

# **U.S. Department of Education**

**Washington, D.C. 20202-5335**



## **APPLICATION FOR GRANTS UNDER THE**

**APPLICATION FOR NEW GRANTS UNDER THE TEACHER INCENTIVE FUND  
PROGRAM**

**CFDA # 84.385A**

**PR/Award # S385A100096**

OMB No. 1810-0700, Expiration Date: 11/30/2010

Closing Date: JUL 06, 2010

# **\*\*Table of Contents\*\***

## **Forms**

1. Application for Federal Assistance (SF-424) _____	e1
Program/Project Congressional Districts _____	e5
2. Standard Budget Sheet (ED 524) _____	e6
3. SF-424B - Assurances Non-Construction Programs _____	e8
4. Disclosure of Lobbying Activities _____	e10
5. ED 80-0013 Certification _____	e11
6. 427 GEPA _____	e12
Section 427 of GEPA _____	e14
7. Dept of Education Supplemental Information for SF-424 _____	e16

## **Narratives**

1. Project Narrative - (Project Abstract...) _____	e17
PICCS-NYC Abstract _____	e18
2. Project Narrative - (Application Narrative...) _____	e19
PICCS - NYC Project Narrative _____	e20
3. Project Narrative - (High-Need Schools Documentation...) _____	e87
High-Needs Schools Documentation _____	e88
4. Project Narrative - (Union, Teacher, Principal Commitment Letters or.....) _____	e89
School Leader Commitment Letters _____	e90
5. Project Narrative - (Other Attachments...) _____	e111
Indirect Cost Rate and Resumes _____	e112
6. Budget Narrative - (Budget Narrative...) _____	e128
PICCS-NYC Budget Narrative _____	e129

This application was generated using the PDF functionality. The PDF functionality automatically numbers the pages in this application. Some pages/sections of this application may contain 2 sets of page numbers, one set created by the applicant and the other set created by e-Application's PDF functionality. Page numbers created by the e-Application PDF functionality will be preceded by the letter e (for example, e1, e2, e3, etc.).

**Application for Federal Assistance SF-424**

Version 02

* 1. Type of Submission	* 2. Type of Application: * If Revision, select appropriate letter(s):	
<input type="checkbox"/> Preapplication	<input checked="" type="checkbox"/> New	
<input checked="" type="checkbox"/> Application	<input type="checkbox"/> Continuation	* Other (Specify)
<input type="checkbox"/> Changed/Corrected Application	<input type="checkbox"/> Revision	

* 3. Date Received:	4. Applicant Identifier:
7/5/2010	

5a. Federal Entity Identifier:	* 5b. Federal Award Identifier:
	NA

**State Use Only:**

6. Date Received by State:	7. State Application Identifier:

**8. APPLICANT INFORMATION:**

\* a. Legal Name: Center for Educational Innovation - Public Education Association

* b. Employer/Taxpayer Identification Number (EIN/TIN):	* c. Organizational DUNS:
██████████	██████████

**d. Address:**

* Street1:	██████████
Street2:	██████████
* City:	██████████
County:	██████████
State:	██
Province:	
* Country:	██
* Zip / Postal Code:	██████

**e. Organizational Unit:**

Department Name:	Division Name:

**f. Name and contact information of person to be contacted on matters involving this application:**

Prefix:	* First Name:	Frank
Middle Name:		

\* Last Name: San Felice

Suffix:

Title: Director

Organizational Affiliation:

CEI-PEA

\* Telephone  
Number:



Fax Number:

\* Email: FSANFELICE@CEI-PEA.ORG

**Application for Federal Assistance SF-424**

Version 02

**9. Type of Applicant 1: Select Applicant Type:**

M: Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

**10. Name of Federal Agency:**

U.S. Department of Education

**11. Catalog of Federal Domestic Assistance Number:**

84.385A

CFDA Title:

Application for New Grants Under the Teacher Incentive Fund Program

**\* 12. Funding Opportunity Number:**

ED-GRANTS-052110-001

Title:

Opportunity Category: Discretionary

Office of Elementary and Secondary Education: Teacher Incentive Fund ARRA CFDA

84.385

**13. Competition Identification Number:**

Title:

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

New York City, NY

**\* 15. Descriptive Title of Applicant's Project:**

(PICCS-NYC) Partnership for Innovation in Compensation for Charter Schools - NYC

Attach supporting documents as specified in agency instructions.

**Attachment:**

Title :

File :

**Attachment:**

Title :

File :

**Attachment:**

Title :

File :

**Application for Federal Assistance SF-424**

Version 02

**16. Congressional Districts Of:**

\* a. Applicant: NY-014

\* b. Program/Project: attachment

Attach an additional list of Program/Project Congressional Districts if needed.

**Attachment:**

Title : Program/Project Congressional Districts

File : C:\fakepath\PICCS-NYC Congressional Districts.doc

**17. Proposed Project:**

\* a. Start Date: 10/1/2010

\* b. End Date: 6/30/2015

**18. Estimated Funding (\$):**

a. Federal	\$ [REDACTED]
b. Applicant	\$ 0
c. State	\$ 0
d. Local	\$ [REDACTED]
e. Other	\$ 0
f. Program Income	\$
g. TOTAL	\$ [REDACTED]

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

a. This application was made available to the State under the Executive Order 12372 Process for review on .

- b. Program is subject to E.O. 12372 but has not been selected by the State for review.  
 c. Program is not covered by E.O. 12372.

**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

Yes  No

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix: Mr. \* First Name: Sy

Middle Name:

\* Last Name: Fliegel

Suffix:

Title: President, CEI-PEA

\* Telephone Number: [REDACTED]

Fax Number: [REDACTED]

\* Email: [REDACTED]

\* Signature of Authorized Representative:

\* Date Signed:

**Application for Federal Assistance SF-424**

Version 02

**\* Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

Congressional Districts for PICCS-NYC

NY-005, NY-006, NY-007, NY-008, NY-009, NY—010, NY—011, NY—12, NY-013, NY-014, NY—015, NY-016



**U.S. DEPARTMENT OF EDUCATION**  
**BUDGET INFORMATION**  
**NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:  
 Center for Educational Innovatio...

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY**  
**U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1(a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs*						
11. Training Stipends						
12. Total Costs (lines 9-11)						

**\*Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government?  Yes  No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: 1/1/2010 To: 12/31/2012 (mm/dd/yyyy)

Approving Federal agency:  ED  Other (please specify): \_\_\_\_\_ The Indirect Cost Rate is 0%

(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

Is included in your approved Indirect Cost Rate Agreement? or,  Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is 0%



**U.S. DEPARTMENT OF EDUCATION**  
**BUDGET INFORMATION**  
**NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:  
 Center for Educational Innovatio...

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION B - BUDGET SUMMARY**  
**NON-FEDERAL FUNDS**

Budget Categories	Project Year 1(a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Standard Form 424B (Rev.7-97)

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. 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, 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
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 sub-agreements.
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

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.

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.

**Signature of Authorized Certifying Representative:**

**Name of Authorized Certifying Representative:** Sy Fliegel

**Title:** President

**Date Submitted:** 06/25/2010

### Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

<b>1. Type of Federal Action:</b> <input type="checkbox"/> Contract <input type="checkbox"/> Grant <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Loan <input type="checkbox"/> Loan Guarantee <input type="checkbox"/> Loan Insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> Bid/Offer/Application <input type="checkbox"/> Initial Award <input type="checkbox"/> Post-Award	<b>3. Report Type:</b> <input type="checkbox"/> Initial Filing <input type="checkbox"/> Material Change <b>For Material Change only:</b> Year: 0 Quarter: 0 Date of Last Report:
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier, if known: 0  Name: Address: City: State: Zip Code + 4: -	<b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b>  Name: Address: City: State: Zip Code + 4: -  Congressional District, if known:	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable:	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known: \$0</b>	
<b>10. a. Name of Lobbying Registrant</b> (if individual, last name, first name, MI): Address: City: State: Zip Code + 4: -	<b>b. Individuals Performing Services</b> (including address if different from No. 10a) (last name, first name, MI): Address: City: State: Zip Code + 4: -	
<b>11.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Name: Sy Fliegel Title: President Applicant: Center for Educational Innovation - Public Education Association Date: 06/28/2010	
<b>Federal Use Only:</b>		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

## CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements.

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) 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 awarding of any Federal contract, the making of any Federal grant, the making of any Federal Loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.

(2) 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 contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance.

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### APPLICANT'S ORGANIZATION

Center for Educational Innovation - Public Education  
Association

### PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix:                      First Name: Sy                                      Middle Name:  
Last Name: Fliegel    Suffix:  
Title: President

Signature: \_\_\_\_\_ Date: 06/25/2010

ED 80-0013

03/04

## Section 427 of GEPA

### NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P. L.) 103-382).

#### **To Whom Does This Provision Apply?**

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

#### **What Does This Provision Require?**

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct

description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

#### **What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?**

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

### **Estimated Burden Statement for GEPA Requirements**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1894-0005**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537.

Applicants should use this section to address the GEPA provision.

**Attachment:**

Title : Section 427 of GEPA

File : C:\fakepath\Statement regarding GEPA requirements --piccs-nyc.doc

## **Statement regarding GEPA requirements**

### **Equitable Access and Participation**

If funded, the Center for Educational Innovation—Public Education Association (CEI-PEA) and all schools and organizations participating in or associated with the project will take proactive steps to ensure equitable access to and participation in the federally funded program for all project beneficiaries with special needs. Participants, personnel and service providers have been and will continue to be selected for this project without regard to race, color, national origin, gender, age or handicapping condition. The project will comply with the non-discrimination policy of CEI-PEA and the non-discrimination provisions of each participating school's charter agreement. Neither CEI-PEA, its partner organizations nor the participating charter schools discriminate on the basis of sex, disability, race, religion, color, age, gender, sexual orientation and/or national origin. CEI-PEA's non-discrimination policy will extend to employment and participation in the proposed project.

Notice of the award will be disseminated widely throughout New York City and elsewhere through various media, including general market and minority newspapers, relevant websites and other appropriate media. In its notices, press releases and/or advertisements, the project will be described in a manner that makes clear its encouragement and support of participation by members of groups that are historically under-represented for reason of race, religion, color, age, gender, sexual orientation and/or national origin, and by organizations comprised of and/or owned or managed by members of such groups. Where appropriate, the notices will include procedures for requesting employment, contracting opportunities or other affiliations with the project. Additionally, information about the grant award and relevant project notices—including information about any employment, contracting or sub-contracting

opportunities—will be made available to persons throughout the community and city through dissemination to appropriate community-based organizations and faith-based organizations. In disseminating information about the project and its employment and contracting opportunities, CEI-PEA will use minority-oriented media such as The Amsterdam News, El Diario and African American-operated and Hispanic-operated radio and television stations and websites.

In implementing the project, CEI-PEA and its partners and service providers will use professional development specialists and others with experience working with diverse groups of educators and, to the extent necessary, will recruit and hire additional personnel with such experience.

In addition, project activities will be located at handicapped-accessible sites, and all appropriate modifications to materials, correspondence, equipment and services will be made to help students with handicapping conditions. Project recruitment, marketing and hiring practices will seek to involve and facilitate the participation of persons with disabilities. To this end, CEI-PEA, its partner organizations and participating schools will leverage their relationships with community-based organizations that address the needs of persons with disabilities.



# Project Narrative

## Project Abstract

Attachment 1:

Title: **PICCS-NYC Abstract** Pages: **0** Uploaded File: **PICCS NYC Abstract.pdf**

## **Abstract**

The Center for Educational Innovation – Public Education Association (CEI-PEA) in partnership with seven high-need public charter schools in New York City is applying to the **Main TIF Competition** for its proposed program: Partnership for Innovation in Compensation for Charter Schools in NYC (**PICCS-NYC**). The PICCS-NYC charter school consortium is comprised of seven schools with 205 teachers, serving 2,422 students. On average, the schools serve 80% free and reduced lunch eligible students. The average teacher turn-over rate is 27% and the average percentage of teachers with fewer than three years of experience is 41%.

PICCS-NYC will enhance and expand performance-based compensation systems for school leaders, instructional administrators, teachers and instructional staff at the participating schools. The project will support each consortium member school in converting its current salary schedule-based compensation system that provides limited or no performance-based incentives into a comprehensive performance-based compensation system (PBCS). The PBCS will compensate all instructional administrators and staff based on their effectiveness in attaining student achievement targets. The project is also designed to provide resources and support to instructional staff necessary to help them meet high student achievement targets. PICCS-NYC will develop a consortium-wide framework for establishing a process for comprehensive performance-based compensation and school improvement. Within this framework, PICCS-NYC will help each consortium school establish school-specific strategies for implementing effective differentiated compensation initiatives focused on improvement of instruction and increased student achievement and growth.

# Project Narrative

## Application Narrative

Attachment 1:

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# Partnership for Innovation and Compensation for Charter Schools – New York City

Proposal submitted by:  
Center for Educational Innovation – Public Education Association

In partnership with  
Seven NYC Public Charter Schools

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# Table of Contents

Need for Project_____	1
OVERVIEW OF PICCS-NYC SCHOOLS_____	1
RECRUITING & RETAINING HIGHLY QUALIFIED EDUCATORS_____	2
CHALLENGE OF SUSTAINING STUDENT ACHIEVEMENT_____	3
Project Design_____	5
STRATEGY TO REWARD EFFECTIVE EDUCATORS_____	5
METHODOLOGY TO ESTABLISH PBCS_____	9
SIZE OF THE AWARDS_____	23
DETERMINATION OF EFFECTIVENESS_____	26
INVOLVEMENT OF STAKEHOLDERS_____	31
EVALUATION SYSTEMS_____	34
PICCS DATA MANAGEMENT SYSTEM_____	37
PROFESSIONAL DEVELOPMENT_____	41
Adequacy of Support for the Proposed Project_____	48
MANAGEMENT PLAN_____	48
TIME LINE_____	53
PROJECT PERSONNEL_____	57
MATCHING FUNDS_____	59
SUFFICIENT FUNDING REQUEST_____	59
Local Evaluation_____	60

# Need

## OVERVIEW OF PICCS-NYC SCHOOLS

The Partnership for Innovation in Compensation for Charter Schools in New York City (PICCS-NYC) is comprised of seven high-need public charter schools that educate students from grades K to 12 in some of the most impoverished neighborhoods in New York City.

### PICCS-NYC Schools – Student Demographic Data

<b>PICCS-NYC SCHOOLS</b>	<b>Number of Students Enrolled</b>	<b>Percent Free &amp; Reduced Lunch Eligible</b>	<b>Percent Special Education</b>	<b>Percent English Language Learners</b>
Bronx Charter School for Excellence	320	71%	9%	3%
Bronx Preparatory Charter School	670	86%	10%	6%
Challenge Prep Charter School	144	100%	10%	10%
Dr. Richard Izquierdo Health & Science CS	108	98%	28%	15%
DREAM Charter School	146	78%	18%	6%
Future Leaders Institute Charter School	333	72%	10%	1%
Our World Neighborhood Charter School	701	54%	7%	8%
<b>Totals/Averages</b>	<b>2,422</b>	<b>80%</b>	<b>13%</b>	<b>7%</b>

## RECRUITING & RETAINING HIGHLY QUALIFIED EDUCATORS

All of the schools participating in PICCS-NYC are charter public schools, which means that they operate under a charter from New York State that must be renewed every five years, with renewal conditioned upon the school’s achievement of rigorous goals for student achievement, financial sustainability, and management. In essence, each of the PICCS-NYC schools operates

both as a school and a school district (LEA), thus requiring the school to have in place all of the supports necessary for excellence as a learning environment (instructional and curricular leadership) as well as excellence as an organization (administrative, human resources, management leadership).

This autonomy allows for the schools to develop and implement innovative programs such as the proposed performance-based compensation system described in this proposal. However, it also leaves the schools at a disadvantage in terms of supporting and sustaining educators. The numbers tell the story: The New York City Independent Budget Office recently released a report comparing district school per-pupil funding with charter school per-pupil funding. The report found that charter schools that do not have access to NYC Department of Education classroom space receive \$3,017 less per pupil than district schools. The report also found that charter schools that share space with district schools in DOE buildings still receive \$305 less per pupil.<sup>1</sup> For the PICCS-NYC school, this discrepancy in funding produces a difference of up to \$7.3 million a year across the seven schools or \$36.5 million over the life of the proposed five-year grant period.

None of the schools participating in PICCS-NYC have a significant private funding base and therefore literally rely on the only capital that they have: the human capital of their teachers and school leaders. What this means, too often, is that the schools experience high burn-out rates among their teachers and frequently have to hire teachers with great ambition and drive but not much experience or even the proper credentials. A total of 205 teachers are scheduled to teach at the seven schools in Fall 2010 and due to growth plans at the schools, this number will rise to 296 teachers by 2014-2015 (the final year of the proposed grant program). Three of the four

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<sup>1</sup> “Fiscal Brief, “ New York City Independent Budget Office, February 2010.

schools are newly chartered without sufficient data on teacher experience. For those schools with available data, we found the following challenges<sup>2</sup>:

- **High Teacher Turn Over Rate** – The teacher turn over rate ranged from 17% to 35% with an average of 27% annually.
- **Teachers without Appropriate Certification** – The percentage of students taught by teachers without appropriate certification ranged from 20% to 50% with an average of 32%.
- **Inexperienced Teachers** – The percentage of teachers with fewer than three years of experience ranged from 17% to 58% with an average of 41%.

### **CHALLENGE OF SUSTAINABLE STUDENT ACHIEVEMENT**

The good news for the schools participating in PICCS-NYC is that the four schools with student achievement data<sup>3</sup> are, in general, out-performing comparable schools (where “comparable” is defined as other public schools from within their local community school district): on the 2008 New York State Math Assessments, three of the four schools with achievement data out-performed comparable schools, with as much as 19% more students at or above proficiency (one under-performed by 1% point); on the 2008 ELA Assessments, all four of the schools with achievement data out-performed comparable schools by as much as 23% points.<sup>4</sup>

The bad news is that while they are out-performing their comparable schools, most continue to lag behind the New York State averages and all have large percentages of “bubble students”—students who just made it above “proficient”—and thus are in peril of demonstrating early but unsustainable achievement. A 2010 study by Stanford University, *Charter School Performance in New York City*, illustrates the tenuous situation of the city’s charter schools. The

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<sup>2</sup> NYS School Report Cards – Accountability and Overview Report, 2008-2009.

<sup>3</sup> Three of the four schools are newly chartered and do not have student achievement data for tested grades.

<sup>4</sup> NYS School Report Cards – Accountability and Overview Report, 2008-2009.

study compares the performance of students at NYC charter schools with students at the schools they would have attended, had they enrolled in their traditional zoned public school. The school-by-school comparisons showed that in Math, a third of charter schools show no difference, and 16% were found to have significantly lower learning. In reading, 12% deliver worse results and about 60% are producing learning that is equivalent to their regular public school counterparts. Of particular concern is that the results suggest that new charter school students receive a significant learning loss in reading compared to their counterparts in traditional public schools, further increasing the achievement gap.<sup>5</sup>

It is clear that charter schools can out-perform comparable public schools but the deck is stacked against them as they receive significantly less per-pupil funding, have larger operating expenses due to the cost of leasing space and providing “back office” functions, which are normally covered by a school district. Charter schools also lack the wealth of resources that a large entity such as a school district can provide in terms of professional development for teachers. It is important to remember that despite these gaps in resources, New York City’s charter schools are open to all students in their local community school district and enroll students through a lottery process that ensures full accessibility for all children. PICCS-NYC is designed to help re-shuffle the deck to build upon the strengths of charter schools and help ensure long-term high student achievement by investing in the schools’ most critical resource: the educators.

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<sup>5</sup> *Multiple Choice: Charter School Performance in 16 States*, Center for Research on Education Outcomes: Stanford University, 2009.

# Project Design

## STRATEGY TO REWARD EFFECTIVE EDUCATORS

PICCS-NYC will enhance and expand performance-based compensation systems for school leaders, instructional administrators, teachers and instructional staff at seven high-need charter schools across four boroughs in New York City. The project will support each consortium member school in converting its current salary schedule-based compensation system that provides limited or no performance-based incentives into a comprehensive performance-based compensation system (PBCS).<sup>6</sup> The PBCS will compensate all instructional administrators and staff based on their effectiveness in attaining student achievement targets. The project is also designed to provide resources and support to instructional staff necessary to help them meet high student achievement targets. PICCS-NYC will develop a consortium-wide framework for establishing a process for comprehensive performance-based compensation and school improvement. Within this framework, PICCS-NYC will help each consortium school establish school-specific strategies for implementing effective differentiated compensation initiatives focused on improvement of instruction and increased student achievement and growth.<sup>7</sup> In the process, it will address the absolute priorities of the Teacher Incentive Fund (TIF) by:

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<sup>6</sup> All participating schools were surveyed in June 2010 about their existing compensation systems. None of the schools have a performance-based compensation system but three have a mandate from their Board of Trustees to establish a PBCS. All secured approval from their Board of Trustees to establish a PBCS through this grant, if funded, and maintain the PBCS after the close of the grant period.

<sup>7</sup> As discussed throughout this narrative, the PICCS-NYC project must address the unique challenges of creating systemic change and compensation reform across a consortium of independent and autonomous charter school LEAs. Each participating charter school has its own charter agreement, its own Board of Trustees and its own management plan and personnel policies. The PICCS-NYC approach is to establish, in a collaborative manner, a consortium-wide framework for creating and implementing performance-based compensation plans, teacher and administrator evaluation processes, professional development and other project initiatives.

- Establishing in each consortium school a differentiated compensation system that fundamentally rewards teachers and Principals for effectiveness in improving student academic achievement outcomes, taking on and fulfilling leadership responsibilities and promoting school-wide improvements in teaching and learning;
- Establishing a consortium-wide framework and school-specific initiatives to ensure that compensation in consortium schools is based on student achievement, as defined in the TIF Request for Proposals (RFP) and as measured by objective data on student performance, comprehensive data-driven evaluation and leadership;
- Integrating the above-described compensation reform into a comprehensive, coherent and integrated school improvement model that leverages resources, expertise, technology and professional collaboration across the consortium to support improved teaching, learning, data-based decision-making and differentiated instruction at each consortium school; and
- Ensuring that the PBCS at each consortium school is fiscally sustainable through thoughtful and accurate financial cost projections, through school-based commitments to continue awarding performance-based financial incentives to teachers and administrators beyond the grant term and, most importantly, through the substantive and school-wide integration of the performance-based measures—along with the project’s data management system and school improvement initiatives—into each consortium school’s long-term planning, programming and evaluation procedures, as well as its personnel policies.

PICCS-NYC will establish an integrated and comprehensive school improvement model that supports schools in creating and implementing PBCS’s while also building their capacity for data-driven decision-making and reforming their process of staff evaluation, professional

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Within the consortium-wide framework, each participating charter school will establish school-based plans and initiatives that are appropriate to its needs, organizational structure and culture.

development and curriculum development initiatives. At the heart of PICCS-NYC are three fundamental principles: (1) Improvements in teaching practice and school leadership result substantively and directly in enhanced student achievement<sup>8</sup>; (2) Effective teachers and administrators should be rewarded for quality performance and recognized for professional accomplishments and growth; and (3) Reform of teacher and administrator compensation can best impact school improvement and increase student achievement when it occurs as a key component of comprehensive school improvement initiatives that focus on linking compensation to evaluation, professional development and student achievement outcomes.

PICCS-NYC is designed to leverage, adapt and build upon the experiences and “lessons learned” by the Center for Educational Innovation – Public Education Association (CEI-PEA), which is the lead applicant, and its partner organizations and schools that planned, implemented and are currently operating a TIF-supported project in a consortium of 10 high-need NYC charter schools. In 2007, the U.S. Department of Education approved and funded the Partnership for Innovation in Compensation for Charter Schools (PICCS)<sup>9</sup>, which has established an integrated school improvement model that combines differentiated, performance-based compensation for teachers, instructional aides, Principals and instructional administrators with operational reforms (e.g. enhanced staff evaluation procedures, integration of professional learning communities) and extensive professional development, advanced technology (including a comprehensive data management system) and other supports. After only three years, the original PICCS project has achieved several critical student achievement milestones. Its students made greater progress

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<sup>8</sup> Research clearly links effective teaching to improved student achievement outcomes. Laura Goe’s extensive literature review entitled *The Link Between Teacher Quality and Student Outcomes: A Research Synthesis* presents an overview of recent research demonstrating the strong connection between effective teaching and improved student learning outcomes.

<sup>9</sup> Additional information about the original PICCS project is available at [www.piccs.org](http://www.piccs.org).

toward meeting NYS standards than students statewide, during the project's first two years, PICCS schools had double-digit increases in the percentages of students meeting NYS standards in ELA and math. In 2009, 94.2 percent of PICCS school students met state standards in math, as compared with 69.6 percent in 2006. This represents a student achievement increase of 25 percentage points.

As discussed throughout this application narrative, the PICCS-NYC project will adapt and enhance the differentiated compensation and school improvement model, technology and best practices established through the original PICCS project to create and improve differentiated compensation and school reform initiatives in the consortium schools. By so doing, PICCS-NYC will expand participating charter schools' basic understanding of staff compensation and alter accordingly their approach to the development and implementation of compensation programs. In assisting the consortium schools in this transformation, PICCS-NYC will build upon the "body of knowledge" and best practices regarding performance-based compensation and school improvement in charter schools.<sup>10</sup>

PICCS-NYC is designed to address the unique challenges of implementing compensation reform and school improvement initiatives in urban charter schools. In New York State (NYS), public charter schools are considered independent LEAs for purposes of federal grants that must operate in compliance with the academic, governance, financial and operational programs defined in their charter agreements. Each school's charter agreement has been approved by one of the state's charter authorizers<sup>11</sup> based on its review of the school's academic programs,

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<sup>10</sup> While the PICCS-NYC project will draw from resources developed and "lessons learned" in the original PICCS, the differentiated compensation systems created in PICCS-NYC are available only in the consortium schools, none of which are currently supported by TIF.

<sup>11</sup> In NYS, charter schools can be authorized by the NYS Education Department and the State University of New York. Among the consortium schools are several that were authorized by the

governance structure, financial viability and operational plans. Once approved, the charter school is responsible to the authorizer for meeting the academic and programming objectives in the agreement, and failure to do so can result in non-renewal of the school’s charter at the end of its term or even mid-term closing of the school. Unlike traditional school districts that need only secure board approval (with support of union and other school stakeholders) to make operational or programmatic changes, charter schools must also obtain authorizer approval for any material changes in their programs or operations. This requirement means that the process for reforming compensation systems in charter schools is different and more complex than for traditional public school districts.

## **METHODOLOGY TO ESTABLISH PBCS**

At the heart of the proposed project is the belief that the consortium must establish clear, fair and rigorous methodology for determining the “effectiveness” of all school staff eligible to receive TIF-supported performance-based compensation. In the consortium schools, the following school staff members will be eligible to receive TIF-supported financial incentives<sup>12</sup>: a) Principals<sup>13</sup>; b) Instructional administrators (e.g. Directors of Curriculum & Instruction, Special Education Coordinators, etc.); c) Teachers in all subjects and at all grade levels; d) Instructional

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New York City Department of Education (as permitted under the NYS Charter School Act), with approval by the NYS Education Department.

<sup>12</sup> TIF-supported compensation will be made available only to school leaders, instructional administrators and staff members directly connected to student instruction—i.e. teachers, instructional paraprofessionals, guidance counselors, school librarians and social workers. Consortium schools will be permitted—and indeed encouraged—to provide performance-based compensation to other personnel—e.g. Directors of Operations, etc. However, such compensation must be paid exclusively with non-TIF funds.

<sup>13</sup> Each participating charter school has its own organizational structure and personnel policies. In most but not all of the schools, the school leader is the Principal. In the Our World Neighborhood Charter School, though, the school leader is the Executive Director, who oversees an elementary grade principal and middle grade principal. For purposes of this discussion, “Principal” refers to the school leader, and all other TIF-eligible administrators will be called “instructional administrators.”

Paraprofessionals; e) School librarians and library media specialists; and f) Guidance counselors and school social workers. All personnel in consortium schools in the above-listed job categories are eligible to receive TIF-supported PBCS compensation.

Each consortium school will establish a Performance-based Compensation Plan (PBCP) during the initial year of the project.<sup>14</sup> The PBCP will set forth clearly and in detail the performance measures that determine educator effectiveness for the purposes of qualifying to receive performance-based compensation, as well as the process for making and documenting decisions and payments regarding each school's PBCP. As independent and autonomous charter school LEAs, each school will engage in a school-wide PBCP development process and establish its own PBCP. Each PBCP, however, will be based on and conform to parameters established in a consortium-wide framework developed collaboratively by CEI-PEA and representatives of each charter school, and it will be reviewed annually via a rigorous consortium-wide evaluation process that includes a rigorous verification of the implementation of each school's PBCP. In addition, each PBCP will provide for differentiated compensation at least at the individual teacher and administrator level and, at the school's discretion, at grade-level, cohort-level or other non-whole-school category-level. PBCPs will be developed via a process that comprises the following components.

### **PICCS-Wide Framework for PBCPs**

At the beginning of the initial project year ("the Planning Year"), the PICCS Director and Deputy Director will work with representatives of each consortium school, along with project partners and consultants, to develop a framework for PBCPs. The design of the framework will reflect federal requirements, a body of national research related to performance-based

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<sup>14</sup> As discussed in the Adequacy of Resources section, the initial year of the project will be devoted to planning, capacity-building and implementing the "Five Core Elements of a PCBS."

compensation for educators and “lessons learned” by CEI-PEA in overseeing the development of PBCPs for charter schools in the original PICCS project. In that project, charter school leaders and school-based planning teams were initially frustrated in their efforts to develop PBCPs “from scratch” and, consequently, several participating charter schools experienced considerable difficulty in developing PBCPs that were complete, effective and consistent with TIF requirements. Responding to these frustrations, CEI-PEA and its project partners collected and analyzed data from interviews and surveys, as well as other related data from consortium schools and, based on this analysis of data, created a PBCP template that charter schools could use to develop their school-specific PBCPs. The template is designed to allow each charter school to customize its PBCP within a well-defined set of parameters that ensures that the plan conforms to TIF requirements and is likely to promote improved teacher performance. The template will be reviewed annually and improvements will be made, as necessary. In PICCS-NYC, a PBCP template will be created in the initial months of the first project year, which will establish the framework and performance measures on which each school’s performance-based compensation system will be based. The consortium-wide PBCP template will be reviewed each year and modified, as necessary, based on feedback from consortium schools and analysis of data regarding teacher effectiveness and student achievement and growth. The consortium-wide framework and template will describe a process for establishing school-based performance targets for administrators, teachers and other TIF-eligible educators at the school-wide, classroom-wide and individual student level. The framework and template will include:

- Guidelines for establishing school-specific **Classroom Instruction Plans (CIPs)**, which establish classroom achievement targets for the year (e.g. 80 percent of students will improve their performance in a specific assessment by more than 10 percent over the previous year).

The guidelines will describe how teachers and Principals will establish achievement targets for each classroom and incorporate them in CIPs. In establishing these achievement targets, they will consider assessment data, along with relevant school and teacher plans regarding curricula, professional development and other factors (e.g. the degree to which integration of new curricula or training in data-based instruction strategies is expected to impact classroom achievement). The Principal will review each CIP and, upon his/her approval, the targets set forth therein will comprise performance measures upon which a substantial percentage of performance-based compensation for teachers, instructional administrators and instructional paraprofessionals will be based.

- A framework for establishing school-specific **Individual Learning Plans (ILPs)** for each student, which document the student’s academic strengths and gaps (based on analysis of student assessment data and other relevant factors). Based on further analysis of this information, annual student achievement (i.e. attainment of academic benchmarks and academic growth) targets will be established mutually between the teacher and his or her supervisor. These targets will be documented in a formal ILP for each student in the consortium schools. Each ILP will include an analysis of the student’s prior academic performance and a diagnosis of current academic needs—based on assessment data and other performance measures and a prescriptive plan for addressing them. The ILP will define targets that focus on student progress towards specific performance objectives, as measured over the course of the year. ILP targets will be integrated into the formulas for determining teacher effectiveness and implementing the PBCS at each school.

In creating a framework for ILPs, PICCS-NYC will leverage the work done by CEI-PEA and its partners in the original PICCS project to develop *Individual Achievement Plans*

(IAPs) for students in the 10 PICCS consortium schools. Over the course of the project, the consortium schools established a framework for developing IAPs that set individual student achievement targets based on available student assessment data. The original PICCS schools were challenged, however, by difficulties in converting IAP data from a highly-inefficient “hard copy” format to a digital and technology-enhanced format. In May 2010, CEI-PEA and the original PICCS-consortium schools were awarded an *ARRA Enhancing Education Through Technology (EETT)* grant to develop a process and format for establishing digital *Individual Learning Plans* that are linked to the PICCS comprehensive student data warehouse and curriculum analysis and mapping tools. PICCS-NYC will have access to these digital resources, and will adapt and enhance them to support the framework for ILPs.

- A framework for creating school-specific **School-wide Plans (SWPs)**. The SWPs will include school-wide achievement targets based on student assessment data, with consideration of the school’s plans regarding curricula, professional development and other factors (e.g. the degree to which integration of new curricula, technology or professional development is expected to impact teaching and learning). School-wide targets will also be based on data and targets included in ILPs and CIPs, thus ensuring that teachers will have input in the process of setting school-wide achievement targets.

### **Consortium-Wide PBCP Committee**

In the first months of the Planning Year, a consortium-wide PBCP Committee will be established. The Committee will be comprised of project staff (i.e. the PICCS Director and/or Deputy Director and Data Coordinator), at least one representative from each consortium school

and project consultants, including experts in performance-based compensation and compensation reform.<sup>15</sup> The Committee will:

- Advise consortium schools regarding the development and implementation of school-based PBCPs in workshops, webinars and meetings with Principals and school-based PBCP Committees; and
- Review and approve each school’s PBCP each year, based on each plan’s consistency with TIF requirements and elements of the consortium-wide framework, as well as on standards and protocols that will be established by the PICCS-NYC PBCP Committee during the Planning Year. This process—which will be referred to as “Verification” will require each consortium school to submit its school-based PBCP to the PICCS-NYC PBCP Committee for review and approval during the Planning Year and at the commencement of each year thereafter. The review process will consist of two steps:
  1. The PICCS-NYC PBCP Committee will establish a Review Panel comprised of the PICCS Director, Deputy Director, the Data Coordinator, two school-based PICCS-NYC PBCP Committee representatives (who will serve on the panel on a rotating “per PBCP” basis) and at least two external reviewers who have expertise in performance-based compensation in schools. Using a rubric that will be developed during the Planning Year, the Review Panel will assess each PBCP. When a PBCP fails to meet the requirements of the TIF program, is inconsistent with the objectives and guidelines of the PBCP template and/or of insufficient quality and rigor, it will be returned to the school with

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<sup>15</sup> PICCS-NYC intends to “cast a wide net” when recruiting experts to advise consortium schools and to help review and approve PBCPs. PICCS-NYC staff will work with U.S. Department of Education TIF technical assistance providers, and it will identify and recruit university-affiliated experts in school compensation reform such as those from Vanderbilt University and the University of Wisconsin.

recommendations for change. Members of the PBCP will provide support to each school, as required, to help them create an acceptable PBCP. The PBCP will be re-submitted, as necessary, until it is approved by the PICCS-NYC PBCP Committee.

2. Upon acceptance of a PBCP by the Review Panel, members of the Review Panel will prepare a written recommendation for approval by the full Committee. The report will be submitted to the PICCS-NYC PBCP Committee, which will approve the PBCP by majority decision.<sup>16</sup>

### **School-Based PBCP Committee**

At the beginning of the Planning Year, each consortium school will establish a PBCP Committee charged with using the PICCS PBCP Framework as a guide to create a school-specific PBCP.

The composition of each school's PBCP Committee will be tailored to the school's organizational structure and culture, and will seek to ensure that a wide range of school stakeholders have input in the process of developing the school's PBCP. The membership of PBCP Committees will therefore include administrators, teachers, support staff, Trustees and union representatives (in the consortium schools where teachers are represented by a union). Each school's PBCP Committee will recruit and/or select members of the school community who will serve as PICCS-NYC School-based Communication Liaisons. In this role, they will be responsible for communicating PICCS-NYC information to others throughout the school. They will represent the school in project-wide meetings regarding the development and implementation of the consortium-wide PICCS-NYC Communication Plan, for coordinating (or co-coordinating with the Principal and others) the development and implementation of their

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<sup>16</sup> As discussed later, Verification also occurs prior to the payout of TIF-supported incentives each year to confirm that incentive amounts are correct, that the process for determining incentives was consistent with the PBCP and that proper documentation is maintained.

respective school-based Communication Plans.<sup>17</sup> The Communication Liaisons will be regular, voting members of the school-based PBCP Committee, thereby ensuring that they will be full participants in project decision-making and fully-invested stakeholders in promoting compensation reform and culture change in their schools. The PBCP Committee and the School-based Communication Liaisons will be the primary school-based leaders in promoting and facilitating the cultural shift that must occur in each school as the project's compensation reform and school improvement initiatives are integrated into the school community.

### **Individual School PBCPs**

During the Planning Year, each school's PBCP Committee will establish a PBCP and submit it to the PICCS-NYC PBCP Committee for review and approval. Each year thereafter, the school-based PBCP Committees will review and modify their schools' respective PBCPs, in coordination with PICCS-NYC staff and the PICCS-NYC PBCP Committee. While each PBCP will be customized to address the needs and circumstances of the consortium schools, they will all be consistent with the consortium-wide framework. Accordingly, they will have at least the following components through which teacher effectiveness will be measured and performance-based compensation will be awarded: a) Individual Learning Plans (ILPs), Classroom (or Cluster) Improvement Plans (CIPs), School-Wide Plans (SWPs), and Leadership Roles (i.e. compensation for successfully taking on school and project leadership responsibilities such as coordinating student data initiatives or coordinating peer review initiatives and for meeting performance targets related to the leadership roles). All PBCPs will pay out at least 51 percent of TIF-supported compensation directly based on student outcomes as measured by student growth,

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<sup>17</sup> As described later in the narrative, the project's PBCS Communication Plan must incorporate not only a comprehensive project-wide communication initiative, but also an individual communication initiative at each consortium school.

while up to 49 percent will be paid out on other multiple measures such as formal evaluation and/or leadership. Each school will measure and reward student growth in the ILP and CIP components of its PBCP and can, at its option, measure and reward student growth at the SWP level as well. The methodologies used to determine the effectiveness of school staff eligible for TIF-supported compensation are described below.

**Principals** - Performance-based compensation for Principals will consider school-wide attainment of absolute and value-added goals, along with cohort-based and similar performance targets, all of which will be set forth each year in the PBCP. Specifically, the plan for Principals will take into consideration the following:

- Absolute goals tied to the school-wide goals and school performance targets set forth in the charter agreements (e.g. 75 percent of students will score at levels 3 or 4 on the state ELA and math tests). In addition, absolute goals may be established by each school based on identification of grade-level, cohort-level or demographic-based (e.g. minority students, LEP students, disadvantaged students, etc.) needs. Such goals will be established each year and documented in the school’s PBCP.
- Value-added goals tied to ILP and CIP targets—e.g. student growth school-wide and at each grade level. Such goals will be established each year and documented in the school’s PBCP. (The process of establishing value-added goals is discussed later in this narrative.)
- Other measures that may be established by each school’s PBCP Committee based on school needs—e.g. effectiveness in recruiting teachers in particular subjects, grades or specialties identified as “high-need” in the PBCP; improving student achievement in specific areas or for specific groups of students; progress towards “turning around” a struggling school via meeting particular performance benchmarks; and /or individual professional growth targets.

Additional leadership measures for school leaders might be tied to individual professional development targets, as long as they are recognized by the school PBCP Committee as critical to the improvement of the school (e.g. involvement in university school leadership programs in coordination with school improvement plans and objectives).

**Other Instructional Administrators (Assistant Principals, Director of Instruction, etc.) -**

Performance-based compensation will be based on attainment of school-wide absolute and value-added goals and on individual performance targets established by each PBCP Committee at the beginning of each year. The school-wide absolute and value-added goals would be the same as those used in establishing performance measures for Principals. Other measures may be established that are tied to school needs and/or individual professional growth targets. Additional *leadership measures for administrators* may be tied to individual professional development targets (i.e. successful completion of training to prepare for more senior leadership responsibilities identified in the PBCP).

**Teachers in Tested Subjects** - Performance-based compensation will be based on attainment of specific absolute and value-added targets established by the school's PBCP Committee at the beginning of each year. These measures will include absolute and value-added ILP, CIP and SWP measures, along with professional growth targets based primarily on: a) teacher needs and gaps-analysis resulting from teacher evaluation; and b) teacher performance targets established with significant teacher input, as described later in this narrative, and assessed through each school's rigorous teacher evaluation process. In addition, teachers will be eligible for compensation based on leadership. For these purposes, performance measures for teachers will be tied to participation as leaders in such PICCS-NYC initiatives as peer review, professional

learning communities (PLCs) and data-based decision-making, as well as participation as School-based Communication Liaison.

**Teachers in Non-Tested Subjects** - PICCS-NYC will establish performance measures for all teachers, including teachers of subjects that are not currently included in New York State's required assessments (e.g. art, music, physical education and health). While developing these performance measures, the PICCS-NYC PBCP Committee will be guided by the experience of CEI-PEA and its partners throughout the implementation of the original PICCS project, which has made considerable progress in establishing meaningful and standards-aligned performance standards in all subjects. During the Planning Year, the PICCS-NYC PBCP Committee and the Principals of each consortium school will review the progress already achieved in the development of performance standards and will adapt these standards, as necessary, for use in PICCS-NYC. The performance measures will provide a framework for each consortium school to adopt school-specific performance standards. Each school's performance standards will then be submitted to the PICCS-NYC PBCP Committee for review and approval.

**Instructional Paraprofessionals** - For Assistant Teachers and other Instructional Paraprofessionals, performance-based compensation will be based on attainment of absolute and value-added ILP, CIP, and SWP targets established at the beginning of each year. Additional leadership measures for instructional paraprofessionals will be tied to participation as leaders in PICCS-NYC school improvement initiatives such as peer review, PLCs, data-based decision-making and other areas considered important at each school.

**Guidance Counselors and Social Workers** - Performance-based compensation will be based on attainment of absolute and value-added targets established by the PBCP Committee at the beginning of each year. In designing the proposed project, CEI-PEA and its partners reviewed

research and best practices regarding performance measures for school counselors and social workers. Based on this review, PICCS-NYC will consider the criteria described below in its consortium-wide framework for PBCPs for counseling and social work staff:

- Annual Goal Setting—Targets will be developed by the PBCP Committee and will include absolute and value-added measures. These measures will be based on criteria culled from various states' best practices, and will include a rubric with performance measures based on critical skills and outcomes such as:

- (1) *Program planning*, including how well the guidance counselor/social worker—(a) organizes his/her area of specialty by assessing needs, setting goals, and formulating a plan of action and program evaluation; (b) initiates and coordinates school-wide guidance and counseling activities; (c) manages time effectively and provides services on schedule; and (d) seeks input from teachers and staff in making decisions about the school's counseling program and/or social work initiatives.
- (2) *Counseling*, including how well the guidance counselor/social worker—(a) demonstrates knowledge of counseling and/or social work strategies by selecting appropriate models and techniques for individual and group counseling and/or social work; (b) uses appropriate counseling/social work processes and techniques for individual and group sessions to meet developmental, preventive, and remedial needs of students; (c) uses appropriate assessment and diagnostic procedures for determining and structuring individual and group counseling and/or social work services; and (d) follows up on individual and group counseling and/or social work interventions to monitor progress.
- (3) *Consulting*, including how well the guidance counselor/social worker—(a) demonstrates knowledge of consulting processes/clinical social work techniques with students, parents,

teachers, and administrators; (b) assists parents and teachers in understanding and responding to developmental levels of students; (c) presents instructional/informational programs to groups, parents, and teachers (e.g., parent education programs, group guidance, teacher in-service); and (d) interprets achievement and aptitude test data to assist school staff with curriculum planning.

(4) *Coordinating*, including how well the guidance counselor/social worker—(a) communicates effectively with students, parents, and staff; (b) advocates for all students; (c) assists teachers with the integration of activities into the curriculum; (d) shares appropriate information about students with school personnel, parents, and community agencies; (e) makes appropriate referrals of students to school and community programs; (f) assists with coordination of student services in the school; and (g) assists with coordination of the school’s annual testing programs.

(5) *Student Appraisal*, including how well the guidance counselor/social worker—(a) interprets testing results and other student data accurately; (b) conducts non-standardized educational assessments (e.g. classroom observations); and (c) assures that testing conditions and the administration of standardized tests in the school are appropriate.

(6) *Professional Practices and Development*, including how well the guidance counselor/social worker—(a) adheres to ethical standards of his/her profession; (b) follows the laws, policies, and procedures which govern school programs; (c) carries out other school duties assigned by the administration, and (d) takes part in professional development activities to improve knowledge and skills.

- Additional Criteria—Additional criteria may be based on parent outreach and interaction objectives established at the beginning of each year and other school-specific measures.

**School Librarians and Library Media Specialists** - PICCS-NYC will adapt the rubrics and performance measures in the New York State Education Department's *School Library Media Program Evaluation*,<sup>18</sup> a self-assessment instrument that assesses school library programs across 25 "Essential Elements." The instrument is designed to support school librarians and other school stakeholders in working together to improve library programs and student academic outcomes. It describes criteria for progressing from "Below Basic" to "Basic" to "Proficient" to "Distinguished" in each Essential Element. These elements are categorized by key areas:

- Teaching for Learning - Essential Elements include Instructional Design, Collaborative Planning, Information Literacy, Reading, Assessment for Learning, Teaching for Diverse Student Needs, Inquiry Learning, Intellectual Freedom and Social Responsibility.
- Building the Learning Environment - Essential Elements include Staffing, Professional Development, Resources and Materials, Resource Sharing, Equitable Access, Educational Technology, Climate Conducive to Learning, Budget and Facility.
- Empowering Learning through Leadership - Essential Elements include Instructional Leadership, Administrative Support, Program Planning and Evaluation and Communication.

PBCP meetings will be held throughout the Planning Year to determine the rubrics for the counselors, social workers, librarians and library media specialists, as well as for teachers in non-tested subjects. These plans and rubrics will be completed by the end of the Planning Year, and they will be reviewed at least annually at the consortium-wide and school-wide levels.

**Other Leadership Roles** - Also, while the majority of TIF funds will be used to support performance-based compensation tied to academic outcomes in the manner discussed above, PICCS-NYC will use TIF funds to support differentiated, performance-based compensation that

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<sup>18</sup> [http://www.emsc.nysed.gov/ciai/library/SLMPE\\_rubric/](http://www.emsc.nysed.gov/ciai/library/SLMPE_rubric/)

supports and rewards teachers and other instructional staff for taking on additional leadership roles and responsibilities in their schools. The project will provide financial incentives for teachers who volunteer for additional leadership roles and who successfully fulfill the responsibilities of such roles. Specifically, the project will encourage and reward teachers for voluntarily taking on the following leadership roles<sup>19</sup>: a) participation as the school-based PICCS-NYC Communications Liaison; b) participation as a school-based Peer Review Coordinator; c) participation as a successful developer of peer-reviewed, “suitable for replication” learning experiences; d) participation as a school-based PICCS-NYC Data Coordinator; e) participation as a Professional Learning Community (PLC) Coach; and f) additional leadership roles created during the project’s Planning Year. As discussed later, the financial incentives for taking on and successfully fulfilling new leadership responsibilities will be supplemented by targeted professional development designed to improve their capacity and effectiveness in their respective leadership roles.

## **SIZE OF THE AWARDS**

In developing both the consortium-wide PBCP framework and the school-specific PBCPs, the consortium-wide and school PBCP Committees will be guided by research regarding the effectiveness of performance-based compensation in impacting the quality of teaching and to support recruitment and retention in high-need schools. The size of performance awards to teachers, Principals and other instructional staff will reflect what research tells us is most likely to result in improved teacher motivation and effectiveness. The PBCP framework and the initial schedules reflecting the amounts (or range of amounts) of performance-based compensation that

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<sup>19</sup> Within the consortium-wide framework, each school will have the discretion to establish TIF-supported leadership roles that are consistent with its school’s organization, policies, objectives and culture. It is expected that each school will create at least the leadership roles listed herein.

will be made available to staff at each school will be developed during the Planning Year. They will be reviewed and modified as necessary each year thereafter. Modifications will be based on an analysis of assessment results and other indicators of teacher/administrator effectiveness and on feedback from teachers and other school stakeholders. Research indicates that the PICCS-NYC approach of creating PBCPs and modifying them on an ongoing basis after analysis of “what worked and what didn’t” is an effective one. A 2007 study of teacher performance pay by Podgursky and Springer, for instance, concluded that “an overarching lesson seems to be that trial and error is likely required to formulate the right set of performance incentives.”<sup>20</sup>

PICCS-NYC consortium schools will be expected to design their PBCPs to provide effective incentives based on research regarding compensation reform in education and across other industries, along with the advice of compensation experts who will advise the PBCP Committees. Researchers studying the effectiveness of performance-based compensation systems generally agree that financial incentives must be large enough to matter to the compensated staff members or they will have little effect on performance. Research by Odden and Wallace (2007) suggests a possible range of financial incentive amounts in effective educator differentiated compensation programs, stating that “a general principle is that the average bonus awards should be at least between 4 and 8 percent of base pay which, at an average teacher salary of \$50,000, is from \$2,000 to \$4,000 per teacher.”<sup>21</sup> Research regarding compensation reform in non-educational contexts confirms the effectiveness of setting performance-based compensation in this general range. Research by McAdams and Hawk (1994)

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<sup>20</sup> Podgursky, M. J., & Springer, M. G. (2007). “Teacher performance pay: A review.” *Journal of Policy Analysis and Management*, 26(4), 909–949

<sup>21</sup> Odden, A., & Wallace, M. (2007, February). *Rewarding teacher excellence: A teacher compensation handbook for state and local policy makers*. Madison, WI: Consortium for Policy Research in Education, University of Wisconsin.; See also, Odden, A. (2001). “Rewarding Expertise.” *Education Matters*, 1 (1), 16–25

reported findings that the median target payout in private sector bonus plans they studied was five percent, that plans targeting too much below that amount were perceived as less successful, that factors other than the payout were important (e.g. training, fair and transparent evaluation, etc.) and, surprisingly, that bigger incentives did not necessarily result in better performance.<sup>22</sup> The PBCP framework and individual school PBCPs will be consistent with the findings of these researchers and with the advice provided by the PICCS-NYC consultants.

The size and amounts of the performance-based compensation awards will also reflect the experience of the staff and consortium schools in the original PICCS project. One originally unforeseen challenge they faced when budgeting for performance-based incentives was balancing the need to have sufficient funds to pay all staff members who earn incentives against the burden of re-distributing budgeted funds if a larger-than-expected percentage of eligible staff members fail to earn the maximum incentive in a differentiated plan. If a large amount of budgeted funds are left over following the payment of earned incentives at any given consortium school, the school must devise a plan to re-distribute the left-over funds—typically by re-calculating the formula for determining performance-based and leadership-based incentives. In PICCS-NYC, calculation of the size and amounts of performance-based and leadership compensation in each PBCP will be done in a way that seeks to minimize complications related to redistribution.

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<sup>22</sup> McAdams, J. C., & Hawk, E. J. (1994). *Organizational performance and rewards: 663 experiences in making the link*. Scottsdale, AZ: American Compensation Association.

## **DETERMINATION OF EFFECTIVENESS**

### **Determination of Teacher Effectiveness**

As discussed earlier, teacher performance will be assessed based on each teacher achieving—or making substantial progress towards achieving—absolute and value-added performance targets based on objectives and expected outcomes set forth in the CIPs, ILPs and SWPs created during the Planning Year and at the beginning of each subsequent year. Each consortium school’s PBCP will establish specific procedures and methodologies for determining “effectiveness” during the Planning Year, which will reflect those outlined in the consortium-wide PBCP framework. Each school will determine for itself whether teachers must meet the stated performance targets to earn performance-based compensation or, alternatively, whether they can earn performance-based compensation for making “substantial progress” towards meeting the targets. In the event that “substantial progress” may qualify a teacher for obtaining performance-based compensation, the school will be required to describe its expectations regarding “substantial progress” clearly (i.e. with rubrics and well-defined performance measures) in its PBCP. The consortium-wide PBCP and each school’s PBCP will establish standards for evaluating teacher effectiveness that include the targets described below.

**Absolute performance targets** - For teachers in state-tested core subjects (I.e. ELA, math, science and social studies), these targets will reflect the Absolute Measures for determining school-wide success set forth in each school’s charter agreement. Specific absolute school-wide goals are defined in the charter school agreement. During the Planning Year, each school will determine how it will align its school-wide absolute goals with classroom performance targets. A school may, for instance, state that classroom performance targets will mirror a charter agreement’s school-wide performance goals (e.g. 75 percent of students will demonstrate

proficiency—i.e. score at Level 3 or 4—on the state assessment). For teachers in non-tested subjects, absolute measures will be established during the Planning Year. Such measures will be based on standardized and school-based assessment results and other objective evidence of student achievement.

**Value-added performance targets** - PICCS-NYC performance targets will be based on student *growth*, as well as static achievement. The Value Added Model (VAM) that will be used in PICCS-NYC is that used by the Teacher Data Initiative, which is currently used by the New York City Department of Education (NYCDOE). PICCS-NYC will work closely with NYCDOE to coordinate its data collection and value-added analysis with the Teacher Data Initiative. To this end, NYCDOE will analyze PICCS-NYC consortium schools' data for purposes of value-added analysis and comparison with student and teacher data from NYCDOE district schools. By adapting the Teacher Data Initiative, PICCS-NYC will be able to leverage the NYCDOE's data collection efforts to access thousands—indeed, tens of thousands—of individual student data points. By contrast, if the project restricted its value-added analysis to the consortium schools alone, the number of data points would be woefully insufficient to establish a meaningful value-added analysis. The VAM is based on best practices throughout the country. In creating the model, VAM developers used as a consultant Chris Thorn, Ph.D., who co-leads the Center for Educator Compensation Reform (CECR) from the Wisconsin Center for Education Reform at the School of Education, University of Wisconsin-Madison, which is well known across the country for its cutting-edge work in developing VAM formulas. Dr. Thorn is also Associate Director of the Value-Added Research Center housed at the CECR. He has served on the “Performance-based Initiative Committee” of the original PICCS project and will advise PICCS-NYC, as well.

The purpose of the VAM is to provide an additional lens through which to look at teacher contributions to student learning. The rationale behind the development of the VAM formula is that teachers make a big difference in learning and using the value added lens provides the ability to focus on the impact teachers are having on student learning rather than what students bring to the classroom, or those elements outside of the teachers' control.<sup>23</sup> "Value added" in this model is described as the difference in proficiency ratings between the predicted and actual scores on state assessments. The value added calculation for the predicted scores is based on a complex analysis that uses current students' past performance plus the past performance of other students. The results are then compared to the predicted results, and a "value added" index is calculated. These outcomes are then used to define teacher performance on a scale from "lowest value added" to "highest value added." The VAM accounts for a range of student, classroom and teacher variables. The *student variables* include past test scores, current test scores, disability status, ELL status, gender, race, grade, number of suspensions, absences, grade retentions, year entered school and whether or not the student attended summer school. The *classroom variables* include the average prior test scores in ELA and math, average current test scores, percent of students on free and reduced lunch, percent of students with disabilities, percent of English language learners, percent by gender, percent by race, percent of students with suspensions, percent of absences, percent of students retained, percent of students attending summer school, and class size. The *teacher variables* include grade taught and number of years teaching.

During the Planning Year, the PICCS-NYC staff members and consortium-wide and school-based PBCS Committees will work with compensation reform experts to adapt and coordinate

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<sup>23</sup> *Key Concepts Presentation* downloaded at <http://schools.nyc.gov/Teachers/TeacherDevelopment/TeacherDataToolkit/LearnKeyConcepts/default.htm> on June 16, 2010.

the Teacher Data Initiative’s VAM to create a VAM for the project. In so doing, they will work and communicate with representatives of the original PICCS consortium schools to leverage their experience in developing an effective approach to establishing value-added performance targets for teachers. Once an effective VAM is established, it will be incorporated in the consortium-wide PBCP framework and in the PBCP of each school, along with a detailed description of how value-added measures are considered in determining teacher “effectiveness” for purposes of performance-based compensation.

### **Determination of Principal Effectiveness**

As discussed above, each school’s PBCP will establish criteria for “effectiveness” of Principals. These criteria will be based on school-wide absolute and value-added targets established each year, along with school improvement and professional growth targets. The “effectiveness” of Principals will be determined by:

- **School-wide achievement of absolute measures** set forth in the charter agreement.
- **School-wide achievement of value-added measures**, as determined by each school’s PBCP Committee—e.g. a school might establish school-wide value-added targets or, alternatively, might decide that its Principal is effective via the “value-added” criterion if the majority of teachers in his or her school achieve their individual value-added targets.
- **Professional growth targets** that may be established, at the school’s discretion. Such professional growth targets would be tied to specific growth objectives mutually established by the Principal and the Board of Trustees focusing on critical leadership skills, including: a) setting school-wide high standards for student learning; b) ensuring that the school’s curriculum is aligned to standards and rigorous; c) ensuring that instruction is effective and

that teachers are supported appropriately; and d) facilitating development of a school-wide culture of learning and professional growth.

### **Determination of Effectiveness for Other Instructional Administrators**

Each school's PBCP will establish criteria for determining the effectiveness of Instructional Administrators at consortium schools. These criteria will be based on school-wide absolute and value-added targets established each year, along with school improvement and professional growth targets developed each year in consultation with the Principal and based on analysis of assessment data and other information to identify challenges and areas of potential professional development.

### **Determination of Effectiveness for Instructional Paraprofessionals**

Each school's PBCP will establish criteria for determining the effectiveness of Instructional Administrators at consortium schools. In determining these criteria, the school PBCP Committees will consider achievement of CIP and SWP student attainment and growth targets, as well as ILP and/or cluster-related student attainment and growth targets and professional growth objectives. Teacher and paraprofessional input in the development of "effectiveness criteria" will be strongly encouraged.

### **Determination of Effectiveness for**

### **Guidance Counselors, Social Workers & School Librarians**

Each school's PBCP will establish criteria for determining the effectiveness of guidance counselors, social workers and school librarians. These criteria will be based on the rubrics and performance measures discussed earlier in this narrative. For guidance counselors and social workers, rubrics will be developed during the Planning Year that will be used to measure each guidance counselor or social worker's proficiency related to the skills and professional objectives

described above. In addition, consortium schools may elect to incorporate SWP and/or cluster-based student attainment and growth targets in its determination of what constitutes “effectiveness” for guidance counselors and social workers. For school librarians and school library media specialists, the definition of “effectiveness” will be closely matched to the definitions and criteria included in the New York State Education Department’s School Library Media Program Evaluation. The PICCS-NYC PBCP Committee will adapt the New York State Education Department-created rubrics to assess “effectiveness” relative to each of the School Library Media Program Evaluation’s *25 Essential Elements*.

## **INVOLVEMENT OF STAKEHOLDERS**

The process of developing the PICCS-NYC program was a collaborative one in which substantial input from each consortium school and project partner was considered and in which “buy-in” from all critical stakeholder groups was obtained. Informal discussions with representatives of consortium schools began prior to the release of the TIF RFP, and representatives of consortium schools were encouraged to communicate with the teachers and administrators in the charter schools comprising the original PICCS consortium. When the RFP was released, a meeting was held at CEI-PEA for all interested New York City charter schools. The purpose of the meeting was to describe the TIF program, to outline the proposed project, to ensure that each school representative understood the financial and programmatic commitments that the school would be required to make and to solicit input and questions from representatives of each charter school. Following this meeting, all interested schools were provided information and presentation materials to support them in informing critical stakeholder groups about the project and the commitments each school would be required to make as a condition of participating in the project. Each school was required to secure “buy-in” in the form of formal or

informal approvals (depending on the organizational requirements and culture of the school) from board members, school leaders, teacher representatives (including union representatives in the participating union charter schools) and others. All schools were also required to complete two surveys, one with baseline information about teacher recruitment and retention, growth patterns for the school, and other basic demographic data; the other survey assessed schools' readiness to implement that various components of the PICCS-NYC program design, including technology infrastructure, use of data-driven practices within their school, experiences in using collaborative inquiry processes and current teacher and principal evaluation procedures. Through these surveys, PICCS-NYC staff were able to identify and align the program with the cohort's needs (see "Need" for more information). Evidence of the involvement and support of teachers, Principals and other stakeholders at each school is documented in the attached letters of commitment, which confirm that stakeholders throughout each school were informed about and support the school's full participation in the project and the proposed performance-based compensation system.

The process of developing PBCPs at each school will be a collaborative one in which administrators, teachers and others at each school will participate. Each school will be represented on the consortium-wide PBCP Committee, and each school's PBCP Committee will include a variety of school stakeholders, including teachers, administrators and, where applicable, union representatives. Accordingly, the PBCPs developed at each school will reflect the school's needs, objectives and culture and that the integration of performance-based compensation is supported throughout the school. Also, consortium-wide and school-specific communication initiatives will ensure that everyone in the school community is aware of and able to participate in the planning and implementation of the school's PBCP. Note that PICCS-

NYC will begin training schools to use the protocols of Professional Learning Communities (PLCs) during the Planning Year in order to help ensure full and balanced participation by all stakeholders. For more about PLCs, please see the discussion under our approach to professional development.

In Year 2 and beyond, when schools begin implementing their PBCS's, they will be provided with a general process and set of template documents to help ensure teacher, student and parent engagement in the roll-out process. The general process includes: 1) Presenting the PBCS to all stakeholders, including all teachers, sub-groups of teachers (e.g. classroom/cohort groupings), parents, and students (as appropriate to their grade level); 2) Provide each teacher with an individualized PBC summary, including all of the targets required for attaining the differentiated compensation elements; 3) Hold a meeting between each teacher and the Principal or his/her designee to review the individualized summary and co-sign to affirm their agreement to the terms; 4) Present a mid-year summary of each teacher's progress towards meeting his or her targets; 5) Following validation of calculations by PICCS-NYC staff, present an end-of-the-year summary of each teacher's performance in meeting his or her targets with a completed formula for his/her PBC; 6) Hold a meeting between each teacher and the Principal or his/her designee to review the end-of-the-year summary and co-sign to affirm their agreement to the calculated formula; 7) Provide clear directions for filing a grievance, if necessary, and account of the grievance process; 8) Present PBC checks to teachers with a copy of the co-signed end-of-year summary and calculated formula. A similar process will take place for school leaders with the reviewing entity being a representative of the school's Board of Trustees.

## **EVALUATION SYSTEMS**

PICCS-NYC will use a comprehensive approach to establishing a fair, rigorous, transparent and educator-supported evaluation process across the consortium to support schools in implementing their performance-based compensation systems and to ensure that the evaluation methodologies and outcomes are aligned with the performance targets and other criteria used to determine whether performance-based compensation has been earned. The evaluation system will take into account student assessment data and whether educators met (or made significant progress towards meeting) the student-assessment-based targets in the ILPs, CIPs and SWPs. During the initial 60-90 days of the Planning Year, the PICCS-NYC PBCP Committee and the project's staff and consultants will develop a consortium-wide framework for teacher and administrator evaluation. Following the completion of the framework, each school will adapt its evaluation process to incorporate appropriate elements of the framework and to comply with the requirements of TIF, including:

- Review of assessment data and other evidence regarding effectiveness in meeting the performance targets in ILPs, CIPs and SWPs, along with classroom observations at least twice each school year.
- For the Principals and other instructional administrators, review of assessment data by the Board of Trustees, reports to the Board of Trustees and other evidence of effectiveness in school leadership and in meeting the performance targets set forth in the SWPs. The evaluation process will also include: a) at least two observations by one or more Board members of the Principal providing or facilitating professional development for teachers or

other administrators and/or conducting other activities relevant to school leadership<sup>24</sup>; and b) at least two observations by the Principal of other instructional administrators in a manner to be determined independently by each school.

Project staff and Principals at each consortium school will communicate frequently with its charter school authorizer to ensure that all material changes in its evaluation process resulting from involvement in PICCS-NYC and commitment to compensation reform will be approved.

### **Collaborative Approach to Evaluation**

PICCS-NYC will also support schools in establishing evaluation processes that facilitate the collaborative development and measurement of performance targets and professional growth objectives for teachers. The PICCS-NYC evaluation framework will draw from the experience of the project staff and charter schools in integrating research-based collaborative teacher evaluation strategies during the original PICCS project. Accordingly, the PICCS-NYC approach to teacher evaluation will be adapted from the work of Charlotte Danielson as described in her book, *Enhancing Professional Practice: A Framework for Teaching*, and will use research-based rubrics such as those prepared by Dr. Paula Bevan, a consultant and member of the Danielson Group.<sup>25</sup> The rubrics measure teacher effectiveness in four critical areas: a) planning and preparation; b) creating and maintaining an effective classroom environment; c) instruction; and

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<sup>24</sup> Each school's Board of Trustees is expected to identify elements of Principal leadership that are important to addressing its school's needs or improving its school's academic programs. The Principal activities that are observed each year will be determined based on this identification.

<sup>25</sup> Paula Bevan's rubrics were adapted for use in the original PICCS project and are currently being used in several of the original PICCS consortium schools. During the first 90 days of the Planning Year, the PICCS-NYC PBCS Committee will review the rubrics used in the original PICCS project to assess their appropriateness for use in the PICCS-NYC consortium schools and for inclusion in the PICCS-NYC evaluation framework. Depending on the Committee's findings, they will either adapt the Bevan-developed rubrics or obtain and use non-Bevan rubrics. In the event that non-Bevan rubrics must be developed, the process of selecting a consultant or vendor to design them will be consistent with all legal "competitive bid" requirements.

d) professional responsibility. While the details of the PICCS-NYC evaluation framework and the related changes in evaluation procedures at each consortium school will be determined during the Planning Year, the evaluation framework will include the steps described below.

**Step 1** - After an initial workshop focused on the teacher rubric, a self-assessment is conducted by each teacher on all rubric components at the start of the school year. The teachers will rate their current level of proficiency in each rubric component, based on the standards and descriptions in the rubric. The teachers then share the self-assessments with the Principal or designee (under the Principal's supervision). The Principal and/or designee will engage in discussions with each teacher to review the teacher's self assessment and prior year's year-end evaluation, and to discuss areas and rubric components where the Principal and/or designee believes that growth is warranted. At the conclusion of this process, the Principal and teachers will document their understandings regarding: a) expectations and goals for student achievement based on assessment results and the ILPs, CIPs and SWPs; and b) teacher professional growth based on specific rubric components identified by the teachers and the Principal and/or designee as areas where growth is warranted or desired.

**Step 2** - Over the course of each year, the Principal and/or designee will collect evidence regarding teacher performance and growth, based on student assessment results and rubric components appropriate to each teacher's performance and professional growth targets. This collection of evidence will occur through: a) formal and informal (announced and unannounced) observations, in which the Principal and/or designee will note and assess teacher instruction, teacher/student behavior and classroom environment; b) analysis of student assessment results, including state assessments, standardized assessments and school-based assessments; c) teacher

interviews; and d) review and analysis of student work, teacher-developed lesson plans, curriculum maps and other relevant documents.

**Step 3** - At designated times during the year, teachers will review and discuss their self assessment and progress toward achieving performance and professional growth targets with the Principal and/or designee. Teacher progress and/or lack of progress towards meeting targets will be documented at this time. These interim assessments will provide opportunities for the teachers and the Principal and/or designee to identify and address challenges that might prevent the teachers from achieving their performance and professional growth targets.

**Step 4** - At year-end, the Principal and/or designee will meet with each teacher to discuss the results of the year-long evaluation. During this meeting, they will discuss: a) student achievement, based on assessment results and other relevant measures; and b) teacher progress toward meeting their respective performance and professional growth targets. Year-end evaluation results will be shared with each teacher and documented in a permanent file.

As discussed later, professional development initiatives across the consortium and in each consortium school building will be aligned with the project's evaluation framework to ensure that project-supported training and technical assistance supports teachers and administrators in the areas relevant to the evaluation process and to improving student achievement.

## **PICCS DATA MANAGEMENT SYSTEM**

PICCS-NYC will establish a comprehensive data system—the PICCS-NYC Data Management System—that provides all consortium schools with complete, 24/7 access to student assessment data, user-friendly reports to facilitate data analysis and differentiated instruction, curriculum mapping tools and a variety of online resources that support professional development, collaboration and peer review. The Data System will also provide appropriate personnel at CEI-

PEA and each school with access to student assessment and PBCP data so that they can accurately determine who qualifies for performance based incentives and the amounts of such incentives, and to ensure that decisions and actions regarding payments of performance-based compensation are made and documented properly. The PICCS-NYC Data System will be a single-point, “one-stop” resource that provides all consortium teachers, Principals and instructional administrators with access to the kind, range and depth of data necessary to build data-rich learning environments across the consortium and in each consortium school. The system is designed to support Principals and teachers in using student data effectively to establish appropriate achievement targets, improve and individualize instruction and meet student, classroom/cohort and school-wide learning objectives.

The PICCS-NYC Data System will customize and expand the robust data-management and online school improvement resources developed during the original PICCS project. The proposed project will adapt the current PICCS data system to address the needs of the PICCS-NYC consortium schools, to conform to the PICCS-NYC PBCP framework and to facilitate the development and use of digital ILPs, CIPs and SWPs. The PICCS-NYC Data System will comprise: a) Data Warehouse; b) Information Analysis Tools; c) Instruction and Curriculum Management System; and d) an integrated web portal, which facilitates professional development, peer review, professional learning communities and professional collaboration for teachers across the consortium. These elements are described below.

## **Data Warehouse**

The PICCS Data Warehouse is designed to support principals and teachers in using student data effectively to establish appropriate achievement targets, improve and individualize instruction and meet student, classroom/cohort and school-wide learning objectives. The PICCS Data

Warehouse integrates data typically found in Student Information Systems (SIS) such as student attendance, demographics, test scores, grades and schedules, as well as more comprehensive student achievement data, teacher training and professional development data, and school resource data. It provides support in a manner that is efficient and easy-to-understand. Its interface is a portal that resembles a dashboard—i.e. it provides access to all of the system’s data and resources from a single, easy-to-navigate screen. This interface gives all of the project’s stakeholders—from teachers and principals to board members—a quick, easy way to access real-time student data and to monitor student, classroom and school progress towards meeting achievement objectives at any time and from any place. The PICCS Data Warehouse includes the following components:

- **Data Management Platform** – The PICCS Data Warehouse includes a collection of digital resources that allow PICCS schools to easily update, clean, and manage their education data. The platform enables PICCS and its member schools to take data from multiple sources and store it at a single point, where educators can then easily access and use the data for objective-setting, reporting and decision-making. Its Data-on-Demand and Central Data Store features provide for automatic data loading from the schools themselves and well as from the New York City Department of Education’s data system into a central data warehouse and easy storage, analysis and reporting of current and historic student data. Its digital warehouse feature allows for storage and instantaneous access to data 24 hours a day from any location. CEI-PEA currently provides the platform for all data sharing.
- **Information Analysis Tools** – The PICCS Data Warehouse includes Information Analysis Tools that help schools to use technology-supported analyses of student data to pinpoint factors influencing their successes and challenges, and to measure and track their progress

toward important benchmarks and achievement targets. The “drill down” capacity allows for the kind of in-depth data analysis that is necessary to effectively differentiate instruction and make appropriate curricular modifications.

## **Instruction & Curriculum Management System**

All consortium schools will have access to the project’s Instruction & Curriculum Management System. This system comprises a suite of online tools to help educators gauge student achievement, track curriculum standards, benchmark assessments and increase student performance. Its components include:

- **Performance Tracker**, which is an assessment management solution for tracking and analyzing student achievement. This resource provides educators a single location to access national, state and local assessment data along with essential student information.
- **Assessment Builder**, which provides educators with a simple way to create, score and analyze local benchmark assessments and helps them use benchmark assessment data to guide instruction. With this digital tool, educators can create tests using their own content or by choosing from thousands of standards-based questions. After the assessments are completed, results are immediately available and can be interactively viewed via detailed item analysis reports.
- **Curriculum Connector**, which allows schools to develop and share a comprehensive, standards-based curriculum, including units, lessons and assessments. Built upon the research of Dr. Heidi Hayes Jacobs and Carol Tomlinson, who advocate the deep use of data to differentiate instruction and map curriculum,<sup>26</sup> this resource provides analytic reports that

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<sup>26</sup> Jacobs, H.H. (2004). *Getting results with curriculum mapping*. Alexandria, VA: Association for Supervision and Curriculum Development. Jacobs, H.H. (2002). *Keynote address*. National

facilitate the conversations educators have as they read through either core or teacher-developed curriculum maps.

### **myPICCS Portal**

The myPICCS Portal contains a variety of digital resources and social media tools to promote teacher collaboration and capacity-building across the consortium. It provides educators with a wide range of supports and resources for participating in the PICCS project, including libraries of documents and videos, discussion forums, task managers, calendars, newsrooms and RSS news feeds. It is also intended help foster development and growth of Professional Learning Communities (PLCs) within and across the schools (see professional development section of this proposal). Authorized users are able to access myPICCS from any computer with a web browser and Internet connection, and it provides a “one-click” link to the Data Warehouse and Instructional & Curriculum Mapping System.

### **PROFESSIONAL DEVELOPMENT**

At the heart of the PICCS-NYC project is a comprehensive program of professional development designed to build capacity of teachers and Principals in areas that are directly related to the performance measures and criteria for “effectiveness” of the PBCPs and that support teachers and Principals in improving the academic achievement of students. The PICCS-NYC professional development initiatives are designed to support the project’s focus on using performance-based compensation as a critical component of an integrated overall school improvement initiative. Accordingly, it will support individual teachers and Principals throughout the consortium schools with training and technical assistance while, concurrently,

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Curriculum Mapping Institute. Park City, Utah. Tomlinson, C.A., (2000). Differentiation of instruction in the elementary grades. ERIC Digest. ERIC\_NO: ED443572.

engage educators in transformative professional learning activities that promote the development of collaborative, data-driven and performance-focused cultures in their schools.

The PICCS-NYC professional development program will be created and implemented with the same commitment to consortium-wide collaboration that defines the PBCP development process and similar elements of the project. Under the guidance of the PICCS Director and Deputy Director, the PICCS-NYC PBCP Committee and other key stakeholders will engage in a process of developing a framework for identifying consortium-wide and school-specific needs based on analysis of student assessment and other data—as well as prior-year progress towards meeting ILP, CIP and SWP performance targets—and aligning consortium-wide and school-based professional development priorities and activities with the identified needs.

The PICCS-NYC professional development framework will also focus strongly on supporting positive, ongoing and self-sustaining change in the cultures of consortium schools. To this end, PICCS-NYC’s professional development program will support educators in: a) using data effectively and building data cultures; b) working collaboratively through development of professional learning communities, peer review and effective use of online and social media-related resources; and c) improving the teacher and Principal evaluation process. These elements of the PICCS-NYC professional development framework are described below.

### **Building Data Cultures**

The PICCS-NYC Data Warehouse will provide teachers and school leaders with a plethora of information previously unavailable or difficult to access. However, availability of data alone cannot drive school improvement. Nancy Love, in the introduction to her 2008 edited collection of research, *Using Data to Improve Learning for All*, describes the new challenge facing schools: *“Simply having more data available is not sufficient. Schools are drowning in data. The problem*

is marshaling data as the powerful force for change that they are.”<sup>27</sup> In the 2010 report *Use of Education Data at the Local Level* (SRI International for the USED Office of Planning, Evaluation and Policy Development), the authors confirm that school districts around the country primarily use their data systems for accountability purposes. They sketch a continuum of data usage that points towards an ideal in which schools have data-rich learning communities.<sup>28</sup> The SRI report delineates points on the continuum with three “Categories” for local data use, which move from accountability (Category 1) to general curricular and instructional planning (Category 2) to ongoing differentiated instruction and curricular modifications (Category 3). Based upon the needs assessments conducted during the proposal development process, schools in the PICCS-NYC consortium all fall into Category 1 or the early stages of Category 2 in data use. Therefore, a key aspect of professional development will be to advance all of the schools along the continuum of local data use such that they are able to truly use the PICCS-NYC Data Warehouse in order to advance teaching and learning and, in turn, achieve the performance targets included in their school’s PBCS.

Boudette, City, and Murnane explain in their depiction of a “data wise” culture that data systems alone cannot generate real and lasting improvements in learning environments. Rather, they speak of turning schools into learning organizations capable of continuous introspection and improvement, where data systems provide one part of the infrastructure to support these processes.<sup>29</sup> Therefore, our goal in terms of supports for data use is to establish strong data cultures at all schools to support continuous introspection and improvement by individual

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<sup>27</sup> Love, Nancy. *Using Data to Improve Learning for All*. Corwin Press, 2008.

<sup>28</sup> Means, Padilla and Gallagher of SRI International, 2010.

<sup>29</sup> Boudette, City, and Murnane, *Data Wise: A Step-by-Step Guide to Using Assessment Results to Improve Teaching and Learning* (Cambridge, MA: Harvard Education Press, 2005).

educators, school teams and school leadership. We propose to use the strategies below to accomplish this goal.

**Technical Training** – We will provide teachers and school leaders with a range of training opportunities to ensure that they fully understand and are capable of using the various technologies included in the PICCS Data System. These trainings will occur through workshops at CEI-PEA (the lead organization), webinars, videos, podcasts, web forums, and in-school coaching.

**Training in the Use of Data** - Teachers in PICCS-NYC will move beyond standard “data literacy” to learn to use a variety of different kinds of data, some on a daily basis, some monthly or quarterly, and some annually, to continuously improve instruction and engage in collaborative inquiry. These include formative and summative assessments, as well as other data such as surveys and observations.

**Training Supportive Leadership** - Active promotion of data-driven decision making is a vital element for successful implementation of data-rich learning environments.<sup>30</sup> For this reason, all schools that have professional development for Principals and other instructional administrators will focus on improving their capacity to develop and implement school-wide data-driven decision-making initiatives, to support teachers in using data and differentiating instruction and to effect cultural change regarding data-driven decision-making in their schools.

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<sup>30</sup> Marsh, Pane, and Hamilton, *Making sense of data-driven decision making in education: Evidence from recent RAND research*, No. OP170 (Santa Monica, CA: RAND Corporation, 2006); Supovitz and Klein, *Mapping a course for improved student learning: How innovative schools systematically use student performance data to guide improvement* (Philadelphia, PA: Consortium for Policy Research in Education, 2003); Wayman and Stringfield, “Data use for school improvement: School practices and research perspectives,” *American Journal of Education* 112(4), 2006 (463-468); Wayman and Stringfield, “Technology-supported involvement of entire faculties in examination of student data for instructional improvement,” *American Journal of Education* 112(4), 2006 (549-571).

## Promoting Collaboration to Improve Teaching and Learning

The project will build the capacity of teachers in participating schools to work collaboratively with peers in their schools and across the consortium through professional development and access to digital resources that facilitate professional collaboration. The primary ways that the project will support teachers in working and learning collaboratively are:

**Professional Learning Communities (PLCs)** –PICCS-NYC will use professional learning communities to design, implement and grow effective practices at all levels—classroom, school and network-wide. The term PLC (equivalent to what some other fields call a “community of practice”) refers to a group of people who do the same or similar work, share a repertoire of resources and history, and who come together regularly in formal or informal ways to share what they know with each other.<sup>31</sup> PLCs push limits, but in ways that build trust and encourage experimentation.<sup>32</sup> In PICCS-NYC, schools will form PLCs that meet regularly and are empowered to study student data, sharpen curriculum, and support each other's efforts to teach effectively so that they build a joint commitment to continuous improvement. PICCS will provide the following supports to help schools and the PICCS network grow PLCs:

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<sup>31</sup> Wenger, *Communities of practice: Learning, meaning, and identity* (Cambridge: Cambridge UP, 1998); McLaughlin and Talbert, *Building School-based Teacher Learning Communities: Professional Strategies to Improve Student Achievement* (New York: Teachers College Press, 2006).

<sup>32</sup> Brown and Gray, “The People Are the Company: How to build your company around your people,” *FastCompany Magazine*, 1995; Wenger, McDermott & Snyder, *Cultivating Communities of Practice*, (Cambridge: Harvard Business School Press, 2002); Darling-Hammond, *The Flat World and Education: How America's Commitment to Equity Will Determine Our Future* (New York: Teachers College Press, 2010); McLaughlin and Talbert, *Building School-Based Teacher Learning Communities: Professional Strategies to Improve Student Achievement* (New York: Teachers College Press, 2007); Boudette, City, and Murnane, 2005; DuFour and Eaker, *Professional learning communities at work* (Alexandria, VA: ASCD, 1998); DuFour, DuFour, Eaker, and Many, *Learning by Doing: A Handbook for Professional Learning Communities* (Bloomington, IN: Solution Tree Press, 2006); Graham and Ferriter, *Building a PLC at Work: A Guide to the First Year* (Bloomington, IN: Solution Tree Press, 2008).

- **School-based PLCs** – Each school will establish a series of PLCs to support their school’s overall plan for implementing PICCS. Depending on the school’s grade levels, culture and other factors, these PLCs may be formed on grade level, by subject area or in interdisciplinary models. All of the PLCs will be provided with time during the school day to meet regularly to analyze, interpret and act on data.
- **School-based PLC Coaches** – At each school, PICCS provides training for teachers to become certified coaches capable of effectively facilitating PLCs. Training is provided by the Metro Learning Communities at New York University, which is led by Joe McDonald, co-author of *The Power of Protocols* (2003) and lead designer of the protocols utilized within PICCS to guide collaborative inquiry processes. Every PLC Coach is supported by a member of the Metro Learning Communities team of national experts who make regular visits to the school to help them implement and refine the use of protocols to build collaborative social structures for analyzing, interpreting and acting on data.
- **Network-wide PLCs** – In order to extend the capacity for collaborative inquiry beyond the walls of each school, PICCS will hold monthly network-wide PLCs that bring together the PLC Coaches to address implementation dilemmas, share successes, and collaboratively identify common areas of need in terms of training and resources to support school-level PLCs.

## **Peer Review of Learning Experiences**

Building upon the New York State Academy of Teaching and Learning (NYSATL) work of the 1990s on documenting and disseminating best practices, PICCS-NYC will use a comprehensive Peer Review program in which educators: document learning experiences in an 8-step process that integrates data analysis and interpretation throughout; peer review one another's learning

experiences at the school and PICCS -wide levels; use peer feedback to modify and improve learning experiences; ultimately approve learning experiences as “ready for replication”; share “ready for replication” learning experiences with others within and beyond the PICCS network. The peer review process serves as a PICCS-wide practice that models a collaborative inquiry process.

In the first 30 days of the project, each school’s Principal, with support and advice from the PBCP Committee, will recruit and appoint a Peer Review Coordinator, who will be the school-based advocate of the peer review process and who will support teachers in engaging in peer review. The Peer Review Coordinators will receive training in the peer review process and will meet with one another at least monthly throughout the project. During the Planning Year, an extensive process of peer review training and technical assistance will be developed for teachers in consortium schools interested in participating in peer review. PICCS-NYC will provide training and on-site technical assistance from New York University’s (NYU’s) Metro Learning Communities, a project partner with extensive experience in peer review,<sup>33</sup> to help teachers develop their units of instruction for peer review and guide teachers through the actual peer review process. Those units of instruction that are approved at both the school level (“Level One” peer reviews) and PICCS-NYC consortium-wide level (“Level Two” peer reviews) are then published on the project web portal so that other educators can benefit from the teacher’s high quality work. Teachers at each consortium school will engage in peer review, and in Years 2 through 5 will develop the following minimum number of Level One peer reviews at each school: Year 2 – 6 or 25% of staff (whichever is smaller); Year 3 - 6 or 30% of staff (whichever

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<sup>33</sup> NYU’s Metro Center was instrumental in helping to develop the peer review model in the original PICCS project. Under the direction of Dr. Joseph McDonald, author of *The Power of Protocols*, the Metro Center supported teachers in the original PICCS consortium in learning protocols that guided the peer review process and engaging successfully in peer review.

is smaller); Year 4 - 6 or 35% of staff (whichever is smaller); Year 5 – 6 or 40% of staff (whichever is smaller).

## **Improving Teacher and Principal Evaluation**

A priority of the professional development program—especially in the Planning and first operational years—will be to support teachers and Principals in implementing the evaluation strategies discussed earlier in this application. Training and technical assistance will facilitate reform of evaluation procedures in each school. Please see “Collaborative Approach to Evaluation” for more information about the evaluation systems that PICCS intends to use.

## **Adequacy of Support for the Proposed Project**

### **MANAGEMENT PLAN**

The management plan is designed to ensure that the project is implemented in a way that is consistent with the proposed project design and the activities and timelines described in this application. The management plan will guide the project’s personnel, partners and consortium schools in implementing the project so that it achieves its goals and expected outcomes. The project will be managed by CEI-PEA, a NYC-based nonprofit organization that creates successful public schools and educational programs. CEI-PEA was founded in 2000 through the merger of CEI, an organization founded in 1989 to promote public school choice, and PEA, an organization founded in 1895 that worked for more than 100 years to reform NYC’s public school system. CEI-PEA’s leadership and staff members have been working within the public school system to generate innovations for more than five decades, including: a) launching the small schools movement in NYC’s District 4 (East Harlem) in the 1970s; b) growing the school choice movement during the 1980s;<sup>34</sup> c) restructuring large schools into smaller learning

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<sup>34</sup> See Fliegel, Seymour, *Miracle in East Harlem: The Fight for Choice in Public Education* (reprint 2009) for a full history of the work through the early 1990s.

environments and creating school networks in the 1990s; d) creating and supporting charter schools since 1998; and e) since 2000, launching performance-based compensation systems for educators, developing integrated approaches to using data to drive instructional practices, and serving as an official “Partnership Support Organization” within the restructured NYC public school system. CEI-PEA is also managing the original PICCS, the TIF-funded charter school compensation reform and school improvement project described earlier in this application.

As discussed earlier, PICCS-NYC will adapt and expand the strategies, programs and resources of the original PICCS project to address the needs and circumstances of the consortium schools and to apply “lessons learned” to improve the effectiveness of the PICCS model.

Accordingly, to the greatest degree practicable, PICCS-NYC will be managed and implemented by the team of professionals and organizations that has developed and is currently implementing the original PICCS project. In this way, PICCS-NYC will utilize and build upon PICCS’ existing ideas, resources and intellectual energy to ensure efficiency and effectiveness in implementing the project.<sup>35</sup> The original PICCS has been implemented by CEI-PEA in partnership with the following organizations.

**JPS Solutions** - JPS Solutions is an educational consulting organization that provides planning, technical assistance and related services to charter schools and traditional public school districts. JPS Solutions Principal Frank San Felice is the Co-Director of PICCS, and he was a co-developer of the NYS Peer Review System that forms the basis of the PICCS and PICCS-NYC peer review program. JPS Solutions Principal Dr. Art Pritchard oversaw planning initiatives at

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<sup>35</sup> To adapt or enhance the programs, resources and/or technology of the original PICCS project, PICCS-NYC will use the partners and vendors who designed and implemented the original PICCS project’s programs. Wherever the PICCS-NYC project creates new programs that are not tied directly to the original PICCS project, the PICCS Director (or designee) will ensure that the project recruits and hires new professionals through a process that conforms to all relevant legal requirements and to the vendor selection and/or human resources requirements of CEI-PEA.

each PICCS school and JPS Principal Wayne D. Jones oversaw the project's successful efforts to leverage TIF funding with additional grants. Under the direction of JPS' principals, JPS associates oversaw PICCS' initiatives to integrate data-driven decision-making, peer review and PLCs into PICCS schools.

**Heimes Communications** - Heimes Communications is a full-service technology development and public communications company that has played an integral role in the original PICCS project. Heimes Communications developed and currently oversees implementation of myPICCS, the project's web portal, and will be responsible for adapting and customizing the web portal technology for PICCS-NYC. Heimes Communications also led development of consortium-wide and school-based communication plans, co-developed successful grant proposals that leveraged TIF-funding with additional public and private funds, and coordinated several large-scale events such as the annual PICCS conference. Heimes Communications will continue in these roles for PICCS-NYC.

**TetraData** - TetraData/Follett is the developer of the PICCS Data Warehouse. The organization currently works with 600 K-12 institutions serving more than 1.7 million students in 32 states.

**PerformancePlus/Sungard**— SunGard PerformancePLUS is the developer of the PICCS Instruction & Curriculum Management System. Their public sector technology tools are being implementing in school districts and municipal agencies throughout the US and UK, serving a total of more than 180 million citizens.

**The NYU Metro Learning Communities (MLC)** - Led by Professor Joe McDonald, MLC works with public schools throughout NYC to implement PLCs and support peer review. Dr. McDonald has been an advisor and facilitator to the original PICCS project since its inception,

and he and his staff will provide customized training, coaching and other technical assistance to support PICCS-NYC schools' implementation of peer reviews and PLCs.

## **Project-wide Management**

The project will be overseen by **PICCS Director** Frank San Felice, in coordination with **CEI-PEA Senior Fellow** Harvey Newman. Mr. San Felice will have executive oversight of all project activities, and he will coordinate the work of CEI-PEA, JPS Solutions, TetraData, PerformancePlus/Sungard, MLC and others in delivering professional development, technology and other services. Mr. San Felice and Mr. Newman will also be responsible for financial oversight of grant funds, including data management related to each school's differentiated compensation system and distribution of grant funds to schools for use as incentives.

Under the direction of Mr. San Felice, day-to-day management of project activities will be done by full-time **Deputy Director** Carter Clawson. Ms. Clawson will advise and oversee the activities of the PBCP Committee, the School-based PBCP Committees, the Peer Review Coordinators and the Data. Ms. Clawson will work closely with Mr. San Felice and Mr. Newman, as well as with the project partners, to develop all planning and training activities during the Planning Year, and will facilitate the recruitment, selection and training of consortium-wide and school-based PBCP Committee members, Communication Liaisons and TIF-supported teacher-leaders (e.g. the Data Coordinator, the Peer Review Coordinator, etc.). Mr. San Felice and Ms. Clawson will coordinate and chair meetings of the consortium-wide PBCP, and Ms. Clawson will meet frequently with the Principals and school-based PBCPs at each school. The **Project Coordinator** Patrice Webster will work closely with each project partner and consortium school to schedule and coordinate logistics for project workshops, teleconferences, technical assistance and data management system development.

In addition to these management roles, the following persons will direct specific elements of the PICCS-NYC project: the **Project-wide Data Coordinator** Sara Asmussen, Ph.D., will provide training, technical assistance and support to school-based Data Coordinators and Data Teams; the **PLC/Peer Review Lead Coach** (new hire) will direct all aspects of the professional learning communities and peer review work; the **Field Manager** Andy Verdon will oversee the integration of the various PICCS components and service delivery by project consultants at the participating schools; the **Communications Director** Amy Shore, Ph.D., will oversee all aspects of project communication, including school-based outreach to stakeholders.

### **School-Level Management**

The **PBCP Committee** at each school will serve as the primary school-based decision-making vehicle regarding PICCS-NYC activities. Each PBCP Committee will work closely with Mr. San Felice and Ms. Clawson to implement school-based PBCP planning and to schedule and implement school-based training, communication and integration of PICCS-NYC technology. Each PBCP Committee will also work closely with the school's **Communication Liaison** to develop and implement a school-based Communications Plan and to ensure that stakeholders throughout each school are kept informed of project activities, requirements and results. The PBCP Committee at each school will be responsible for establishing school-based protocols and procedures for developing achievement plans and implementing project activities (based on frameworks developed at project-wide level), and will also support the Principal in recruiting volunteers from among the faculty and school community to serve as **Data Coordinator** and **PLC/Peer Review Coordinator** (along with other TIF-supported leadership roles). The Data Coordinator will provide hands-on support to teachers to help them use the Data

Management System, analyze student data, set achievement targets and use data to inform instruction. The PLC/Peer Review Coordinators will oversee peer review and PLC activities at their respective schools and, in coordination with the PLC/Peer Review Lead Coach, will train teachers in PLC and peer review protocols. In recruiting teachers to fill these leadership roles, the school-based PBCP Committees will seek teachers who are enthusiastic about the project and relatively familiar with basic technology. These teachers need not have prior knowledge about PLCs, peer review or data management systems; they will receive training to build their capacities in the respective area.

**TIME LINE**

**Year 1 – Planning Year – 1<sup>st</sup> Quarter**

<b>Events</b>	<b>Responsible Persons/ Entities</b>
Announce award of grant; Prelim meetings; Initial planning meetings involving CEI-PEA staff and project staff to coordinate project with CEI-PEA administrative, financial management and other systems; Hold orientation and planning meeting for Principals and others from each school; Establish Consortium-wide PBCP Committee; Select and hold initial meeting with project evaluator to validate the evaluation plan and to establish procedures and protocols to ensure proper data collection throughout the project, as well as practices to address legal compliance and privacy concerns.	PICCS Dir, Deputy Dir., CEI-PEA, JPS Solutions, TetraData, PerformancePlus/ Sungard, Heimes Communications, Project Evaluator
Initial PBCP Committee meeting. Preliminary work to establish consortium-wide PBCP framework. Monthly meetings (at least) thereafter.	PICCS Dir., Deputy Dir., Project PBCP Committee
Establish School-Based PBCP Committees. Hold initial meetings on-site at each school to orient PBCP Teams and commence process of school-based planning (facilitated by Ms. Clawson and JPS Solutions). Hold monthly meetings thereafter. Recruit, select and orient school-based Peer Review Coordinators, Data Coordinators, PLC Coordinators and other school-based leadership positions.	PICCS Dir., Deputy Dir., School-Based PBCP Committees, designated teachers
Commence review and customization of Data Management System. Hold initial meetings with	PICCS Dir., Deputy Dir., Project PBCP Committee, CEI-PEA, JPS

<b>Events</b>	<b>Responsible Persons/ Entities</b>
technology partners, project staff, project PBCP Committee, CEI-PEA and JPS Solutions. Coordinate development of Data Management System with project website and web portal.	Solutions, TetraData, PerformancePlus/ Sungard, Heimes Communications
2-day workshop for all PBCP Committees; 1-day workshop for Data Coordinators; 1-day workshop for Peer Review and PLC Coordinators. Thereafter, the Data Coordinators, Peer Review Coordinators and PLC Coordinators will meet with their respective peers from other consortium schools on a monthly basis to discuss project progress and participate in professional development.	PICCS Dir, Deputy Dir, PLC/Peer Review Lead Coach, CEI-PEA, JPS Solutions, Project PBCP Committee and Data, PLC and Peer Review Coords.

### **Year 1 – Planning Year – 2<sup>nd</sup> Quarter**

<b>Events</b>	<b>Responsible Persons/ Entities</b>
Continue monthly PBCP Committee meetings. Complete development of framework for ILPs, CIPs and SWPs. Confirm project framework and parameters for incentives.	PICCS Dir., Deputy Dir., project-wide PBCP Committee, CEI-PEA
Continue monthly (at least) Project-wide PBCP Committee meetings. Continue frequent (at least monthly) School-based PBCP Committee meetings. Continue coordination and support re project evaluation, including coordination with customization of Data Management System	PICCS Dir, Deputy Dir, TetraData, JPS Solutions, PBCP Committee and project evaluator
Continue monthly School-Based PBCP Committee meetings at each school. Complete procedures and framework for ILPs, CIPs, SWPs and other plans (including professional development plans). Coordinate development of the frameworks and procedures with professional development providers. Begin work to establish school-based schedule and criteria for incentives (within project framework)	PICCS Dir., Deputy Dir., School-based PBCP Committees, designated teachers
Continue customization of Data Management System project web portal. Commence training for School-Based PBCP Committee members and Data Coordinators re use of Data Management System. Coordinate TetraData, PerformancePlus and related training with JPS Solutions training on use of data to establish achievement targets and training regarding protocols, peer review and PLCs.	TetraData, PerformancePlus/ Sungard, Project Dir., Deputy Dir., PLC/Peer Review Lead Coach, Project PBCP Committee, School-based PBCP Committees, JPS Solutions, Metro Learning Communities/NYU, Heimes Communications
Commence training in effective evaluation practices with consortium-wide training session for Principals,	Deputy Dir., PLC/Peer Review Lead Coach, CEI-PEA, JPS Solutions,

<b>Events</b>	<b>Responsible Persons/ Entities</b>
PBCP Committees and other school stakeholders, with follow-up technical assistance. Commence project technical assistance on-site at each school. Four 3-person teams deployed to schools 4 days per week (Curriculum/Instruction and Management/Leadership teams overseen by CEI-PEA; Planning/Achievement Plan and Peer Review team overseen by JPS Solutions)	School-Based PBCP Committees, Principals and teachers

### **Year 1 – Planning Year – 3rd to 4<sup>th</sup> Quarters**

<b>Events</b>	<b>Responsible Persons/ Entities</b>
Continue monthly PBCP Committee meetings and carrying out PBCP Committee responsibilities. Finalize school-based PBCPs.	PICCS Dir., Deputy Dir., PBCP Committee, CEI-PEA
Finalize planning regarding each of the “Essential Elements”	PICCS Dir., Deputy Dir., JPS Solutions, project-wide and School-based PBCP Committees, project partners, school-based Communication Liaisons
Continue coordination and support re project evaluation. Preparation of 1 <sup>st</sup> yr evaluator report	PICCS Dir, Deputy Dir., Project Evaluator
Continue monthly School-based PBCP Committee meetings at each school and carryout School-based PBCP Committee responsibilities. Complete schedules and criteria for incentives (within project framework)	PICCS Dir., Deputy Dir., School-based PBCP Committees, designated teachers
Continue training and technical assistance for School-based Peer Review Coordinators, PLC Coordinators and Data Coordinators (and other TIF-supported leadership positions); Commence peer review training for teachers. Establish peer review section and resources on project website and web portal.	PICCS Dir., Deputy Dir, PLC/Peer Review Lead Coach, JPS Solutions, MLC/NYU, TetraData, Peer Review Coords., PLC Coords., Data Coords., PerformancePlus/Sungard, Heimes Communications
Complete customization of Data Management System and development of project web portal. Continue training for School-based PBCP Committee members, project staff, Data Coordinators, teachers and Principals re use of Data Management System. Coordinate TetraData and PerformancPlus training with JPS Solutions training and school-wide planning at each school. Launch web forums. Continue project	PICCS Dir., Deputy Dir., CEI-PEA, JPS Solutions, TetraData, Heimes Communications, School-based PBCP Committees, Principals and teachers

<b>Events</b>	<b>Responsible Persons/ Entities</b>
technical assistance on-site at each school.	
Announcement and payment of financial incentives at end of school year.	PICCS Dir, Deputy Dir., CEI-PEA, Principals and teachers

### **Year 2 – 1<sup>st</sup> to 2<sup>nd</sup> Quarters**

<b>Events</b>	<b>Responsible Persons/ Entities</b>
Continue meetings and responsibilities of Project-wide PBCP Committee and School-based PBCP Committees. Continue use of Data Management System and web portal. Principals and teachers commence use of Data Management System to support creation of achievement plans and targets. Continue peer review and PLC initiatives.	PICCS Dir., Deputy Dir., CEI-PEA, JPS Solutions, TetraData, MLC, PerformancePlus/ Sungard, Heimes Communications, School-based PBCP Committees, Principals and teachers
Develop ILPs, CIPs and SWPs. Continue project technical assistance on-site at each school.	Deputy Dir., CEI-PEA, JPS Solutions, TetraData, School-based PBCP Committees, Principals and teachers

### **Year 2 – 3<sup>rd</sup> to 4<sup>th</sup> Quarters**

<b>Events</b>	<b>Responsible Persons/ Entities</b>
Continue meetings and responsibilities of Project-wide PBCP Committee and School-based PBCP Committees. Continue use of Data Management System and project web portal. Continue peer review and PLC initiatives.	PICCS Dir., Deputy Dir, PLC/Peer Review Lead Coach, PBCP Committees, TetraData, PerformancePlus/Sungard, MLC, Heimes Communication, JPS Solutions, Principals and Teachers
Develop ILPs, CIPs and SWPs, Continue project technical assistance on-site at each school.	PICCS Dir., Deputy Dir, PBCP Committees, TetraData, PerformancePlus/ Sungard, Heimes Communication, JPS Solutions, Principals and teachers
Payment of financial incentives at end of school year.	PICCS Dir, Deputy Dir., CEI-PEA, Principals and teachers
Year-end evaluation report	PICCS evaluator, CEI-PEA

### Years 3-5

Events	Responsible Persons/ Entities
Continue project activities. Improve project implementation through ongoing review and modification. Payment of financial incentives at end of school year.	PICCS Dir., Deputy Dir., CEI-PEA, Principals and teachers
Development of initiatives to support sustaining of project	PICCS Dir, Deputy Dir., CEI-PEA, project partners, PBCP Committees
Final evaluation report	CEI-PEA, Project evaluator

### PROJECT PERSONNEL

The PICCS Director is **Frank San Felice**, a Co-Director of the original PICCS project, who has been a middle school principal, an Assistant Superintendent for Instructional Services for a multi-school collective (BOCES) and a consultant to charter schools in areas ranging from start-up and curriculum development to data-driven decision-making and charter renewal. Mr. San Felice helped to develop the New York State Academy for Teaching and Learning’s Peer Review process, from which the PICCS-NYC peer review process has been adapted. Mr. San Felice, along with his JPS Solutions partners, has advised charter schools for more than a decade, and he currently serves on the board of the NYC Center for Autism Charter School, one of the country’s only charter schools designed exclusively to address the needs of children with autism or other severe developmental disorders. Mr. San Felice will coordinate his leadership of PICCS-NYC with CEI-PEA Senior Fellow **Harvey Newman**. Mr. Newman has served for 30 years as a successful NYC teacher and principal. He is the Director of CEI-PEA’s Charter School Technical Assistance Center, which helped launch more than 30 charter schools including several that are now national models—i.e. KIPP Academy, Harlem Day Charter School, Carl C. Icahn Charter School and the New York Center for Autism Charter School. Mr. Newman is a Co-Director of the original PICCS, and he serves on several charter school boards.

Deputy Director **Carter Clawson** is currently the Project Coordinator for PICCS, where she serves as liaison between CEI-PEA, project staff and the consortium schools, and also coordinates government compliance reporting. Ms. Clawson will be supported by a Field Manager, **Andrew Verdon**, who has nearly 40 years experience in education as a K-12 teacher, a district and BOCES administrator and a senior administrator at a Washington, DC-based nonprofit that created K-12 educational programs for national implementation. He is currently a consultant to the original PICCS, where he provides on-site technical assistance to administrators and teachers. Ms. Clawson will also be supported administratively by Project Coordinator, **Patrice Webster**. Ms Webster currently serves as Office Associate at CEI-PEA. **Sara Asmussen, Ph.D.** will serve as Project-wide Data Coordinator, providing training, technical assistance and support to school-based Data Coordinators and Data Teams. Dr. Asmussen has similar responsibilities in the current PICCS project. The project will also hire a consortium-wide Peer Review/PLC Coordinator. The project will appoint CEI-PEA staff member **Jane Sun** to serve as Lead Data Engineer and hire a new staff member to support her as a Data Engineer. Ms. Sun is currently providing data support to the original PICCS, including frequent updating of data into the technology warehouse. She was a computer support specialist for the NYC Human Resource Administration and a Teacher Assistant in Programming at City College of NYC. She is a Certified Base & Intermediate Programmer for SAS. **Amy Shore** will serve as Director of Communications. Dr. Shore leads the communications efforts of the current PICCS project and has served as a communications consultant to CEI-PEA for over a decade, during which time she helped grow the organization into one of the largest and most recognized education reform organizations in New York City.

## **MATCHING FUNDS**

As documented in the attached memoranda of understanding, each school has committed to supporting a steadily increasing amount of the financial incentives over the course of the project. In the project's second year—i.e. the first year in which TIF-supported incentives will be paid—each school commits to providing 10 percent of the total amount of financial incentives from its operating budget or other non-TIF funds. In Year 3, each school will pay 25 percent and, in Year 4, each school will pay 50 percent. In the final year of the project, each school will pay 75 percent and, thereafter, will be responsible for paying 100 percent of its PBCS.

Also, CEI-PEA, along with JPS Solutions and Heimes Communications, will seek to leverage TIF funds with additional public and private grants, as they did for the original PICCS project. Through a strategic grant development initiative, several grants were secured to support and expand PICCS consortium objectives and activities, including two Enhancing Education Through Technology grants, two Charter School Program Dissemination grants and a National Geographic Foundation grant. A similar grant development initiative for PICCS-NYC will be planned and launched during the Planning Year.

## **SUFFICIENT FUNDING REQUEST**

The proposed project will leverage and expand upon the programming, technology infrastructure and professional development model designed and implemented in the original PICCS project, as well as the experience and understanding of what it has taken to support the PICCS Principals, administrators and teachers in developing compensation programs and building data-informed cultures in their schools. Each project activity is designed to grow internal capacity across the consortium and at individual consortium schools and will therefore contribute to achieving the project goals on an ongoing and continuously-improving basis.

The requested grant funds have been budgeted in relation to the project's objectives of reforming compensation systems and improving school programs to support educators in meeting rigorous performance targets. In addition to providing funds to support differentiated compensation at consortium schools, the grant will contribute to the development of strong data cultures that support teachers in differentiating instruction to improve student academic outcomes. It will support professional development to facilitate reform of evaluation processes and collaboration among educators across the consortium and in individual consortium schools. The grant will result in improved internal capacity at all consortium schools to use technology to support data-driven and differentiated instruction and, by so doing, will promote sustained improvement in teaching and learning at each school.

## **Local Evaluation**

PICCS-NYC will commission a nationally-recognized and experienced research and evaluation firm (*the "Contractor"*) to conduct an independent evaluation that will provide PICCS-NYC staff and partners with information regarding implementation of specific project elements, including the PBCPs, the impact of the project on student academic and school-wide outcomes, as well as the link between project implementation and outcomes. The the evaluation of the PICCS-NY Project will consist of four primary objectives: (1) to assess the quality and effectiveness of the PICCS-NYC model of professional development and training; (2) to assess program implementation at the school and classroom levels and to study and report on how participating charter schools have implemented the key components of PICCS-NYC as well as assessing the *fidelity* of implementation; (3) to assess the impact of the PICCS-NYC model at the school and classroom levels; and (4) to assess the impact of the PICCS-NYC model on students.

The Contractor will approach the evaluation by first constructing a conceptual framework for examining the processes and practices of participating schools. The framework will focus on

six major components (organized by the broad categories of *Antecedents, Program Implementation* and *Program Effectiveness*) and a variety of sub-components of effective schools and performance compensation systems. The framework will be based on an extensive review of the literature and discussions with experts in the field, including Dr. Matthew Stringer, Director of the National Center on Performance Incentives at Peabody College/Vanderbilt University<sup>36</sup>. The major components and sub-components are further defined into performance measures in the tables below.

### **Antecedent Variables**

<b>Characteristics</b>		
<p><i>Suitability</i></p> <ul style="list-style-type: none"> <li>▪ Compatibility of PICCS-NYC model (e.g., with prevailing assumptions, priorities, and values)</li> <li>▪ Alignment of PICCS-NYC model (e.g., with ongoing program/instruction)</li> <li>▪ Uniqueness/Importance of model</li> <li>▪ Stakeholder Support for PICCS-NYC</li> </ul>	<p><i>Practicality</i></p> <ul style="list-style-type: none"> <li>▪ Clarity of PICCS-NYC Key Elements/Components               <ul style="list-style-type: none"> <li>- PBCS (including ways of determining effectiveness: ILP, CIP, SWP, Peer Review participation, school leadership efforts)</li> <li>- Embedded Professional Development (including methods of evaluation, collaborative work, reflective practice)</li> <li>- Data Management System (including using tools to set targets, customize instruction, and monitor student performance)</li> <li>- Curriculum/Instruction/Assessment System (including using tools to develop curriculum, plan instruction, and assess/monitor student performance)</li> <li>- Peer Review (including 8-step documentation process, participating in review process, contributing to and using myPICCS portal)</li> </ul> </li> <li>▪ Ease of Component Use</li> </ul>	
<b>School Characteristics</b>		
<p><i>Demographics</i></p> <ul style="list-style-type: none"> <li>▪ Size               <ul style="list-style-type: none"> <li>- School</li> <li>- Class</li> </ul> </li> <li>▪ Community Demographics</li> <li>▪ Student Demographics               <ul style="list-style-type: none"> <li>- Race/Ethnicity</li> <li>- Free lunch status</li> <li>- Special education status</li> <li>- ELL status</li> </ul> </li> <li>▪ Student Achievement History</li> </ul>	<p><i>Organizational/Instructional Features</i></p> <p>Extent/Adequacy/Effectiveness of:</p> <ul style="list-style-type: none"> <li>▪ Leadership</li> <li>▪ Vision/Focus</li> <li>▪ Policies/Procedures</li> <li>▪ Climate/Professional Culture               <ul style="list-style-type: none"> <li>- Collaborative decision-making</li> <li>- Frequency of</li> </ul> </li> </ul>	<p><i>Professional Capacity</i></p> <ul style="list-style-type: none"> <li>▪ Staff Background               <ul style="list-style-type: none"> <li>- Academic background</li> <li>- Experience</li> <li>- Professional leadership activities</li> <li>- Attitudes/Perception (including satisfaction with teaching, pedagogical beliefs, openness toward innovation)</li> <li>- Retention</li> </ul> </li> <li>▪ Professional Development               <ul style="list-style-type: none"> <li>- Quality</li> <li>- Coverage</li> </ul> </li> </ul>

<sup>36</sup> Dr. Stringer consulted with the local evaluator (Measurement Incorporated) on the evaluation design for the current PICCS (TIF) grant

<ul style="list-style-type: none"> <li>▪ School Start Date</li> </ul>	<ul style="list-style-type: none"> <li>planning time</li> <li>- Teacher empowerment</li> <li>▪ Resources</li> <li>▪ Parent/Community Outreach</li> </ul>	<ul style="list-style-type: none"> <li>- Incentives</li> <li>▪ Staff Evaluations</li> <li>- Consistency</li> <li>- Credibility</li> <li>- Relationship to standards and practice</li> </ul>
<b>PICCS-NYC Implementation Support</b>		
<i>PICCS-NYC Training and Follow-Up</i> (Including major training workshops—e.g., TetraData, Performance Pathways, Danielson Group—and other strategies) <ul style="list-style-type: none"> <li>▪ Coverage</li> <li>▪ Quality</li> <li>▪ Effectiveness</li> </ul>	<i>Resources</i> Extent/Adequacy/Effectiveness : <ul style="list-style-type: none"> <li>▪ Time</li> <li>▪ Facilities</li> <li>▪ Materials</li> <li>▪ Personnel/Management Structures</li> </ul>	<i>Participation/Collaboration</i> <ul style="list-style-type: none"> <li>▪ Initial/Ongoing Involvement in Decision-making</li> <li>▪ Level of Influence</li> <li>▪ Feedback Loops: Existence and Effectiveness</li> </ul>

### Implementation Variables

<b>Fidelity of Implementation</b>		
<i>Scope and Adherence</i> <ul style="list-style-type: none"> <li>▪ Number/type of PICCS -NYC components in Use</li> <li>▪ Number of Schools, Classrooms, Grade Using Components</li> <li>▪ Frequency of Use</li> <li>▪ Match: Intended vs. Actual Use</li> </ul>	<i>Quality of Delivery</i> <ul style="list-style-type: none"> <li>▪ Level of Component Use (e.g., mechanical, routine, or integrated use)</li> <li>▪ Level of Comfort During Program Use</li> <li>▪ Implementation Successes/Problems</li> </ul>	<i>Valuing/Receptivity</i> <ul style="list-style-type: none"> <li>▪ Satisfaction</li> <li>- PICCS-NYC in general</li> <li>- PICCS-NYC components</li> <li>- Impact on instructional practices</li> <li>- Impact on students</li> </ul>

### Effectiveness Variables

<b>School/Teacher Outcomes</b>		
<i>Organizational/Instructional Practices</i> Change in: <ul style="list-style-type: none"> <li>▪ Instructional Leadership</li> <li>▪ Policies/Procedures</li> <li>▪ Climate/Professional Culture <ul style="list-style-type: none"> <li>- Collaborative decision-making</li> <li>- Frequency of planning time</li> <li>- Teacher empowerment</li> </ul> </li> <li>▪ Resources</li> <li>▪ Parent/Community Outreach</li> </ul>	<i>Teaching Practices</i> Change in: <ul style="list-style-type: none"> <li>▪ Planning and Preparation (e.g., knowledge of students, setting targets, knowledge of resources, designing customized instruction)</li> <li>▪ Content, Pacing, and Sequencing of Instruction (including differentiating instruction, using researched-based practices)</li> <li>▪ Classroom Structure/Organization (e.g., student grouping, classroom environment, spatial and temporal arrangements)</li> <li>▪ Classroom Management (e.g., procedures, student behavior)</li> </ul>	<i>Attitude/Expectations</i> Change in: <ul style="list-style-type: none"> <li>▪ Expectations for Students</li> <li>▪ Attitudes towards Teaching</li> <li>▪ Teaching Styles and Beliefs</li> <li>▪ Teaching Confidence</li> <li>▪ Morale</li> <li>▪ Responsibilities (e.g., supervision, reflecting on teaching, communicating with families, growing and developing professionally)</li> </ul>

Student Outcomes
<p><i>Achievement</i></p> <ul style="list-style-type: none"><li>▪ Perceived Program Benefits<ul style="list-style-type: none"><li>- Student achievement; Engagement in learning; Attitudes/Behavior</li></ul></li><li>▪ Number/Percent of Students Making Accelerated Gains (Per Teacher)</li><li>▪ Consistency of Achievement Gains Across Students (i.e., disaggregated results by subgroups)</li><li>▪ Number/Percent of Students Making Accelerated Gains (School-wide)</li></ul>



The PICCS-NYC evaluation will involve both quantitative and qualitative methods that reflect the central variables and measures outlined in the Conceptual Framework, and which are critical to assessing program implementation and student achievement.

**Assessing Implementation** - The Contractor will develop study constructs and related survey and interview protocol items that build upon the work of the local evaluator of the current PICCS/TIF project. In order to expand and deepen the implementation data collected via survey, the Contractor will conduct site visits at four PICCS-NYC sites. Site visits will include qualitative inquiry with interviewees (school leaders, coordinators, and board members), focus groups (teachers), and document reviews (school-wide policies, procedures, etc.).

**Assessing Impact** - To assess the impact of PICCS-NYC services/program implementation on student achievement, a number of analyses (and comparisons) will be conducted: 1) as noted previously, the value-added model (VAM) that will be used in PICCS-NYC is that used by the Teacher Data Initiative, currently used by the New York City Department of Education (NYCDOE). In consultation and collaboration with the NYCDOE, the Contractor will analyze PICCS-NYC consortium schools' data for purposes of value-added analysis and comparison with student and teacher data from NYCDOE district schools; 2) cross-sectional comparisons of PICCS-NYC schools over time (i.e., pre and post project implementation); and 3) comparisons between PICCS-NYC schools and schools statewide and citywide. In addition, to examine

changes in school/classroom practices, the Contractor will compare teacher and school leader annual responses to selected survey items and test the pre-post differences statistically. The qualitative data gathered through site visits and focus groups will be synthesized through content analyses. Qualitative and quantitative results will then be integrated to provide a rich analysis of the PICCS-NYC program.

**Data Collection Methods** - Several data collection strategies will be used to obtain information relevant to the key evaluation questions for year two. The methods include survey, individual interviews, focus group interviews, record review and site visits to participating charter schools.

- Surveys. Surveys will be designed and disseminated collecting data from teachers and school leaders). The surveys will collect background data and information on teachers and school leaders, professional development, reactions to project training and implementation, and impacts at the school, teacher and student levels. Surveys will be disseminated each spring.
- School Site Visits Including Individual and Focus Group Interviews. To supplement the survey data, site visits will be conducted, including individual and focus group interviews, at four of the participating charter schools. The goals of these site visits will be to probe the early implementation efforts of schools and to document: 1) changes in practice, policy and procedure, 2) changes in the use of data, 3) implementation of the PICCS-NYC model, 4) reactions to PICCS-NYC professional development, 5) implementation of and reactions to the PBCPs, 6) early impacts on teacher practice and on student achievement, and 7) obstacles to change. During the site visits, interviews will be conducted with school leaders, data coordinators and others. Focus groups will be conducted with teachers who participate in Peer Review and other aspects of PICCS-NYC.

- Record Review. Student assessment data will be obtained for the targeted years of the grant, as well as for the 2-3 years prior to the grant (2006-07 through 2015-2016) to provide baseline as well as on-going student performance data of PICCS-NYC schools.

Through these various research approaches, the Contractor will be able to generate a wealth of data and information to help address the goals of the local evaluation and to assess the implementation efforts of participating schools to benefit from the PICCS-NYC.

Findings from the evaluation will be shared with project stakeholders through periodic briefings, annual progress reports and a final evaluation report. The briefings will provide ongoing feedback on all aspects of the evaluation, including the achievement of project milestones, problems/solutions, and forecasts. The progress reports will describe early (and ongoing) implementation results. The final report will provide a comprehensive analysis of PICCS-NYC, including a series of recommendations that can be used for future planning and decision-making. All reports will be written in a manner suitable for distribution to a broad audience of policymakers and practitioners.

# Project Narrative

## High-Need Schools Documentation

Attachment 1:

Title: **High-Needs Schools Documentation** Pages: **1** Uploaded File: **High-Need Documentation.PICCS-NYC.rtf**

## School Name and Current Percent Free and Reduced Lunch Eligible

<b>School Name</b>	DREAM Charter School
<b>Current Percent Free &amp; Reduced Lunch Eligible</b>	78
<b>School Name</b>	Our World Neighborhood Charter School
<b>Current Percent Free &amp; Reduced Lunch Eligible</b>	54
<b>School Name</b>	Bronx Charter School for Excellence
<b>Current Percent Free &amp; Reduced Lunch Eligible</b>	71
<b>School Name</b>	Dr. Richard Izquierdo Health & Science Charter School
<b>Current Percent Free &amp; Reduced Lunch Eligible</b>	98
<b>School Name</b>	Challenge Prep Charter School
<b>Current Percent Free &amp; Reduced Lunch Eligible</b>	100
<b>School Name</b>	Bronx Preparatory Charter School
<b>Current Percent Free &amp; Reduced Lunch Eligible</b>	86
<b>School Name</b>	Future Leaders Institute Charter School
<b>Current Percent Free &amp; Reduced Lunch Eligible</b>	73

# Project Narrative

## Union, Teacher, Principal Commitment Letters or Surveys

Attachment 1:

Title: **School Leader Commitment Letters** Pages: **21** Uploaded File: **Letters of Commitment.PICCS NYC.pdf**



**DR. RICHARD IZQUIERDO  
HEALTH & SCIENCE CHARTER SCHOOL**

111 BROADWAY, SUITE 604 NEW YORK, NEW YORK 10006 PHONE. 212.437.8373 EMAIL. INFO@HEALTHSCIENCESCHOOL.ORG

June 29, 2010

Mr. Harvey Newman  
Senior Fellow  
Center for Educational Innovation—Public Education Association (CEI-PEA)  
28 West 44<sup>th</sup> Street  
New York, NY 10036

Dear Mr. Newman:

We are pleased to endorse the application of CEI-PEA for consideration by the U.S. Department of Education's Teacher Incentive Fund to support the proposed *Partnership for Innovation in Compensation for Charter Schools in New York City (PICCS-NYC)*.

This letter will outline our commitment to supporting the objectives and initiatives of PICCS-NYC. In the event that the project is funded, our charter school will participate as a full partner. To this end, we make the following commitments:

- (1) We intend to integrate the programs and activities of PICCS-NYC into the overall operation of our school. As Principal, I will be fully committed to implementing the PICCS-NYC program in the school, and I will participate, as required, in PICCS-NYC meetings and training sessions. I will participate appropriately in Performance -Based Compensation Plan (PBCP) meetings and activities, and I will support the implementation of PICCS-NYC activities across the consortium and at my charter school.
- (2) We will support teachers and other members of the school community in participating in PICCS-NYC activities, including providing for release time, substitute teachers or other supports to enable teachers to attend PICCS-NYC training sessions. We will work with PICCS-NYC staff to help coordinate the project's schedule of training and planning activities with our school schedule.
- (3) We will participate fully in the consortium-wide and school-wide planning initiatives during the project's initial year (the "Planning Year"), including appointing a Communications Liaison and at least one representative to serve on the Performance-based Compensation Plan Committee (PBCP Committee). We will work with CEI-PEA and project staff at consortium-wide meetings at CEI-PEA and on-site at our school, and we will provide such support and resources as are necessary to facilitate project planning.
- (4) We will support the project's initiatives to improve the use of data in our school. To this end, we will appoint a teacher or other appropriate staff member to serve as Data Coordinator. The Data Coordinator will be trained in all Data Systems to provide technical support at the school site, as well as help teachers implement best practices in building data cultures. The Data Coordinator will attend monthly meetings at CEI-PEA headquarters, as well as all monthly trainings on Data Systems, in addition to all of the



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111 BROADWAY, SUITE 604 NEW YORK, NEW YORK 10006 PHONE. 212.437.8372 EMAIL. INFO@HEALTHSCIENCESCHOOL.ORG

training sessions listed for Data Coaches. We will also support the participation and training of teachers who will serve as Data Coaches, including release time or other accommodation to enable them to participate in a 3-day training session during the Planning Year and monthly training sessions throughout the project. We will support teachers in accessing the PICCS-NYC Data Warehouse and working with data during the school day, and we will work cooperatively with PICCS-NYC Data Specialists and representatives of PICCS-NYC partners TetraData and SunGard/PerformancePLUS during their on-site consultation visits.

- (5) We will support the project's initiatives to develop effective Professional Learning Communities (PLCs) by:
  - (a) We will appoint a teacher or other appropriate instructional staff member as the school's PLC Coordinator. This individual will receive full training and certification in PLCs through the NYU Metro Learning Communities so that s/he is able to coordinate and facilitate the various PLCs within the school. The PLC Coordinator will also receive the training described below for PLC Coaches, as well as ongoing specialized workshops and webinars to introduce them to new protocols. We will support the PLC Coordinator in participating in these training activities, as well as the monthly meetings for PICCS-NYC PLC Coordinators at CEI-PEA headquarters during after-school hours.
  - (b) We will support the participation of teachers who will be trained to become certified PLC Coaches, including their participation in a 6-month training and certification process that includes a series of after-school and weekend training sessions overseen by the NYU Metro Learning Communities.
  - (c) We will provide teachers with such support as is reasonably necessary to facilitate professional collaboration among teachers and teacher participation in PLCs. We will also work cooperatively with PICCS-NYC staff and experts from NYU's Metro Learning Communities during their on-site consultation visits.
- (6) We will support the project's peer review initiatives. To this end, we will appoint a teacher or other appropriate instructional staff member as the school's Peer Review Coordinator, and we will provide release time or other supports to enable the Peer Review Coordinator to participate in training and monthly meetings. We will support teachers in participating in school-level peer reviews each year, with a target participation rate of 20% of teachers in Year One, 25% of teachers in Year Two, 30% of teachers in Year Three, 35% of teachers in Year Four and 40% of teachers in Year Five. We will release staff members who qualify for Network Level Peer Review as necessary to support their participation at that level and their service on Network Level Peer Review panels.
- (7) We will participate fully in the project's performance-based compensation initiatives by:



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- (a) Participating in and supporting the work of the consortium-level PBCP Committee.
- (b) Establishing a PBCP Committee at our school that will review the consortium-wide PBCP framework and customize it to address the needs, circumstances and culture of our school, and to support the school-based implementation of the project. To this end, we will work closely and cooperatively with CEI-PEA and project staff, and we will comply with all data-collection, documentation and record-keeping requirements of the project and of the Teacher Incentive Fund. We will also ensure that our PBCP and our data-collection and reporting process are consistent and compatible with the formatting requirements of the PICCS-NYC project.
- (c) We will work closely and cooperatively with CEI-PEA and project staff to assist in the development of a consortium-wide PICCS-NYC Communications Plan and a school-wide PICCS-NYC Communications Plan.
- (8) We will participate in PICCS-NYC conferences, workshops and webinars, and we will support CEI-PEA and project staff in their efforts to disseminate information about the project. We will cooperate fully with the Project Evaluator and provide data, as requested, to support the project evaluation.
- (9) We will provide additional support or services that may be reasonably necessary to implement the PICCS-NYC project.

Thank you for including Dr. Richard Izquierdo Health and Science Charter School in PICCS-NYC. We are pleased to be a part of this exciting project.

Sincerely,





June 29, 2010

Mr. Harvey Newman  
Senior Fellow  
Center for Educational Innovation—Public Education Association (CEI-PEA)  
28 West 44<sup>th</sup> Street  
New York, NY 10036

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This letter will outline our commitment to supporting the objectives and initiatives of PICCS-NYC. In the event that the project is funded, our charter school will participate as a full partner. To this end, we make the following commitments:

- (1) We intend to integrate the programs and activities of PICCS-NYC into the overall operation of our school. As Principal, I will be fully committed to implementing the PICCS-NYC program in the school, and I will participate, as required, in PICCS-NYC meetings and training sessions. I will participate appropriately in Performance -Based Compensation Plan (PBCP) meetings and activities, and I will support the implementation of PICCS-NYC activities across the consortium and at my charter school.
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building data cultures. The Data Coordinator will attend monthly meetings at CEI-PEA headquarters, as well as all monthly trainings on Data Systems, in addition to all of the training sessions listed for Data Coaches. We will also support the participation and training of teachers who will serve as Data Coaches, including release time or other accommodation to enable them to participate in a 3-day training session during the Planning Year and monthly training sessions throughout the project. We will support teachers in accessing the PICCS-NYC Data Warehouse and working with data during the school day, and we will work cooperatively with PICCS-NYC Data Specialists and representatives of PICCS-NYC partners TetraData and SunGard/PerformancePLUS during their on-site consultation visits.

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  - (a) We will appoint a teacher or other appropriate instructional staff member as the school's PLC Coordinator. This individual will receive full training and certification in PLCs through the NYU Metro Learning Communities so that s/he is able to coordinate and facilitate the various PLCs within the school. The PLC Coordinator will also receive the training described below for PLC Coaches, as well as ongoing specialized workshops and webinars to introduce them to new protocols. We will support the PLC Coordinator in participating in these training activities, as well as the monthly meetings for PICCS-NYC PLC Coordinators at CEI-PEA headquarters during after-school hours.
  - (b) We will support the participation of teachers who will be trained to become certified PLC Coaches, including their participation in a 6-month training and certification process that includes a series of after-school and weekend training sessions overseen by the NYU Metro Learning Communities.
  - (c) We will provide teachers with such support as is reasonably necessary to facilitate professional collaboration among teachers and teacher participation in PLCs. We will also work cooperatively with PICCS-NYC staff and experts from NYU's Metro Learning Communities during their on-site consultation visits.
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- (7) We will participate fully in the project's performance-based compensation initiatives by:
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- (9) We will provide additional support or services that may be reasonably necessary to implement the PICCS-NYC project.

Thank you for including Challenge Preparatory Charter School in PICCS-NYC. We are pleased to be a part of this exciting project.

Sincerely,

A handwritten signature in black ink, appearing to read "Les Mullings". The signature is fluid and cursive, with a long horizontal stroke at the end.

Les Mullings  
Chair  
Board of Trustees  
Challenge Preparatory Charter School



# DREAM

CHARTER SCHOOL

232 East 103rd Street, New York, NY 10029  
tel 212 722 0232 fax 212 348-5979  
info@dreamschoolnyc.org

June 29, 2010

Mr. Harvey Newman  
Senior Fellow  
Center for Educational Innovation—Public Education Association (CEI-PEA)  
28 West 44<sup>th</sup> Street  
New York, NY 10036

Dear Mr. Newman:

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This letter will outline our commitment to supporting the objectives and initiatives of PICCS-NYC. In the event that the project is funded, our charter school will participate as a full partner. To this end, we make the following commitments:

- (1) We intend to integrate the programs and activities of PICCS-NYC into the overall operation of our school. As Principal, I will be fully committed to implementing the PICCS-NYC program in the school, and I will participate, as required, in PICCS-NYC meetings and training sessions. I will participate appropriately in Performance-Based Compensation Plan (PBCP) meetings and activities, and I will support the implementation of PICCS-NYC activities across the consortium and at my charter school.
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Thank you for including DREAM Charter School in PICCS-NYC. We are pleased to be a part of this exciting project.

Sincerely,



Richard Berlin  
Executive Director

June 29, 2010

Mr. Harvey Newman  
Senior Fellow  
Center for Educational Innovation—Public Education Association (CEI-PEA)  
28 West 44<sup>th</sup> Street  
New York, NY 10036



FUTURE  
LEADERS  
INSTITUTE

Dear Mr. Newman:

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Thank you for including Future Leaders Institute Charter School in PICCS-NYC. We are pleased to be a part of this exciting project.

Sincerely,

A handwritten signature in black ink, appearing to read "Peter Anderson", written in a cursive style.

Peter Timothy Anderson  
Head of School



Expecting Excellence  
From Our Children

June 29, 2010

Mr. Harvey Newman  
Senior Fellow  
Center for Educational Innovation—Public Education Association (CEI-PEA)  
28 West 44<sup>th</sup> Street  
New York, NY 10036

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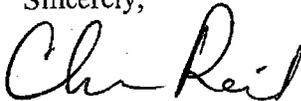
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Thank you for including Bronx Charter School for Excellence in PICCS-NYC. We are pleased to be a part of this exciting project.

Sincerely,



Charlene Reid  
Head of School  
Bronx Charter School for Excellence



June 29, 2010

Mr. Harvey Newman  
Senior Fellow  
Center for Educational Innovation—Public Education Association (CEI-PEA)  
28 West 44<sup>th</sup> Street  
New York, NY 10036

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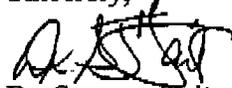
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Thank you for including Bronx Preparatory Charter School in PICCS-NYC. We are pleased to be a part of this exciting project.

Sincerely,



Dr. Samona Tait  
Head of School



## Our World Neighborhood Charter School

**Elementary School**  
Kindergarten to Grade 5  
36-12 35th Avenue  
Astoria, NY 11106

**Middle School**  
Grade 6 to Grade 8  
31-20 37th Street  
Astoria, NY 11103

June 29, 2010

Mr. Harvey Newman  
Senior Fellow  
Center for Educational Innovation—Public Education Association (CEI-PEA)  
28 West 44<sup>th</sup> Street  
New York, NY 10036

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Grades K-5  
Grades 6-8

Tel: (718) 392-3405 Fax: (718) 392-2840  
Tel: (718) 274-2902 Fax: (718) 274-7146

[www.owncs.org](http://www.owncs.org)



## Our World Neighborhood Charter School

**Elementary School**  
Kindergarten to Grade 5  
36-12 35th Avenue  
Astoria, NY 11106

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Grade 6 to Grade 8  
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Coordinator. The Data Coordinator will be trained in all Data Systems to provide technical support at the school site, as well as help teachers implement best practices in building data cultures. The Data Coordinator will attend monthly meetings at CEI-PEA headquarters, as well as all monthly trainings on Data Systems, in addition to all of the training sessions listed for Data Coaches. We will also support the participation and training of teachers who will serve as Data Coaches, including release time or other accommodation to enable them to participate in a 3-day training session during the Planning Year and monthly training sessions throughout the project. We will support teachers in accessing the PICCS-NYC Data Warehouse and working with data during the school day, and we will work cooperatively with PICCS-NYC Data Specialists and representatives of PICCS-NYC partners TetraData and SunGard/PerformancePLUS during their on-site consultation visits.

- (5) We will support the project's initiatives to develop effective Professional Learning Communities (PLCs) by:
- (a) We will appoint a teacher or other appropriate instructional staff member as the school's PLC Coordinator. This individual will receive full training and certification in PLCs through the NYU Metro Learning Communities so that s/he is able to coordinate and facilitate the various PLCs within the school. The PLC Coordinator will also receive the training described below for PLC Coaches, as well as ongoing specialized workshops and webinars to introduce them to new protocols. We will support the PLC Coordinator in participating in these training activities, as well as the monthly meetings for PICCS-NYC PLC Coordinators at CEI-PEA headquarters during after-school hours.
  - (b) We will support the participation of teachers who will be trained to become certified PLC Coaches, including their participation in a 6-month training and certification process that includes a series of after-school and weekend training sessions overseen by the NYU Metro Learning Communities.
  - (c) We will provide teachers with such support as is reasonably necessary to facilitate professional collaboration among teachers and teacher participation in PLCs. We will also work cooperatively with PICCS-NYC staff and experts from NYU's Metro Learning Communities during their on-site consultation visits.
- (6) We will support the project's peer review initiatives. To this end, we will appoint a teacher or other appropriate instructional staff member as the school's Peer Review

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Grades K-5  
Grades 6-8

Tel: (718) 392-3405 Fax: (718) 392-2840  
Tel: (718) 274-2902 Fax: (718) 274-7146

[www.owncs.org](http://www.owncs.org)



## Our World Neighborhood Charter School

**Elementary School**  
Kindergarten to Grade 5  
36-12 35th Avenue  
Astoria, NY 11106

**Middle School**  
Grade 6 to Grade 8  
31-20 37th Street  
Astoria, NY 11103

Coordinator, and we will provide release time or other supports to enable the Peer Review Coordinator to participate in training and monthly meetings. We will support teachers in participating in school-level peer reviews each year, with a target participation rate of 20% of teachers in Year One, 25% of teachers in Year Two, 30% of teachers in Year Three, 35% of teachers in Year Four and 40% of teachers in Year Five. We will release staff members who qualify for Network Level Peer Review as necessary to support their participation at that level and their service on Network Level Peer Review panels.

- (7) We will participate fully in the project's performance-based compensation initiatives by:
- (a) Participating in and supporting the work of the consortium-level PBCP Committee.
  - (b) Establishing a PBCP Committee at our school that will review the consortium-wide PBCP framework and customize it to address the needs, circumstances and culture of our school, and to support the school-based implementation of the project. To this end, we will work closely and cooperatively with CEI-PEA and project staff, and we will comply with all data-collection, documentation and record-keeping requirements of the project and of the Teacher Incentive Fund. We will also ensure that our PBCP and our data-collection and reporting process are consistent and compatible with the formatting requirements of the PICCS-NYC project.
  - (c) We will work closely and cooperatively with CEI-PEA and project staff to assist in the development of a consortium-wide PICCS-NYC Communications Plan and a school-wide PICCS-NYC Communications Plan.
- (8) We will participate in PICCS-NYC conferences, workshops and webinars, and we will support CEI-PEA and project staff in their efforts to disseminate information about the project. We will cooperate fully with the Project Evaluator and provide data, as requested, to support the project evaluation.
- (9) We will provide additional support or services that may be reasonably necessary to implement the PICCS-NYC project.

Thank you for including Our World Neighborhood Charter School in PICCS-NYC. We are pleased to be a part of this exciting project.

Sincerely,

  
Brian Ferguson, Executive Director

Grades K-5  
Grades 6-8

Tel: (718) 392-3405 Fax: (718) 392-2840  
Tel: (718) 274-2902 Fax: (718) 274-7146  
[www.owncs.org](http://www.owncs.org)

# Project Narrative

## Other Attachments

Attachment 1:

Title: **Indirect Cost Rate and Resumes** Pages: **0** Uploaded File: **PICCS Other Attachments.pdf**

**INDIRECT COST RATE AGREEMENT  
NONPROFIT ORGANIZATION**

**ORGANIZATION:**

Center for Educational Innovation-  
Public Education Association  
28 West 44<sup>th</sup> Street  
New York, New York 10036-6600

DATE: JUN 14 2010

AGREEMENT NO. 2010-042

FILING REFERENCE: This replaces previous  
Agreement No. 2008-002  
dated: June 17, 2008

The purpose of this Agreement is to establish indirect cost rates for use in awarding and managing of Federal contracts, grants, and other assistance arrangements to which Office of Management and Budget (OMB) Circular A-122 applies. This agreement is issued by the U.S. Department of Education pursuant to the authority cited in Attachment A of OMB Circular A-122.

This Agreement consists of four parts: Section I - Rates and Bases; Section II - Particulars; Section III - Special Remarks; and, Section IV - Approvals.

**Section I - Rate(s) and Base(s)**

TYPE	Effective Period		Rate	Base	Coverage	
	From	To			Location	Applicability
Predetermined	01-01-10	12-31-12	7.5%	<u>1/</u>	All	All Programs

1/ Total direct cost less: capital expenditures, alterations, renovations, and individual sub-contracts and sub-grants in excess of \$25,000.

**Treatment of Fringe Benefits:** Fringe Benefits applicable to direct salaries and wages are treated as direct costs.

**Capitalization Policy:** Items of equipment are capitalized and depreciated if the initial acquisition cost is in excess of \$1,000.

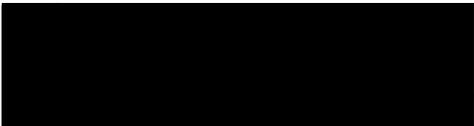
Section III - Special Remark

1. This Agreement is effective on the date of approval by the Federal Government.
2. Questions regarding this Agreement should be directed to the Negotiator.
3. Approval of the rate(s) contained herein does not establish acceptance of the Organization's total methodology for the computation of indirect cost rates for years other than the year(s) herein cited.

Section IV - Approvals

For the Nonprofit Organization :

Center for Educational Innovation  
 28 West 44<sup>th</sup> Street  
 New York, New York 10036-6600



*Seymour Finegel*

Name

*PRESIDENT*

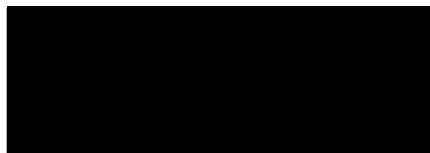
Title

*6/16/10*

Date

For the Federal Government:

U.S. Department of Education  
 OCFO/FIPAO/ICG  
 550 Twelfth Street, SW  
 Washington, DC 20202-4450



*Mary Gougisha*

Name

*Director, Indirect Cost Group*

Title

*JUN 14 2010*

Date

*Paul Brickman*

Negotiator

*(202) 245-8012*

Telephone

# Frank San Felice

## Objective

To provide consultation services in management, strategic planning and grant development and evaluation with a focus on the No Child Left Behind legislation and related activities as well as New York State Charter School legislation.

## Experience

2002-10 JPS Solutions LLC Hyde Park, NY

### Principal

Teacher Incentive Fund (PICCS) Project Co-Director since Summer 2007  
Planning services for charter schools and school districts.

Grant development for charter schools and school districts.

Grant evaluations for school districts and not-for-profit organizations.

Development of Consolidated Applications for Charter Schools and school districts.

Development of Charter Applications, and Charter Renewal Applications.

Consultation related to school improvement activities for charter schools and school districts

1998-2002 SF Consulting LLC Hyde Park, NY

### President

Participant in the Evaluation of \$50 million NYS Diffusion Fund.

Consultant to NYSED Peer Review Process and the New York State Acader for Teaching and learning.

Administrative (Consolidation) Study for suburban NYS School District.

1987-1998 Dutchess County BOCES Poughkeepsie, N

### Assistant Superintendent for Instructional Services

Instrumental in the development of County-wide 2-Way Distance Learning Network

Instrumental in building highly successful BOCES Instructional Services division.

Instrumental in the development of a county-wide, 9-12 alternative high school

Development of numerous successful grants and partnerships with higher education and CBO's

1986 - 1987 Pleasantville School District. Pleasantville, NY

### Middle School Administrator

1971- 1986 Hyde Park Central School District Hyde Park, NY  
**Social Studies Chairman and Teacher**  
for Middle School and High School

**Education**

1977- 80 University of Kansas Lawrence,KS  
Post Graduate in Education Administration

1968 - 1972 State University at New Paltz New Paltz, NY  
M.S. Education

1964 - 1967 Marist College Poughkeepsie, NY  
B.A., History.  
Graduated Cum Laude.

**Volunteer Activity**

Current President, Italian Center, Former President, Board of Directors, Dutchess County YMCA; Former Member, Board of Directors, Brookside Day Care Center; and Current Member, Board of Trustees, New York Center for Autism Charter School.

**Military Service**

1960-1964 United States Air Force Honorable  
Discharge



**Harvey Newman**

After 30 years as a successful New York City teacher and principal, Harvey following in the footsteps of his colleagues Seymour Fliegel and John Falco, was Assistant Superintendent and Director of District Four's Alternative Schools from 1995 -1999, during which he also was Director of Assessment and Supervisor of Plant Operations. It was during this period that he helped found The Young Women's Leadership, which has become the beacon of single sender education.

While teaching in the 1960's, Mr. Newman was selected as a National Defense Fellow to focus on urban education, after which he became a guidance counselor and school administrator. For 13 years he headed the East Harlem Block School, which was a community founded and supported public elementary school. This background was preparations for his current position as Director of the Charter School Technical Assistance Center, which has assisted in the passage of the New York State Charter Law, assisted the first New York State Charter schools in their application and opening. The CEI-PEA sponsored coalition of charter schools continues to be a forum for all State Charter Schools to share information, receive legal assistance, and have a dialogue with a broad range of leaderships within the Charter movement. Mr. Newman serves on the board of a number of Charter Schools and provides direct operational assistance to schools throughout the region. Harvey assisted in establishing five of the first 8 New York State Charter schools.

# Carter Clawson



- 
- Experience**
- Center for Educational Innovation – Public Education Association**  
Project Coordinator, New York, NY Summer 2007 – Current
- Promoted from Project Assistant in Spring 2009
  - Teacher Incentive Fund grant administration duties, including:
  - Liaison between participating school leadership and project partners
  - Grant compliance and reporting to US DOE
  - Support schools in developing performance-based incentive plans
  - Outline and implement project-wide plans for professional development
- United Way of the Midlands**, Intern, Columbia, SC Fall 2006-Spring 2007
- Grant processing
  - Fundraising activities for 2006 Campaign
  - Public relations and event coordination
  - Developed data entry proficiency with Rainbow 5.0
  - Program evaluation for United Way partner agencies
- Dutch Fork High School**, Intern, Irmo, SC Fall 2005-Spring 2006
- School social work intern under the Safe Schools Healthy Families contract through the Department of Health and Environmental Control
- Dominion Hospital**, Employee, Falls Church, VA Fall 2004-Spring 2005
- Psychiatric Technician in Mental Health Hospital.
- Research Assistant**, Charlottesville, VA Fall 2003-Spring 2004
- *Central Virginia Middle Childhood Study* under Charlotte Patterson, Ph.D.
- Florence Nightingale Hospital**, Intern, London, England Fall 2002
- Worked under the supervision of licensed substance abuse counselor in the Drug and Alcohol Rehabilitation Unit
- Education**
- University of South Carolina, College of Social Work, Columbia, SC**  
**Masters of Social Work**, Concentration in Organizations and Communities  
GPA: 4.0, CSWE Accredited. **Coursework includes:**
- Administrative Skills
  - Social Welfare Policy Analysis
  - Evaluation Research
  - Fundraising
  - Community Practice/Organizing
  - Research Methodologies for Social Work
  - Independent Study on Community Gardens (Spring 2007)
- University of Virginia, College of Arts and Sciences, Charlottesville, VA**  
**Bachelor of Arts in Psychology**  
GPA in Major: 3.358; Overall GPA: 3.303

*Carter Clawson*  
carterclawson@gmail.com

Sara M. Asmussen, CRC, Ph.D.



## Relevant Employment

2006 – Present ***JOHN V. LINDSAY WILDCAT ACADEMY CHARTER SCHOOL***, NY, NY, Director of Accountability and Compliance.

Responsible for ensuring the school meets the standards of No Child Left Behind and the NYC/S Department of Education and for meeting standards to complete the requirements of charter and receive a five year unencumbered charter renewal. Responsible for responding to all legal requirements of Charter Law and all federal requirements under NCLB, overseeing the \$1.9 million 21<sup>st</sup> Century Community Learning Center grant, overseeing the community outreach project, writing all applications (Consolidated Application, Annual Reports, etc.), analyzing all outcome data, and developing the school's Teacher Incentive Fund.

2006–Present ***CONSULTANT***. Current and former clients include:

***CEI-PEA***, NY, NY, Chair, Data Community Advisory Team (DCAT). Responsible for all school-based data for the Partnership and Innovation in Compensation for Charter Schools (PICCS), a \$10.5 million grant awarded through the Teacher Incentive Fund of the US Department of Education. Responsible for the development of the PICCS Warehouse with vendor, data up/downloads to the PICCS Warehouse, integrating all data with the curriculum mapping and assessment builder programs. Responsible for assisting 10 schools with the development of their Performance Incentive Plans to pay teachers based on student outcomes and ensuring that plans are adhered to and that payouts are correct.

***JPS Solutions***, NY, NY, Program and Grant Writer. Responsible, with a team, for the development and writing of charter application submitted to both the NYC DOE and the Charter Schools Institute. Main responsibility is for the goals, assessment, and accountability sections.

***Partnership for the Homeless***, NY, NY, Strategic Planning Consultant. Working with Department heads to shift focus of agency from a service agency to an advocacy/policy agency. Complete Outcomes Management exercise and rewriting all five business plans.

***Pathways to Housing, Inc.*** Strategic Program Development Consultant. Responsible for developing new programs, securing funding, and integrating the new programs into the philosophical framework of the agency.

***Literacy Inc.***, Research Consultant. Responsible for leading the entire staff through the process of developing a strategic Outcomes Management program; trained all staff on

identifying and outlining individual outcomes that are consistent across the agency for the purpose of collapsing information for assessment and accountability. Process used to identify strengths and weaknesses of individuals as well as the agency as a whole.

***READ Foundation, Research Consultant***. Responsible for the post hoc analysis of outcome data to assess the READ program's early literacy reading program.

2000–2006 ***BEGINNING WITH CHILDREN FOUNDATION***, New York, NY, Director of Research and Evaluation.

***Relevant Accomplishments:*** Implemented systematic program of student assessment based on data driven results; developed strategy assisting teachers in how to use testing results; identified and field tested the English Language Arts and math curriculums; led team who cross-walked and aligned curriculums within the schools and with the NYS Learning standards; designed and funded a study using naturally occurring random assignment comparing the life choice outcomes of students who attended a charter school to those who attended NYC public schools as children in 1992; wrote research sections and analyzed results for all public and private funding. Responsible for developing and maintaining the longitudinal databases for two charters schools.

1996-2000 ***NEW YORK HOUSING STUDY, PATHWAY TO HOUSING***, New York, NY, Director of Research.

***Relevant Accomplishments:*** Designed, wrote, implemented and oversaw federally funded research study of homeless individuals with Axis I diagnoses, severe substance abuse disorders, and histories of violence. A total of 225 individuals recruited from the streets of NYC or long-term wards of state psychiatric facilities were randomly assigned to NYC housing providers or their own apartment. Participants followed for up to 24 months at 6 month intervals with follow-up rate of 95%. Started the research department of Pathways, developed and funded other projects. Became the federally supported model now adopted by New York City call Housing First.

1996-2000 ***BETH ABRAHAM HEALTH SERVICES, CENTER FOR RESEARCH AND EDUCATION***, Bronx, NY, Research Associate

***Relevant Accomplishments:*** Developed Institution's first IRB; worked with all areas of the hospital in developing research studies, statistical analyses, and programs; PI on a Department of Health Research Grant developing a Quality of Life assessment tool for individuals with Alzheimer's and dementias; obtained Ryan White Title I grant to provide and assess effectiveness of care to people living with AIDS/HIV; designed, wrote, awarded NYC Department of Aging grant for Natural Occurring Retirement Community (NORC); designed, wrote, awarded NYS Department of Health study on the effectiveness of a Music Therapy Intervention on depression and agitation in people with dementia; designed, wrote, awarded NYC Department for the Aging in-home visiting volunteer program providing services in community to elderly individuals receiving services from Certified Home Health Care Agency; designed, wrote, awarded Haym Salomon Geriatric Foundation grant for arts in the neighborhoods.

1994-1998 ***LINCOLN UNIVERSITY***, Oxford, PA, Adjunct Associate Professor.

**Relevant Accomplishments:** Taught Master's level students research design and statistical procedures, worked individually with each student designing their Master's thesis, and chaired 12 student's thesis committees a year.

1993-1999 **SCJ TECHNOLOGIES, INC.**, Brooklyn, NY, President.

**Relevant Accomplishments:** Start-up founder of business with primary goal of providing community-based mental health agencies with capabilities to conduct research with consumer input and participation; developed computer software compliant with Managed Health Care Reform for people with major mental illnesses; developed manuals for wide range of consumers; designed, wrote, and implemented NIMH funded feasibility study concerning tracking systems for agencies serving people with major mental illnesses.

1994-1995 **RESEARCH FOUNDATION FOR MENTAL HYGIENE, INC., EPIDEMIOLOGY OF MENTAL DISORDERS**, NY, Project Director.

**Relevant Accomplishments:** Oversaw project "Developing an Intervention to Empower People with Mental Illness to Overcome Stigma" funded by NARSAD; developed training manual, collected data, developed measures, data analysis, and write-up.

1987-1993 **FOUNTAIN HOUSE**, New York, NY, Director of Research.

**Relevant Accomplishments:** Supervised six staff and member (client) caseload of 90 individuals with major mental illness, carrying personal caseload of 20 individuals; developed transitional placements (employment) for individuals with major mental illnesses; designed, wrote, obtained funding for study used to change reimbursement strategies for SSI based on cyclical nature of mental illnesses funded through the Social Security Administration; designed, wrote, obtained funding through the Department of Labor Stewart B. McKinney Homeless Assistance Act to get and study the employment of individuals with major mental illnesses who are also homeless; designed, wrote, obtained funding from Department of Education OSERS to study employment system for individuals with major mental illnesses; obtained Time Warner Foundation grant to install agency wide local area network (one of the city's first wireless networks).

1986-1987 **FOUNTAIN HOUSE**, New York, NY, Assistant Director of Research.

**Relevant Accomplishments:** Organized the databases and data collection strategies, trained people with major mental illnesses to collect data on themselves needed to keep agency compliant with NYC and State requirements.

1985-1986 **STAMFORD BOARD OF EDUCATION**, Stamford, CN, Research Associate.

Evaluated federally funded programs of reading, math, ESL, and summer school as well as validated the districts' criterion reference tests.

1985-1986 **THE NAACP SOUTHEAST BRONX DAY ARE CENTER**, Bronx, NY, Therapist.

Tested pre-school children on the WISC-R & Stanford Binet; conducted play therapy.

**Education**

Postdoctoral Fellowship., Institute for Health, Health Care Policy, and Aging Research			
Rutgers University, New Brunswick, NJ	1992-1994		MH Research
Certified Rehabilitation Counselor	1992		Lic. #28971
University of Toledo, Toledo, OH	Ph.D.	3/85	Experimental Psych
University of Toledo, Toledo, OH	M.A.	12/83	Psychology
Boise State University, Boise, ID	B.A.	12/79	Psychology

**Professional Activities**

Grant proposals to date have totaled over \$5 million.

***Conceptualized, designed, wrote, implemented, and served as PI on the following grants:***

- 2002 Awarded \$125,000 from the Pumpkin Foundation for the development of an Alumni Program for high school students, as well as the development of a randomized research study comparing students who attended a charter school versus a regular public school.
- 2000 Awarded \$50,000 a year for six years from the City of New York Department for the Aging to develop an in-home visiting volunteer program to provide services in the community to individuals from BAHS Certified Home Health Care Agency.
- 2000 \$64,000 from the NY State Department of Health Dementia Program to develop and implement a Quality of Life Measurement tool for use by individuals with Alzheimer's and other dementias.
- 1997 Awarded \$86,789 from the National Institute of Mental Health (NIMH) for a six-month project designed to test the feasibility of implementing a demographic tracking system for use by Managed Care Companies for reimbursement of services for individuals with severe mental illnesses attending small community-based facilities.
- 1997 Awarded \$184,275 from the NYS Department of Health to study the effectiveness of a Music Therapy Intervention on the levels of depression and agitation of people with early to middle stage dementias.
- 1988 Awarded \$100,080 research grant from the Social Security Admin, \$25,000 from NY State, \$25,000 from a private donor. (Contract#13-P-10032-2-01)
- 1989 SSA Grant competitively renewed for \$106,000.
- 1990 SSA Grant extended for \$40,000.
- 1990 Awarded \$211,000 from the Dept. of Labor Stewart B. McKinney Homeless Assistance Act, to design, implement, and study program effectiveness for homeless individuals with chronic mental illnesses. (Contract #99-1-3574-79-

- 259-02).
- 1990 Awarded \$40,000 from the Hearst Foundation to be utilized as matching fund for the Dept. of Labor grant.
- 1991 Dept. of Labor grant competitively renewed for \$258,000.
- 1992 Dept. of Labor grant competitively renewed for \$238,720.
- 1993 Dept. of Labor grant competitively renewed for \$224,400.
- 1991 Awarded \$200,000 from the Time Warner Foundation to be utilized to install and upkeep an agency wide wireless local area network.
- 1992 Awarded \$400,000 over three years from the Department of Education, Office of Special Education and Rehabilitation Services to implement and study ways of improving the effectiveness of the Employment System for individuals with major mental illnesses. (Contract #H235J20036-93).

**Conceptualized, designed, wrote, and served as Project Director on:**

- 1996 Awarded \$140,000 from the Substance Abuse and Mental Health Services Administration (SAMHSA) to manualize a Homelessness Prevention Project at Pathway to Housing in New York City.
- 1997 Awarded \$700,000 from SAMHSA to conducted randomized, controlled study concerning effectiveness of the above Homelessness Prevention project manualized in 1996. 225 homeless, mentally ill adults followed for a two year period as they progress through the housing system in NYC. Became the Housing First method of providing housing for homeless mentally ill individuals.
- 1999 Awarded \$200,000 from New York State Office of Mental Health to extend SAMHSA project for another year.
- 1996 \$5,000 grant from the Haym Salomon Geriatric Foundation for an *Art in the Neighborhoods Mini-Grant Program* to be implemented at the Parkside Senior Center.

**Project Director on:**

- 1994 Awarded \$101,703 from The National Alliance for Research on Schizophrenia and Depression (NARSAD) to develop and evaluate a stigma intervention strategy for people with major mental illnesses.

**Designed and wrote:**

- 2000 Awarded \$520,794 from the New York City Department for the Aging for start-up and first year of *Beth Abraham Health Services Proposal to Provide Services to Natural Occurring Retirement Community (NORCs)* to be implemented at Parkchester Housing Complex in the Bronx.
- 1998 Awarded \$1 million over three years through the Ryan White Title I grant to

provide and assess the effectiveness of home care services to people living with AIDS/HIV in the Bronx.

## **Publications**

Asmussen, S.M. (In process). A statistical analysis of the effects of a music therapy intervention on individuals in a long-term facility with Alzheimer's and other dementias. To be submitted to Applied Gerontology Research.

Asmussen, S.M. (2000). Proactive approaches in psychosocial occupation therapy. Chapter in text edited by R. Cottrel. Thorofare, NJ: SLACK, Inc.

Tsemberis, S. & Asmussen, S. (1999). From streets to homes: The Pathways to Housing Consumer Preference Supported Housing Model, Alcoholism Treatment Quarterly, 17(½), 113-132.

Asmussen, S.M., Tomaino, C., Scheiby, B., Shah, V., & Ramsey, D. (1999). The effects of a music therapy intervention on the levels of depression, anxiety/agitation, and quality of life experienced by individuals diagnosed with early and middle stage dementias: A controlled study. Unpublished manuscript, New York: Department of Health.

Asmussen, S.M. (1997). Consumer Independent Living Preference: Housing Individuals Who are the Most At-Risk for Homelessness due to Substance Use, Violence, and Severe Mental Illness. NYC: Pathways to Housing, Inc.

Asmussen, S.M. (1996). Computerizing Community-Based Social Service Agencies for the Development of Appropriate Outcome Measures. New York: Venture House, Inc.

Asmussen, S.M. (In process). Manual for the Biographical Information and Ongoing Data System (computer software for tracking outcomes). New York: SCJ technologies, inc.

Asmussen, S.M. (1992). An innovative outreach/support program for consumers who are homeless and mentally ill with an evaluation of the effects of the clubhouse model on rehabilitation. (Contract #99-1-3574-79-259-02). Washington, DC: U.S. Department of Labor.

Asmussen, S.M. & Beatty, P. (1991). The development, analysis, and cost effectiveness of an employment system. (Contract #13-P-10032-2-02). Washington, DC: SSA.

Asmussen, S.M., Romano, J., Beatty, P., Gasarch, L., & Shaughnessey, S. (1994). Old answers for today's problems: Helping integrate individuals who are homeless with mental illnesses into existing community-based programs. Psychosocial Rehabilitation Journal. 17, 3, 17-34.

JANE Y. SUN

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## PROFESSIONAL EXPERIENCE

**The Center for Educational Innovation- Public Education Association** New York, NY  
*Data Engineer* June 2009-Present

- Verifying the data downloaded by schools, as well as the calculations used to determine teachers' incentives based on this data;
- Serves as a single point of contact for processes related to acquisition, collection, verification, consolidation, and transfer of school data from individual schools to software companies' FTP site;
- Resolves data issues that would put the project timeline and deliverables at risk;
- Ensures data completeness and is responsible for data quality;
- Acts as liaison to individual schools on behalf of CEI-PEA to communicate project status and monitor progress;
- On behalf of individual schools, acts as decision maker for business rules and other implementation elements;
- Attending training sessions geared to technology support and implementation; Participating in interviews and facilitated discovery sessions to define requirements with software companies.

**Human Resource Administration of New York City** New York, NY  
*Computer Support Specialist (Intern), Management Information Systems* November 2007-June 2009

- Develop database system of wireless and portable devices, maintain relevant database information, and generate inventory report.
- Instruct Laptops and Blackberries to a large number of HRA program staff.
- Conduct the intricacies of Laptops and Blackberries including configuring, trouble shooting.

**The City College of New York** New York, NY  
*Teacher Assistant, Programming for Electrical Engineering* September 2007-June 2008

- Provide instructional support for professor.
- Teaching students in recitation, laboratory, or discussion sessions.
- Grading homework or exams; invigilating tests or exams.

**High School Affiliated to the Tianjin Foreign Language University** Tianjin, China  
*Lecturer, Mathematics Division* 1994-2004

- Developed and utilized effective lesson plan for high school level students.
- Create an optimal learning experience for students.
- Conducted educational statistical research project.

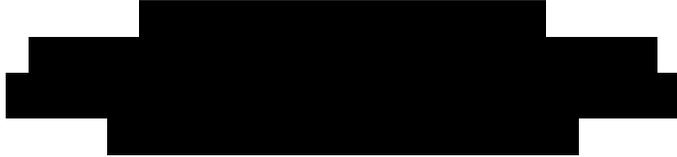
## EDUCATION

**M.S. Applied Mathematics**, City College of New York, CCNY, September 2008 GPA: 3.8  
**B.A. Mathematics**, Tianjin Normal University, 1994, Tianjin, China

## QUALIFICATIONS

**Relevant Skills:** Excellent analytical and problem-solving ability, experience in quantitative analysis and SAS programming, team player, accurate, detail-oriented, working well under pressure.

**Andrew J. Verdon, Jr.**



**EDUCATION/CERTIFICATION**

- Certificate of Advanced Studies (CAS) - Education Administration, State University of New York at New Paltz, 1994
- M.S. in Education, State University of New York at New Paltz, 1979
- B.S. Geology, State University of New York at New Paltz, 1970
- New York State Certification - School District Administrator (SDA) and School Administrator and Supervisor (SAS), 1994
- New York State Certification - Public School Teacher (Permanent), Grades 7-12, Earth Science/General Science, 1978

**PROFESSIONAL EXPERIENCE**

- Grants Development Specialist, Newburgh Enlarged City School District, NY · 2006-2009
- Interim Director, Special Projects, Poughkeepsie City School District, NY · 2006
- Supervisor, Educational Resources, Dutchess BOCES, Poughkeepsie, NY · 1995-2005
- Director, Tech Prep Project Consortium, Hyde Park, NY · 1992-1995
- Director of Education, American Geological Institute (AGI), Alexandria, VA · 1983-1992
- Teacher, Our Lady of Lourdes High School, Poughkeepsie, NY · 1973-1983

**BACKGROUND**

Over 37 years of experience in education as a teacher, a school district and Board of Cooperative Educational Services (BOCES) administrator, and a senior administrator at a Washington, DC-based scientific and educational non-profit. Developed, wrote and implemented competitive grant-funded programs as well as other-funded programs at the school district, regional and national levels. Awarded competitive grants from the U.S. Department of Education (USDOE), the National Science Foundation (NSF), the New York State Education Department (NYSED), and private sources including the Mobil and Dyson Foundations.

Grant-funded collaborations have included institutions of higher education, professional organizations, community agencies, municipalities, business and industry, and public and non-public schools to name a few. Supervised multi-million dollar programs and teams of professional staff and consultants providing an array of services to school districts in the areas of instruction, curriculum, assessment, technology and professional development. Served as a grant reviewer and program advisor for the NYSED, grant reviewer for the NSF, and written, edited and co-directed joint projects with the Council of Chief State School Officers, National Assessment of Educational Progress (NAEP), National Science Teachers Association (NSTA), Biological Sciences Curriculum Study (BSCS), Trends in International Mathematics and Science Study (TIMSS), and the American Association for the Advancement of Science (AAAS).

Published articles in journals, wrote a lead section for a middle-school science text, led the development and publication of national-level policy documents and a best-selling college-level text, convened writing conferences throughout the country, developed an educational forum for congressional staff on Capital Hill, and coordinated programming for the Presidential Awards for Excellence in Science and Mathematics Teaching sponsored by the White house and funded by NSF.

# Wayne D. Jones, JD

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**Education** Juris Doctor, Yale Law School, 1982  
B.S., Communications Studies, Northwestern University, 1979

## Experience

### 2000-Present Principal, JPS Solutions, LLC

- **Designed programs and provided consulting to help school districts, charter schools and nonprofit organizations succeed, including:**
  - Co-designed the **Partnership for Innovation in Compensation for Charter Schools (PICCS)**, a comprehensive program to support differentiated instruction, improve professional development, increase student achievement and create a framework for differentiated compensation in a network of New York City charter schools. ([www.piccs.org](http://www.piccs.org))
    - Created the Project Design and Management Plan with other JPS Solutions principals and the Center for Educational Innovation-Public Education Association
    - Co-developed the project's Technology Plan and worked with technology partner Tetra-Data to integrate an exclusive web portal and student data system into the project
    - Lead writer of the PICCS grant proposal that secured \$10.5 million from the U.S. Department of Education's Teacher Incentive Fund program
    - Made presentations, led teleconferences and consulted with administrators and teachers to build support and participation throughout the PICCS network of schools
    - Advised charter school leaders regarding teacher evaluation programs
  - **Provided comprehensive consulting to improve after-school programs and help nonprofit organizations become Supplemental Educational Services (SES) providers**
    - Co-developed and implemented a U.S. Department of Education-funded program that helped more than 40 community-based and faith-based organizations in New York City, Buffalo and Albany become SES Providers and implement after-school programs for high-risk youth
    - Co-developed and implemented a program with the Black Ministerial Alliance of Greater Boston that helped African American churches and nonprofits in Boston become SES providers
    - Provided consulting and wrote applications to help additional organizations in New York and Massachusetts become SES providers, including Boston's only Latino SES provider organization
    - Co-created SESProviders.com, an interactive digital suite of tools and resources that support prospective and active SES providers in planning, accountability and program management
  - **Co-developed charter school applications and charter school renewal applications, including:**
    - The application of the New York Center for Autism Charter School, the first public school in New York designed to serve children with autism exclusively
    - Charter schools throughout New York State
    - Charter school renewal applications and related plans and documents to secure charter renewals
  - **Advised educational organizations and nonprofits in grant development and wrote grant proposals, including:**
    - Developed comprehensive grant development plans for schools and nonprofit organizations
    - Developed workshops and provided technical assistance that resulted in award of more than \$1.5 million in Charter School Program grants to New York City charter schools.
    - Wrote grant proposals that secured more than \$25 million in state and federal grants for colleges, K-12 schools and nonprofits in areas ranging from technology to mentoring to Safe Schools programs. Also wrote entitlement grant applications for school districts and charter schools.

- **Conducted program evaluations for grant-funded programs**, including:
  - Federally-funded Community Technology Centers in Buffalo and Poughkeepsie, NY
  - Federally-funded after-school programs in Buffalo, NY
  - The federally-funded Mentoring Program in Dutchess and Orange Counties, NY
  - Federally-funded Carol M. White Physical Education Programs in Brooklyn and Ravena, NY
- **Facilitated strategic planning for school districts, charter schools and nonprofit organizations**
  - Co-developed Title I Local Education Agency plans and related plans and policies (e.g. Parent involvement policies and Services for Homeless Student plans) for school districts and schools.

1995-2000

**Independent Consultant—Wayne D. Jones, J.D.—Strategic Planning and Grantwriting**

- Designed and/or conducted program evaluations for federal grant-funded programs, including Title VII-funded bilingual education programs and Magnet Schools programs
- Secured grants for school districts and nonprofit organizations in Long Island, Westchester County, Ravena-Coeymans-Selkirk and Troy, NY; Hartford and Stamford, CT; and Dallas, including:
  - \$10 million in grants from the U.S. Department of Education to support small schools initiatives, magnet schools, community technology centers, after school programs, math-science-technology programs, bilingual education and safe schools initiatives
  - Additional grants from the U.S. Department of Health and Human Services; the U.S. Department of Justice; the New York State Education Department; the National Science Foundation; and private and corporate foundations, including the New York Mercantile Exchange Foundation; the Verizon Foundation; IBM; and Scholastic Books.

1992-1995

**Vice President, Strategic Capital Development Group**

- Provided fundraising support and policy research for a political consulting firm that advised the successful campaigns of Senator Joseph Lieberman, Representative Charles Rangel and other elected officials.

1986-1991

**Executive Vice President, ARS Management, LTD**

- Directed day-to-day operations for a real estate firm that managed residential and commercial properties in Greenwich Village, NY and Park Slope, Brooklyn.

Other

**Co-developer of Grant-Quest™** with JPS Solutions' other principals. Grant-Quest is an interactive online suite of tools and resources that help schools and nonprofit develop grant proposals and help school districts and charter schools apply for entitlement funding.

**Consultant to Boston Capacity Tank**, a federally-funded Capital Compassion Fund intermediary organization managed by the Black Ministerial Alliance of Greater Boston. 2004-2006

**Principal of 4M Communications, Ltd.**, an educational media content developer that developed television and internet programming regarding legal and social justice issues. 1990-1994

**Made presentations and/or served on panels** at the Christa McAuliffe Technology Conference and the annual conferences of the New York Charter Schools Association and the Software and Information Industry Association.

**Authored and/or contributed to articles** published in Black Collegian magazine and online at the website of the America Connects Consortium, a national network of community technology centers.

*New Teachers for a New Millenium* (author), Black Collegian

<http://www.black-collegian.com/career/career-reports/newteachers2001-2nd.shtml>

*Enormous Teaching Opportunities Flourish in the New Millenium* (author), Black Collegian

<http://www.black-collegian.com/career/career-reports/flourish1999-1st.shtml>

*Making a Difference through Teaching* (author), Black Collegian

<http://www.black-collegian.com/career/career-reports/diffteach2002-2nd.shtml>

*Diversifying Your Funding Base: A Survey of Potential Federal Funding Streams for Community Technology Centers* (quoted regarding SES), America Connects website

[http://www.americconnects.net/field/FS\\_Funding.asp](http://www.americconnects.net/field/FS_Funding.asp)

# Budget Narrative

## Budget Narrative

Attachment 1:

Title: **PICCS-NYC Budget Narrative Pages: 0** Uploaded File: **PICCS NY Budget Narrative FINAL.pdf**

Budget Narrative Submitted By CEI-PEA for PICCS-NYC - Section A Federal	2010-11	2011-12	2012-13	2013-14	2014-15	Total
<b>1. CEI-PEA Personnel</b>						
Senior Fellow and Project Co-Director Harvey Newman @ 10%						
Deputy Director Carter Clawson @ 60%						
Lead Data Engineer Jane Sun @ 40%						
Data Engineer (TBD) @ 100%						
PLC/Peer Review Lead Coach (TBD) @ 60%						
Project Coordinator Patrice King @ 50%						
<b>Total Personnel</b>						
<b>2. Fringe Benefits</b>						
Estimated @ 18% for FICA (.062), Medicare (.0145), pension, plus unemployment and disability insurance.						
Health Insurance \$674/month individual (Carter Clawson plus 2 TBD positions), and \$1,365/month with family (Jane Sun and Patrice King) with 12% increase/year. No cost for Harvey Newman.						
<b>Total Fringe Benefits</b>						
<b>3. Travel</b>						
Staff travel to Annual Project Director's Meeting in Washington, DC. Estimated at 2 staff x lodging @ 2 nights x [redacted] night + meals @ 2 days x [redacted] day + transportation @ [redacted] roundtrip + [redacted] for parking, taxi, tolls, etc.						
<b>Total Travel</b>						
<b>4. Equipment (N/A)</b>						
<b>5. Supplies</b>						
Project office materials and supplies						
Professional development resource materials for use by 7 schools plus project staff office @ 8 sites x [redacted] year ([redacted]/year)						
Webinar service [redacted] annual fee + [redacted] month x 12 month) plus conference calling service ([redacted] month x 12 months) = [redacted]/year						

**Budget Narrative Submitted By CEI-PEA for PICCS-NYC - Section A Federal - Page 2**

**5. Supplies continued**

Starting in Year 2, 12 Network Peer Review Days - @ 12 events x [redacted] event for workshop materials, food and beverage = [redacted] year

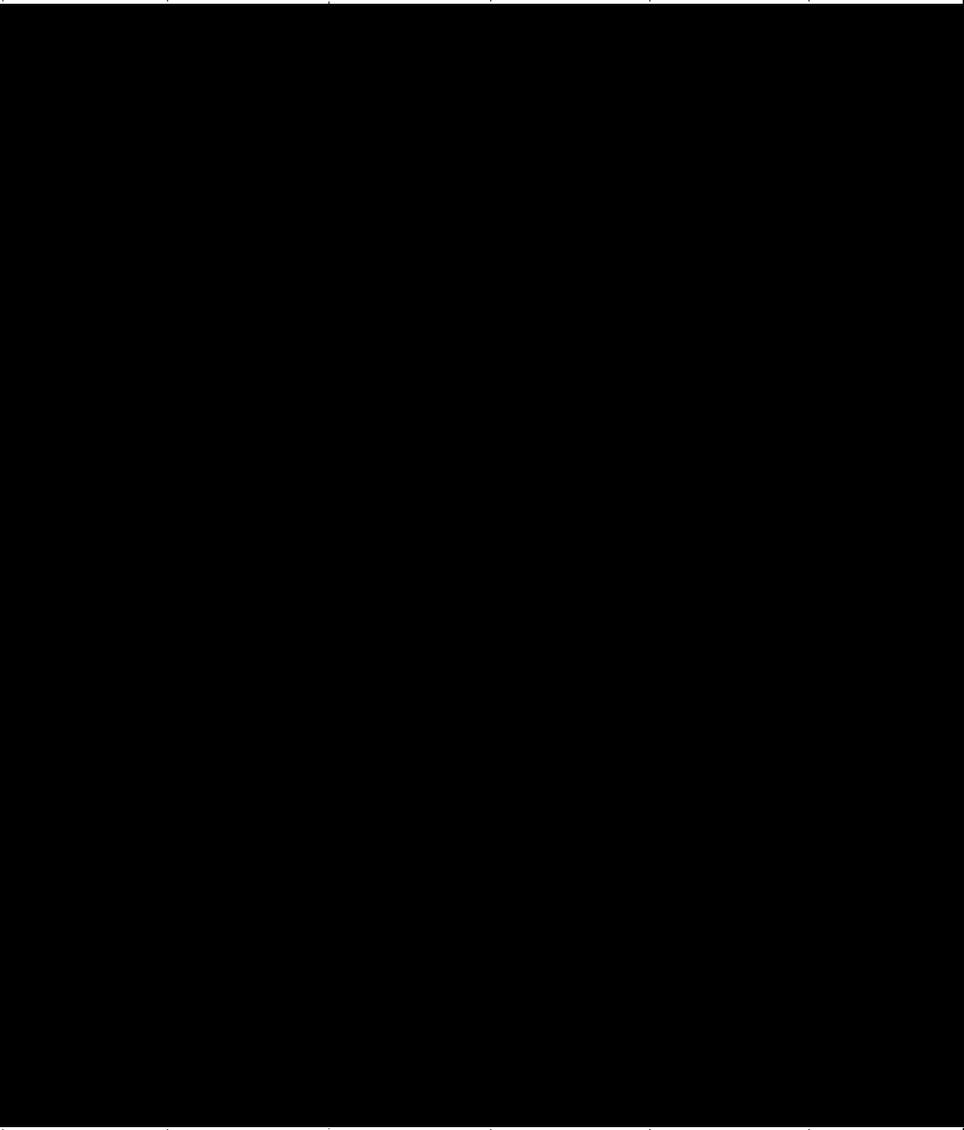
Other meeting and workshop materials, food, beverage, etc @ [redacted] month x 12 month = [redacted]/year.

**Total Supplies**

**6. Contractual**

PICCS-NYC Consortium Performance-Based Compensation System Allocations (PBCS). See attached detail for allocations per school.

CEI-PEA Consultants - Field Manager Andrew Verdon @ 2 days/week x 50 weeks x [redacted] day = [redacted] 0 plus travel @ [redacted] day to NYC train, parking, mileage, tolls x 100 days. Data Coordinator Dr. Sara Asmussen @ 1.5 days/week x 50 weeks x 680/day = [redacted] 0.



**Budget Narrative Submitted By CEI-PEA for PICCS-NYC - Section A Federal - Page 3**

**6. Contractual continued**

Heimes Communications - In Year 1 revise secure project portal (myPICCS) to increase capacity for instructional use (\$60,000). Also in Year 1 complete start-up, training and implementation for participating schools @ [redacted] school x 7 schools = [redacted]. In Years 2-5 provide maintenance and 24/7 support for participating schools @ [redacted] year. In Years 3-5, add [redacted] for development and maintenance of public website (www.piccs.org) (existing grant covers costs until Year 3). Annual travel @ [redacted]/day for mileage, parking, hotel x 12 days = [redacted]

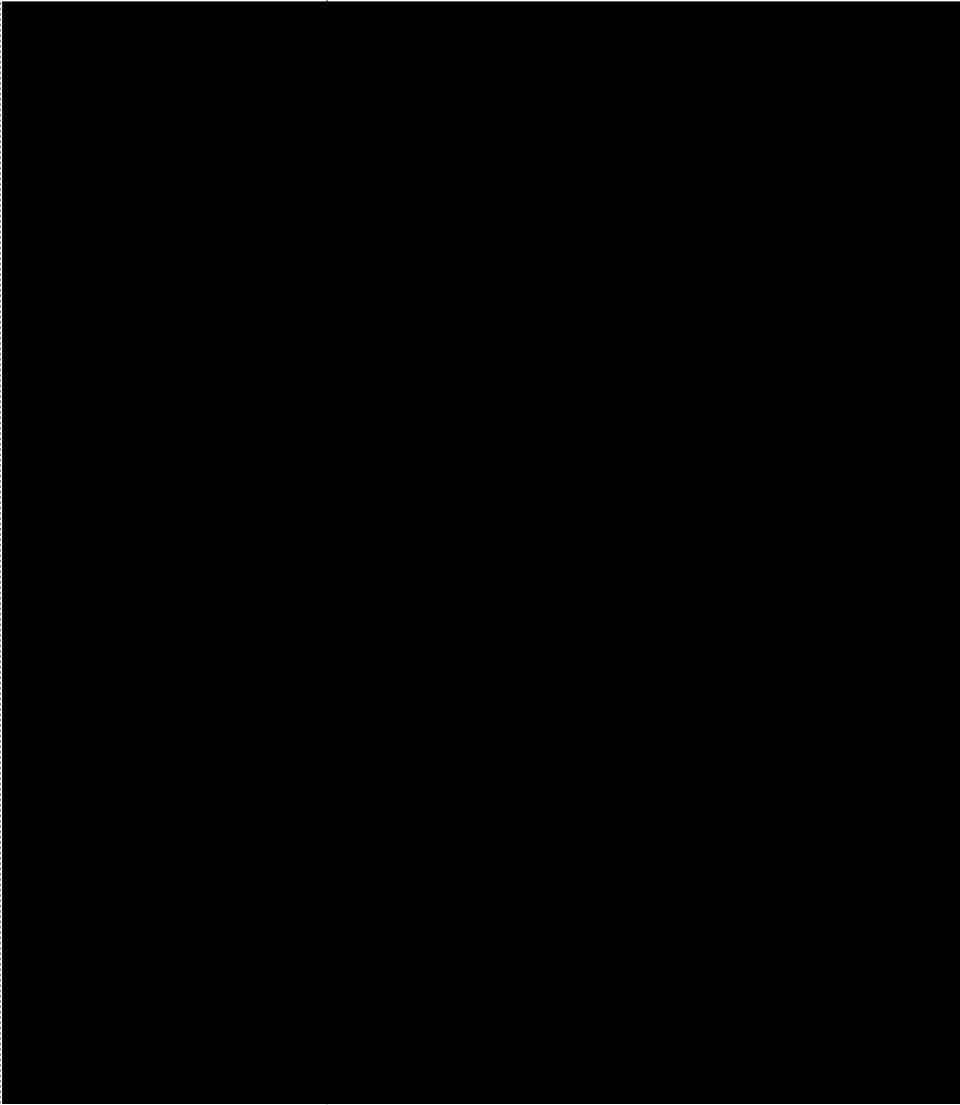
Heimes Communications - Dr. Amy Shore will direct programmatic communication services @ [redacted] plus [redacted] for video production for training and professional development. Annual travel @ [redacted] day for mileage, parking, hotel x 12 days = [redacted]

Verio - server lease starting Year 3-5 @ [redacted] year to support project websites (existing grant covers costs until Year 3)

Epiware - software upgrades for project websites @ [redacted] year (existing grant covers costs until Year 3)

NYU - training PLCs and peer review process. In Year 1 train staff from participating schools @ 1 day group training ([redacted]) + 3 day fall seminar ([redacted]) + 10 half-day trainings/school @ [redacted] training x 7 schools ([redacted]). In Years 2-5 provide PLC Coach Training and Cert. @ [redacted] person for 6-month intensive training x 7 participants ([redacted]). In Years 2-3 provide 5 half-day trainings @ [redacted] training x 7 schools ([redacted]). In Years 4-5 conduct 2 Special Topic Trainings by national-level consultants @ 3 days/training x 2 trainings x [redacted] day honorarium ([redacted]) plus [redacted] travel/trip x 2 trips ([redacted]) plus [redacted]/training x 2 trainings for materials, food and beverage ([redacted]).

Starting in Year 2, Peer Review Editors Honorarium (4 teachers x \$ [redacted] each)



**Budget Narrative Submitted By CEI-PEA for PICCS-NYC - Section A Federal - Page 4**

**6. Contractual continued**

SunGard PerformancePLUS - Software licensing @ \$9.60/student for suite of technology tools, CurriculumCONNECTOR, PerformanceTRACKER, and AssessmentBUILDER; see attached detail sheet for numbers of students each year

SunGard PerformancePLUS - Bubble Reader software in Year 1 only @ \$500/school x 7 schools.

SunGard - In Year 1, technology implementation fee to enable data transfer and conduct training @ [REDACTED] x 7schools = [REDACTED]

SunGard - In Years 1-2, professional development for 5 days @ [REDACTED]/day = [REDACTED] (2 days kickoff plus 3 days academic year); plus 3 half-day on-site visits for 7 schools @ [REDACTED]0/day (3 site visits x 7 schools x [REDACTED] visit = [REDACTED] plus 7 webinars @ [REDACTED]

TetraData - Mapping schools onto the existing data warehouse, to include variables for school, class, staff, student information management. Calculated [REDACTED]/school x 7 schools = [REDACTED] in Year 1 and includes 16 days of training using a "train the trainer" model for selected school staff; plus [REDACTED] in Year 1 for the addition of a Teacher Section into the warehouse to include demographic information, professional development received, and results of classroom observations and staff evaluations in order to track growth measures over time.

Dr. Joseph McDonald - Peer Review and PLC research and implementation consultant

Dr. Paula Bevin to provide consultation to support development and implementation of the principal and teacher evaluation systems based on the Danielson model @ [REDACTED] day x 15 days in Years 1 and 2.



**Budget Narrative Submitted By CEI-PEA for PICCS-NYC - Section A Federal - Page 5**

**6. Contractual continued**

Substitute Teacher Allocation to PICCS-NYC Consortium Schools providing time for teacher participation in project-directed professional development. Allocated to schools @ [redacted] student x number of students/school. The consortium-wide average student/teacher ratio = 12.8. Given this ratio, the allocation provides [redacted] teacher/year to support schools hiring substitute teachers (12.8 students/teacher x [redacted]/student = [redacted] teacher). This allocation is made for the first two years in order to help schools transition to incorporate these costs in the regular operating budgets.

Professional Development Allocation to PICCS-NYC Consortium Schools enabling schools to differentiate professional development according to local need, and to implement and embed the project's professional development offerings within their school-improvement and professional development plans as approved by the Project Director. Allocated to schools @ [redacted]/student. This allocation is made for the first two years in order to help schools transition to incorporate these costs in the regular operating budgets.

National-level consultants to provide technical expertise in the areas of: design and implementation of effective performance-based compensation systems that transform existing compensation systems, formative assessments, and differentiated instruction to name a few. Estimated @ [redacted] day x 15 days in Year 1, and 12 days in Years 2-5.

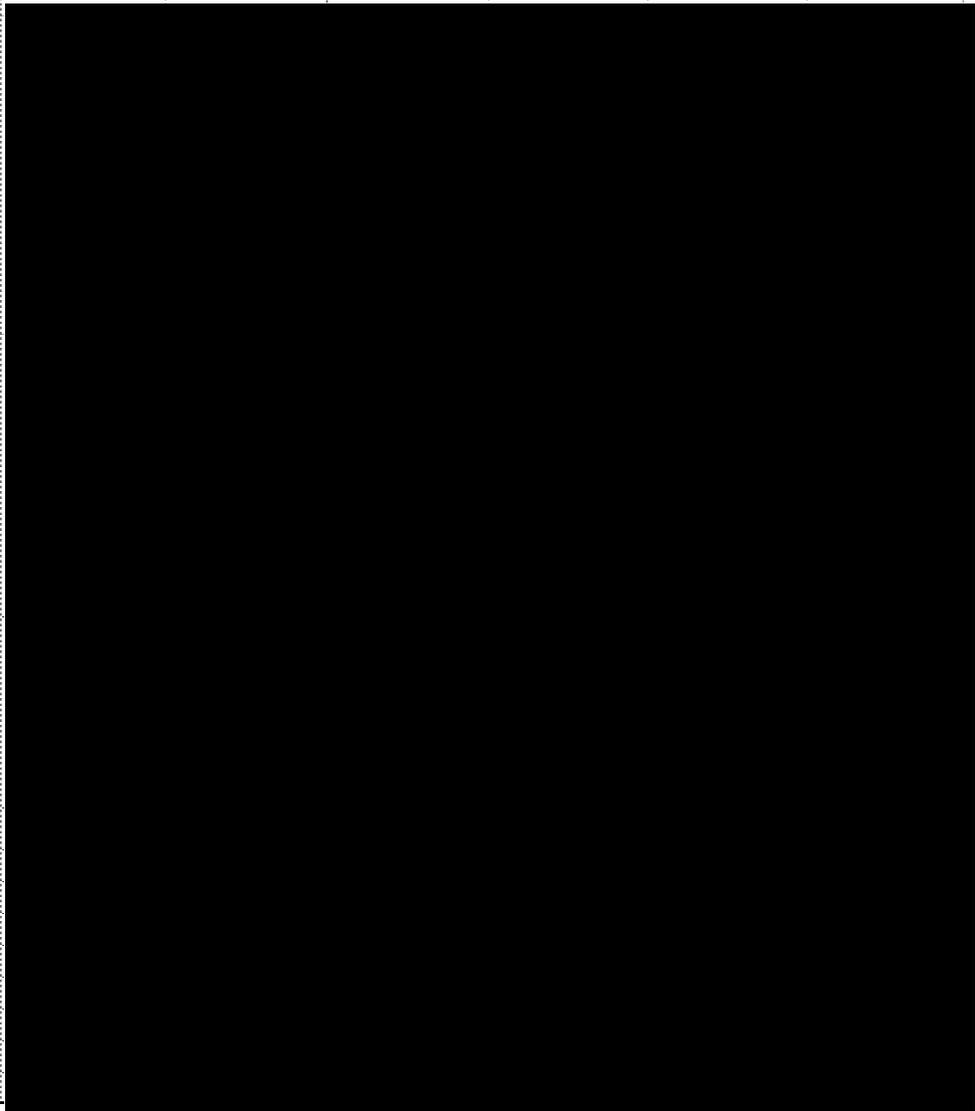
External Evaluator

**Total Contractual**

**7. Construction (N/A)**

**8. Other**

**9. Total Direct Costs (lines 1-8)**



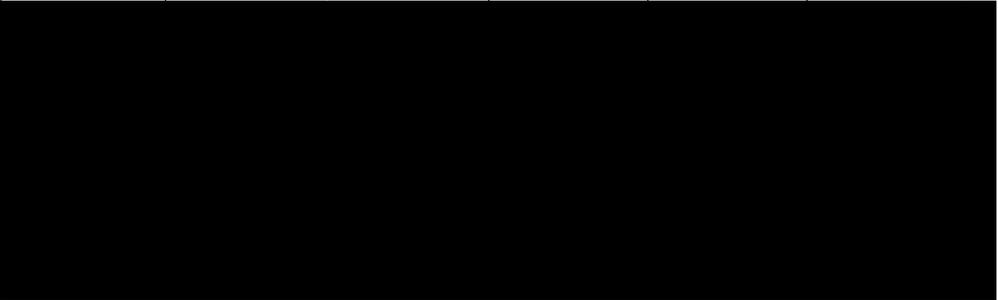
**Budget Narrative Submitted By CEI-PEA for PICCS-NYC - Section A Federal  
- Page 6**

**9a. Modified Direct Cost Base - excludes portions of contracts exceeding**

**10. Indirect @ 7.5% of Modified Direct Cost Base**

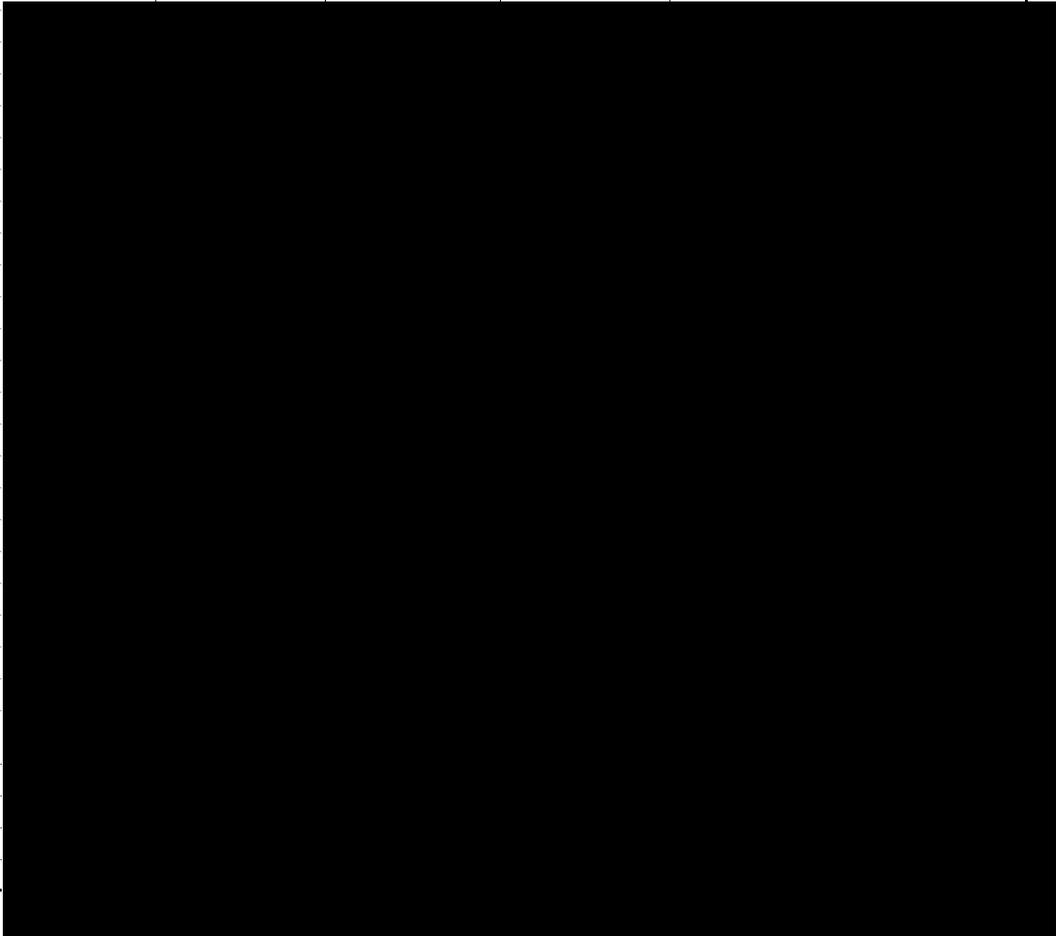
**11. Training Stipends**

**12. Total Costs (lines 9-11)**



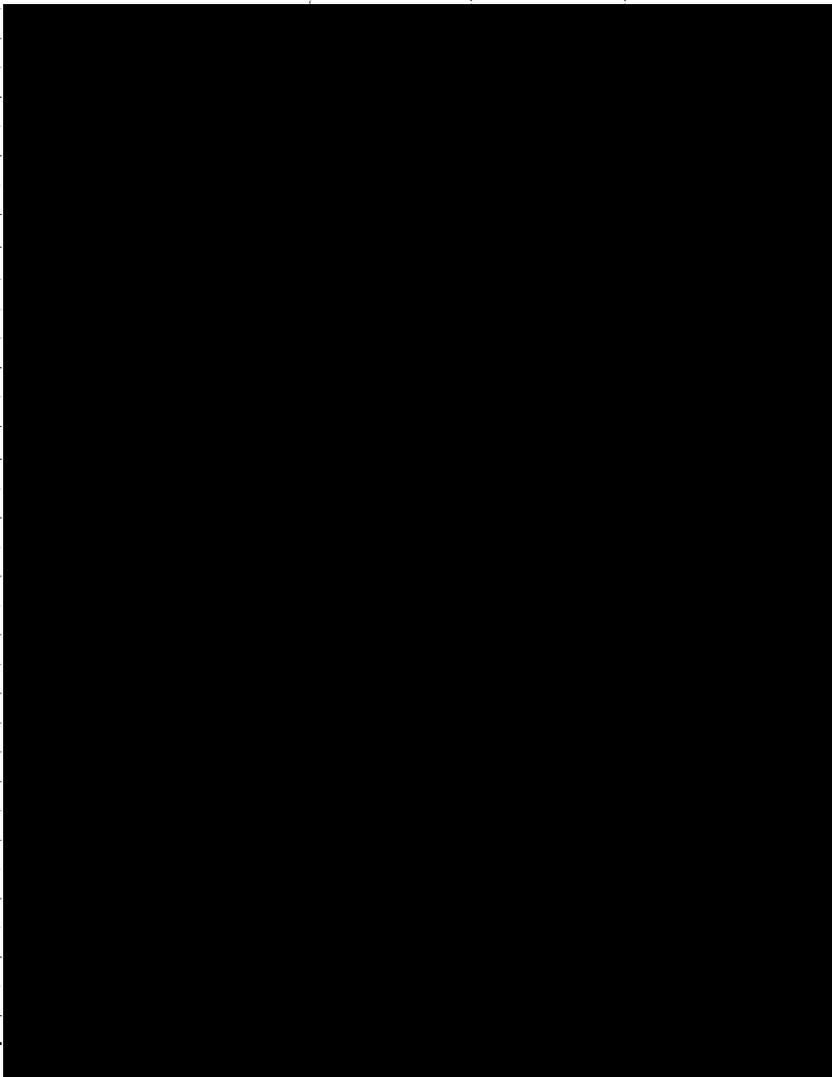
Budget Narrative Submitted By CEI-PEA for PICCS-NYC - Section A Non-Federal - Page 7	2010-11	2011-12	2012-13	2013-14	2014-15	Total
<b>1. Personnel</b>						
<b>2. Fringe Benefits</b>						
<b>3. Travel</b>						
<b>4. Equipment (N/A)</b>						
<b>5. Supplies</b>						
<b>6. Contractual</b> PICCS-NYC Consortium PBCS Allocations - see attached detail for allocations per school						
<b>Total Contractual</b>						
<b>7. Construction (N/A)</b>						
<b>8. Other</b>						
<b>9. Total Direct Costs (lines 1-8)</b>						
<b>10. Indirect Costs @ 7.5% of modified direct costs - N/A</b>						
<b>11. Training Stipends</b>						
<b>12. Total Costs (lines 9-11)</b>						

Budget Narrative Submitted By CEI-PEA for PICCS-NYC - Combined Budget Federal Plus Non-Federal - Page 8		2010-11	2011-12	2012-13	2013-14	2014-15	Total
<b>1. Personnel</b>							
	<b>Total Personnel</b>						
<b>2. Fringe Benefits</b>							
	<b>Total Fringe Benefits</b>						
<b>3. Travel</b>							
	<b>Total Travel</b>						
<b>4. Equipment</b>							
<b>5. Supplies</b>							
	<b>Total Supplies</b>						
<b>6. Contractual</b>							
	<b>Total Contractual</b>						
<b>7. Construction</b>							
<b>8. Other</b>							
<b>9. Total Direct Costs (lines 1-8)</b>							
<b>10. Indirect Costs @ 7.5 % of Federal Modified Direct Costs</b>							
<b>11. Training Stipends</b>							
<b>12. Total Costs (lines 9-11)</b>							



<b>Federal PBCS Request - Staff Incentives Budgeted @ \$1,000/Para; \$4,500/teacher; \$5,000 for principals - CEI-PEA Page 9</b>	<b>2010-11</b>	<b>2011-12 @ 90%</b>	<b>2012-13 @ 75%</b>	<b>2013-14 @ 50%</b>	<b>2014-15 @ 25%</b>	<b>Total</b>
<b>Dream CS</b>						
Teachers						
Instructional Administrators						
Paraprofessionals						
<b>Our World Neighborhood CS</b>						
Teachers						
Instructional Administrators						
Paraprofessionals						
<b>Bronx Charter School for Excellence</b>						
Teachers						
Instructional Administrators						
Paraprofessionals						
<b>Dr. R. Izquierdo Health and Science CS</b>						
Teachers						
Instructional Administrators						
Paraprofessionals						
<b>Challenge Prep CS</b>						
Teachers						
Instructional Administrators						
Paraprofessionals						
<b>Bronx Preparatory CS</b>						
Teachers						
Instructional Administrators						
Paraprofessionals						
<b>Future Leaders Institute CS</b>						
Teachers						
Instructional Administrators						
Paraprofessionals						
<b>Total</b>						<b>\$0</b>

<b>Non-Federal PBCS Contribution - Staff Incentives Budgeted @ \$1,000/Para; \$4,500/teacher; \$5,000 for principals - CEI-PEA Page 10</b>	<b>2010-11</b>	<b>2011-12 @ 10%</b>	<b>2012-13 @ 25%</b>	<b>2013-14 @ 50%</b>	<b>2014-15 @ 75%</b>	<b>Total</b>
<b>Dream CS</b>						
Teachers						
Instructional Administrators						
Paraprofessionals						
<b>Our World Neighborhood CS</b>						
Teachers						
Instructional Administrators						
Paraprofessionals						
<b>Bronx Charter School for Excellence</b>						
Teachers						
Instructional Administrators						
Paraprofessionals						
<b>Dr. R. Izquierdo Health and Science CS</b>						
Teachers						
Instructional Administrators						
Paraprofessionals						
<b>Challenge Prep CS</b>						
Teachers						
Instructional Administrators						
Paraprofessionals						
<b>Bronx Preparatory CS</b>						
Teachers						
Instructional Administrators						
Paraprofessionals						
<b>Future Leaders Institute CS</b>						
Teachers						
Instructional Administrators						
Paraprofessionals						
<b>Total</b>						<b>\$0</b>



<b>Student and Teacher Counts - CEI-PEA Page 11</b>					
	2010-11	2011-12	2012-13	2013-14	2014-15
<b>DREAM Charter School</b>					
Students					
Teachers					
<b>Our World Neighborhood Charter School</b>					
Students					
Teachers					
<b>Bronx Charter School for Excellence</b>					
Students					
Teachers					
<b>Dr. Richard Izquierdo Health &amp; Science CS</b>					
Students					
Teachers					
<b>Challenge Prep Charter School</b>					
Students					
Teachers					
<b>Bronx Preparatory Charter School</b>					
Students					
Teachers					
<b>Future Leaders Institute Charter School</b>					
Students					
Teachers					
<b>Total Students</b>					
<b>Total Teachers</b>					
<b>Student/Teacher Ratio (average = 12.8)</b>					

