubrics/home.html>.

All approved providers who meet the criteria specified in this Request for Qualifications (RFQ) will be included in this list. The list will be maintained by NYSED. *No funding is directly associated with this application for approval.*

The approved list will be updated at least annually. There will be an opportunity for new applicants to demonstrate that their organization meets the requirements on a schedule to be determined and published by NYSED. Providers of teacher and/or principal practice rubric services will also be removed from the list subject to the conditions specified within this RFQ.

## 1.2 BACKGROUND

The New York State school system is one of the most comprehensive educational systems in the country. It comprises 691 school districts, 37 BOCES, over 7,000 public/private elementary and secondary schools including over 200 charter schools, and serves the educational needs of over 3.1 million students.

Education Law §3012-c requires a new performance evaluation system for teachers and principals. New York State implemented a statewide comprehensive evaluation system for school districts and BOCES. The evaluation system is designed to measure teacher and principal effectiveness based on performance, including measures of student achievement and evidence of educator effectiveness in meeting New York State teacher or school leader standards. Under the new law, New York State differentiates teacher and principal effectiveness using four rating categories – Highly Effective, Effective, Developing, and Ineffective. Education Law §3012-c(2)(a) requires Annual Professional Performance Reviews (APPRs) to result in a single composite teacher or principal effectiveness score, which incorporates multiple measures of effectiveness. The results of the evaluations are a significant factor in employment decisions, including but not limited to, promotion, retention, tenure determination, termination, and supplemental compensation, as well as teacher and principal professional development (including coaching, induction support, and differentiated professional development).

Under the new system, 40% of the composite effectiveness score of teacher and principal evaluations is based on student achievement measures, made up of a state-provided growth measure, as well as a locally-selected achievement or growth measure. The state-provided growth measure accounted for 20% of a teacher's or principal's evaluation in 2011-12, and increased to 25% upon approval of a value-added model for use in 2012-13. The locally-selected achievement or growth measure accounted for 20% of a teacher's or principal's evaluation starting in 2011-12.

The remaining 60% of teacher and principal evaluations is based on multiple measures of effectiveness. This includes the extent to which the educator demonstrates proficiency in meeting New York State's teaching or leadership standards. The methods of gathering evidence must include at least two teacher classroom observation or evaluator assessment of leadership practices, which are required to account for 31% of a teacher's or principal's evaluation (see Chapter 21, §5 of the Laws of 2012, amending Education Law 3012-c[h]). Other options that can be included, but are not required, are collections of student work, school documents or teacher artifacts, and/or surveys of key constituents.

The statute provided for a phase-in of the new evaluation system. This began in the 2011-2012 school year with classroom teachers in grades 4-8 in common branch subjects, English language arts and mathematics, and the building principals of the schools in which such teachers are employed. In the 2012-2013 school year, the evaluation system was expanded to include all classroom teachers and building principals.

## 1.3 CONTEXT FOR RUBRIC USER

Education Law §3012-c requires that 60% of teacher and principal evaluations be based on multiple measures of demonstrated effectiveness. This Request for Qualification (RFQ) is soliciting practice rubrics from service providers that broadly align with New York State standards of practice for teachers and/or principals.

The NYSED will review the rubrics submitted and evaluate them on their alignment with the requirements set forth in this RFQ. If approved, rubric providers will be notified of their approved

status and placed in the NYSED's list of *Approved Teacher and Principal Practice Rubrics*. It is anticipated that this list of service providers will be updated at least annually.

LEAs will have the opportunity to select teacher and/or principal practice rubrics from the list and may enter into an agreement with the rubric provider for services within the terms and conditions cited in State law and regulations, and this RFQ. It is anticipated that this partnership will allow LEAs to collaborate directly with rubric providers to develop and support the LEAs' professional capacity to successfully implement teacher and principal evaluations. NYSED will not be a party to or responsible for agreements between LEAs and service providers.

No teacher or principal practice rubric may be used by LEAs for purposes of compliance with Education Law §3012-c unless the specific tool has been approved by NYSED. A rubric must either be on an Approved List at the time the LEA selects the instrument, or it must be approved through a separate variance process. The variance process is in place for any LEA that is seeking approval from NYSED to use a rubric, but does not want its rubric placed on an Approved List where it would be available for use by other LEAs. Information about how to submit an application for a variance can be found here: <http://usny.nysed.gov/rttt/teachers-leaders/rubrics/rubricvariance.html>

An LEA may submit for approval, in response to this RFQ, a rubric for use within its own LEA that will also be made available to other LEAs in New York State through the Approved Lists. Approval and placement on the lists will not require the LEA to enter into an agreement to provide services to any other entity.

## 2.0 **SPECIFICATIONS**

### 2.1 **ELIGIBLE APPLICANTS**

This RFQ is specific to those rubric providers who are seeking to be placed on NYSED's list of *Approved Teacher and Principal Practice Rubrics*. **The State Education Department has developed a separate Rubric Variance process to evaluate rubrics submitted by LEAs who are seeking to utilize tool(s) other than those in the list approved for local use**, but who do not wish to be placed in the list of *Approved Teacher and Principal Practice Rubrics* for Statewide use.

Entities eligible to apply to provide teacher and principal practice rubric services may include, but are not limited to:

- Community based organizations;
- Charter management organizations;
- Libraries;
- Private companies;
- Institutions of Higher Education;
- Family literacy programs/Even Start programs;
- Faith-based organizations;
- Teacher or administrator unions;
- Nonprofit organizations; and
- A partnership between eligible rubric provider entities.

## 2.2 (A) – APPROVAL CRITERIA FOR TEACHER EVALUATIONS

NYSED shall evaluate an eligible rubric for inclusion on the Department’s list of approved practice rubrics for classroom teachers, pursuant to this RFQ process. A rubric will be included on the Department’s list of approved rubrics for CLASSROOM TEACHERS upon determination that the application satisfies each of the following criteria described below.

### Alignment with Overall New York State Evaluation System:

- The rubric must broadly cover the New York State teaching standards, and its related elements.
- The rubric must be grounded in research about teaching practice that supports positive student learning outcomes.<sup>1</sup>
- The rubric must have four performance rating categories. If a rubric does not have four levels that match the rating categories of Highly Effective, Effective, Developing and Ineffective, the rubric’s summary ratings must be easily convertible to the four rating categories that New York State has adopted.
- The rubric must clearly define the expectations for each rating category. The Highly Effective and Effective rating categories must encourage excellence beyond a minimally acceptable level of effort or compliance.
- The rubric shall be applicable to all grades and subjects; or if designed explicitly for specific grades and/or subjects, they will only be approved for use in the grades or subjects for which they are designed.

### Ease of Implementation:

- The rubric must use clear and precise language that facilitates common understanding among teachers and administrators.
- The rubric must be specifically designed to assess the classroom effectiveness of teachers.
- To the extent possible, the rubric should rely on specific, discrete, observable, and/or measurable behaviors by students and teachers in the classroom with direct evidence of student engagement and learning.
- The rubric must include descriptions of any specific training and implementation details that are required for the rubric to be effective.<sup>2 3</sup>

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<sup>1</sup> In order to meet this criterion, applicants will need to describe how their rubric was developed and provide links to or copies of quantitative or qualitative research that informed its development.

<sup>2</sup> This criterion does not prohibit a provider and an LEA from negotiating other training or implementation details that could satisfactorily implement the rubric.

<sup>3</sup> If the applicant’s training and implementation services require access to confidential personnel and/or student records, the applicant will be required to include a supplemental attachment detailing how the applicant will maintain the confidentiality of those records.

## 2.2 (B) – APPROVAL CRITERIA FOR PRINCIPAL EVALUATIONS

NYSED shall evaluate an eligible rubric for inclusion on the Department’s list of approved practice rubrics for building principals, pursuant to this RFQ process. A rubric will be included on the Department’s list of approved practice rubrics for PRINCIPALS upon determination that an application satisfies each of the following criteria.

### Alignment with Overall Model:

- The rubric must broadly cover the Educational Leadership Policy Standards: ISLLC 2008 and its related domains and elements.
- The rubric must be grounded in research about leadership practice that supports positive student learning outcomes.<sup>4</sup>
- The rubric must have four performance rating categories. If a rubric does not have four levels that match the rating categories of Highly Effective, Effective, Developing, and Ineffective, the rubric’s summary ratings must be easily convertible to the four rating categories that New York State has adopted.
- The rubric must clearly define the expectations for each rating category. The Highly Effective and Effective rating categories must encourage excellence beyond a minimally acceptable level of effort or compliance.

### Ease of Implementation:

- The rubric must use clear and precise language that facilitates common understanding among building principals and their evaluators.
- The rubric must be specifically designed to assess the effectiveness of school leaders.
- To the extent possible, the rubric should rely on specific, discrete, observable, and/or measurable behaviors by principals and their staff and students.
- The rubric must include descriptions of any specific training and implementation details that are required for the rubric to be effective.<sup>5 6</sup>

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<sup>4</sup> In order to meet this criterion, applicants will need to describe how their rubric was developed and provide links to or copies of quantitative or qualitative research that informed its development.

<sup>5</sup> This criterion does not prohibit a provider and an LEA from negotiating other training or implementation details that could satisfactorily implement the rubric.

<sup>6</sup> If the applicant’s training and implementation services require access to confidential personnel and/or student records, the applicant will be required to include a supplemental attachment detailing how the applicant will maintain the confidentiality of those records.

## 2.3 GUIDELINES FOR AGREEMENTS WITH AN APPROVED PROVIDER

If an approved rubric provider is selected by an LEA<sup>7</sup> to provide training, professional development, or any other service related to the use of the rubric, **for a cost**, the LEA and provider are advised to enter into an agreement before the rubric is used for evaluation purposes. Any organization submitting a rubric without any related services for a cost would not be expected to enter into an agreement with an LEA. Approval and placement on the approved list does not require any provider to enter into an agreement to provide services to any other entity.

It is the responsibility of the service provider and LEA to reach an agreement on the rubric(s) to be used and any related services to be provided, if deemed necessary by the respective parties. NYSED will not be party to or responsible for agreements between service providers and LEAs. However, in order to support the service providers and LEAs, NYSED recommends minimum guidelines to be followed, or at least considered, for agreements between an approved provider and LEA. These guidelines are available online at: <http://usny.nysed.gov/rttt/teachers-leaders/practicerubrics/guidelines-for-agreements.html>.

## 2.4 APPROVAL PERIOD OF RUBRIC PROVIDERS

A teacher or principal rubric that is placed on the approved list shall remain on the list, unless the Department's approval is terminated pursuant to §30-2.7 of the Rules of the Board of Regents, the provider is disqualified pursuant to Section 2.6 of this RFQ, or the provider makes a written request to the Department to request that the rubric be removed from the approval list.

## 2.5 TERMINATION OF RUBRIC APPROVAL

Approval for inclusion on the Department's list of approved practice rubrics may be withdrawn for good cause. This may include, but is not limited to, a recommendation to and determination made by the Commissioner that the rubric:

- (i) is in noncompliance with one or more of the criteria for approval set forth in this RFQ, or is in noncompliance with the Commissioner's regulations;
- (ii) is not identifying meaningful and/or observable differences in performance levels across schools and classrooms; and/or
- (iii) effectiveness is disputed by high-quality academic research, which calls into question the correlation between high performance on this rubric and positive student learning outcomes.

Termination procedures would begin after unsuccessful attempts at remediation with the Applicant and would follow the procedures established in the Commissioner's Regulations (i.e., related to practice rubrics)

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<sup>7</sup> In section 2.3, the use of LEA refers to LEA and/or BOCES

## 2.6 APPLICANT REVIEW PROCESS

### General Review and Scoring Process

Applications will each be independently reviewed and evaluated by two reviewers pursuant to the approval criteria specified in Sections 2.2 (A), and 2.2 (B).

Applicant responses on Form B-1 of the Technical Proposal (Section 4.0) will be used to determine the provider's adherence to the established approval criteria.

For each established criterion, an applicant will receive either a score of:

- 1 – *Rubric demonstrates the established criterion; or*
- 0 – *Rubric does not demonstrate the established criterion.*

### I. Teacher Practice Rubrics (Review and Scoring)

In order to be approved as a provider of teacher practice rubrics, an applicant must receive a score of one (1) from **each** of the nine (9) approval criterion below from both of the two (2) assigned reviewers. In cases where the two reviewers do not reach consensus around the scores for a given criterion, a third evaluator will make the final determination as to whether the teacher practice rubric demonstrates the established criterion in question. Approved practice rubrics will be placed within the Department's list of *Approved Teacher and Principal Practice Rubrics*.

1. The rubric must broadly cover the New York State teaching standards, and its related elements. (1 point)
2. The rubric must be grounded in research about teaching practice that supports positive student learning outcomes.<sup>8</sup> (1 point)
3. The rubric must have four performance rating categories. If a rubric does not have four levels that match the rating categories of Highly Effective, Effective, Developing and Ineffective, the rubric's summary ratings must be easily convertible to the four rating categories that New York State has adopted. (1 point)
4. The rubric must clearly define the expectations for each rating category. The Highly Effective and Effective rating categories must encourage excellence beyond a minimally acceptable level of effort or compliance. (1 point)
5. The rubric shall be applicable to all grades and subjects; or if designed explicitly for specific grades and/or subjects, they will only be approved for use in the grades or subjects for which they are designed. (1 point)
6. The rubric must use clear and precise language that facilitates common understanding among teachers and administrators. (1 point)
7. The rubric must be specifically designed to assess the classroom effectiveness of teachers. (1 point)

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<sup>8</sup> In order to meet this criterion, applicants will need to describe how their rubric was developed and provide links to or copies of quantitative or qualitative research that informed its development. Supplemental evidence may also be provided in Form B-2.

8. To the extent possible, the rubric should rely on specific, discrete, observable, and/or measurable behaviors by students and teachers in the classroom with direct evidence of student engagement and learning. (1 point)
9. The rubric must include descriptions of any specific training and implementation details that are required for the rubric to be effective.<sup>9 10</sup> (1 point)

## II. Principal Evaluation Rubrics (Review and Scoring)

In order to be approved as a provider of principal evaluation rubrics, an applicant must receive a score of one (1) for each of the eight (8) approval criterion below from both of the two (2) assigned reviewers. In cases where the two reviewers do not reach consensus around the scores for a given criterion, a third evaluator will make the final determination as to whether the principal practice rubric demonstrates the established criterion in question. Approved practice rubrics will be placed within the Department's list of *Approved Teacher and Principal Practice Rubrics*.

1. The rubric must broadly cover the Educational Leadership Policy Standards: ISLLC 2008 and its related domains and elements. (1 point)
2. The rubric must be grounded in research about leadership practice that supports positive student learning outcomes.<sup>11</sup> (1 point)
3. The rubric must have four performance rating categories. If a rubric does not have four levels that match the rating categories of Highly Effective, Effective, Developing, and Ineffective, the rubric's summary ratings must be easily convertible to the four rating categories that New York State has adopted. (1 point)
4. The rubric must clearly define the expectations for each rating category. The Highly Effective and Effective rating categories must encourage excellence beyond a minimally acceptable level of effort or compliance. (1 point)
5. The rubric must use clear and precise language that facilitates common understanding among building principals and their evaluators. (1 point)
6. The rubric must be specifically designed to assess the effectiveness of school leaders. (1 point)
7. To the extent possible, the rubric should rely on specific, discrete, observable, and/or measurable behaviors by principals and their staff and students. (1 point)
8. The rubric must include descriptions of any specific training and implementation details that are required for the rubric to be effective.<sup>12 13</sup> (1 point)

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<sup>9</sup> This criterion does not prohibit a provider and an LEA from negotiating other training or implementation details that could satisfactorily implement the rubric.

<sup>10</sup> If the applicant's training and implementation services require access to confidential personnel and/or student records, the applicant will be required to include a supplemental attachment detailing how the applicant will maintain the confidentiality of those records.

<sup>11</sup> In order to meet this criterion, applicants will need to describe how their rubric was developed and provide links to or copies of quantitative or qualitative research that informed its development. Supplemental evidence may also be provided in Form B-2.

<sup>12</sup> This criterion does not prohibit a provider and an LEA from negotiating other training or implementation details that could satisfactorily implement the rubric.

<sup>13</sup> If the applicant's training and implementation services require access to confidential personnel and/or student records, the applicant will be required to include a supplemental attachment detailing how the applicant will maintain the confidentiality of those records.

## 2.7 RESERVATION OF RIGHTS

NYSED reserves the right to: (1) reject any or all proposals received in response to the RFQ; (2) withdraw the RFQ at any time, at the Department's sole discretion; (3) disqualify any bidder whose conduct and/or application fails to conform to the requirements of the RFQ; (4) seek clarifications of applications; (5) use application information obtained through the state's investigation of a provider's qualifications, experience, ability, or financial standing, and any material or information submitted by the provider in response to the Department's request for clarifying information in the course of evaluation and/or selection under the RFQ; (6) during the application period, amend the RFQ specifications to correct errors or oversights, or to supply additional information, as it becomes available; (7) during the application period, direct providers to submit application modifications addressing subsequent RFQ amendments; (8) change any of the scheduled dates; (9) negotiate with the successful provider within the scope of the RFQ in the best interests of the state; (10) require clarification at any time during the qualification process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of a provider's application and/or to determine a provider's compliance with the requirements of the RFQ; (11) request accurate and current estimates of provider costs.

## 3.0 APPLICATION PROCEDURES

Applicants should be advised that any information submitted in their applications that is considered to be proprietary in nature should be identified as such by completing a Request for Exemption from Disclosure Pursuant to the Freedom of Information Law (Form E), as information contained in the application is presumptively subject to public release.

### 3.1 APPLICATION TIMELINE

All applicants shall submit all **required** materials. For inclusion in the Department's list of *Approved Teacher and Principal Practice Rubrics*, materials from applicants must be received by the New York State Education Department at the address listed below. Applications are being accepted on a continuous and ongoing basis. The Department will review submissions and update the approved list on a quarterly basis, approximately during the months of April, July, October, and January, as follows:

- Submissions received between January 1-March 31 will be reviewed and a determination made by April 30
- Submissions received between April 1-June 30 will be reviewed and a determination made by July 31
- Submissions received between July 1-September 30 will be reviewed and a determination made by October 31
- Submissions received between October 1-December 31 will be reviewed and a determination made by January 31

After an application is reviewed, all applicants will receive either an approval letter or a debriefing letter explaining why the application was not approved. All letters will be emailed.<sup>14</sup>

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<sup>14</sup> At the discretion of the State Education Department, the approved list of rubric providers may be updated at additional times throughout the year.

### 3.2 APPLICATION SUBMISSION METHOD

Facsimile submissions are not acceptable. Applicants must adhere to the submission method detailed below.

**Acceptable Submission Method:**

Address or hand-deliver an application packet containing:

1. **one original;**
2. **two copies;**
3. **one CD** containing a copy of the application in Microsoft Word (.doc), Rich Text (.rtf), Portable Document Format (.pdf), or other standard text (.txt) format to the following address:

New York State Education Department  
Office for Teacher and Leader Effectiveness, Policy and Programs  
89 Washington Ave  
1071 EBA  
Albany, NY 12234  
**ATTENTION: RFQ # GT-20, TEACHER AND PRINCIPAL PRACTICE RUBRICS**

Any questions concerning this RFQ must be emailed to: [RubricRFQ@mail.nysed.gov](mailto:RubricRFQ@mail.nysed.gov). **(NOTE: THIS EMAIL ADDRESS IS FOR QUESTIONS ONLY; PLEASE DO NOT SUBMIT APPLICATION MATERIALS TO THIS ADDRESS.)** Questions and responses will be posted on a continuous and on-going basis. The submitted questions and responses will be made available at: <http://usny.nysed.gov/rttt/rfq/rubricfaq>.

An applicant **must present all the information requested and required in this RFQ** in order to be considered for approval and placed on the New York State Education Department's list of *Approved Teacher and Principal Practice Rubrics*. Applicants that fail to submit all required information may be contacted by NYSED and provided five (5) business days from notice to submit the requested information. Applicants that fail to adhere to this deadline will not be approved.

### 3.3 APPLICANT RESPONSIBILITY QUESTIONNAIRE

Applicants must file the required Vendor Responsibility Questionnaire (VRQ) online via the New York State VendRep System or may choose to complete and submit a paper questionnaire. School districts, Charter Schools, BOCES, public colleges and universities, public libraries, and the Research Foundation for SUNY and CUNY are some of the entities exempt from filing the VRQ ([http://www.osc.state.ny.us/vendrep/faqs\\_general\\_agency.htm#5](http://www.osc.state.ny.us/vendrep/faqs_general_agency.htm#5)).

To enroll in and use the New York State VendRep System, see the VendRep System instructions at: [http://www.osc.state.ny.us/vendrep/vendor\\_index.htm](http://www.osc.state.ny.us/vendrep/vendor_index.htm) or go directly to the VendRep System online at <https://portal.osc.state.ny.us>.

Vendors should also refer to the VendRep System checklist, which can be found at <http://www.osc.state.ny.us/vendrep/documents/system/checklist.pdf>.

Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the

State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at [cio-helpdesk@osc.state.ny.us](mailto:cio-helpdesk@osc.state.ny.us). General information can be found at [http://www.osc.state.ny.us/vendrep/info\\_vrsystem\\_vendor.htm](http://www.osc.state.ny.us/vendrep/info_vrsystem_vendor.htm).

See [http://www.osc.state.ny.us/vendrep/documents/vendrep/document\\_requirements.pdf](http://www.osc.state.ny.us/vendrep/documents/vendrep/document_requirements.pdf) for a complete list of exempted entities.

Applicants opting to file a paper questionnaire can obtain the appropriate questionnaire from the VendRep website: [http://www.osc.state.ny.us/vendrep/forms\\_vendor.htm](http://www.osc.state.ny.us/vendrep/forms_vendor.htm) or may contact the State Education Department or the OSC Help Desk for a copy of the paper form.

**Note:** Applicants must check the appropriate box in the application (Form A) to indicate if the questionnaire was submitted online or via paper format, or to indicate exempt status.

### 3.4 APPLICATION PACKAGE FORMAT

- Applicants seeking approval of both teacher **and** principal practice rubrics must submit a completed, separate technical proposal for **each**.
- The “information-only” forms (Forms B2, B3, and C) should be put into a **separate, sealed envelope**, clearly identified as “INFORMATION-ONLY FORMS.” Please note: only one copy of the forms is necessary and will, if the application is approved, be posted online as part of the “application” included in the list of approved rubric providers.
- All information should be submitted **in the order indicated** on the forms and in the instructions.
- Type size should be no smaller than 12 pt.
- Applicants must use this specialized Word document for their responses. The fill-in areas will automatically expand, as needed, to accommodate text.
- The total number of pages in the Technical Proposal is limited to **25 pages, single spaced** (each page can be used in its entirety for your response).
- Appendices/Attachments are not included in the page maximums listed above and may contain resumes, letters of reference, printed brochures describing the services provided, certificates of incorporation or other legal documents, fiscal documents, tables, charts, graphs, scanned images, or photocopies.
- Applicants should not include CD presentations, videotapes, or other multimedia productions; these will not be considered.
- All prospective vendors must complete a Vendor Responsibility Questionnaire and include a hardcopy with their application, or submit the form online, unless exempt.
- The Transmittal Letter should be submitted as an original hardcopy with an original signature signed in blue or black ink.
- **Form D** requires authorized **signatures** and therefore **MUST** be submitted as original hardcopies. The originals of each of these documents should be signed in **BLACK/BLUE INK**.

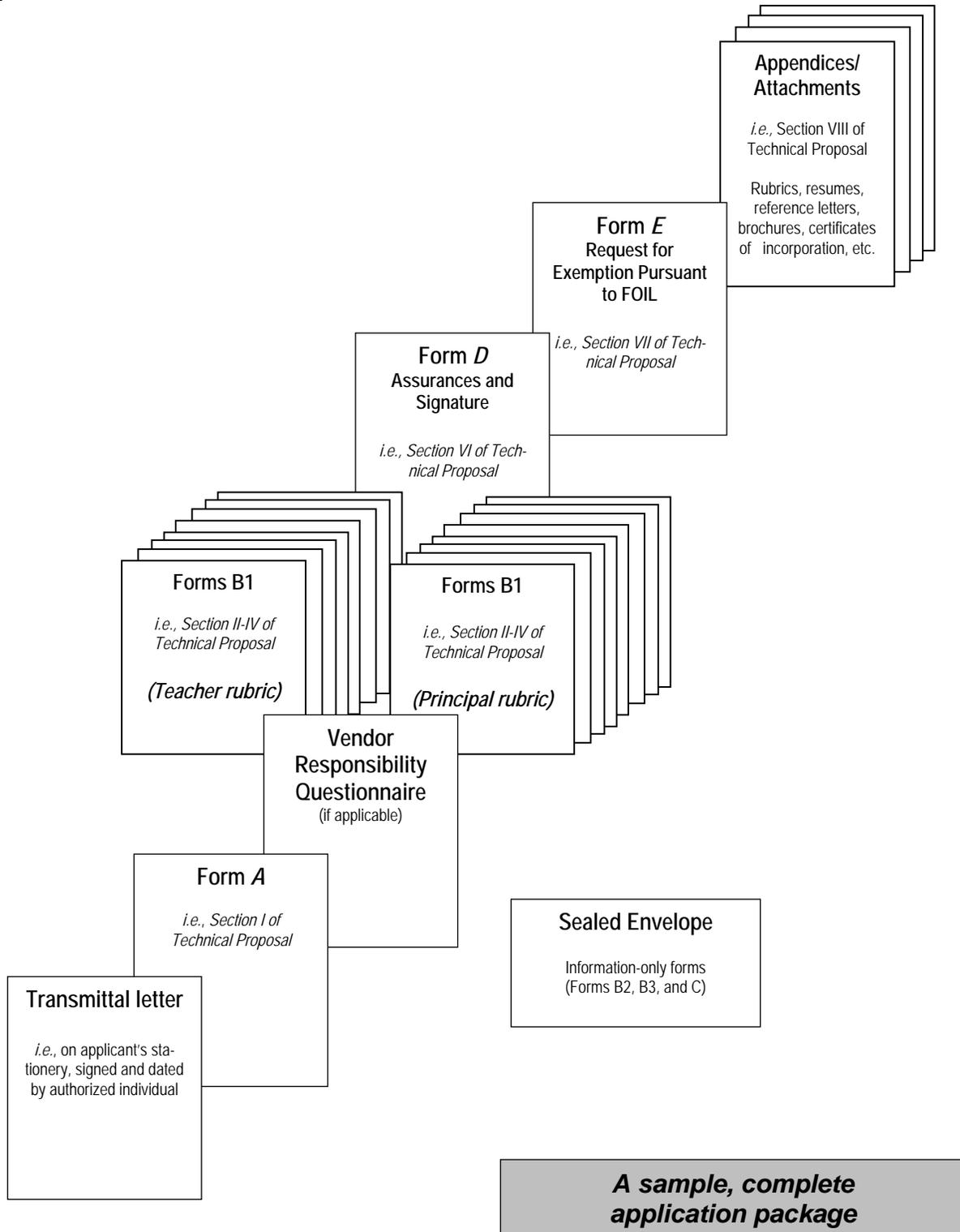
### 3.5 APPLICATION PACKAGE CHECKLIST

Please use the checklist below to ensure that you have submitted all required materials in the required format:

Submitted?	Component	Requirement/Format
<input type="checkbox"/>	Transmittal Letter	The applicant should submit a brief <b>Transmittal Letter</b> to formally submit/transmit the application, proposal, and other materials, on behalf of the applying entity, to the New York State Education Department. The transmittal letter should be signed and dated by the authorized individual in <b>blue ink</b> .
<input type="checkbox"/>	<b>VENDOR RESPONSIBILITY QUESTIONNAIRE (VRQ)</b>	A completed <b>VRQ</b> must be included with the application or completed online, unless applicant is exempt. Applicants must check the appropriate box in Form A to indicate if the questionnaire was submitted online or via paper format, or to indicate exempt status.
<input type="checkbox"/>	<b>FORM A</b>	The applicant must complete an <b>Application</b> .
<input type="checkbox"/>	<b>FORM B1</b>	The applicant must submit a <b>Plan/Narrative</b> .
<input type="checkbox"/>	<b>FORM B2 (INFORMATION-ONLY)</b>	The applicant should present evidence of its <b>Rubric Design and Implementation</b> . This should be put into a sealed envelope, along with Forms B3 and C, and be clearly identified as "INFORMATION-ONLY"
<input type="checkbox"/>	<b>FORM B3 (INFORMATION-ONLY)</b>	The applicant should present evidence of its <b>Organizational Capacity</b> . This should be put into a sealed envelope, along with Forms B2 and C, and be clearly identified as "INFORMATION-ONLY"
<input type="checkbox"/>	<b>FORM C (INFORMATION-ONLY)</b>	The applicant should provide a <b>Service Summary</b> of the information outlined in the Application and Technical Proposal. This should be put into a sealed envelope, along with Forms B2 and B3, and be clearly identified as "INFORMATION-ONLY"
<input type="checkbox"/>	<b>FORM D</b>	The applicant must complete an <b>Assurances and Signature page</b> , signed and dated by an authorized individual.
<input type="checkbox"/>	<b>FORM E</b>	The applicant should complete a <b>Request for Exemption from Disclosure Pursuant to the Freedom of Information Law, for any proprietary materials</b> .
<input type="checkbox"/>	<b>Appendices/ Attachments</b>	The applicant must provide appropriate <b>Appendices/Attachments</b> . <ul style="list-style-type: none"> <li>○ A <b>copy</b> of the practice rubric being submitted for qualification</li> <li>○ Supporting documentation (Graphs or charts demonstrating achievement, resumes, certificates of incorporation, etc.)</li> </ul>

### 3.6 APPLICATION PACKAGE SAMPLE

A sample complete application package might look like the following (see illustration below):



## 4.0 TECHNICAL PROPOSAL<sup>15</sup>

In the Technical Proposal, applicants must describe in detail the teacher and/or principal practice rubric they are submitting for approval. The Technical Proposal, which will be reviewed by the New York State Education Department Race to the Top Review Committee, is described below.

The Technical Proposal is divided into ***eight*** sections:

### **Section I – Application (Form A)**

In this section, the applicant shall identify the nature of the practice rubric being submitted.

### **Section II – Teacher and Principal Practice Rubric Narrative (Form B-1)**

In this section, the applicant shall describe in detail the nature of the teacher and/or principal practice rubric and services they will provide.

### **Section III – Rubric Design and Implementation (Form B-2, Information-only)<sup>16</sup>**

In this section, the applicant should present evidence that the rubric has a demonstrated record of effectiveness in contributing to teacher and/or principal achievement.

### **Section IV – Organizational Capacity (Form B-3, Information-only)<sup>17</sup>**

In this section, the applicant should demonstrate that it has the adequate organizational resources to provide the proposed teacher and/or principal evaluation services.

### **Section V – Service Summary (Form C, Information-only)<sup>18</sup>**

The applicant should provide a service summary of the information outlined in the Application and Technical Proposal.

### **Section VI – Assurance and Signature Page (Form D)**

The applicant must complete an **Assurances and Signature page**, which must be signed and dated by an authorized individual.

### **Section VII – Request for Exemption from Disclosure Pursuant to the Freedom of Information Law (Form E)**

The applicant should complete a **Request for Exemption** form in order to identify any proprietary materials submitted as part of, or in support of, an applicant's proposal, which applicant considers confidential or otherwise excepted from disclosure under the Freedom of Information Law.

### **Section VIII – Appendices**

The applicant must provide a copy of the rubric being submitted for approval. The applicant shall also provide any supporting documentation that has been requested in this RFQ, or that which has been referenced by the provider in the completed Technical Proposal.

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<sup>15</sup> All applicants are required to complete Sections I, II, VI, and VII. Sections III, IV, and V have been designated as informational-only sections and should be submitted together in a sealed envelope, clearly identified as "INFORMATION-ONLY SECTIONS."

<sup>16</sup> Applicant responses received in this section will not be used as criteria for the approval of practice rubrics, but will be posted online as part of the "application" included in the list of approved rubric providers and/or at the request of participating LEAs the responses contained in this section will be provided only for those practice rubrics which are approved.

<sup>17</sup> Ibid

<sup>18</sup> Ibid



**TEACHER AND PRINCIPAL PRACTICE RUBRIC PROVIDERS  
TECHNICAL PROPOSAL - APPLICATION**

Name of Entity	Michael Kim Marshall, Educational Consultant	
Address	222 Clark Road	
City, State Zip	Brookline, MA 02445	
Phone	617-566-4353	
Fax	877-538-6549	
E-mail	kim.marshall48@gmail.com	
Name and Title of Authorized Contact	Michael Kim Marshall, Consultant	
Address (if different from above)		
City, State Zip		
Phone		
Fax		
E-mail ( <b>REQUIRED</b> )	kim.marshall48@gmail.com	
Tax I.D. Number	Social Security number 017-42-3995	
The organization is: (Please indicate by clicking on the appropriate boxes below:)		
Local Educational Agency (LEA)	<input type="checkbox"/>	
For-profit corporation	<input type="checkbox"/>	Click either: <input type="checkbox"/> <b>NY corp.</b> or <input type="checkbox"/> <b>Foreign corp.</b>
Non-profit corporation	<input type="checkbox"/>	Click either: <input type="checkbox"/> <b>NY corp.</b> or <input type="checkbox"/> <b>Foreign corp.</b>
Limited Liability Company (LLC)	<input type="checkbox"/>	Click either: <input type="checkbox"/> <b>NY LLC</b> or <input type="checkbox"/> <b>Foreign LLC</b>
Other	<input checked="" type="checkbox"/>	Please specify: Sole proprietor, consultant, based in Massachusetts
Vendor Responsibility Questionnaire (VRQ)		Click either: <input checked="" type="checkbox"/> Paper form enclosed with application <input type="checkbox"/> Submitted online <input type="checkbox"/> Will not be filed due to exempt status as follows (please specify):

**IMPORTANT: For-profit corporations, non-profit corporations, and LLCs, are required to attach the following document(s), as applicable:**

- **If a New York State corporation:** the Certificate of Incorporation, together with any Certificates of Amendments to such document filed to date.<sup>19</sup> (See important footnote below.)
- **If a foreign corporation:** (1) the Application for Authority to do business in New York State filed with the NYS Dept of State, **and** (2) the Certificate of Incorporation filed in the State of incorporation, (3) together with any amendments to such documents filed to date.\* (See important footnote below.)
- **If a New York State LLC:** the Articles of Organization, together with any amendments to such document filed to date.\* (See important footnote below.)
- **If a foreign LLC:** (1) the Application for Authority to do business in New York State filed with the NYS Dept of State, **and** (2) the articles of organization filed in the State of formation, (3) together with any amendments to such documents filed to date.\* (See important footnote below.)

<sup>19</sup> Ensure that these documents include appropriate language authorizing the provision of these services. Information pertaining to the "Consent Obtaining" process may be accessed at the SED Office of Counsel website at [www.counsel.nysed.gov](http://www.counsel.nysed.gov) or you may also contact the Office at 518-474-6400 if you have any questions regarding this requirement.

- **If the corporation or LLC will use an assumed name in New York State:** the certificate of Assumed Name



**TEACHER AND PRINCIPAL PRACTICE RUBRIC PROVIDERS  
TECHNICAL PROPOSAL - APPLICATION**

**Name of Applying Entity:** Michael Kim Marshall

**Name of Rubric:** Teacher Evaluation Rubrics

**Please check the most appropriate category:**

	<b>Teacher and/or Principal Practice Rubric</b>	<b>Required Submission</b>
<input checked="" type="checkbox"/>	This is an application for providing <b>Teacher Practice Rubric services.</b>	A full application with all required materials (including this cover page) shall be submitted for <b>each*</b> rubric.  Your rubric(s) must be attached in the Appendix section of your submission.
<input checked="" type="checkbox"/>	This is an application for providing <b>Principal Practice Rubric services.</b>	A full application with all required materials (including this cover page) shall be submitted for <b>each*</b> rubric.  Your rubric(s) must be attached in the Appendix section of your submission.

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\* A separate technical proposal must be submitted for each rubric to be approved.

**TEACHER AND PRINCIPAL PRACTICE RUBRIC PROVIDERS  
TECHNICAL PROPOSAL - NARRATIVE**

**Teacher and Principal Practice Rubric Narrative:**

In this section, the applicant must describe in detail the nature of the teacher and/or principal practice rubric services they will provide. **Please be advised that your responses in Section I will be thoroughly reviewed and rated on a point-based evaluation system.** We strongly encourage you to be as complete and detailed as possible in your responses. *If you are attaching supporting documentation, please do not simply indicate "see attached" in the response fields.*

*Please complete **Table 1.1 (and 1.2)** only, if you are submitting a **TEACHER PRACTICE RUBRIC.***

<b>Table 1.1</b>			
<a href="#">New York State Teaching Standards</a>	<b>Domain</b>	<b>My rubric covers the following (Yes or N/A):</b>	<b>Please thoroughly describe any evidence to support your rubric's alignment with the categories listed. If your rubric does not align with the category listed, please indicate "N/A."</b>
I.	Knowledge of Students and Student Learning	Yes	The Marshall rubrics align with this standard in their emphasis on teachers' knowledge children's development (Aa), respect and cultural sensitivity (Ea), planning for differentiation (Ai), and professional outreach and growth (Fj)
II.	Knowledge of Content and Instructional Planning	Yes	The rubrics address content knowledge (Aa), planning with standards in mind (Ab), building in assessments of student learning (Ad), anticipating learning difficulties and misconceptions (Ae), designing lessons and units and using materials that are engaging and relevant (Ac, Af, Ag, Ah), and creating a classroom environment conducive to learning (Aj)
III.	Instructional Practice	Yes	The rubrics address the importance of standards alignment (Ab), high expectations (Ca), using a "growth" mindset (Cb), setting clear goals (Cc), making connections with prior knowledge (Cd), teaching clearly so students understand (Ce), using a repertoire of instructional strategies (Cf), engaging all students in active learning (Cg), differentiating instruction (Ch), taking advantage of teachable moments (Ci), and getting students to the point where they can apply what they are learning to new situations (Cj).
IV.	Learning Environment	Yes	The rubrics address a safe and well-ordered learning environment (Aj), clear expectations for

			behavior (Ba), establishing and maintaining positive relationships with students (Bb), fostering respect in the classroom, both among students and between students and teachers (Bc, Bd), setting and maintaining routines (Be), teaching responsibility and self-reliance (Bf), maximizing learning time (Bh), and preventing disruptions and wasted time (Bi).
V.	Assessment for Student Learning	Yes	The rubrics address using on-the-spot assessments to fine-tune instruction in real time (Dc), getting students to self-assess (Dd), using interim assessments to gain insights on student misunderstandings and misconceptions (Df, Di), and working with colleagues to improve instruction and help struggling students (Di, Dj, Fi)
VI.	Professional Responsibilities and Collaboration	Yes	The rubrics address teachers' attendance (Fa), use of appropriate language in professional settings (Fb), reliability, professionalism, and good judgment (Fc, Fd, Fe), exercising leadership (Fg), and working collaboratively with other educators (Fi); in addition, there is a standard for going above and beyond (Ff). See "other" for working with families and the community.
VII.	Professional Growth	Yes	The rubrics emphasize being open to new ideas and other viewpoints (Fh), collaborating with colleagues (Fi), getting effective ideas from colleagues, workshops, and other sources (Fj), and using assessment data to continuously reflect and improve instruction and results (Df, Dg, Di, Dj).
	Student Learning Outcomes	Yes	The teaching inputs described in the rubrics are research-based and, if faithfully executed in the classroom at the Effective or Highly Effective level, bring about high levels of student achievement, regardless of students' economic status or family background. In addition, in the Monitoring, Assessment, and Follow-up domain, Marshall's rubrics address the kind of individual teacher work and teacher teamwork that looks at student learning results in real time and uses on-the-spot and interim assessment data to continuously improve achievement.
	"Other"	Yes	Parent and community outreach, including respect and multicultural sensitivity (Ea), communicating high expectations and specific curriculum content (Ec, Ed), involving parents in

			their children's education (Ee), responding quickly to parent concerns (Eg), reporting achievement on a regular basis (Eh), and using parents and others in the community as classroom resources (Ej).
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**FORM B-1**



**TEACHER AND PRINCIPAL PRACTICE RUBRIC NARRATIVE:**

*Please complete **Table 1.2 (and 1.1)** only, if you are submitting a **TEACHER PRACTICE RUBRIC.***

<b>Table 1.2</b>			
<b>Approval Category</b>	<b>Approval Criteria</b>	<b>My rubric covers the following (Yes or N/A):</b>	<b>Please thoroughly describe any evidence to support your rubric’s alignment with the categories listed. If your rubric does not align with the category listed, please indicate “N/A.”</b>
<b>Alignment with Overall New York State Evaluation System</b>	<i>My rubric:</i> broadly covers the New York State Teaching Standards, and its related elements.	Yes	The research base for Marshall's rubrics overlaps with that used to develop New York State's Teaching Standards, which is why the match is so close. Influential writers, including Robert Marzano, Dylan Wiliam, Jon Saphier, Douglas Reeves, and others, have synthesized decades of research on effective practice, forming a consensus on which teacher actions produce the best student learning for the most students.
	is grounded in research about teaching practice that supports positive student learning outcomes.	Yes	These rubrics are based on research on effective teaching practices, including Enhancing Professional Practice: A Framework for Teaching by Charlotte Danielson (ASCD, 1996, 2007), Linking Teacher Evaluation and Student Learning by Pamela Tucker and James Stronge (ASCD, 2005), The Skillful Teacher by Jon Saphier et al. (Research for Better Teaching, 1997), and What Works in Schools: Translating Research Into Action by Robert Marzano (ASCD, 2003). In addition, these rubrics drew on other research-based rubrics, including those designed for Alexandria, Virginia by James Stronge and district staff, the Aspire Charter School rubrics, and the City on a Hill Charter School (Boston) rubrics.
	has four performance	Yes	The four levels of performance are Highly

	ratings categories.		Effective, Effective, Improvement Necessary, and Does Not Meet Standards. Although the wording of the bottom two levels is different from New York State's, the intent and basic message is the same - mediocrity and unacceptability. If required, these two can be changed to conform with New York's wording.
	does not have four levels that match the rating categories of highly effective, effective, developing, and ineffective, but the rubric's summary ratings are easily convertible to the four rating categories that New York State has adopted.	N/A	
	clearly defines the expectations for each rating category. The Highly Effective and Effective rating categories must encourage excellence beyond a minimally acceptable level of effort or compliance.	Yes	These rubrics were written with the clear philosophy that the top two levels define teaching that is effective and highly effective in terms of student outcomes. Teachers performing at these levels raise the achievement of all students and narrow the racial and economic gap. The top level - Highly Effective - is reserved for truly outstanding, master teaching. The next level, Effective, is solid performance and no teacher should be embarrassed to score at this level. Level 2 defines mediocrity, and the label - Improvement Necessary - carries the clear message that continued performance at this level is not acceptable (it is not a "gentleman's C"). The bottom level is clearly unsatisfactory and should result in dismissal if improvement does not occur on a tight timeline .
	is applicable to all grades and subjects or, is designed explicitly for specific grades/subjects as indicated herein.	Yes	These rubrics were designed to be used from pre-kindergarten through the senior year of high school and for all subject areas. The 60 criteria are sufficiently generic that administrators can rate all teachers with them.
<b>Ease of Implementation</b>	uses clear and precise language that facilitates common understanding among	Yes	Marshall was at pains to use plain English and keep each descriptor as brief as possible. Note that all the left-column headlines are single words or two-word hyphenated phrases. Since their

	teachers and administrators.		original publication in Kappan EDge Magazine, the rubrics have been through seven revisions (the latest in response to comments from NYSED staff), each responding to feedback from teachers and administrators that made the rubrics clearer and more precise.
	is specifically designed to assess the classroom effectiveness of teachers.	Yes	The first four domains address planning and preparation for learning, classroom management, delivery of instruction, and monitoring, assessment, and follow-up with students - all quintessentially classroom-based activities. The fifth and sixth domains deal with outside-classroom criteria - family and community outreach and professional responsibilities - that nonetheless have an impact on classroom effectiveness.
	to the extent practicable, relies on specific, discrete, observable, and/or measurable behaviors by students and teachers in the classroom with direct evidence of student engagement and learning.	Yes	The intent in drafting and revising these rubrics has been to give administrators clear wording and criteria on which they can "hang their hats" as they evaluate teachers. The wording at each of the four performance levels draws a clear distinction between excellent, solid, mediocre, and unsatisfactory performance - not by using the words "Always", "Mostly", "Sometimes", and "Rarely/Never", but by using clear, descriptive language to distinguish each level in terms of concrete, observable behaviors.
	includes descriptions of any specific training and implementation details that are required for the rubric to be effective.	Yes	The cover page to the rubrics states that for school administrators to responsibly and knowledgeably fill out these rubrics at the end of a school year, they must make multiple, unannounced visits to each teacher's classroom and have face-to-face feedback conversations with each teacher each time, identifying strengths and weaknesses and coaching them to improve in specific areas. In addition, it is essential for principals to be involved with teacher teams as they develop curriculum units and analyze and follow up on interim assessment results. Marshall's book, "Rethinking Teacher Supervision and Evaluation" (Jossey-Bass, 2 <sup>nd</sup> Ed, 2013) spells out in detail the process for using mini-observations, curriculum planning, the professional learning community process, and possibly student surveys to compile an accurate assessment of each teacher. Marshall's training workshops give administrators practice in these

			key skills.
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FORM B-1

## TEACHER AND PRINCIPAL PRACTICE RUBRIC NARRATIVE:

Please complete **Table 1.3 (and 1.4)** only, if you are submitting a **PRINCIPAL PRACTICE RUBRIC**.

<b>Table 1.3</b>			
<b>ISLLC 2008 Standards</b>	<b>Domain</b>	<b>My rubric covers the following (Yes or N/A):</b>	<b>Please thoroughly describe any evidence to support your rubric's alignment with the categories listed. If your rubric does not align with the category listed, please indicate "N/A."</b>
I.	<i>An education leader promotes the success of every student by:</i> facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by all stakeholders.	Yes	Marshall's Principal Evaluation Rubrics speak clearly of the importance of a results-driven mission (Ad), a theory of action (Af), a strategy shaped by outreach to staff, students, parents, and the community (Ag), and developing support and investment from all quarters (Ah and Ai).
II.	advocating, nurturing and sustaining a school culture and instructional program conducive to student learning and staff professional growth.	Yes	The rubrics address how the principal's work shapes a positive school culture (EA, Eb, Ec), a robust instructional program (Ca, Cc, Cd, Cj), data-driven continuous improvement (Ce, Cf, Cg, Ch, Ci), and professional development (Da, Db, Dc, Dd, De), as well as effective teacher supervision and evaluation and hiring (DG, Dh, Di, Dj)
III.	ensuring management of the organization, operation, and resources for a safe, efficient, and effective learning environment.	Yes	The rubrics address the work of building a positive and safe student culture (Ea, Eb, Ec), effective operational management (Fa, Fb, Fc, Fd), and efficient operations and external relations (Ff, Fg, Fh, and Fj)
IV.	collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community resources.	Yes	The rubrics address faculty collaboration (Da, Db, Dc, Dd, De), communication with parents and the community (Ef, Eg, Eh, Ei), and bringing in resources to achieve the mission (Ei, Ej)
V.	acting with integrity, fairness, and in an ethical manner.	Yes	An important revision in the November 2012 edition of these rubrics is Fa. Ethics. This explicitly addresses the principal's ethical and professional conduct, and expectations for colleagues to behave in like manner. Underlying the rubrics' criteria on mission, planning, curriculum, data-driven instruction,

			professional development, and parent relations is a deep professionalism and bedrock value system about equity, achievement, and fairness toward adults and children. A theme throughout the rubrics is high expectations (Ac, Be, Ca, Dd, Ea). In addition, transparency is a specific criterion (Fe).
VI.	understanding, responding to, and influencing the political, social, economic, legal, and cultural context.	Yes	Starting with a "brutal facts" assessment of the school's achievement status (Ab, Ac), setting ambitious and measurable goals (Ad, Ae), enlisting broad support (Ah, Ai, Dd)), delegating authority (Bf), celebrating success (Cj), communicating effectively across all groups (Ef, Ei), keeping the school on the legal straight and narrow (Ff), and schmoozing with district and external personnel who can help the school (Fi), the rubrics evaluate principals on all the levers they can and should use to work the political and educational system, internally and externally.
	"Other"	Yes	The rubrics emphasize the importance of principals making regular, unannounced visits to classrooms and giving all teachers frequent, face-to-face feedback that helps them improve their practice (Dg), as well as stepping up to the plate to have difficult conversations where necessary (Dh, Di).



**TEACHER AND PRINCIPAL PRACTICE RUBRIC NARRATIVE:**

**FORM B-1**

*Please complete **Table 1.4 (and 1.3)** only, if you are submitting a **PRINCIPAL PRACTICE RUBRIC.***

<b>Table 1.4</b>			
<b>Approval Category</b>	<b>Approval Criteria</b>	<b>My rubric covers the following (Yes or N/A):</b>	<b>Please thoroughly describe any evidence to support your rubric’s alignment with the categories listed. If your rubric does not align with the category listed, please indicate “N/A.”</b>
<b>Alignment with Overall New York State Evaluation System</b>	<i>My rubric:</i> broadly covers the Educational Leadership Policy Standards: ISLLC 2008 and its related domains and elements.	Yes	The rubrics cover the full range of instructional leadership and management standards in the professional literature and ISLLC 2008, packaging them in six domains and boiling down the key points to one-word headlines that focus principals and their supervisors on the most important change levers in schools - those most likely to bring about improvements in teaching and learning.
	is grounded in research about leadership practice that supports positive student learning outcomes.	Yes	These rubrics are an extensive, research-based revision of rubrics developed by New Leaders for New Schools in 2004, which were, in turn, based on research by New Leaders staff on effective school leadership (please see the new Sources list on page 10). Revisions of the rubrics have updated that research, drawing on the work of Jon Saphier, Charlotte Danielson, Douglas Reeves, Robert Marzano, and others.
	has four performance rating categories.	Yes	The four rating categories - Highly Effective, Effective, Improvement Necessary, and Does Not Meet Standards - closely parallel those of New York State.
	does not have four levels that match the rating categories of highly effective, effective, developing, and ineffective, but the rubric’s summary ratings are easily convertible to the four rating categories that New York State has adopted.	N/A	
	clearly defines the expectations for each rating category. The Highly Effective and	Yes	The rubrics use clear, detailed language at each level, spelling out performance that is outstanding, solid, mediocre, and unacceptable. The philosophy behind the levels is that the Effective level is solid,

	Effective rating categories encourage excellence beyond a minimally acceptable level of effort or compliance.		expected professional practice, while the top level is reserved for truly outstanding performance.
<b>Ease of Implementation</b>	uses clear and precise language that facilitates common understanding among building principals and their evaluators.	Yes	The multiple revisions through which these rubrics have gone in the last six years have led to continuous refinement of the language, making it clearer and more succinct (the original New Leaders for New Schools rubrics had 12 domains and were considerably wordier and longer). Feedback from numerous administrators, teachers, graduate students, and other educators (most recently comments from NYSED staff last month) has helped create language that is more direct and forceful.
	is specifically designed to assess the effectiveness of school leaders.	Yes	These rubrics are action documents designed to make those who supervise and evaluate principals more effective. They supply the words to communicate their clear, high expectations and hold principals accountable.
	to the extent practicable, relies on specific, discrete, observable, and/or measurable behaviors by principals and their staff and students.	Yes	The rubrics focus on observable behaviors and specific actions that principals take or do not take to bring about high achievement.
	includes descriptions of any specific training and implementation details that are required for the rubric to be effective.	Yes	The cover page describes the kind of supervision that would allow a principal's boss to fill out these rubrics with knowledge and insight - multiple visits to the school, visiting classrooms, attending meetings, getting feedback. In addition, watching videotapes of classroom instruction and working with current literature are essential to developing these skills and habits of mind.



**TEACHER AND PRINCIPAL PRACTICE RUBRIC PROVIDERS  
TECHNICAL PROPOSAL – RUBRIC DESIGN AND IMPLEMENTATION**

**FORM B-2**

**Rubric Design and Implementation (INFORMATION-ONLY):**

In this section, the applicant should present evidence that their submitted practice rubric has a demonstrated record of effectiveness in contributing to teacher and/or principal achievement.

<p>1. Describe and detail any empirical or statistical evidence of demonstrated professional achievement for teachers and/or principals over time as a result of provider services.</p>	<p><b>Clearly labeled tables or graphs depicting this improvement should be submitted as appendices.</b></p> <p><b>Numerous schools and districts are using these rubrics and revised versions of them, including schools that are getting very high student achievement (Greater Newark Academy, Friendship Charter Schools, and Hamilton County Schools (TN). More research is needed on the role of rubrics, but initial evidence is that clear definitions of quality teaching and leadership have played an essential role in improving student achievement.</b></p>
<p>2. What is the methodology used to collect evidence of the demonstrated professional achievement for teachers or principals (<i>i.e. measures and analyses used, comparison groups, etc.</i>)?</p>	<p><b>Most of the methodology has been in finding correlates of effective teaching and student achievement and incorporating those criteria into both rubrics.</b></p>
<p>3. What type of research design has been established to support these findings? (<i>e.g., experimental, non-experimental, quasi-experimental, etc</i>)</p>	<p><b>Schools and districts using the Marshall rubrics are beginning to do this kind of analysis.</b></p>
<p>4. Describe and detail the proposed scoring or rating system associated with the rubric being submitted.</p>	<p><b>Clearly labeled tables or charts depicting this scoring/rating system should be submitted as appendices.</b></p> <p><b>The rubrics have four levels: Highly Effective (for truly exemplary, master-level performance; Effective (for solid professional practice); Improvement Necessary (for mediocre performance); and Does Not Meet Standards (for unsatisfactory performance). There is a clear description of performance at each level. Page 9 of the rubrics packet is a chart showing how data from a faculty or school district might be displayed to highlight strong and weak areas.</b></p>

<p>5. Describe and detail your organization’s demonstrated ability to adapt and sustain the submitted rubric to align with the requested needs of participating LEAs.</p>	<p><b>These rubrics have gone through ten revisions since their original form in 2006. Kim Marshall has a track record of responding to feedback and suggestions and continuously improving the rubrics.</b></p>
<p>6. What is the instructional content, methodology, and format of any proposed evaluator training that your organization may be able to offer participating LEAs?</p> <p><i>Please note: providers are not obligated to provide training nor are districts obligated to buy training from providers.</i></p>	<p><b>Marshall has conducted hundreds of training workshops, courses, and consulting visits with principals, central-office personnel, teacher leaders, instructional coaches, and teacher union officials. The agenda for these sessions focuses on problems with the conventional teacher supervision and evaluation process, the "logic model" for how supervision and evaluation should work under ideal conditions, and a four-part model for reaching the ideal: (a) unannounced, frequent mini-observations, ten per teacher per year, with face-to-face feedback to each teacher each time, followed up with brief written summaries; (b) principals working with teacher teams to backwards-design curriculum units so there is clarity on the broader purpose of each lesson, including Big Ideas and Essential Questions; (c) principals working with teacher teams to analyze and follow up on interim assessment results, constantly asking what's working and what's not working in classrooms based on student learning and adopting the most effective practices to bring all students to high levels of achievement; and (d) using the rubrics to sum up each teacher's performance at the end of each year, based on formative information from the mini-observations and teachers' performance in the other two domains. Training to implement this model does not have to be extensive and time-consuming. Kim Marshall has found that a single full-day workshop is usually enough to get principals started, with regular staff and leadership inservice time providing reinforcement and follow-up. In some districts, Marshall has done a follow-up workshop for principals once the process has been in motion for some months. The key success factor is the district's central-office administrators working closely with principals and conveying a clear understanding of the logic model and the best practices in each area</b></p>
<p>7. Describe and detail the projected costs associated with the adoption of your teacher or principal rubric evaluation tool, which would include the projected cost(s) for the adoption of the practice rubric</p>	<p><b>The rubrics themselves are free of charge and open source, so there is no cost associated with adopting them, unless the school or district decides to commit staff time to revising them (as Hamilton County, Tennessee did; they took two days with committees for each of the six domains). Marshall estimates that gear-</b></p>

<p>and any supplemental costs involved (<i>i.e. training/ instruction, implementation costs, materials, etc.</i>).</p>	<p><b>ing up to implement the rubrics would involve a full-day training session for all administrators (\$1,000 for his time, perhaps more for other consultants) and a follow-up meeting mid-year to fine-tune and troubleshoot (\$500). Further training, practice, videotape simulations, role-playing, and problem-solving should take place in regularly-scheduled administrative meetings; introduction of the rubrics to teachers should take place in regularly-scheduled school-based staff meetings.</b></p>
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**TEACHER AND PRINCIPAL PRACTICE RUBRIC PROVIDERS  
TECHNICAL PROPOSAL – ORGANIZATIONAL CAPACITY**

**FORM B-3**

**Organizational Capacity (INFORMATION-ONLY):**

In this section, the applicant should demonstrate that it has adequate human, organizational, and technical resources to provide the proposed teacher and/or principal practice rubric services.

<p>1. A description of the organization, including information such as length of time in operation, number of existing locations, number of staff, an organization chart, etc.</p>	<p><b>Marshall has been conducting workshops, teaching graduate courses, and writing articles and a book about this approach to teacher supervision and evaluation since 1996, and on principal evaluation since 2010. In 2011 alone, he conducted 125 workshops around the United States. He has formed a partnership with the Leadership and Learning Center to support his work on teacher evaluation, should there be more demand that Marshall can handle.</b></p>
<p>2. A description of the organization’s history of providing similar teacher and/or principal evaluation services, including the outcomes achieved, number of previous contracts, the diversity of clients, the number of students served, etc.</p>	<p><b>As above. Numerous school districts, charter management organizations, and individual schools have adopted all or parts of Marshall's approach, including Hamilton County, Tennessee, and urban-suburban district centered in Chattanooga, the Friendship Charter Schools in Washington, D.C., and Westwood, Massachusetts. Manhasset and Mamaronek, NY have adopted Marshall's rubrics and approach to teacher supervision and evaluation. A full list is available on request.</b></p>
<p>3. Copies of the organization’s tax returns for the past two years, or other evidence of fiscal soundness, e.g. annual financial statements, fiscal audits, Dunn &amp; Bradstreet reports, etc., submitted as Appendices.</p>	<p><b>Please clearly identify and attach this documentation in the Appendix section.</b></p>
<p>4. Copy of the organization’s 501(c)3 certificate or State license.</p>	<p><b>Please clearly identify and attach this documentation in the Appendix section.</b></p>
<p>5. Information as to whether lawsuits have been filed against the organization for educational and/or fiscal mismanagement, civil rights violations, criminal act(s), or other reason(s); and indicate the outcome of each instance.</p>	<p><b>No lawsuits have been filed against Kim Marshall, educational consultant, regarding his work with teacher supervision and evaluation and the rubrics he has written.</b></p>
<p>6. Information as to whether the or-</p>	

<p>ganization has been denied the ability to conduct business in any state and indicate the reason(s) for such denial.</p>	
<p>7. Information as to whether the organization has been debarred or suspended from doing business with any local government, state, or the federal government.</p>	<p><b>This has not occurred.</b></p>
<p>8. Information as to whether the organization has been approved as a teacher and/or principal evaluation service provider in another state and specify such state(s).</p>	<p><b>Tennessee has approved the Marshall Teacher and Principal rubrics developed by Hamilton County (based on Marshall's) for statewide use. New York and New Jersey have approved Marshall's teacher and principal evaluation rubrics, and he has done a number of trainings around those states. Other states and charter management organizations are using the rubrics as baseline documents as they develop their own evaluation rubrics. Since the Marshall rubrics are "open source", there is no way to get an accurate count of districts and others using them.</b></p>



**TEACHER AND PRINCIPAL PRACTICE RUBRIC PROVIDERS**  
**TECHNICAL PROPOSAL – SERVICE SUMMARY**  
*(INFORMATION-ONLY)*

**FORM C**

**Please complete this form if the applicant provides training or professional development services around evaluation and/or the use of their rubric. If the applicant does not provide additional services, please enter “N/A” into the first field below.**

1.	Name of organization:	Michael Kim Marshall, Educational Consultant
	Primary location (city/state):	222 Clark Road, Brookline, MA 02445
	Contact information: (phone / email / website):	617-566-4353 kim.marshall48@gmail.com www.marshallmemo.com
	LEAs where service will be provided (or is intended to be provided):	I will respond to requests from any New York State LEA, depending on availability
2.	The number of years the provider has delivered service:	17 years
3.	Title of the Teacher and/or Principal Rubric Evaluation model to be used (if appropriate):	Marshall Teacher Evaluation Rubrics, Marshall Principal Evaluation Rubrics
4.	Professional population that the provider has served, and that they are requesting to serve (i.e., teachers, principals, admin., etc.):	Superintendents, central-office supervisors of principals, curriculum directors, principals and other school-based administrators, teacher leaders, teachers, teacher union officials
5.	Number of teachers and/or principals that have received an evaluation using the submitted rubric tool (approximately):	Approx. 7,500 (during 2013)
6.	Number of teacher and/or principal evaluation instructional sessions provided per year, if applicable:	122 (during 2013)
7.	Average length of each training session for the training of evaluators (minutes/hours):	3-7 hours

**Following is information provided as of December 27, 2013 date (contact the provider for the most up-to-date information):**

<p><b>Teacher/Principal Rubric Tool:</b>  <input checked="" type="checkbox"/> Free    <input checked="" type="checkbox"/> For Cost</p>
<p><b>If for cost, to which does a fee apply:</b>  <input type="checkbox"/> Rubric    <input checked="" type="checkbox"/> Related services (e.g., training or professional development associated with the use of the rubric)</p>

**If services are offered by the applicant, are any mandatory in order to use the rubric?**

Yes       No

**If approved as a provider of a teacher and/or principal practice rubric, we are prepared to provide services to:**

- All Districts/LEAs in the State of New York, or  
 Only to the following Districts/LEAs:



**FORM D**

**TEACHER AND PRINCIPAL PRACTICE RUBRIC PROVIDERS  
Assurances and Signature**

In submitting this application to be included in the State Education Department’s Teacher and Principal Practice Rubric Service Provider list, I certify that:

1. The organization will comply with all applicable Federal, State and local health, safety, and civil rights laws.
2. All individuals employed by or otherwise associated with the organization, who will have direct contact with eligible teachers, principals, or students, will be subject to all of the fingerprint and criminal history record check requirements contained in law, including, Education Law §§305(30), 1125(3), 1604(39), 1604(40), 1709(39), 1709(40), 1804(9), 1804(10), 1950(4)(ll), 1950(4)(mm), 2503(18), 2503(19), 2554(25), 2554(26), 2590-h (20), 2854(3)(a-2), 2854(3)(a-3), 3035 and Part 87 of the regulations of the Commissioner of Education.
3. All instruction and content will be secular, neutral, and non-ideological.
4. All instruction and content provided to LEA’s will be aligned to the applicable professional standards of practice for teachers and/or principals, including but not limited to, the New York State Teaching Standards, ISLCC 2008 Leadership standards, New York State Education Law, and the Commissioner’s regulations.
5. The organization is fiscally sound and will be able to complete services to the eligible local educational agency.

The undersigned hereby certifies that I am an individual authorized to act on behalf of the organization in submitting this application and assurances. I certify that all of the information provided herein is true and accurate, to the best of my knowledge. I understand that, if any of the information contained herein is found to have been deliberately misrepresented, that may constitute grounds for denying the applicant’s request for approval to be placed in the list of Teacher and Principal Practice Rubric Service Providers or for removal from that same list. I further certify that the organization will comply with all of the assurances set forth herein.

<p>1. Name of Organization (PLEASE PRINT/TYPE) <b>Michael Kim Marshall, Educational Consultant</b></p>	<p>4. Signature of Authorized Representative  (PLEASE USE <b>BLACK/BLUE</b> INK)</p>
<p>2. Name of Authorized Representative (PLEASE PRINT/TYPE) <b>Michael Kim Marshall</b></p>	<p>5. Date Signed</p>
<p>3. Title of Authorized Representative (PLEASE PRINT/TYPE) <b>Educational Consultant</b></p>	



**FORM E**

## Request for Exemption from Disclosure Pursuant to the Freedom of Information Law

New York State Public Officers Law, Article 6 (Freedom of Information Law) requires that each agency shall make available all records maintained by said agency, except that agencies may deny access to records or portions thereof that fall within the scope of the exceptions listed in Public Officers Law §87(2).

Any proprietary materials submitted as part of, or in support of, an applicant’s proposal, which applicant considers confidential or otherwise excepted from disclosure under the Freedom of Information Law, must be specifically so identified, and the basis for such confidentiality or other exception must be specifically set forth.

Please list **all** such documents for every portion of the proposal on the form below. Materials which are not indicated below may be released in their entirety upon request without notice to you.

According to law, the entity requesting exemption from disclosure has the burden of establishing entitlement to confidentiality. Submission of this form does not necessarily guarantee that a request for exemption from disclosure will be granted. If necessary, NYSED will make a determination regarding the requested exemptions, in accordance with the process set forth in Public Officers Law §89(5).

**Name of Organization:**

Material for which Exemption is Requested	Location / Page Number(s)	Basis for Request