

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 # S385A100126

OMB No. 1810-0700, Expiration Date: 11/30/2010
Closing Date: JUL 06, 2010

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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.).

* Last Name: Savo

Suffix:

Title: Deputy Commissioner

Organizational Affiliation:

* Telephone Number:



Fax Number:

* Email:



Application for Federal Assistance SF-424

Version 02

9. Type of Applicant 1: Select Applicant Type:

A: State Government

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:**

84.385A

Title:

Teacher Incentive Fund

13. Competition Identification Number:

Title:

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

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

NYS Teacher and Principal Performance Based Compensation System

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: 21

* b. Program/Project: 21

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

Attachment:

Title :

File :

17. Proposed Project:

* a. Start Date: 9/1/2010

* b. End Date: 6/30/2015

18. Estimated Funding (\$):

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

*** 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)**

IXI ** 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: Ms. * First Name: Theresa
Middle Name: E
* Last Name: Savo
Suffix:

Title: Deputy Commissioner

* Telephone Number: [REDACTED] Fax Number:

* 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.



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

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:
 New York State Education Depart...

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	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
2. Fringe Benefits	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
3. Travel	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
4. Equipment	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
5. Supplies	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
6. Contractual	█ ██████	█ ██████	█ ██████	█ ██████	█ ██████	█ ██████
7. Construction	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
8. Other	█ ██████	█ ██████	█ ██████	█ ██████	█ ██████	█ ██████
9. Total Direct Costs (lines 1-8)	█ ██████	█ ██████	█ ██████	█ ██████	█ ██████	█ ██████
10. Indirect Costs*	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
11. Training Stipends	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
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: ___/___/___ To: ___/___/___ (mm/dd/yyyy)
 Approving Federal agency: ED Other (please specify): _____ The Indirect Cost Rate is _____%
- (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 _____%



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

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:
 New York State Education Depart...

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	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
2. Fringe Benefits	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
3. Travel	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
4. Equipment	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
5. Supplies	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
6. Contractual	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
7. Construction	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
8. Other	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
9. Total Direct Costs (lines 1-8)	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
10. Indirect Costs	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
11. Training Stipends	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
12. Total Costs (lines 9-11)	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0

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: Ms. Theresa E. Savo

Title: Deputy Commissioner

Date Submitted: 07/06/2010

Disclosure of Lobbying Activities

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

1. Type of Federal Action: <input type="checkbox"/> Contract <input checked="" type="checkbox"/> Grant <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Loan <input type="checkbox"/> Loan Guarantee <input type="checkbox"/> Loan Insurance	2. Status of Federal Action: <input checked="" type="checkbox"/> Bid/Offer/Application <input type="checkbox"/> Initial Award <input type="checkbox"/> Post-Award	3. Report Type: <input checked="" type="checkbox"/> Initial Filing <input type="checkbox"/> Material Change For Material Change only: Year: 0 Quarter: 0 Date of Last Report:
4. Name and Address of Reporting Entity: <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier, if known: 0 Name: New York State Education Department Address: 89 Washington Avenue City: Albany State: NY Zip Code + 4: 12234-	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Name: Address: City: State: Zip Code + 4: - Congressional District, if known:	
6. Federal Department/Agency: United States Education Department	7. Federal Program Name/Description: CFDA Number, if applicable:	
8. Federal Action Number, if known:	9. Award Amount, if known: \$0	
10. a. Name of Lobbying Registrant (if individual, last name, first name, MI): Address: City: State: Zip Code + 4: -	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI): Address: City: State: Zip Code + 4: -	
11. 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: Theresa E. Savo Title: Deputy Commissioner Applicant: New York State Education Department Date: 07/05/2010	
Federal Use Only:	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
New York State Education Department
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE
Prefix: Ms. First Name: Theresa Middle Name: E
Last Name: Savo Suffix:
Title: Deputy Commissioner
Signature: _____ Date: 07/06/2010
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 : 427 GEPA Provision

File : <C:\fakepath\427 GEPA.doc>

427 GEPA Provision

In accordance with Section 427 of the Department of Education's General Education Provisions Act (GEPA), as the applicant, we will ensure that any LEA recipient of these funds will describe the steps it will take to ensure equitable access and participation in the funded project or activity by addressing any special needs of participant individuals in order to overcome barriers to equitable participation such as gender, race, color, national origin, disability and age.

**SUPPLEMENTAL INFORMATION
REQUIRED FOR
DEPARTMENT OF EDUCATION GRANTS**

1. Project Director:

Prefix: * First Name: Middle Name: * Last Name: Suffix:
 Dr. John B King

Address:

* Street1: [REDACTED]
 Street2:
 * City: [REDACTED]
 County:
 * State: [REDACTED]

* Phone Number (give area code) Fax Number (give area code)
 [REDACTED]

Email Address:

[REDACTED]

2. Applicant Experience

Novice Applicant Yes No Not applicable

3. Human Subjects Research

Are any research activities involving human subjects planned at any time during the proposed project period?

Yes No

Are ALL the research activities proposed designated to be exempt from the regulations?

Yes Provide Exemption(s) #:

No Provide Assurance #, if available:

Please attach an explanation Narrative:

Attachment:

Title :
 File :

Project Narrative

Project Abstract

Attachment 1:

Title: **Project Abstract** Pages: **1** Uploaded File: **S:\OMS LIASION\NYSED TIF Project Abstract.doc**

New York State TIF Project Abstract

The New York State Education Department (NYSED), in partnership with four LEAs, is submitting an application to the TIF Evaluation Competition for \$ [REDACTED]. New York's TIF plan proposes to create, within 48 high-need schools in four urban LEAs, a performance-based compensation system aligned to the State's teacher and principal career ladders, known as Teacher and Principal Career Development Continua, which will reward, at differentiated levels, those teachers and principals who demonstrate effectiveness by improving student achievement and assuming leadership responsibilities. The State's Career Development continua are part of a broader, comprehensive plan to drive further increases in educator effectiveness.

New York State's application is based on a partnership between NYSED; the New York City Department of Education (NYC DOE), Rochester City School District (RCSD), Syracuse City School District (SCSD), and Yonkers Public Schools (YPS); and a non-profit organization that will be selected through a competitive request for proposals ("RFP") process. We are proposing that 20 of the 48 schools (10 pairs) participate in the evaluation study – eight from NYC and four each from Rochester, Syracuse, and Yonkers.

We intend to take a planning year to fully develop all five of the grant's core elements in partnership with state and local stakeholders. Included in our application are letters of support from all four participating Superintendents and their teachers' unions as well as letters from three of the four principals' unions.

The outcomes, products, and processes that will result from the activities described in our application will lead to increases in student achievement and staff recruitment and retention in the participating high needs schools. Properly planned and implemented, the PBCS will provide a model for LEAs around the state to redesign their compensation systems in an effort to drive further increases in student achievement.

Project Narrative

Application Narrative

Attachment 1:

Title: **Project Narrative** Pages: **56** Uploaded File: **S:\OMS LIASIONNYSED TIF Narrative.doc**

NEW YORK STATE TIF EVALUATION APPLICATION NARRATIVE

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NEW YORK STATE TIF EVALUATION APPLICATION NARRATIVE

Introduction

New York understands that investment in human capital – our teachers and principals - is *the* critical component to improving student performance and student growth. New York’s Board of Regents is committed to transforming the preparation, support and evaluation of all teachers and school leaders. To this end, the State’s human capital effectiveness reforms are at the core of the State’s overall reform plans and incorporate a comprehensive and integrated system of supports and accountability that span an educator’s entire career. This system focuses on student learning and provides the data and targeted preparation, training and professional development necessary to elevate teaching and learning in New York State to a world-class level.

Catalyzed by US ED’s Race to the Top (RTTT) competition, New York recently enacted historic legislation that fundamentally changes the way teachers and principals are evaluated, positioning the State to take full advantage of a TIF grant to drive our reforms even further. The State’s new comprehensive evaluation system provides a basis for decisions relating to promotion, retention, tenure, supplemental compensation, support and professional development, and expedites the disciplinary process for the removal of ineffective teachers and principals. It is based on multiple measures of effectiveness and includes student achievement as a significant factor. The legislation was proposed by the New York State Education Department (NYSED) and publicly endorsed by the statewide teachers’ union, New York State United Teachers (NYSUT), and its largest local, the United Federation of Teachers in New York City. With this new law, New York State has taken a substantial step towards increasing the effectiveness of teachers and leaders. For the first time, student achievement data will be a significant component of **all** teacher and principal evaluations.

To ensure that the new legislation is implemented in ways that reach all students, New York developed a Race to the Top (RTTT) application built around high-impact reforms with

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statewide reach. New York's plan, which the State's leadership is committed to implementing to the fullest extent possible even without RTTT funding, focuses intensely on the instructional core – the quality of the interaction between student and teacher – and is designed to provide those who are accountable for producing this interaction with the essential tools and support they need to drive increases in student achievement. This includes:

- World-class curricula and formative, interim, and summative assessments aligned to internationally benchmarked standards;
- A robust data system, including both a P-20 longitudinal data system and a statewide instructional reporting system;
- Rigorous teacher and principal evaluation systems that include student achievement measures; redesigned teacher and principal preparation programs focused on clinical practice; and
- Coordinated and aligned interventions and supports for our lowest-achieving schools.

To begin implementing the new evaluation system, New York has begun to develop teaching and principal standards that will serve as the foundation for an integrated set of initiatives that will drive increases in teacher and principal effectiveness. This includes:

- Transformation of teacher and principal preparation programs
- New performance-based assessments for required initial and professional certification
- A new induction program for beginning teachers
- A high-quality evaluation system that incorporates student growth
- Career ladders that will differentiate teachers and principals based upon their effectiveness in the classroom – particularly their ability to improve student achievement.

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- Sustained, classroom-focused professional development enabled by the State’s Education Data Portal
- Incentives to encourage educators to teach in high-need schools and hard-to-staff subject areas

New York’s Teacher Incentive Fund plan proposes to create, within 48 high-need schools in four urban LEAs, a performance-based compensation system aligned to the State’s teacher and principal career ladders, known as Teacher and Principal Development Continua, which will reward, at differentiated levels, those teachers and principals who demonstrate effectiveness by improving student achievement and assuming leadership responsibilities. New York State’s application is based on a partnership between NYSED; the New York City Department of Education (NYC DOE), Rochester City School District (RCSD), Syracuse City School District (SCSD), and Yonkers Public Schools (YPS); and a non-profit organization that will be selected through a competitive request for proposals (“RFP”) process. Our plan is closely aligned with the development of our statewide longitudinal data system and instructional reporting system, which will provide critical information for instructional decision-making, teacher and principal evaluations, and professional development.

We intend to take a planning year to fully develop all five of the grant’s core elements. As we implement the performance-based compensation system, we will build on our existing systems, structures, and personnel to support LEAs in implementing the grant. All four participating LEAs are wholly committed to the evaluation component of the grant and the sustainability of the grant program.

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New York State – Structured for Success

New York State has one of the most comprehensive education governance structures in the country. The breadth and depth of authority of the Board of Regents of the University of the State of New York (USNY) provides the State with a strong platform to ensure that reforms are effectively implemented and sustained statewide. The Board of Regents has greater executive authority over public education than any other state education board. First established by the State legislature in 1784, the Board of Regents is the oldest continuous state education entity in America and is responsible for the general supervision of all educational activities in the State, pre-kindergarten (PreK) through postsecondary, professional, and cultural education.

USNY is a rich portfolio of resources that comprises *all* of the State's institutions, both public and private, that offer education, and sets standards for schools from PreK through professional and graduate school as well as for the practice of a wide variety of professions. USNY, under the oversight of the Regents, the Commissioner, and NYSED, includes:

- over 7,000 public and private elementary and secondary schools including 140 charter schools;
- 248 public colleges and universities, including the State University of New York (SUNY) and the City University of New York (CUNY);
- 251 proprietary (for-profit) schools;
- nearly 7,000 libraries and 750 museums;
- vocational and educational services for children and adults with disabilities;
- 25 public radio and television broadcasting stations;
- 750,000 licensed professionals practicing 48 professions; and
- 240,000 certified public school teachers, counselors, and administrators.

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New York State's TIF Partnership

In order to impact a significant number of students in high-need schools, the State developed a partnership that is comprised of NYSED; the Rochester, Syracuse, Yonkers, and New York City School Districts; and a non-profit organization, which will be selected via RFP to facilitate the planning year activities. A description of each of the partners follows.

New York State Education Department

The New York State Education Department (NYSED) is led by two of the country's most passionate and effective education reformers: the State's new Commissioner of Education and President of the University of the State of New York, Dr. David Steiner, a nationally recognized expert on teacher preparation, and Dr. John King, his Senior Deputy, who founded one of the country's most successful charter schools. Drs. Steiner and King have nationally renowned track-records of leading path-breaking innovations in education – innovations that have been proven to drive increases in student achievement and educator effectiveness. Drs. Steiner and King have also worked to forge strong new working relationships with the State's education stakeholders, including our teachers and principals unions. (Please see Appendix A for biographies of these leaders.)

Since early 2010, the Commissioner and Senior Deputy have begun to redesign NYSED at the direction of the Board of Regents to transform it from a compliance-oriented agency focused on monitoring inputs to a service-oriented agency focused on supporting LEAs to achieve maximum outputs. In January 2010, they launched a critical new function under the leadership of Sr. Deputy King, the Office of District Services, to coordinate the provision of services and professional development offerings for LEAs.

Former school district superintendent Ken Slentz was appointed to the position of Associate Commissioner of District Services to lead the department and coordinate NYSED's

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efforts to move to a more service-oriented relationship with the State’s LEAs. Mr. Slentz brings 16 years of experience in public and private P-12 education, most recently as the Superintendent of Schools in the West Canada Valley School District in New York.

LEAs participating in the State’s TIF program will be supported by NYSED’s Office of District Services. NYSED is currently pursuing private funds to enable District Services to develop a modern call and online resource center to provide sophisticated real-time support and technical assistance to LEAs.

Participating School Districts

Four of the State’s largest urban districts are participating in New York’s TIF application. Collectively, these districts serve over 700,000 high-need students. Included with our application are letters of support from the Superintendents of the four participating LEAs as well as letters of support from the teachers’ unions of New York City, Rochester, Syracuse, and Yonkers. We also have letters of support from the principals union of New York City, Rochester, and Syracuse. The Superintendent of Yonkers Public Schools is committed to working closely with the Yonkers principals’ unions to secure their support as well. Additionally, we have also included a letter of support from NYSUT, the State’s teachers union.

The table below provides high-level detail on the districts and number of schools participating in the State’s TIF partnership.

	District Information			Participating TIF Schools		
	# of Schools	# of Students	% of Free & Reduced Lunch Students	# of TIF Schools	# of TIF Evaluation Schools	% of F&RL Students in TIF Schools
New York City Dept of Education	1,496	960,032	75%	20	8	82.5%
Rochester City School District	58	32,132	82%	10	4	82.0%
Syracuse City School District	32	19,693	75%	10	4	69.1%

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Yonkers Public Schools	39	22,894	74%	8	4	81.2%
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We recognize that the limit on schools in the evaluation study is 16 per applicant; however due to interest from our four participating districts, we are proposing to include a total of 20 schools across four LEAs in the evaluation as shown in the table above: 4 evaluation schools (two pairs) from Rochester, Syracuse, and Yonkers; and 8 evaluation schools (four pairs) from New York City. The remainder of schools will implement the PBCS.

Each of the four participating districts has already embraced reform and embarked on their own local innovations in teacher and principal effectiveness that will enhance and inform New York’s TIF partnership.

- New York City and Rochester have both developed principal leadership academies that are the foundation of a broader network of academies statewide.
- New York City has developed a teacher data initiative to provide educators and their supervisors with teacher and school-level value-added information.
- Rochester’s career development ladder, which has been in place for over 20 years, has been heralded as a national model for teacher career advancement. Known as Career in Teaching (CIT), the program aims to improve student achievement by providing teachers with career options that do not require them to leave teaching to assume additional responsibilities and leadership roles. The program establishes four career levels (intern, resident, professional, and lead teacher), provides a distinction between tenured and non-tenured teachers in the evaluation process, and includes standards for teacher evaluation. The program is administered by a 12 member panel that includes six members appointed by the Rochester Superintendent of Schools and six members appointed by the Rochester Teachers’ Association.

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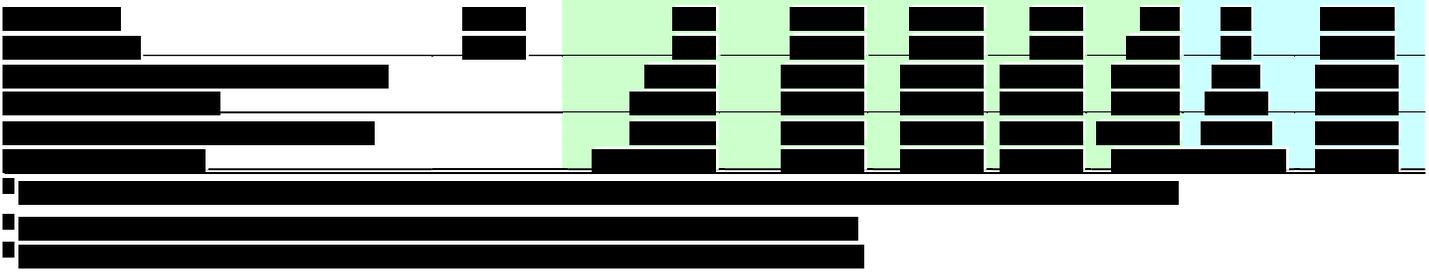
- New York, Rochester, Syracuse and Yonkers have programs that allow highly skilled teachers to become mentor teachers and participate in a peer assistance and review program to coach and, in some districts, to evaluate other teachers. The goal of the program is to assist new teachers and improve the performance of tenured teachers (by means of intervention). In Rochester, mentor teachers earn an additional salary stipend of 5% (for one teacher mentee) or 10% (for two teacher mentees), and the program has helped achieve an 88% retention rates among new teachers.

Participating Schools

New York's TIF plan will have broad impacts in 48 high-need schools. The table below lists all of the participating schools by LEA and demonstrates that all of the schools to be served by the proposed performance-based compensation system are high-need schools, with well over 50 percent of each school's students eligible for free or reduced-price lunch subsidies in the most recent year for which data were available. The average percentage of students eligible for free or reduced-price lunch in these schools is 78 percent, compared with the New York State average of 47 percent.

In selecting their TIF schools, the districts followed the general TIF criteria, but also used locally-developed criteria. For example, the NYC DOE selected 20 elementary and middle schools that are a subset of schools that have newly entered the "Restructuring" phase of accountability. Additionally, Rochester, Syracuse, and Yonkers selected many schools that are part of the State's School Improvement Grant (SIG) and will similarly undergo intervention efforts according to the four turnaround models.

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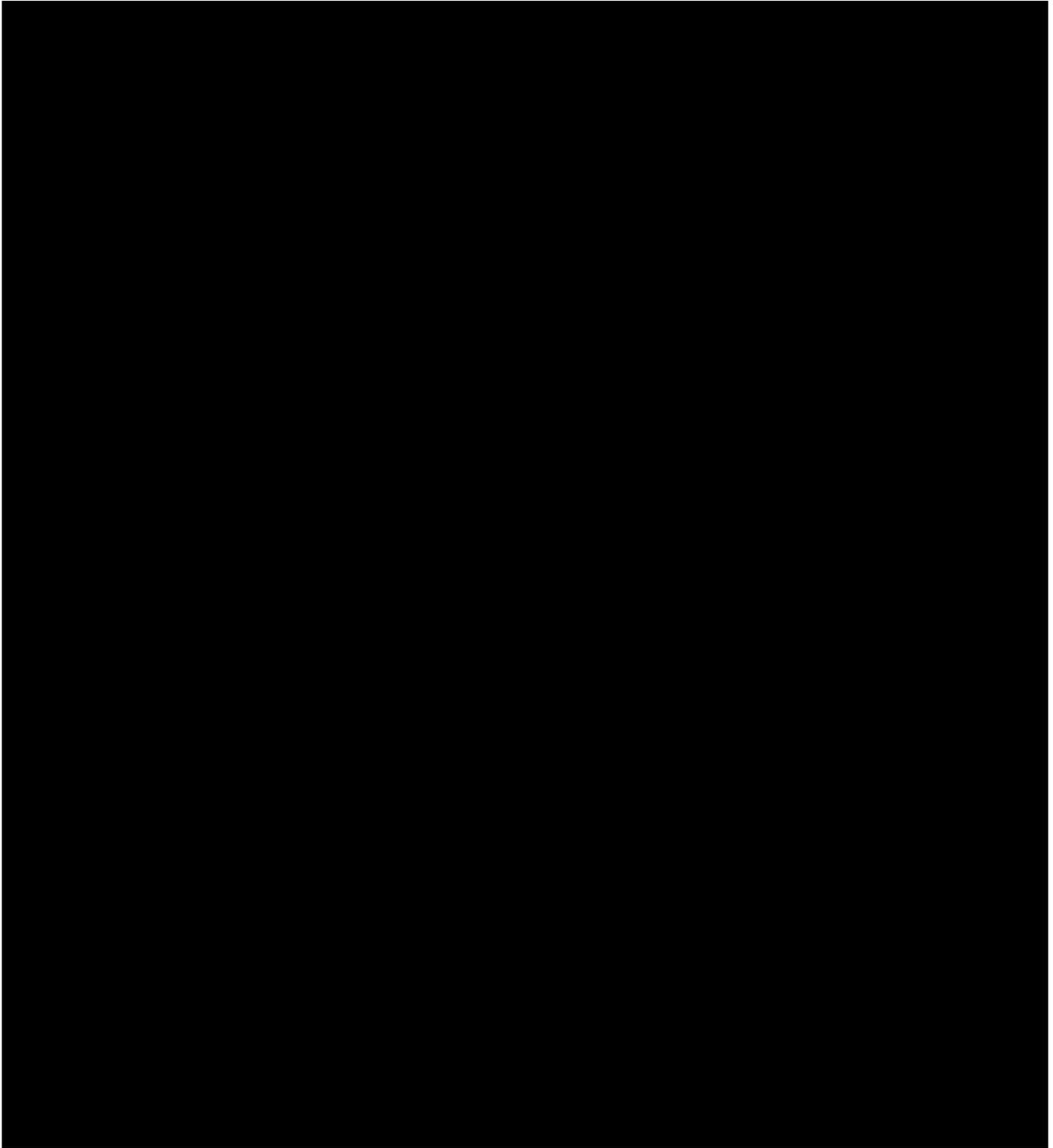


In terms of their poverty levels and the percentage of students who are English language learners, the participating schools are comparable to other schools in their respective districts, yet in all but a few of the participating schools,¹ student achievement – in mathematics, or English language arts (ELA), or both – is lower than the district average. Figure 1 below shows that, in each of the four districts, the percentage of students scoring proficient in ELA in the TIF schools is lower than the district average, and Figure 2 shows an even more striking pattern for math. The rightmost bars in each figure show that the average percentage of students achieving proficiency in ELA and math in the 48 TIF schools is more than 20 percentage points lower than statewide averages.

■ [Redacted text]

■ [Redacted text]

■ [Redacted text]



As discussed later in this application, the four urban districts participating in NYSED's TIF application have a notoriously difficult time recruiting highly qualified or effective teachers

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– particularly in hard-to-staff subjects or specialty areas such as mathematics, science, English language acquisition, and special education – and the high-need schools whose educators would be part of NYSED’s performance-based compensation system are no exception. Moreover, these schools also have difficulty retaining highly qualified or effective teachers and principals. The average teacher turnover rate in the TIF applicant schools is 15 percent – higher than the state average – and many of the participating schools have extremely high turnover rates, ranging from 20 percent to more than 50 percent. The participating Rochester schools have an average turnover rate of 20 percent, and the participating Yonkers schools have an average turnover rate of 30 percent – more than double the district average.

The districts also reported that their staffing needs were particularly acute in their respective TIF schools in hard-to-staff subject areas. Yonkers, for example, cited that they consistently have a need for highly qualified teachers in their ten participating TIF schools in the following areas: math, science, special education (secondary level), technology, bilingual education, and English as a second language.

New York’s Comprehensive Approach to Increasing Educator Effectiveness

Shortly after their appointments, Drs. Steiner and King presented the Board of Regents with a vision for dramatically increasing educator effectiveness in New York by creating a comprehensive and integrated system that spans an educator’s entire career. Designed to elevate teaching and learning in New York State to a world-class level, this system will provide the data and targeted preparation, training and professional development necessary to further increase the effectiveness of our teachers and principals. Their integrated plan includes the following components:

- Transformation of teacher and principal preparation programs

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- New performance-based assessments required for initial and professional certification
- A new induction program for beginning teachers
- A high-quality evaluation system for teachers and principals that incorporates student growth
- Career ladders which differentiate teachers and principals based upon their effectiveness in the classroom particularly their ability to improve student achievement.
- Embedded professional development enabled by the State's education data system and supported by specialized network teams and principal leadership academies
- Incentives to encourage educators to teach in high-need schools and subject areas

Taken together, these integrated actions will create the foundation for dramatic increases in educator effectiveness. While our TIF Evaluation application focuses on providing supplemental differentiated compensation in alignment with the development of statewide teacher and principal career ladders, each of these components is a critical piece of an integrated strategy that will drive increases in effectiveness throughout the professional careers of our teachers and principals. A description of each of our key strategies follows.

Transformation of teacher and principal preparation programs

New York will radically redesign teacher and school leader preparation programs based on the State's new certification standards through the creation of clinically-grounded instruction, innovative alternative certification pathways, and increased accountability for those programs that prepare educators.

Focus on clinical skills - NYSED will partner with higher education institutions as they redesign their teacher preparation programs to align with the Department's new standards and performance-based assessments for teacher certification described in the following section. The

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State will facilitate the development of more extensive and better-supervised clinical experiences for student-teachers and aspiring principals with a focus on serving the needs of students in the performance gap in high need schools, English language learners, and students with disabilities. We will use the best learning technologies and ensure that the next generation teacher training programs use video as a tool both for demonstrating best practices and for providing aspiring teachers with critical feedback from highly effective mentor teachers.

Alternative pathways - To encourage the development of new innovative preparation programs, the Regents have also instituted new policies to facilitate the development of alternative preparation pathways – aligned with the new standards and performance-based assessments – for teachers and principals by institutions that are not colleges or universities, but do have a track record of raising the achievement of high need student populations. Based on rigorous selection and evaluation criteria, New York will work with these institutions - such as cultural institutions and high-performing school networks – to pilot teacher preparation programs.

Increased Accountability - NYSED will publish transparent data profiles for all institutions that prepare teachers and principals that focus on the performance of students their graduates have taught. Using the State’s new longitudinal data system as a platform, the new teacher and principal evaluation systems will provide for: (1) the development of a single composite effectiveness score, based in substantial part on student growth for every teacher and principal; and (2) the development of performance profiles, based on aggregate teacher and/or leader effectiveness data, for every teacher and school leader preparation program.

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New performance-based assessments required for initial and professional certification

Beginning in 2012, New York's educators will be certified on the basis of new performance-based assessments that will include a measure of their ability to raise the academic achievement of all students who make up the rich diversity of our State's student population.

Teachers - New York will implement a performance-based assessment for initial and professional certification for teachers. In combination with more rigorous content exams, the performance-based assessment will require teacher candidates to demonstrate the knowledge and skills that research has shown to be linked to classroom effectiveness. When a new teacher has earned an initial certificate and completed two years of teaching, that teacher will complete an additional performance-based assessment that focuses on the effectiveness of the teacher's skills during the first two years of teaching, and will use the State's data system to include student growth data. Demonstrated teaching skills on this results-oriented assessment of teacher effectiveness, which will incorporate threshold student growth measures, will be required for teachers to earn professional certification. The time for completing a master's degree will be extended to six years from initial certification to allow each teacher to complete an advanced degree more directly aligned to the teacher's individual goals for professional development. If a teacher cannot pass the performance assessment, the teacher cannot earn the professional teaching certificate, which is required for continued employment in any New York State public school after five years of teaching with an initial certificate. The State will ensure that teacher certification applicants who have not demonstrated a positive effect on improving student learning will not be able to receive professional certification.

Principals - In May 2010, the Regents approved development of a performance-based assessment for use by preparation programs to evaluate principal candidates for certification.

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During the fall of 2010, NYSED and its partners (including principals and other school stakeholders) will begin to develop the performance-based assessment, which will include formative and summative assessments through the submission of a portfolio of artifacts demonstrating candidates' leadership skills and knowledge. These artifacts could include videos, audio, graphics, self-evaluations, school quality reviews, and other school data that indicates their knowledge and skills in school leadership.

The State's authority over principal certification decisions will ensure that principal certification applicants who have not demonstrated a positive effect on improving teaching and student learning will not be able to receive professional certification. Principal candidates enrolled in the clinically-rich principal preparation program to be offered by both Institutions of Higher Education (IHEs) and non-IHEs must pass this performance assessment beginning in the spring of 2012 (pilot program). All principal candidates in the State's preparation programs must pass this performance assessment beginning in the spring of 2013 for principal certification.

A new induction program for beginning teachers

New York plans to transform induction for new teachers statewide. Approximately 2,000 new teachers from high-need schools and shortage or specialty areas (English language learners, students with disabilities) will receive rigorous training, mentoring by trained teacher mentors, access to current research, peer support, and targeted high quality professional development to help create teacher leaders who will help new teachers achieve expertise in curriculum planning, assessment, and using data and reflection on practice to improve teaching and learning. NYSED intends to issue an RFP in February 2011 to select a partner to lead this work and begin program implementation in September 2011.

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A high-quality evaluation system that incorporates student growth

In May 2010, the New York State legislature enacted historic legislation (Chapter 103 of the Laws of 2010 – see Appendix B) that fundamentally changes the way teachers and principals are evaluated for decisions relating to promotion, retention, tenure, supplemental compensation, support and professional development. Aligned to the goals of TIF, the State’s new evaluation system creates a rigorous, transparent, and fair evaluation for teachers and principals that differentiates effectiveness using multiple rating categories that take into account student achievement – as measured using a value-added growth model – as a significant factor, as well as classroom observations and other measures. The new evaluation also provides a platform on which to build accountability throughout New York’s entire education system while providing information critical for supporting and developing educators.

The evaluations will be used to assign each educator a rating in one of four different categories of effectiveness - Highly Effective, Effective, Developing, or Ineffective. Each rating category will have explicit minimum and maximum scoring ranges, which will be prescribed in Commissioner’s Regulations. Individual improvement plans will be developed for those educators in the Developing and Ineffective categories. Additionally, the evaluations will support the expedited removal of teachers and principals rated as ineffective for two years in a row.

The new evaluation systems will provide increased accountability for all those involved in the education supply chain. New York will develop: (1) a single composite effectiveness score – that includes student growth – for every teacher and principal; and (2) performance profiles – based on aggregate teacher and/or leader effectiveness data – for every school district and every teacher or school leader preparation program. By linking individual student data with the evaluations of critical partners in the education of our students – from classroom teachers and

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building leaders to the school districts in which they serve and the programs that prepare them for such service – New York State will be able to drive increases in student achievement at every level of the educational system.

In order to implement the new evaluation system, the law requires the Board of Regents to establish a statewide value-added growth model and to adopt regulations governing the development of local measures of student growth and other valid measures of teacher effectiveness. Pursuant to the new law, student growth is one measure of student achievement and is defined as “the change in student achievement for an individual student between two or more points in time.” The law specifies that student achievement will comprise 40 percent of teacher and principal evaluations and ratings in accordance with the following minimum requirements:

- 2011-12 for teachers in the common branch subjects or ELA and math in grades 4-8 only and for school principals in buildings in which these teachers are employed: 20 percent student growth on State assessments or comparable measures, and 20 percent other locally-selected measures that are rigorous and comparable across classrooms in accordance with standards prescribed by the Commissioner.
- 2012-13 and subsequent years before Regents approval of a value-added model for all teachers and principals: 20 percent student growth on State assessments or comparable measures, and 20 percent other locally selected measures that are rigorous and comparable across classrooms in accordance with standards prescribed by the Commissioner.
- Subsequent years following Regents approval of a value-added model for all teachers and principals: 25 percent student growth on State assessments or comparable measures, and

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15 percent other locally selected measures that are rigorous and comparable across classrooms in accordance with standards prescribed by the Commissioner.

- The remaining 60 percent of the evaluations and ratings would be based on locally developed measures through collective bargaining (e.g., classroom observations by trained evaluators), in accordance with standards prescribed by the Commissioner.

Development of Value-Added Growth Model

NYSED is working with the Center for Assessment in order to design and implement a value-added model by June 2011 for use in making growth calculations for educator evaluations. The Center for Assessment developed the highly regarded growth models for Colorado and Massachusetts and has had extensive experience working with different states to research and design value-added measures; Scott Marion, Brian Gong, and Damian Betebenner will be the project leads for the Center for Assessment.

In order to apply the student growth model within the context of the teacher and principal evaluation systems mandated by the new State law, NYSED will also seek input from the field by forming a Teacher and Principal Effectiveness Advisory Committee (TPEAC). This Committee will provide recommendations to the Commissioner, who will then propose regulations for consideration and approval by the Board of Regents. TPEAC will be comprised of representatives from key stakeholder groups, including: LEAs, New York State United Teachers, teacher and principal preparation programs, the New York State Council of School Superintendents, the New York State School Boards Association, the School Administrators Association of New York State, the Council of School Supervisors and Administrators (NYC-based), the New York State Association of School Personnel Administrators, and the New York State Teacher Centers.

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Working with TPEAC and with NYSED staff, the Center for Assessment will build on the work they have completed for the growth model to create a value-added model for measuring teacher effectiveness. By July 2011, TPEAC will provide the Commissioner and Board of Regents with recommendations for developing a comprehensive measure of effectiveness to be integrated into the State's teacher and principal performance evaluation systems. Recognizing the complexity of measuring student growth in both tested and non-tested areas (e.g., art and music), New York's phase-in approach will allow for a thoughtful, participatory process culminating in a comprehensive, well-designed system that receives strong, statewide stakeholder support.

Development of Local Measures of Student Growth

The new law requires that teacher and principal evaluations include consideration not only of student growth (eventually moving to value-added) on State assessments or comparable measures, but also of other locally-selected measures that are rigorous and comparable across classrooms in accordance with standards prescribed by the Commissioner. Using TPEAC's work as a foundation, NYSED will propose new regulations that set standards to ensure that any locally-selected measures meet the requirements of the law. In addition to initial approval, NYSED will also propose frameworks for ongoing monitoring and evaluation of the validity and effectiveness of locally-selected measures.

Under new state law, the Regents will establish regulations to guide local action in development of both student achievement and other valid local measures for teacher evaluation to ensure rigor and validity in determining effectiveness. NYSED is researching potential locally-selected assessment instruments; examples include: (1) Northwest Evaluation Association's Measures of Academic Progress assessments, vertically scaled assessments taken

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on-line; (2) TerraNova's norm-referenced assessments; and (3) the Scholastic Reading Inventory or Burns and Roe's Informal Reading Inventory, reading assessment programs that provides immediate, actionable data on students' reading levels and growth over time. NYSED will also consider the development of standards for other types of locally selected measures, such as writing portfolios, science experiments, and other performance-based assessments.

Development of Other Measures of Teacher and Principal Effectiveness

Teachers - With respect to the remaining 60 percent of the teacher evaluations, the State's existing Annual Professional Performance Review regulations currently establish eight criteria to be used in addition to student growth. To implement the new law, the State/Board of Regents will establish evaluation tools for measuring each criterion. Based on preliminary analysis, the following potential evaluative tools were identified:

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Annual Professional Performance Review Evaluation Criteria	Examples of Possible Evaluative Tools
Content knowledge	Observations by trained evaluators [using standard rubrics; e.g., Charlotte Danielson’s “Framework for Teaching” rubrics, Doug Lemov’s teaching taxonomy, and the University of Virginia’s Classroom Assessment Scoring System (CLASS)], demonstration of proficiency in the development of lesson plans, unit plans, and instructional assessments that meet learning objectives
Preparation – including knowledge and application of necessary pedagogical practices	Observations by trained evaluators [using standard rubrics; e.g., Charlotte Danielson’s “Framework for Teaching” rubrics, Doug Lemov’s teaching taxonomy, and the University of Virginia’s Classroom Assessment Scoring System (CLASS)], demonstration of application of the theories of learning, video, communication with mentors , variety of instruments to assess student performance
Instructional delivery	Observations by trained evaluators [using standard rubrics; e.g., Charlotte Danielson’s “Framework for Teaching” rubrics, Doug Lemov’s teaching taxonomy, and the University of Virginia’s Classroom Assessment Scoring System (CLASS)], the effective use of a variety of learning modalities assessed against a standard rubric, the effective use of instructional technology (e.g., video)
Classroom management	Observations by trained evaluators [using standard rubrics; e.g., Charlotte Danielson’s “Framework for Teaching” rubrics, Doug Lemov’s teaching taxonomy, and the University of Virginia’s Classroom Assessment Scoring System (CLASS)], video, promotion of social and global concerns, promotion of community awareness, sensitivity to diversity
Knowledge of student development	Observations by trained evaluators [using standard rubrics; e.g., Charlotte Danielson’s “Framework for Teaching” rubrics, Doug Lemov’s teaching taxonomy, and the University of Virginia’s Classroom Assessment Scoring System (CLASS)], demonstration of a variety of teaching strategies and methods to meet the varied learner’s needs, development and modification of teaching to engage and elevate learners in the zone of proximal development, teacher utilizes student assessment to inform teaching
Student assessment (implementing assessment techniques based on appropriate learning standards designed to measure a student’s learning progress and successfully utilizing available student performance data and other relevant information when providing instruction)	Development of data-driven instruction action plans and individualized student learning plans
Effective collaboration with students, parents or caregivers, as needed, and appropriate support personnel to meet students’ learning needs	Communicates effectively with stakeholders, develops student plans with support personnel, school climate surveys
Reflective and responsive practice	Teacher self-reflective journals, communication with trained mentors, evidence of improved practice

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Principals - With respect to the remaining 60 percent of the principal evaluations, the Regents have begun discussing the feasibility of such locally developed measures as the rate of student achievement gap reduction, qualitative rubric-based evaluations, and other quantitative measures (for example, results of “climate surveys” of parents, students and staff that measure the principal’s effectiveness in creating positive school and work environments). This work will be informed by our Wallace Foundation grant to create a Principal Performance Evaluation System. Once the Regents develop policies on locally developed measures for principal evaluations, NYSED will propose corresponding regulations to govern their use and will establish procedures for ongoing evaluation of their validity and reliability in measuring principal effectiveness.

Innovation Already Underway

In response to the State's legislative and regulatory changes regarding teacher evaluation, the New York City Department of Education (NYC DOE) has already commenced an action research project whereby roughly 20 schools will serve as design partners for the City's forthcoming teacher evaluation and development system. Schools will pilot teacher action rubrics, methods for quantifying teacher effect on student learning, and best management practices to produce recommendations on the evaluation instrument to be negotiated, and on the data systems and organizational roles necessary to implement fair evaluations that help teachers progress. The action research project will also prepare the system to integrate findings from the Measuring Effective Teaching (MET) partnership between the NYC DOE, the United Federation of Teachers, and the Bill and Melinda Gates Foundation.

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Systemic Accountability

As part of our plan to create a cohesive system to support effective teaching, leadership and learning in every school, NYSED will use data from the new evaluation systems to inform its evaluation and review of school districts. New York State's School and District Report cards currently contain data on student performance, teacher qualifications, and school/district accountability measures. NYSED will use data from principal evaluations, in consultation with TPEAC, to create evaluation measures for the superintendents and assistant superintendents who manage them. Such measures will focus on the level and quality of support provided to principals, including the composite effectiveness score gains of the supervised principals, the student achievement growth of the supervised principals, and the gap-closing performance of the supervised principals.

To enhance the utility of the State's new evaluation systems and provide additional data on the performance of our schools and leaders, NYSED will also require that LEAs report on the implementation of their evaluation processes and results on the School Leadership Report Card and School Progress Report Cards as follows:

- Rates of student growth and gap closing achieved by teachers and principals (disaggregated by race, income, etc.);
- Composite effectiveness scores for teachers and principals; and
- Correlation between non-growth measures and State assessment measures.

As further discussed in our discussion of Professional Development, the effectiveness of the teacher and principal evaluation systems will also be enhanced by NYSED's plans to provide clear and transparent data reports, including student growth data, at the district, school, classroom and individual student levels. This data will be made available to LEA teachers,

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principals, superintendents and boards and will assist them in assessing their instructional programs as well as their teacher and principal evaluation systems. Specifically, New York's School District Report Cards will include:

- percentage of teachers and principals in each rating category, by poverty-status of school
- percentage of teachers and principals in each rating category, by high or low minority-status of school
- percentage of teachers in each rating category, by subject taught
- average composite score improvement
- percentage of teachers and principals moving to lower rating categories
- retention of teachers and principals in each rating category
- data on tenure granting and denial based on the categories

NYSED will also provide data on the validity of teacher and principal evaluation indicators, as follows:

- District and school-level correlation report between State test data and non-State test growth measures in tested subjects/grades (e.g., Are State test scores and writing portfolios consistent?)
- District and school-level correlation report between State test data and non-growth measures in tested subjects/grades (e.g., Are the principal's observations consistent with State test performance?)
- District and school-level correlation report non-State test growth measures and non-growth measures (e.g., Are the principal's observations consistent with the writing portfolios?)

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NYSED will leverage the new evaluation law to strengthen state technical assistance to raise student achievement in our high need schools. NYSED has broad authority over registered public and nonpublic schools. Using such tools as the Schools Under Registration Review (SURR) process,² the Commissioner can revoke the registration of registered public and nonpublic schools that fail to meet certain performance standards and criteria over time. NYSED will therefore propose a process for using teacher and principal effectiveness data to inform the reviews of Schools Under Registration Review.

Career Ladders based upon Teacher and Principal Effectiveness

NYSED is already building frameworks for both teacher and principal career ladders which will be based in part on information from the new teacher and principal evaluation system. The Teacher Career Development Continuum (TCDC) and a Principal Career Development Continuum (PCDC) will establish career development pathways that increase performance requirements over time. Both continua will be developed through a collaboration between LEAs, teacher and principal preparation program providers, unions, professional associations, experts in the field, and NYSED. It is anticipated that the Regents will consider recommendations in May 2012 to amend the teacher and principal certification systems and provide a career pathway for educators to advance through State-authorized career continua. (Note that this TIF application proposes to develop proxies for the State's career development continua for use in this program until the career ladders are formally adopted by the Board of Regents).

Teachers - Historically, teacher career advancement in New York – in terms of both certification and compensation – has been limited primarily to higher education degrees and

² Under NYS law, a School Under Registration Review (SURR) is a public school identified as being among those farthest from meeting benchmarks established by the Commissioner or as being a poor learning environment based upon the performance of the “all students” group on English language arts and mathematics assessments. The NY SURR process has recently been aligned to the US ED’s Persistently Low Achieving schools process. SURR schools undergo a resource, planning, and program audit, and are required to develop and implement a restructuring plan. If a SURR fails to demonstrate adequate improvement within a specified timeframe, usually two full school years, its registration may be revoked by the Board of Regents.

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credits (e.g., baccalaureate degree for initial certification, master's degree for professional certification, additional compensation for additional credits and/or degrees). To change this approach, the State will create a teacher career development continuum that includes novice teacher, professional teacher, master teacher and teacher leader. Teachers in New York State will have a choice of advancement based on established criteria for those who choose to enhance their teaching abilities and/or advance into teacher leadership roles.

As they move along the continuum, each step will require a deeper level of demonstrated proficiency in practice, as evidenced through data that show student growth and achievement and the attainment of higher-level professional skills and leadership roles. A teacher's ability to advance through the TCDC depends on evaluation ratings (Highly Effective or Effective) and minimum student growth thresholds. Teachers who demonstrate accomplishments in positively affecting student growth and improving their content knowledge and professional teaching skills can be recognized by their districts and compensated as they progress along a career continuum from novice teacher to teacher leader. Those teachers who take on additional leadership responsibilities will also be awarded additional compensation.

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New York State Teacher Career Development Continuum		
Role	Criteria for Eligibility	Roles and Responsibilities
Novice Teacher	<ul style="list-style-type: none"> Initial Certification 	<ul style="list-style-type: none"> Classroom teacher Formally mentored by trained mentors Professional development
Professional Teacher	<ul style="list-style-type: none"> Professional Certificate Earned Master’s Degree appropriate for the Professional Certificate Performance-based assessment using multiple measures of effectiveness Performance-based assessment including at least 2 years of data evidencing the achievement and growth of their students 	<ul style="list-style-type: none"> Classroom teacher Eligible for increased responsibilities Actively participates in school-based inquiry teams Participates in professional development led by a Mentor teacher May participate on shared decision making committee Progress toward required professional development Highly effective Professional teachers regularly open their classroom for observations by novice teachers and participate in activities to share practice Opportunities to co-teach
Teacher Leadership options		
Professional teachers may choose to move to one or both of the options below		
↓ ↓ ↓ ↓ ↓		
Master Teacher	<ul style="list-style-type: none"> Earned Master’s degree appropriate to certification Master Teacher Annotation Performance-based assessment using multiple measures of effectiveness At least 1 year of experience as a Professional teacher with a highly effective rating At least 3 years of data showing significant achievement and growth of their students 	<ul style="list-style-type: none"> Classroom teacher Mentors novice teachers; tracks effectiveness based on analysis of student data Demonstrates effective teaching methods and creates videos of own practice Provides observation and feedback to peers Conducts professional development school and district wide Participates in professional development with other master teachers to reflect upon and continually improve professional skills and effectiveness as mentor
↑ ↑ ↑ ↑ ↑		
Teacher Leader	<ul style="list-style-type: none"> Earned Master’s degree appropriate to certification Teacher Leader Annotation Performance-based assessment using multiple measures of effectiveness At least 2 years of experience as a Professional and/or Master teacher with consecutive highly effective ratings At least 4 years of data showing significant & consistent achievement & growth of their students 	<ul style="list-style-type: none"> Classroom teacher Increased school community responsibilities effecting curriculum and programs for school improvement Analyzes school data to identify strengths, needs, and potential problems Mentors developing and ineffective teachers Knowledgeable re: current educational research and history of school reform movements Develops and conducts professional development school and district wide Models effective teaching methods; develops videos of own practice Regularly contributes to knowledge warehouse Participates in professional activities on state and/or national level

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Principals - Similar to the teacher model with designated tiers using performance-based assessments that incorporate student growth, principals will move along the career development continuum from novice principal to professional principal to master principal to principal leader. In addition to increases in student achievement, eligibility for continuum advancement will consider input from peers, who recognize and value the principal's contributions to the field over time, as supported by feedback from families, teachers, staff, administrators, and students where appropriate (i.e. 360-degree assessment model).

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New York State Principal Career Development Continuum		
Role	Criteria for Eligibility	Roles and Responsibilities
Novice Principal	<ul style="list-style-type: none"> • Initial Certification 	<ul style="list-style-type: none"> • School principal • Formally mentored by trained mentors • Professional development
Professional Principal	<ul style="list-style-type: none"> • Professional Certificate • Earned Master’s Degree appropriate for the Professional Certificate • Performance-based assessment using multiple measures of effectiveness • Performance-based assessment including at least 2 years of data evidencing the achievement and growth of their students 	<ul style="list-style-type: none"> • School principal • Actively participates in cohort teams for relevant, research based professional development led by a Mentor principal • Progress toward required prof’l development • Highly effective professional principals are eligible for increased responsibilities • Actions linked to reform initiatives affecting student achievement at the principal’s school and improved school culture
↓ ↓ ↓ ↓ ↓		
Master Principal	<ul style="list-style-type: none"> • Earned Master’s degree appropriate to certification • Master Principal Annotation • Performance-based assessment using multiple measures of effectiveness • At least 1 year of experience as a Professional principals with a highly effective rating • At least 3 years of data showing significant achievement and growth of their students 	<ul style="list-style-type: none"> • School principal • Mentors novice principals • Hosts a principal intern who shadows him/her • Demonstrates effective teaching methods and creates videos of own practice • Provides observation and feedback to peers • Delivers high quality professional development to colleagues within the region and across the State via the Principal Academies • Actively encourages and inspires others to become school leaders and supports them throughout the process • Participates in professional development with other master principals to reflect upon and continually improve professional skills and effectiveness as instructional leader • Consistently recognized by peers and school community as highly successful instruct’l leader
↑ ↑ ↑ ↑ ↑		
Principal Leader	<ul style="list-style-type: none"> • Earned Master’s degree appropriate to certification • Principal Leader Annotation • Performance-based assessment using multiple measures of effectiveness • At least 2 years satisfactory experience as a Professional and/or Master Principal with consecutive highly effective ratings • At least 4 years of data showing significant & consistent achievement & growth of their students 	<ul style="list-style-type: none"> • School principal • Turnaround school leadership skills that translate to improvement in instruction and learning • Knowledgeable re: current educational research and history of school reform movements • Mentors one or more developing or ineffective principals • Develops and conducts prof’l development within the region and across the State • Models effective instructional leadership practices; develops videos of own practice • Regularly contributes to State’s knowledge warehouse • Participates in professional activities at state and/or national level • Consistently recognized by peers and school

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		community as exemplary instructional leader
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Sustained, classroom-focused professional development enabled by the State's Education Data Portal

New York will provide all its teachers and principals with sustained, classroom-focused professional development based on information from the statewide instructional reporting and improvement system. New York believes that collecting and using data is fundamental to increasing student achievement. Throughout the State, educators have stated that using data enables them to understand the unique needs of every student. Comprehensive data on students, teachers, and schools, when accompanied by information on research-based best practices, gives educators and parents the information they need to identify progress and problems and intervene effectively to help a single child, a class, a specific group of children (including at-risk populations), or an entire school or district.

New York has developed a two-part plan to ensure that every educator has access to relevant data. The State will:

1. Create a best-in-class statewide instructional reporting and improvement system, accessible through an online Education Data Portal, that involves teachers, school officials, and parents in a data-driven culture dedicated to improving student achievement and helping close the achievement gap;
2. Provide ongoing, integrated professional development on using data to improve instruction through a statewide network that draws on a model system used in New York City and other systems already used regionally throughout the state

A description of each part of our professional development plan follows.

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Create a best-in-class statewide instructional reporting and improvement system

As a first step in creating data-driven professional development, New York will develop a best-in-class statewide instructional reporting and improvement system that will provide student-level data and analysis in a customizable format. Accessed through an online Education Data Portal, the system will provide sets of standardized reports and analyses, but will also be flexible in order to maximize the instructional benefit for individual schools and districts by allowing users to select their own unique data and create customized reports. An analysis of each assessment standard and item for every student and classroom will be included as will curriculum scope and sequence as part of a dashboard showing the content area/s in which students are behind or ahead, with matching interventions to address their specific needs. Data will be uploaded daily for rapid-time analysis, supporting the use of data from formative and interim assessments. An Early Warning System will identify and flag students for intervention if they are, or are likely to be, off track for promotion and graduation.

The system will be particularly valuable for educating traditionally underserved target populations including Black and Hispanic students, English language learners (ELLs), long-term ELLs, students with disabilities, and students with interrupted formal education. The Education Data Portal will also function as an online professional community, allowing educators to identify and exchange information about research-based or other promising interventions being used in individual schools specifically for target populations.

Specifically, the statewide comprehensive instructional reporting and improvement system will allow users to take the following key actions:

- Examine rapid-time school and student data, including the formative and interim assessments outlined in Section.

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- View standardized reports using the data or create custom reports drawing from the entire data repository.
- Provide extensive data on student growth, especially with the development of a growth model.
- Utilize a complete profile of individual students as they progress across grades, with data on classroom performance, number of credits toward high school graduation, demographics, attendance, discipline, and additional data as desired.
- View performance on individual assessment items for all State tests across a classroom, school, demographic group, etc.
- Diagnose students' learning needs by analyzing student-specific data (even down to each item on formative, interim, and summative assessments, in addition to attendance and other measures), set classroom goals for improvement, and measure success.
- Access a library of instructional resources (including specific instructional tools, books, interventions, and best practices) that are research-based and proven to work. In addition, resources can be contributed by teachers statewide to address problems identified for one student, a group of students, a classroom, or a school or district.
- Diagnose systemic problems in a classroom and, relying on appropriate teacher and principal evaluations, provide professional development to help individual teachers and principals improve student learning.
- Use the resources described above to decide on appropriate interventions for individual students or groups of students or entire schools. This will also apply, for example, when Joint Intervention Teams and Intervention Partners are working to improve the lowest-performing schools.

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- Identify other educators who have similar interests and face similar challenges and collaborate on solutions, thereby creating communities of learners.
- Organize and share work documents with team members and collaborators.
- Through all of the resources above, provide extensive tools that will help teachers and other educators to improve instruction and raise achievement.
- For parents, log in to see their student's current and past performance.

In building a statewide system, NYSED will build upon successful local data systems already in use by LEAs around the State and incorporate best practices from the other instructional improvement systems in other states nationwide. In particular, we will build on New York City's instructional reporting system, which was launched in 2007 and provides over 80,000 educators with a single, secure, and comprehensive online platform to analyze data; improve student outcomes; share information on best practices through publishing documents and taking part in discussions or blogs; and search out and work with other educators facing similar challenges. The parents of New York City's 1.1 million students can also login and access secure, individualized reports on their children. The system uploads new data daily to ensure rapid-time usability.

As with the current New York City system, teachers will be able to communicate with each other, create their own websites within the system, obtain resources about best practices, work together to decide on appropriate interventions with at-risk students, and evaluate and share results. Using a targeted group of students versus a control group, the NYC DOE has evaluated the effectiveness of its instructional reporting system—including the professional development

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described in the following section—and has found significant math gains across all grades by those students who have benefited from the instructional reporting system.³

In preparation for the launch of New York’s statewide system first in October 2011 as a pilot and then statewide in October 2012, NYSED has been working closely with NYC DOE and our technology assistance centers to plan the rollout and integration of the Statewide system. Additionally, beginning in June 2010, NYSED began requiring LEAs to provide additional information for reporting professional staff and course data for students that will allow the State to create a continuous accountability loop for all involved in the education process. This includes the following key data:

- Unique statewide identifier for all teachers;
- Student enrollment in all elementary/middle-level courses linked to a State assessment (e.g., Grades 3-8 English language arts and mathematics), using the statewide standardized course codes contained in Appendix A;
- Student enrollment in all secondary-level courses that prepare students to take a Regents exam upon completion of the course (e.g., Integrated Algebra) using statewide standardized course codes contained in Appendix A;
- Numeric final course grades for secondary-level courses described above;
- Whether the Regents examination score was averaged in as a component of the final course grades described above.

³New York City Department of Education, “Collaborative Teacher Teams Engaged in Inquiry,” November 24, 2009. The NYCDOE analyzed the performance of eighth-grade students who benefited from their teachers’ professional development delivered through this system as compared to the performance of a control group. Then it correlated their improved test scores with high school graduation rates. NYC DOE’s studies have shown that the higher a student performs on the eighth-grade math test, the greater likelihood that student has of graduating from high school. The improvement translated into a six-percentage-point gain in graduation.

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Provide ongoing, integrated professional development

New York will create a sustainable system to provide intensive, classroom-focused professional development to enable educators to effectively use the instructional improvement system to analyze data, identify student deficiencies, and take appropriate, research-driven actions to drive dramatic improvements in student achievement. To accomplish this, the State will build upon two existing State structures - New York City's two-and-a-half-year-old Collaborative Inquiry model and the State's Leadership Academies.

Collaborative Inquiry Model

The collaborative inquiry model approach has been well documented as a successful and sustainable professional development method in New York City, Southern California, and several other places.⁴ The model consists of centrally-dispatched three-person **network teams** who continuously support principals and school-based teacher **inquiry teams**. Serving a network of approximately 25 schools, each network team will consist of an expert in curriculum, an expert in data analysis, and an expert in instruction; one member of the team will also be appointed as the team leader.

School-based inquiry teams work collaboratively to analyze data from the State's Education Data Portal for target groups of students that share common learning challenges (e.g., fifth grade ELL boys in math), investigate the root causes and skill gaps, use research-based instructional strategies to address the weaknesses at the skill level, and continually evaluate the success of the strategies used. Details on the specific student profile and strategies used to

⁴Vescio, Ross, Adams, "A Review of Research on the Impact of Professional Learning Communities on Teaching Practice and Student Learning," *Teaching and Teacher Education*, January 2008. Saunders, Goldenberg, Gallimore, "Increasing Achievement by Focusing Grade-Level Teams on Improving Classroom Learning: A Prospective, Quasi-Experimental Study of Title I Schools," *American Educational Research Journal*, January, 2009.

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intervene are shared on the Education Data Portal and available to other inquiry teams across the district and State.

Network teams are responsible for working in schools to support the inquiry process and provide professional development and coaching to both school principals and inquiry teams.

Specifically, network teams:

- Support school-based inquiry teams to analyze student performance data (both quantitative and qualitative) and make adjustments to instructional practices.
- Work closely with principals and key faculty leaders to provide school-based and network-level intensive, on-going, real-time coaching and professional development according to the needs of each school.
- Assist schools in implementing the Common Core standards and aligning instruction to the new standards and curricula.
- Support schools in implementing the State's comprehensive assessment program and adapting to more rigorous performance-based assessments.
- Assist schools in interpreting and using/designing formative assessments closely tied to the curricula.
- Support principals and teachers in addressing the needs of students with disabilities and English language learners
- Help principals find external, third-party service providers based on the needs of each school's faculty and students.
- Support the evaluation of persistently lowest-achieving schools and facilitate professional development to support the implementation of the turnaround plan.

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Implementation of Network Teams

Funding will be provided to participating LEAs to recruit, train, and sustain network teams, with support from NYSED, to serve the professional development needs of teachers and leaders in TIF schools.⁵ In addition, the teams will work closely with LEA staff in data, curriculum, and instruction help to build district capacity to support schools across the State's educator effectiveness efforts.

New York City already has a system of network teams working successfully with the city's 1450 schools. To implement this model statewide, NYSED will work directly the superintendents and the leaders in curriculum, assessment, and data within Rochester, Syracuse, and Yonkers to create local systems of network teams within these districts to support the inquiry model in TIF schools.

Statewide Leadership Academies

In addition to the support provided by network teams, the State's leadership academies will provide supplemental support aligned to the goals of the TIF program. Several academies are already providing support to our urban principals. The New York City leadership academy, begun in 2003, focuses on preparing principals to lead NYC's in high-need schools, marked by high student poverty, low student achievement and a history of high leadership turnover. The program has five components: 1) Aspiring Principals Program (APP), a 14-month leadership development program with a 6-week summer "boot camp", a 10-month school residency under an experienced mentor principal and a planning summer to transition leaders into their principal position; 2) New School Intensive (NSI), a Leadership development and technical support

⁵ Network teams and the inquiry process are a central part of the State's overall educator effectiveness strategy. Funding for teams to serve LEAs throughout the State was requested as part of the State's Race to the Top (RTTT) application. In the event that RTTT funding is awarded to New York in September 2010, our TIF budget would be reduced since network teams will be funded by RTTT funds; however these teams will provide professional development and other related support to our TIF schools as described here.

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program for those selected to open and lead small schools; 3) School Leadership Coaching: Flexible, as-needed coaching from recent expert practitioner retirees; 4) Workshops: Collaboratively offered with Council of Supervisors and Administrators Exec. Leadership Institute in areas such as data systems, accountability and instructional leadership; and 5) Strategic Consulting: providing NYC DOE and other NYS school districts, state education departments and educational organizations consulting and advising services.

Based on the success of the NYC Leadership Academy, in July 2008, the State created a plan to develop a leadership academy in the State's largest cities and nine Joint Management System regions. Assisted by funding from the Wallace Foundation, NYSED worked with various state partners (e.g., NYS Council of School Superintendents, NYC DOE, School Administrators Association of NYS, Council of School Supervisors and Administrators, NYC Leadership Academy, Collegiate Association for Developing Educational Administrators, and the Metropolitan Council for Educational Administration Programs) to plan and develop a statewide network of leadership academies. The leadership academies are designed to give school principals the knowledge, skills and abilities to turn around the State's lowest performing schools, and are viewed as a necessary element in the State's effort to close the achievement gap.

In October 2008, the Rochester City School District (RCSD) was selected to pilot the first leadership academy. Principals and administrators within RCSD worked in collaboration with St. John Fisher College faculty to build a curriculum based on a reform agenda for the RCSD, with a particular focus on: working in the poorest performing schools, building a set of capacity-building interventions, intensive instruction including a mandated uniform curriculum, centralized management, intensive professional development, on-site staff developers, particularly in ELA and math, reduced class size, extended school day/year, 90 minute literacy and 60 minute math blocks, and enhanced after-school programs. NYSED is using a Wallace

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Foundation Grant to develop the Cohesive Leadership System in New York State and No Child Left Behind funds to create additional academies

The Academy opened July 2009 with 66 school principals and program directors participating in the opening three-day session. Additional sessions will be scheduled throughout the school year and will focus on achievement, equity, and accountability. Feedback from participants in the development of the Rochester Leadership Academy has been very positive indicating a high level of “buy-in” among those involved in the principal focus group sessions and those involved in the development of curriculum. An evaluation plan has been developed to collect feedback from academy participants, monitor student progress and share lessons learned over time.

Incentives to encourage educators to teach in high-need schools and hard-to-staff subject areas

New York State has made great strides in its efforts to ensure that all students are taught by highly qualified teachers, as required by the Elementary and Secondary Education Act. In 2004-05, in high poverty schools, teachers who were not highly qualified taught 18.3 percent of elementary school classes and 19.7 percent of classes in middle/high schools. By 2007-08, in high poverty schools, teachers who were not highly qualified taught only 5.2 percent of elementary school classes and 12.1 percent of classes in middle/high schools (13.1 percent and 7.6 percent respective reductions from 2004-05). The State's major urban communities are where the gap still persists regarding highly qualified teachers.

The data also show that New York has made progress in reducing the proportion of full-time teaching assignments held by teachers without appropriate certification. In 2004-05, statewide, teachers without appropriate certification held 7.9 percent of full-time teaching

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assignments; by 2007-08, this was reduced to 4.7 percent. For the same period NYC experienced a reduction of full-time teaching assignments held by teachers out of their certification area from 18.7 percent to 10.4 percent; the reduction in the rest of the State was from 2.7 percent to 2.1 percent.

While progress has been made in certain subjects and geographic locations, the proportion is significantly higher in other areas, especially in our major urban communities. In New York City, there are large numbers of out-of-certification teachers in Bilingual Education (26 percent), Career and Technical Education (24 percent), Special Education middle/secondary (19 percent), the Sciences (18 percent), Languages other than English (14 percent), and English as a second language (12 percent). Many high-need districts (including Syracuse, Yonkers and Rochester) also have percentages of out of certification teachers that exceed the statewide average. Also, while the statewide 2006-07 to 2007-08 teacher turnover rate was five percent, many regions and certificate areas exceeded that rate. Although New York State produces more teachers than ever before (25,660 new teachers in 2007-08), they are not always in the subject areas where shortages exist or in the regions of the State where they are most needed. In 2007-08, the State produced only an estimated 72 percent of the Career and Technical Education teachers and 60 percent of the special education middle and secondary teachers needed to fill the need in those subject areas. While research (Wyckoff et al, 2003) found that 85 percent of new teachers took their first assignments within 40 miles of their hometowns, just 17 percent of the Career and Technical Education teachers and an estimated 29 percent of the special education middle and secondary teachers that New York City needed to fill its shortages (assuming it hired all teachers certified in the subject that year) came from the New York City area. Shortages in these areas persist from year to year.

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As part of the State's RTTT application, New York included two "incentive funds" – the Transfer Fund and the Innovative Supplemental Compensation Incentive Fund - that will be used, if RTTT funding is awarded to New York, to increase the recruitment and retention of effective teachers to teach in high-need schools and hard-to-staff subject areas. The first fund, the Transfer Fund, provides financial incentives to encourage the most effective teachers and principals to take teaching assignments in high-need schools, especially in STEM areas in middle and high schools. To qualify for a Transfer Fund incentive, teachers must be certified in a STEM discipline, or to teach English language learners or students with disabilities (to ensure that all students in high-need schools benefit from the STEM disciplines), with at least three years of outstanding experience demonstrated by a variety of measures, including student growth. Principals must also have had three outstanding evaluations, including student growth, to meet eligibility requirements. Beginning in Summer 2011, eligible teachers will receive \$30,000 in total bonuses over four years to support the learning needs of students in STEM disciplines and other designated subjects in high-need middle and high schools. Also in the summer of 2011, eligible principals will receive \$ [REDACTED] in total bonuses over four years to support the professional development of teachers as the instructional leader in high-need middle and high schools. To continue to receive this differential pay over the four year period, teachers and/or principals must continue to demonstrate student growth. NYSED will award bonuses progressively. For example, eligible teachers will receive an additional [REDACTED] in the first year and additional [REDACTED] increments up to [REDACTED] in the fourth and final year. This initiative will be expected to reach 1,000 teachers annually in approximately 300 high-need schools. Once the first cohort successfully reaches the fourth year, the annual direct cost for a maximum annual cohort of 1,000 teachers will remain constant at [REDACTED]. The principal initiative is expected to reach 300 principals annually in approximately 300 high-need schools. The annual direct cost

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would be ██████████ over the four year period. To sustain this initiative and continue to retain highly effective teachers in high-need schools and subject areas, beginning in fall 2015 New York will use Elementary and Secondary Education Act Title II, Part A funds.

The second fund, the Innovative Supplemental Compensation Incentive Fund, will offer LEAs and their collective bargaining units the opportunity to provide outstanding principals, and outstanding teachers teaching in hard-to-staff subjects and specialty areas with supplemental compensation based upon effectiveness. This program would utilize ██████████ in Race to the Top funds to support the retention of these effective educators. While all RTTT participating LEAs must use effectiveness ratings in placing effective teachers in hard-to-staff subjects, LEAs participating in the Innovative Supplemental Compensation Incentive Fund can use the results of performance evaluations (beginning in 2011-12) to provide supplemental compensation to highly effective and effective teachers in hard-to-staff subjects and specialty areas, as well as highly effective and effective principals (with a potential focus on high-poverty and/or high-minority schools). For example, LEAs could use such funding to provide highly effective and effective teachers with supplemental compensation to serve as mentors and coaches for other teachers and student teachers, or to lead professional development programs within the LEA. Highly effective and effective principals will serve as turnaround school mentors. The State will give priority funding to those outstanding teachers and school leaders who are employed in high-need schools, which will help retention and ensure the equitable distribution of outstanding educators. Beginning in October 2011, the State will make grants to participating LEAs from the Innovative Supplemental Compensation Incentive Fund.

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New York State’s Proposed Performance-based Compensation System

In support of our teacher and principal effectiveness strategies outlined above, New York is proposing to use TIF funds to develop and implement a performance-based compensation system that will progressively reward teachers and principals for consistently increasing student achievement and also for assuming greater leadership responsibilities.

48 high-need schools across four LEAs will participate in the program, as described earlier: 10 as control schools, 10 as “study” schools, and the remaining 28 schools will implement the PBCS. Given that these schools have difficulty attracting and retaining staff – especially in hard-to-staff subject and specialty areas – all teachers, assistant principals, and principals in each school will participate in the program.

PBCS Framework

Teachers and principals who are in the professional, master, or leader categories and rated “highly effective” will be awarded performance compensation as proposed in the table below.

Individual Annual Estimated Supplemental Compensation for Highly Effective Educators - Summary Table

Estimated Award Per Educator*	FY1 (2010-11)	FY2 (2011-12)	FY3 (2012-13)	FY4 (2013-14)	FY5 (2014-15)	Total per Educator
Novice (No awards)	-	-	-	-	-	-
Professional						
Highly Effective		██████	██████	██████	██████	██████
% of Educator Salary		6%	8%	10%	12%	
Master						
Highly Effective		██████	██████	██████	██████	██████
% of Educator Salary		18%	20%	24%	28%	
Leader						
Highly Effective		██████	██████	██████	██████	██████
% of Educator Salary		20%	22%	28%	32%	

*Actual awards will be based on a percentage of each educator’s actual salary. Amounts here are for purposes of illustration only and are based on a annual salary of ████████

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Novice – in order to incentivize teachers and principals to ascend quickly from this category, we propose to make no awards to educators in this category.

Professional – we expect this to be a significant majority of our teachers and principals and want to progressively reward those who consistently earn a highly effective rating and therefore serve as models of best practice for their colleagues. Those teachers and principals rated highly effective will receive an additional 6% bonus in their first year. In the second year of consistently receiving a highly effective rating, the educator will receive an 8% bonus; 10% bonus in the third year; and 12% in the fourth year. Given their demonstrated leadership qualities, highly effective professional teachers will open their classrooms to their colleagues for observation and actively participate in their schools inquiry team professional development.

Master – This category provides skilled individuals with an opportunity to earn performance-based compensation and assume additional responsibilities. Individuals in this category earn an additional 12% in baseline compensation for assuming this leadership role and will focus on improving their own skills while also developing and mentoring colleagues. Master Teachers and Principals who are rated highly effective will earn an additional award that progressively increases, starting at 6% for a total of 18% and increasing to 16% for a total of 28%, if they maintain their highly effective rating over the four year term of the grant. Educators in this category must consistently earn an effective or highly effective rating in order to remain in the category.

Leaders – This exclusive category provides skilled individuals with an opportunity to earn performance-based compensation and assume additional responsibilities for curricular and programmatic decisions while also coaching colleagues. Individuals in this category earn an additional 14% in baseline supplemental compensation for performing additional duties. Teacher Leaders and Principal Leaders will earn an additional award that progressively increases, starting

NEW YORK STATE TIF EVALUATION APPLICATION NARRATIVE

at 6% for a total annual award of 20% and increasing to 18% for a total of 32%, if they maintain the highly effective rating over the four-year term of the grant. Educators in this category must consistently earn an effective or highly effective rating in order to remain in the category.

Under this plan, the average payouts for teachers and principals will be substantial. The average payout for principals is 5% percent of the average principal salary. The average payout for teachers is substantial – approximately 6% percent of the average teacher salary. Moreover, many educators at the Master and Leader levels can expect to receive incentive payments of three times the average payout.

Note that in order for the amount awarded to any individual to increase in successive years, he/she must maintain their effectiveness rating. For example, if an educator in the professional level of the career development continuum is rated highly effective in the first year funds are awarded (2011-12), he/she will be eligible to receive a 6% bonus. If he/she only receives an “effective” rating the following year, that individual will not be eligible for an award. If in the third year, the individual again receives a “highly effective” rating, then he/she will again be awarded 6%. These challenging criteria ensure that payments will only be made to those who perform significantly better than the current average performance among study schools.

Award Rationale

In developing our performance-based compensation award amounts, New York sought to ensure that the levels were significant enough to matter to teachers and principals, but not unnecessarily high. In reviewing the literature on performance-based compensation, we found several helpful studies. In a 2008 synthesis of current research on incentive pay amounts, the *Center for Educator Compensation Reform* (CECR) cited a 1984 study that examined what private sector employees believe to be the smallest meaningful pay increase. That study’s review of

NEW YORK STATE TIF EVALUATION APPLICATION NARRATIVE

the literature cited a range of 3.5 percent to 11.5 percent in prior studies, and employees in the 1984 study reported, on average, that 7.5 percent was the smallest pay increase that they would consider meaningful. A similar study of salespeople found that 5 percent was the smallest pay increase that participants considered attractive (Worley, Bowen, & Lawler, 1992). Furthermore, CECR cited a study of private sector bonus plans by McAdams and Hawk (1994) that found that the median target payout was 5 percent, and that plans targeting too much below that amount were perceived as less successful by the companies using them. McAdams and Hawk also found, however, that larger incentives were not necessarily better; if communication and other working conditions were good, incentives of 15 percent appeared to exceed what was needed to induce employees to change their practice.

In creating our compensation plan, New York used the above research as a basis. However, in an effort to drive aggressive increases in teacher effectiveness and improve teacher and principal recruitment and retention, we included significantly higher and progressively increasing compensation for those educators who are able to consistently attain high performance ratings. We believe that these awards, of up to 32 percent of an educator's annual salary, will provide significant incentives that will lead to both increased recruitment and retention rates as well as increases in achievement.

Planning Year Activities

New York intends to use the first year of the grant as a planning year to fully develop each of the TIF core elements. Immediately after TIF funds are awarded, the State will issue an RFP to select a non-profit partner to facilitate planning year activities and develop a detailed implementation project plan. It is expected that the new teacher and principal evaluation systems will be implemented in tested subjects in 2011-12 and non-tested subjects in 2012-13.

Additionally, as stated previously, it is expected that the Regents will formally adopt teacher and

NEW YORK STATE TIF EVALUATION APPLICATION NARRATIVE

principal career development continua by amending the State's teacher and principal certification requirements in May 2012. As such, New York will use the planning year to work closely with participating LEAs, faculty and administrators from participating schools, and other stakeholders to develop the following key elements:

- Processes and rubrics for evaluating teachers in non-tested subjects during the 2011-12 school year using multiple measures of effectiveness and placing them into the four rating categories (Ineffective, Developing, Effective, Highly Effective)
- Proxy definitions and requirements for each category in the teacher and principal career ladders
- A process and rubric for teachers to be placed within the Teacher Career Development Continuum in 2011-12
- A process and rubric for principals to be placed within the Principal Career Development Continuum in 2011-12
- Local collective bargaining agreements related to the performance pay schedules

As these critical components are developed, the partner will continue to collaborate with LEAs to develop and implement a plan to effectively communicate the components of the PCBS to teachers, principals, and each school's community. Rather than one-way communication, this will be a rich process of engagement with teachers and principals actively participating in the development of critical elements needed to implement the system. Comprehensive information will be developed and presented through multiple modalities (print, video, in-person workshops) to communicate the details of the program. Additionally, Sr. Deputy King will continue to work with New York State United Teachers (NYSUT) and the School Administrators Association of New York State (SAANYS) to ensure their continued involvement in the project.

NEW YORK STATE TIF EVALUATION APPLICATION NARRATIVE

NYSED will also use the planning year to finalize several elements in the State's longitudinal data system which, as noted earlier, will be piloted in October 2011. Note that the State's data system fully complies with the Family Educational Rights and Privacy Act (FERPA), including the regulations in 34 CFR Part 99, as well as any applicable State and local requirements regarding privacy.

PCBS Implementation Support

District Services will serve as the main point of contact for all LEA TIF initiatives and will oversee and coordinate the State's professional development efforts including the principal leadership academies. District Services will work closely with senior staff identified within each LEA to coordinate the TIF program and its activities. As described earlier, network teams are a central component of the State's human capital effectiveness strategy and will facilitate professional development through the inquiry model. As the network teams support schools, they will ensure that teachers and principals understand the specific measures of teacher and principal effectiveness included in the PBCS, and provide tailored professional development that enables them to use data generated by these measures to improve their practice.

Fiscal Sustainability

New York is committed to the fiscal sustainability of the State's TIF program. As described in our budget narrative, the State has projected the costs associated with the development and implementation of our performance-based compensation system. Over the term of the grant, our budget allocates a decreasing share of costs to TIF. For example, in year 1, the planning year, all costs are attributed to TIF. Similarly, in year 2, the first year that compensation will be awarded to teachers and principals, 100% of PBCS costs are attributed to TIF. However, in year 3, only 75% of PBCS costs are allocated to TIF funding; in year 4, only 50%; and in year

NEW YORK STATE TIF EVALUATION APPLICATION NARRATIVE

5, 25% of PBCS costs are allocated to TIF funding. The State has identified various sources of funding that can be used to support the project, including district and state-level Elementary and Secondary Education Act Title II funds. In the longer term, our TIF program provides a replicable model for districts to adapt within their local collective bargaining agreements as an alternative to current salary schedules.

Program Evaluation

In the event NYSED is not selected for the TIF Evaluation Competition, we have created a plan to evaluate the effectiveness of our TIF plan. In the planning year, the State will gather baseline data on teacher and principal recruitment and retention and on student outcomes and formalize the metrics to be used to evaluate the impact on recruitment, retention, and student outcomes in high-need schools. NYSED will issue a competitive RFP to select an independent statewide evaluator to evaluate the implementation and effectiveness of the State's teacher and principal performance-based compensation systems. The evaluator will assign schools to a control group and follow the same overall design with 1% additional compensation awarded in lieu of performance pay to those educators in the control schools. The evaluation will assess the effectiveness of implementation at the start of year 2 of the grant (first year that awards are made) and then at the end of each year in order to provide feedback on implementation so that adjustments can be made to communications and processes as needed to increase overall program effectiveness. The study will include not only a review of quantitative data, but also in-depth phone interviews with individuals in each of the participating schools, case studies of a sample of sites, and surveys of teachers and principals.

NEW YORK STATE TIF EVALUATION APPLICATION NARRATIVE

Performance Objectives

In developing performance objectives for our TIF plan, we intend to drive changes in three important metrics: student achievement, educator effectiveness, and teacher recruitment and retention. During the planning year, a program evaluator will be selected via RFP. The program evaluator will do a detailed analysis of the participating schools and develop baseline data; however using the data reported by our four participating LEAs, we have set the following targets:

Average Incremental Performance Targets for TIF Study Schools Over Control Schools

Expected Increases	Y2 (2011-12)	Y3 (2012-13)	Y4 (2013-14)	Y5 (2014-15)	Cumulative Gain [Decrease]
% of Students Proficient on State Assessments					
Grade 4 ELA	1%	2%	1%	1%	5%
Grade 4 Math	1%	1%	1%	1%	4%
Grade 8 ELA	1%	1%	1%	1%	5%
Grade 8 Math	1%	2%	1%	1%	4%
% of Highly Effective Teachers	3%	5%	5%	7%	20%
% of Highly Effective Principals	3%	5%	5%	7%	20%
% of Teachers Who Are New Hires	0%	0%	-5%	-5%	-10%

Performance objectives are given in terms of average incremental changes in the TIF schools as compared with the control group. Over the grant period, we anticipate that students in the TIF treatment schools will see an incremental 4 percentage point gain over control schools in the percentage of students scoring proficient on both the Grade 4 and Grade 8 English language arts assessments. Based on recent trends, we expect to see slightly smaller incremental gains of 3 percentage points over the grant period in Grade 4 and Grade 8 Math.

We anticipate that the percentage of teachers and principals who are highly effective will increase by twenty percentage points more in TIF study schools than in control schools over the grant period. Teacher turnover may not decrease immediately in the TIF study schools, as many of the schools will likely move to replace underperforming teachers and seek to attract new hires

NEW YORK STATE TIF EVALUATION APPLICATION NARRATIVE

that show greater potential, but by the end of the grant period we expect to see an average incremental decrease in new hires of 10 percentage points in the TIF study schools as compared with the control schools.

Appendix A New York State Education Department Leadership

David Steiner

Commissioner of Education and President of the University of the State of New York

Appointed in October 2009, Dr. Steiner previously served as the Dean of the Hunter College School of Education at the City University of New York. While at Hunter, Dr. Steiner gained a national reputation for his efforts to transform teacher preparation and improve teacher quality. He developed rigorous evidence-based approaches to prepare and support teachers in a diverse range of settings to lead their students to remarkable gains in achievement, which include: using video to demonstrate best practices and as a tool for clinical feedback; collaborative teaching by education school professors and staff of high-performing charters and innovative school models; requiring the use of value-added data for graduation from teacher preparation programs; and the design of a second-generation urban teacher-residency model.

John King

Senior Deputy Commissioner for P-16 Education

Appointed in October 2009, Dr. King previously served as Managing Director with Uncommon Schools, one of the country's most successful charter management organizations, and was a founder of Roxbury Prep, an exemplary charter school in Boston. Dr. King brings a wealth of experience to his role overseeing P-16 education in New York State. His expertise includes: curriculum and meaningful professional development based on student performance; data-driven instruction where teams develop individual student action plans based on data from formative and interim assessments; differentiated professional development and coaching based on data; and school leadership focused on careful observation and feedback and collaborative analysis of

NEW YORK STATE TIF EVALUATION APPLICATION NARRATIVE

data and student work.

Appendix B - Chapter 103 of the Laws of 2010

New York enacted new legislation for Teacher and Principal Evaluation, Chapter 103 (S.7991/A.11171) in May 2010. This statute will implement a statewide comprehensive evaluation system for school districts. The evaluation system is designed to measure teacher and principal effectiveness based on performance, including measures of student achievement. Specifically, the statute establishes the requirements for new, more rigorous annual professional performance reviews (APPRs) of classroom teachers and building principals. The statute provides for a phase-in of the new evaluation system, beginning in the 2011-2012 school year for certain teachers and principals in grades 4-8. The evaluations would generate a single composite effectiveness score based on multiple measures of effectiveness and would have to be made a significant factor in employment decisions, including but not limited to, promotion, retention, tenure determination, termination, and supplemental compensation, as well as teacher and principal professional development (including coaching, induction support and differentiated professional development).

The new evaluation process will apply first to teachers in common branch subjects, English language arts (ELA) and mathematics – for whom the grades 3-8 state assessments are available – and their principals, and then will be expanded to all teachers and principals. Under the new system, evaluations of teachers and principals will be required to base 40% of the composite effectiveness score on student achievement measures. In addition, the percentage of the evaluation that must be based on student growth will increase when the state implements a value-added growth model.

NEW YORK STATE TIF EVALUATION APPLICATION NARRATIVE

The statute also provides for an expedited hearing for tenured teachers and principals where charges of incompetence are brought based solely upon a pattern of ineffective teaching or performance. A “pattern of ineffective teaching or performance” is defined as two consecutive annual ratings of “ineffective.”

Project Narrative

High-Need Schools Documentation

Attachment 1:

Title: **High Need Schools** Pages: **2** Uploaded File: **S:\OMS LIASIONNYSED TIF High Needs Schools.doc**

New York State High Needs TIF Schools

School Name	LEA	Student Achievement and Demographics ¹				
		# Students	% Proficient		% FRPL	% ELL
			ELA	Math		
P.S. 128 AUDUBON	NYC	746	58.5%	79.4%	92%	46%
P.S. 030 WILTON	NYC	476	40.5%	67.0%	98%	28%
I.S. 219 NEW VENTURE SCHOOL	NYC	456	45.8%	59.1%	91%	17%
I.S. 232	NYC	429	38.8%	56.5%	73%	29%
J.H.S. 045 THOMAS C. GIORDANO	NYC	1,030	61.9%	75.0%	87%	19%
P.S. 046 EDGAR ALLAN POE	NYC	1,242	53.6%	80.6%	95%	38%
P.S. / I.S. 54	NYC	495	57.3%	85.3%	82%	27%
P.S. 195	NYC	474	52.2%	79.0%	96%	25%
SCHOOL OF PERFORMING ARTS	NYC	382	49.2%	60.1%	95%	21%
I.S. R002 GEORGE L. EGBERT	NYC	929	71.3%	77.5%	58%	5%
I.S. 051 EDWIN MARKHAM	NYC	1,170	64.5%	71.6%	75%	8%
I.S. 238 SUSAN B ANTHONY	NYC	1,553	67.3%	77.1%	87%	11%
J.H.S. 144 MICHELANGELO	NYC	1,090	58.0%	62.5%	82%	5%
J.H.S. 226 VIRGIL I. GRISSOM	NYC	1,609	64.6%	70.3%	73%	3%
P.S. 112 BXWOOD	NYC	562	65.5%	85.5%	92%	9%
J.H.S. 166 GEORGE GERSHWIN	NYC	543	33.0%	54.4%	79%	6%
P.S. 043 JONAS BRONCK	NYC	455	58.3%	78.8%	96%	19%
I.S. 192 THE LINDEN	NYC	682	71.5%	63.5%	72%	5%
M.S. 267 MATH, SCI & TECH	NYC	389	52.2%	69.7%	88%	5%
P.S. 091 RICHARD ARKWRIGHT	NYC	870	76.3%	88.7%	72%	11%
Weighted Avg NYCDOE TIF Schools		15,582	59.8%	73.2%	82.5%	15.5%
Avg NYCDOE Schools		988,234	68.8%	81.8%	73.0%	15.1%
EMERSON	YPS	863	44.0%	48.2%	91%	9%
FERMI	YPS	885	47.9%	69.6%	91%	46%
PS 32	YPS	535	56.9%	65.8%	61%	13%
YONK. MONT. ACAD. ³	YPS	NA	NA	NA	NA	NA
PS 5	YPS	503	74.9%	86.2%	71%	15%
ML KING	YPS	378	47.7%	63.2%	71%	25%
SCHOLASTIC (PS18)	YPS	546	61.2%	72.7%	86%	15%
PS 23	YPS	492	72.4%	81.8%	81%	16%
Weighted Avg YPS TIF Schools		4,202	56.1%	67.9%	81.2%	21.1%
Avg YPS Schools		22,894	64.9%	71.7%	74.0%	15.0%
East High School	RCSD	1,694	40.0%	41.8%	77%	6%
Northwest College Preparatory School	RCSD	405	45.5%	42.5%	78%	2%
Joseph C. Wilson High School	RCSD	954	70.0%	72.0%	66%	3%
Thomas Jefferson High School	RCSD	994	34.0%	34.7%	80%	34%
James Monroe High School	RCSD	1,094	38.5%	43.3%	81%	35%
George Mather School No. 4	RCSD	390	63.0%	59.1%	96%	3%
Children's School of Rochester No. 15	RCSD	297	58.5%	69.6%	81%	46%
Mary McLeod Bethune School No. 45	RCSD	675	42.2%	54.3%	84%	4%
World Of Inquiry School No. 58	RCSD	368	92.1%	98.2%	68%	3%
Joseph C. Wilson Foundation School	RCSD	906	55.2%	51.0%	79%	3%
Weighted Avg. RCSD TIF Schools		7,777	48.8%	50.9%	78.2%	21.5%
Avg RCSD Schools		32,132	54.3%	60.8%	82.0%	10.0%
Institute Tech Syracuse Central	SCSD	189	-	-	71%	3%
Corcoran HS	SCSD	1,551	64.0%	51.0%	63%	0%
George Fowler HS	SCSD	1,075	40.0%	39.0%	73%	14%
Henninger HS	SCSD	1,621	51.0%	49.0%	62%	0%
Nottingham HS	SCSD	1,211	54.0%	50.0%	61%	15%
Grant MS	SCSD	689	50.1%	40.2%	81%	12%
Clary Math/Science Magnet MS	SCSD	372	61.0%	56.2%	76%	0%
Lincoln MS	SCSD	476	52.2%	53.8%	86%	0%
Hughes ES	SCSD	453	39.9%	54.5%	86%	9%
Delaware ES	SCSD	460	32.0%	50.2%	98%	41%
Weighted Avg SCSD TIF Schools		8,097	51.2%	48.4%	69.1%	8.0%
Avg SCSD Schools		19,693	52.7%	56.7%	75.0%	9.0%

New York State High Needs TIF Schools

Weighted Avg NYS TIF Schools	35,658	55.0%	62.1%	78.4%	15.7%
Avg NYS Schools	2,691,267	75.5%	84.8%	47.0%	8.0%

³ School formed in 2009-10 from merger of two other schools, no data available

In terms of their poverty levels and the percentage of students who are English language learners, the participating schools are comparable to other schools in their respective districts, yet in all but a few of the participating schools,¹ student achievement – in mathematics, or English language arts (ELA), or both – is lower than the district average.

¹ The exceptions are P.S. 091 in New York City, P.S. 5 and 23 in Yonkers, and Joseph C. Wilson High School and Children’s School of Rochester – where achievement is moderately above the district average – and the standout World of Inquiry School in Rochester, where over 90 percent of students are proficient in ELA and math.

Project Narrative

Union, Teacher, Principal Commitment Letters or Surveys

Attachment 1:

Title: **Letters of Commitment** Pages: **13** Uploaded File: **S:\OMS LIASION\letters of commitment.pdf**

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[REDACTED]

Richard C. Iannuzzi, *President*
Andrew Pallotta, *Executive Vice President*
Maria Neira, *Vice President*
Kathleen M. Donahue, *Vice President*
Lee Cutler, *Secretary-Treasurer*

July 6, 2010

Chancellor Meryll H. Tisch
9 East 79th Street
New York, NY 10075

Commissioner David Steiner
New York State Education Department
89 Washington Ave.
Room 111
Albany, NY 12234

Dear Chancellor Tisch and Commissioner Steiner,

Thank you for sharing your plans to submit an application to the U.S. Department of Education's Teacher Incentive Fund (TIF) Evaluation competition. NYSUT supports the decision of our four local unions to participate in the State's efforts to pilot a career ladder for teachers in New York State.

We look forward to working with our locals in collaborating throughout the planning year to develop the required elements of the grant and to its subsequent implementation.

Sincerely,



Richard Iannuzzi
President

RI/DK/sds/79092



THE NEW YORK CITY DEPARTMENT OF EDUCATION

JOEL I. KLEIN, *Chancellor*

OFFICE OF THE CHANCELLOR
52 CHAMBERS STREET - NEW YORK, NY 10007

July 2, 2010

Chancellor Merryl H. Tisch and
Commissioner David Steiner
New York State Board of Regents
State Education Department
Room 110 Education Building
89 Washington Avenue
Albany, NY 12234

Dear Chancellor Tisch and Commissioner Steiner:

Thank you for sharing your plans to submit an application to the U.S. Department of Education's Teacher Incentive Fund (TIF) Evaluation competition. The New York City Department of Education is continually striving to ensure high-quality educational opportunities for all students and I am excited about participating in the New York State's TIF Evaluation competition application to go along with the TIF application from New York City.

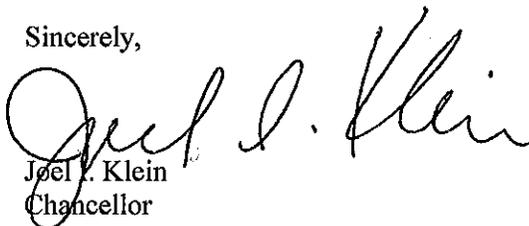
As Chancellor, I am committed to developing the involvement and support of those teachers, principals, and other personnel in those schools to be served by the TIF grant as well as the involvement and support of our teacher and principal unions over the course of the planning year.

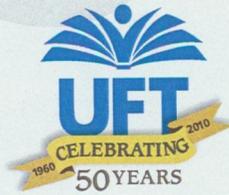
If New York State is awarded a grant, I am fully committed to implementing the grant according to the Evaluation program. Specifically, I agree to:

- Meet the TIF Evaluation competition requirements, including adhering to the implementation plan of the evaluator which involves selection through a lottery of those schools to implement the differentiated effectiveness component among the schools participating in the evaluation.
- Work with the evaluator to notify all eligible schools participating in the TIF Evaluation at least two months prior to the assigned Group 1 implementation schedule.
- Implement the non-differentiated effectiveness incentive components of the PBCS in all participating schools (those in the treatment and control groups) starting at the same time as the differentiated effectiveness incentive component of the PBCS is implemented in the treatment schools. The schools in the control group must not implement the differentiated effectiveness incentive component of the PBCS for the duration of the TIF grant.

Additionally, I am committed to fulfilling the fiscal sustainability requirements of the grant. I look forward to participating in this unique collaboration.

Sincerely,


Joel I. Klein
Chancellor



United
Federation
of Teachers

July 2, 2010

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New York, NY 10004
212.777.7500
www.uft.org

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Sterling Roberson

Chancellor Meryll H. Tisch
Commissioner David Steiner
New York State Board of Regents
State Education Department
Room 110 Education Building
89 Washington Avenue
Albany, NY 12234

Dear Chancellor Tisch and Commissioner Steiner,

Thank you for sharing your plans to submit an application to the U.S. Department of Education's Teacher Incentive Fund (TIF) Evaluation competition. The United Federation of Teachers, which represents nearly 80,000 teachers in New York City, is constantly striving to improve and enhance the teaching profession in order to ensure high-quality educational opportunities for all of this city's students. We have long called for a professional model of teacher support that recognizes the skills and experience of educators throughout their career and that builds a framework for a teacher career ladder.

The United Federation of Teachers supports New York State's plan to pursue TIF funds. We look forward to collectively bargaining with the New York City Department of Education and, once an agreement is reached, to develop and implement a career ladder that recognizes the skills of educators with additional compensation and expanded opportunities for professional growth in select high-need schools. We expect to align the model to the State's new teacher career development continuum, which will enhance our own efforts to increase educator effectiveness. We look forward to collaborating throughout the planning year to develop the required elements of the grant and to its subsequent implementation.

Sincerely,





Council of School Supervisors & Administrators, New York City

New York State Federation of School Administrators
Local 1 American Federation of School Administrators, AFL-CIO

July 2, 2010

Chancellor Meryl Tisch
9 East 79th Street
New York, NY 10021

Commissioner David Steiner
NYS Education Department
89 Washington Avenue, Room 111
Albany, NY 12234

Dear Chancellor Tisch and Commissioner Steiner,

Thank you for sharing your plans to submit an application to the U.S. Department of Education's Teacher Incentive Fund (TIF) Evaluation competition. Council of School Supervisors & Administrators, which represents 6,000 NYC DoE Supervisors and Administrators, is constantly striving to ensure high-quality educational opportunities for all of New York City students. We support New York's efforts to create a comprehensive and integrated system that spans an educator's entire career and to build a framework for a principal career ladder.

Council of School Supervisors & Administrators supports New York State's plan to pursue TIF funds to develop and implement a performance-based principal compensation system in select high-need schools. Once implemented, the compensation model aligned to the State's new principal career development continuum will enhance our own efforts to increase principal effectiveness. We look forward to collaborating throughout the planning year to develop the required elements of the grant and to its subsequent implementation.

We look forward to this unique collaboration.

Formally,

Ernest A. Logan
Council of School Supervisors &
Administrators

President
Ernest A. Logan

Executive Vice President
Peter J. McNally

First Vice President
Randi Herman, Ed.D.

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Fax: 585-262-8381
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July 2, 2010

Dr. Merryl Tisch
Chancellor, NYS Board of Regents
9 East 79th Street
New York, NY 10075

Dr. David Steiner
Commissioner of Education
NYS Department of Education
89 Washington Avenue, Room 124
Albany, NY 12234

Dear Chancellor Tisch and Commissioner Steiner:

Thank you for sharing your plans to submit an application to the U.S. Department of Education's Teacher Incentive Fund (TIF) Evaluation competition. The Rochester City School District is continually striving to ensure high-quality educational opportunities for all students and I am excited about participating in the New York's TIF Evaluation competition application.

As Superintendent, I am committed to developing the involvement and support of those teachers, principals, and other personnel in those schools to be served by the TIF grant as well as the involvement and support of our teacher and principal unions over the course of the planning year.

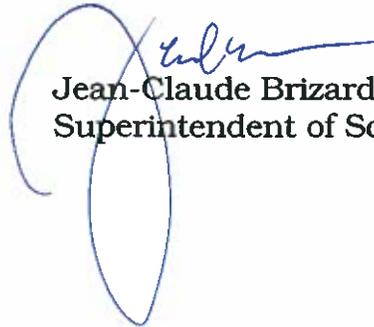
If New York is awarded a grant, I am fully committed to implementing the grant according to the Evaluation program requirements. Specifically, I agree to:

- Meet the TIF Evaluation competition requirements, including adhering to the implementation plan of the evaluator which involves selection through a lottery of those schools to implement the differentiated effectiveness component among the schools participating in the evaluation.

- Work with the evaluator to notify all eligible schools participating in the TIF Evaluation at least two months prior to the assigned Group 1 implementation schedule.
- Implement the non-differentiated effectiveness incentive components of the PBCS in all participating schools (those in Groups 1 and 2) starting at the same time as the differentiated effectiveness incentive component of the PBCS is implemented in the Group 1 schools. The schools in Group 2 must not implement the differentiated effectiveness incentive component of the PBCS for the duration of the TIF grant.

I look forward to participating in this unique collaboration.

Sincerely,



Jean-Claude Brizard
Superintendent of Schools



rochester teachers association

Representing teachers • school instructors • substitute teachers • home/hospital teachers • retired teachers

July 2, 2010

Dear Chancellor Tisch and Commissioner Steiner,

Thank you for sharing your plans to submit an application to the U.S. Department of Education's Teacher Incentive Fund (TIF) Evaluation competition. The Rochester Teachers Association, which represents nearly 4,000 educators and is an affiliate of NYSUT NEA/AFT, is constantly striving to ensure high-quality educational opportunities for all of Rochester students. We support New York's efforts to create a comprehensive and integrated career development system that spans a teacher's entire career and to further build our framework for a teacher career ladder.

The Rochester Teachers Association fully supports New York State's plan to pursue TIF funds to develop and implement a differentiated teacher compensation system in select high-need schools. Once implemented, the supplemental compensation model aligned to the State's new teacher career development continuum will enhance our own efforts to increase educator effectiveness. We look forward to collaborating throughout the planning year to develop the required elements of the grant and to its subsequent implementation.

Sincerely,



nt

Rochester Teachers Association, NYSUT/AFT/NEA

ASAR SAANYS

ASSOCIATION OF SUPERVISORS AND ADMINISTRATORS OF ROCHESTER
SCHOOL ADMINISTRATORS ASSOCIATION OF NEW YORK STATE



PRESIDENT
Vicki M Gouveia

**1st VICE-
PRESIDENT**
Sandra Jordan

**2nd VICE-
PRESIDENT**
Rebecca Boyle

SECRETARY
Joyce A. Dunn

TREASURER
Brian O'Connor

**EXECUTIVE
DIRECTOR**
Timothy L.
Wagner

July 6, 2010

Dear Chancellor Tisch and Commissioner Steiner,

Thank you for sharing your plans to submit an application to the U.S. Department of Education's Teacher Incentive Fund (TIF) Evaluation competition. ASAR which currently represents all administrators within RCSD is constantly striving to ensure high-quality educational opportunities for all of Rochester City School District students. We support New York's efforts to create a comprehensive and integrated system that spans an educator's entire career and to build a framework for a principal career ladder.

ASAR fully supports New York State's plan to pursue TIF funds to develop and implement a performance-based principal compensation system in select high-need schools. Once implemented, the compensation model aligned to the State's new principal career development continuum will enhance our own efforts to increase principal effectiveness. We look forward to collaborating throughout the planning year to develop the required elements of the grant and to its subsequent implementation.

We look forward to this unique collaboration.

Sincerely,

[REDACTED]

Vicki Gouveia
President
ASAR

Association of Supervisors and Administrators of Rochester, Inc.
25 N. Washington St., Rochester, NY 14614

Office: (585) 262-2130 • Fax: (585) 262-2137

E-Mail: vicki.gouveia@rcsdk12.org
Cell: (585) 406-3347

debbie.rider@rcsdk12.org
(585) 406-3275

tim.wagner@rcsdk12.org
(585) 406-3348



July 1, 2010

Regents Chancellor Merryl Tisch and
Dr. David M. Steiner, Commissioner of Education
The State Education Department
The University of the State of New York
Albany, NY 12234

Dear Chancellor Tisch and Commissioner Steiner,

Thank you for sharing your plans to submit an application to the U.S. Department of Education's Teacher Incentive Fund (TIF) Evaluation competition. The Syracuse City School District is continually striving to ensure high-quality educational opportunities for all students, and I am excited about participating in the New York's TIF Evaluation competition application.

As Superintendent, I am committed to developing the involvement and support of those teachers, principals, and other personnel in those schools to be served by the TIF grant, as well as the involvement and support of our teacher and principal unions over the course of the planning year.

If New York is awarded a grant, I am fully committed to implementing the grant according to the Evaluation program requirements. Specifically, I agree to:

- Meet the TIF Evaluation competition requirements, including adhering to the implementation plan of the evaluator which involves selection through a lottery of those schools to implement the differentiated effectiveness component among the schools participating in the evaluation.
- Work with the evaluator to notify all eligible schools participating in the TIF Evaluation at least two months prior to the assigned Group 1 implementation schedule.
- Implement the non-differentiated effectiveness incentive components of the PBCS in all participating schools (those in Groups 1 and 2) starting at the same time as the differentiated effectiveness incentive component of the PBCS is implemented in the Group 1 schools. The schools in Group 2 must not implement the differentiated effectiveness incentive component of the PBCS for the duration of the TIF grant.

I look forward to participating in this unique collaboration.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Daniel G. Lowengard', with a large flourish at the end.

Daniel G. Lowengard
Superintendent



Syracuse Teachers Association, Inc.

731 James Street, Syracuse, New York 13203
(315) 472-6374 (315) 435-4526 Fax (315) 472-6379
www.syracuseteachers.org

Tuesday, July 6, 2010

Dear Chancellor Tisch and Commissioner Steiner,

Thank you for sharing your plans to submit an application to the U.S. Department of Education's Teacher Incentive Fund (TIF) Evaluation competition. The Syracuse Teachers Association which represents nearly 3400 teachers and school related personnel, is constantly striving to ensure high-quality educational opportunities for all of the Syracuse City School District's students. We support New York's efforts to create a comprehensive and integrated career development system that spans a teacher's entire career and to build a framework for a teacher career ladder.

The Syracuse Teachers Association supports New York State's plan to pursue TIF funds to develop and implement a performance-based teacher compensation system in select high-need schools. Once implemented, the supplemental compensation model aligned to the State's new teacher career development continuum may enhance our own efforts to increase educator effectiveness. We look forward to collaborating throughout the planning year to develop the required elements of the grant and to its subsequent implementation.

Sincerely,



Kevin R. Ahern

President

Syracuse Teachers Association

*Kevin Ahern, President, kahern@syrteach.org
Michael Foley, 1st Vice-President, mfoley@syrteach.org*



SAAS

Syracuse Association of Administrators & Supervisors

725 Harrison Street Syracuse, New York 13210

July 1, 2010

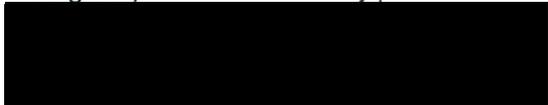
Dear Chancellor Tisch and Commissioner Steiner,

Thank you for sharing your plans to submit an application to the U.S. Department of Education's Teacher Incentive Fund (TIF) Evaluation competition. The Syracuse Association of Administrators and Supervisors (SAAS), which represents all school administrators in the Syracuse City School District, are constantly striving to ensure high-quality educational opportunities for all of the Syracuse City School District students. We support New York's efforts to create a comprehensive and integrated system that spans an educator's entire career and to build a framework for a principal career ladder.

SAAS fully supports New York State's plan to pursue TIF funds to develop and implement a performance-based principal compensation system in select high-need schools. Once implemented, the compensation model aligned to the State's new principal career development continuum will enhance our own efforts to increase principal effectiveness. We look forward to collaborating throughout the planning year to develop the required elements of the grant and to its subsequent implementation.

We look forward to this unique collaboration.

Regards,



Brian Nolan, President

Syracuse Association of Administrators and Supervisors



YONKERS PUBLIC SCHOOLS

Achieving Excellence Together

July 2, 2010

Chancellor Meryl Tisch
New York State Board of Regents
89 Washington Avenue
Board of Regents, Room 110 EB
Albany, New York 12234

Commissioner David Steiner
New York State Education Department
89 Washington Avenue
Albany, New York 12234

One Larkin Center
Yonkers, New York 10701
Tel. 914 376-8100
Fax 914 376-8584
bpierorazio@yonkerspublicschools.org

Bernard P. Pierorazio
Superintendent of Schools

Dear Chancellor Tisch and Commissioner Steiner,

Thank you for sharing your plans to submit an application to the U.S. Department of Education's Teacher Incentive Fund (TIF) Evaluation competition. The Yonkers Public Schools District is continually striving to ensure high-quality educational opportunities for all students and I am excited about participating in the New York's TIF Evaluation competition application.

As Superintendent, I am committed to developing the involvement and support of those teachers, principals, and other personnel in those schools to be served by the TIF grant as well as the involvement and support of our teacher and principal unions over the course of the planning year.

If New York is awarded a grant, I am fully committed to implementing the grant according to the Evaluation program. Specifically, I agree to:

- Meet the TIF Evaluation competition requirements, including adhering to the implementation plan of the evaluator which involves selection through a lottery of those schools to implement the differentiated effectiveness component among the schools participating in the evaluation.
- Work with the evaluator to notify all eligible schools participating in the TIF Evaluation at least two months prior to the assigned Group 1 implementation schedule.
- Implement the non-differentiated effectiveness incentive components of the PBCS in all participating schools (those in the treatment and control groups) starting at the same time as the differentiated effectiveness incentive component of the PBCS is implemented in the treatment1 schools. The schools in the control group must not implement the differentiated effectiveness incentive component of the PBCS for the duration of the TIF grant.

Additionally, I am committed to fulfilling the fiscal sustainability requirements of the grant. I look forward to participating in this unique collaboration.

Sincerely,

Bernard P. Pierorazio
Superintendent of Schools

**Yonkers Federation of Teachers
35 East Grassy Sprain Road
Yonkers, NY 10710**

July 6, 2010

New York State Department of Education
Albany, NY

Dear Chancellor Tisch and Commissioner Steiner,

Thank you for sharing your plans to submit an application to the U.S. Department of Education's Teacher Incentive Fund (TIF) Evaluation competition. Yonkers Federation of Teachers, which is an organization of 2,000 teaching professionals dedicated to excellence in education and is constantly striving to ensure high-quality educational opportunities for all of Yonkers Public School students. We support New York's efforts to create a comprehensive and integrated career development system that spans a teacher's entire career and to build a framework for a teacher career ladder.

Yonkers Federation of Teachers supports New York State's plan to pursue TIF funds to develop and implement a performance-based teacher compensation system in select high-need schools aligned to the State's teacher career development continuum. Once implemented, this new model will enhance our own efforts to increase educator effectiveness. We look forward to collaborating and negotiating throughout the planning year in accordance with New York State law and our collective bargaining agreement to develop the required elements of the grant and to its subsequent implementation.

Sincerely,

[REDACTED]

[REDACTED]

Project Narrative

Other Attachments

Attachment 1:

Title: **Resumes of Key Personnel** Pages: 4 Uploaded File: S:\OMS LIASION\Resumes of Key Personnel.pdf

Dr. John B. King, Jr.
Senior Deputy Commissioner for P-12 Education

Dr. John B. King, Jr. serves as Senior Deputy Commissioner for P-12 Education at the New York State Education Department. Dr. King is responsible for ensuring quality and accountability for New York State's education system, which serves 3.1 million students in Pre-kindergarten through Grade 12 in over 7,000 public and non-public schools. He brings to this role extensive experience leading urban public schools that are closing the achievement gap and preparing students to enter, succeed in, and graduate from college.

Dr. King works closely with the New York State Board of Regents and Commissioner of Education to advance the state's education reform agenda by collaborating with teachers, students, school leaders, parents, superintendents, college and university administrators, union leaders, government representatives, community leaders, and other partners. The reform agenda includes (1) making New York State's educational standards and assessments more rigorous and better aligned to college and career readiness; (2) developing a comprehensive P-20 data system and instructional reporting system that provides accurate, actionable, and interconnected data to support improved decision-making at all levels of education; (3) improving the preparation, evaluation, professional development, and support of teachers and school leaders; and, (4) working with districts and partner organizations to turn around the state's lowest performing schools.

Prior to his appointment as Senior Deputy Commissioner, Dr. King served as a Managing Director with Uncommon Schools, a non-profit charter management organization that operates some of the highest performing urban public schools in New York and New Jersey. Prior to joining Uncommon Schools, Dr. King was a Co-Founder and Co-Director for Curriculum & Instruction of Roxbury Preparatory Charter School. Under his leadership, Roxbury Prep's students attained the highest state exam scores of any urban middle school in Massachusetts, closed the racial achievement gap, and outperformed students from not only the Boston district schools but also the city's affluent suburbs.

Dr. King earned a B.A. in Government from Harvard University, an M.A. in the Teaching of Social Studies from Teachers College, Columbia University, a J.D. from Yale Law School, and an Ed.D. in Educational Administrative Practice from Teachers College, Columbia University. In addition, Dr. King has served on the board of New Leaders for New Schools and is a 2008 Aspen Institute-New Schools Entrepreneurial Leaders for Public Education Fellow.

File in desk drawer Candidates



Kenneth G. Slentz

To Lead, To Advocate, To Educate

Certifications

- New York State School District Administrator- Permanent
- New York State PK, K and 1-6 – Permanent

Education

- Administrative Certification Program SUNY Plattsburgh Plattsburgh, New York
August 2001 – December 2002
- MS Education SUNY Oswego Oswego, New York
July 1995 - August 1996
- Ph. D Coursework in Political Science SUNY Albany Albany, New York
September 1991-May 1993
- BA Political Science SUNY Geneseo Geneseo, New York
September 1989 – May 1991
- AAS Liberal Arts SUNY Cobleskill Cobleskill, New York
September 1987- May 1989

Professional Experience

- Superintendent of Schools West Canada Valley CSD September 2004 – Present
 - Chief executive officer of the Board of Education in charge of 800 students and 172 full and part time employees
 - Instituted instructional effectiveness design using teacher leaders and comprehensive professional development plan.
 - Successfully negotiated multiple 5 year contracts
 - Oversaw successful capital projects in excess of \$12,000,000
 - Enhanced instructional technology integration
 - Solidified the district budget with 5 year strategic plan
- Superintendent of Schools & K-12 Principal Long Lake CSD February 2003 - September 2004
 - Chief executive officer of the Board of Education in charge of 100 students and 32 full and part time employees
 - Instituted comprehensive professional development plan using teacher leaders
 - Instituted progressive APPR plan
 - Successfully negotiated union contracts with instructional and non-instructional staff
 - Negotiated intermunicipal agreements for provision of T-1 bandwidth to school and community

- K-12 Principal Long Lake CSD July 2002 – February 2003
- Curriculum Director Long Lake CSD September 1999 – June 2002
- Middle School Teacher Long Lake CSD September 1996 – June 2002
- Teacher Assistant St. Catherine's Center for Children November 1993 – June 1995

Professional Activities

- Superintendent Development Coursework Steuben- Alleghany BOCES September 2001 – Present
 - Courses Include Fiscal Navigation for Superintendents, School Construction Program, Central Classroom Activity Fund Management, and School Business Fiscal Training
- Educational Consultant New York State Education Department 1999-2000, 2006 – 2008
 - CDOS Standards Work Group
 - nySTART Report Advisory Committee
- President Mohawk Region Association for School District Administrators July 2006 – July 2007
 - Local Branch of the New York State Council of School Superintendents
- President Center State Athletic Conference July 2006 – Present
- Committee Member Section III Chief School Officer Committee 2009- present
 - Representing 109 School Districts in Central and northern New York State
- Committee Member Herkimer County Youth Services Advisory Board 2005 – Present
- Chairperson E-Learning Committee Mohawk Regional Information Center July 2007 – Present
- Committee Member Mohawk Region Information Center (see below) 2004 – Present

- Committees include: 793 Superintendent Governance Committee, Model School Advisory Committee, Technical Advisory Group

➤ Committee Member

New York State Council of School Superintendents
2002 – Present

- Committees include: Curriculum and Assessment Committee, Assessment Subcommittee

➤ Presenter

School Board Institute Fiscal Oversight Training for
School Board members
2009 - Present

Budget Narrative

Budget Narrative

Attachment 1:

Title: **Budget Narrative** Pages: **6** Uploaded File: **S:\OMS LIASIONNYSED TIF budget narrative.doc**

New York State TIF Partnership Budget Narrative

New York’s TIF partnership budget includes costs for several expenditure categories: performance-based bonuses to highly effective teachers, principals, and assistant principals in the ten “study” schools and 28 additional schools; non-differentiated compensation to effective and highly effective educators in ten control schools; professional development provided by network teams; evaluation services; and funding for professional development release time equivalent to the evaluation competition incentive (█████ for 20 schools¹).

Distribution of Educators across Performance Ratings and Career Ladder Categories/Levels

The costs of the annual performance-based bonuses and non-differentiated control group expenditures are based on the estimated distribution of educators across the four evaluation rating categories (ineffective, developing, effective, highly effective) and the four levels of the teacher and principal career development continua (novice, professional, master, and leader). The distribution estimates were based upon existing teacher and principal performance data as well as general statistical distribution principles. The table below provides a summary of the educator distribution assumptions across the two dimensions:

Table A. Educator Distribution Assumptions

	Novice	Professional	Master	Leader	Total
Ineffective	2%	4%	0%	0%	6%
Developing	9%	20%	0%	0%	29%
Effective	4%	48%	1%	1%	54%
Highly Effective	1%	5%	3%	2%	11%
Total	16%	77%	4%	3%	100%

¹ We recognize that the limit on schools in the evaluation is 16 per applicant, however due to interest from participating districts we are proposing to include a total of 20 schools across four LEAs in our application as follows: 4 evaluation schools (two pairs) from Rochester, Syracuse, and Yonkers; and 8 evaluation schools (four pairs) from New York City

With regard to the distribution of educators across the four career development continuum categories listed across the top of the table, it is estimated that 16% of our educators (teachers, assistant principals, and principals) will be in the novice category of their respective career development continuum; 77% will be in the professional category; 4% in the master category; and 3% in the leader category. With regard to the distribution of educators across the four evaluation rating categories listed down the left side of the table, we estimate that 6% of educators will be in the ineffective category; 29% in the developing category; 54% in the effective category; and 11% in the highly effective category. So, for example, we expect that 48% of our educators will be “effective professionals” and 3% will be “highly effective master educators.”

Calculating Annual Performance Bonuses

The total expenditure amounts for the performance bonus and control groups are based on several factors including: the expected distribution of educators as listed above in Table A; average salary data; number of educators per school; and the expected average salary increase. New York’s TIF plan proposes to award highly effective individuals with annual performance bonuses based on a percentage of their annual salary. In developing the estimated cost of the annual performance bonuses and control group annual and total costs, we based our budget model on the average salaries of teachers and principals in the participating schools. The average salary for teachers is estimated to be ██████ in the professional category and ██████ in the master and leader categories.² The average salary over the term of the grant for principals is estimated to be ██████ in the professional category and ██████ in the master and leader categories. There are an average of 70 teachers and three principals and assistant principals per

² Currently, the teachers in the 48 participating TIF schools have an actual average salary of ██████. We have estimated that teachers in the master and leader categories will be higher because it is expected that they will have more experience and therefore be higher on their local salary schedule.

school. Additionally, we estimate that salaries will grow 3.5% per year over the term of the grant, exclusive of bonus awards.

Performance Bonus Framework and Budget

In building our overall performance bonus budget framework, we modeled out the five-year annual costs for the following expenditures: performance bonuses for highly effective teachers and principals in the forty schools that will award bonuses (including ten schools in the evaluation); 1% awards for teachers and principals in the eight control group schools; the provision of professional development through network teams in Rochester, Syracuse, and Yonkers;³ a non-profit partner who will be selected via competitive RFP to facilitate planning activities that will occur in years one and two; services of an evaluation partner that will be procured through a competitive RFP if New York is awarded a TIF grant through the Main competition; and professional development release costs. Please note the following:

- Individuals in the Professional category are only eligible for a performance bonus if they are rated highly effective. They will earn a performance bonus of 6% in their first year, increasing up to a total of 12% annually if the highly effective rating is maintained each year. Highly effective professional teachers will also open their classrooms to colleagues for observation and actively participate in their LEAs inquiry team professional development.
- Individuals in the Master category earn an additional 12% in baseline compensation for assuming this leadership role and will focus on improving their own skills while also developing and mentoring colleagues. Master Teachers and Principals who are rated highly effective will earn an additional award that progressively increases, starting at 6%

³ Since 2007, the NYC DOE has had network teams supporting all their schools and funded with Title II funds. Therefore, network teams to support the 20 NYC TIF schools have not been included in our TIF budget.

for a total of 18% annually and increasing to 16% for a total of 28% annually, if they maintain their highly effective rating over the four year term of the grant. Educators in this category must consistently earn an effective or highly effective rating in order to remain in the category.

- Individuals in the Leader category earn an additional 14% in baseline supplemental compensation for performing additional duties. Teacher Leaders and Principal Leaders rated highly effective will earn an additional award that progressively increases, starting at 6% for a total annual award of 20% and increasing to 18% for a total of 32%, if they maintain the highly effective rating over the four-year term of the grant. Educators in the Leader category must consistently earn an effective or highly effective rating in order to remain in the category.
- Educators in the master and leader categories in control group schools will earn 1% above the baseline amounts - 13% and 15% respectively – for each year they perform the additional duties, regardless of their performance rating. However to remain in these categories they must maintain a minimum rating of “effective.”
- Network teams were included in the State’s Race to the Top application. If RTTT funds are awarded to New York, the State’s TIF budget will be reduced accordingly by \$3.4M.

The table below shows the overall annual expenditure amounts for the performance-based compensation systems and control schools per educator and total costs per expenditure category.

Highly Effective Educators - Annual Incentives							
PBCS Per Teachers Awards	FY1 (2010-11)	FY2 (2011-12)	FY3 (2012-13)	FY4 (2013-14)	FY5 (2014-15)	Total per Teacher	Distr Assump
Novice (No awards)	-	-	-	-	-	-	16%
Professional							
Highly Effective		█	█	█	█	█	5%
% of Educator Salary		6%	8%	10%	12%		
Master*							
Highly Effective		█	█	█	█	█	3%
% of Educator Salary		18%	20%	24%	28%		
Leader							

Highly Effective % of Educator Salary	20%	22%	28%	32%		2%
Total Program Cost						
TIF %	100%	75%	50%	25%		
TIF \$						

Non-TIF Funds

* The baseline additional compensation for performing the duties in the Master category is 12%; in the Leader category the additional compensation is 14%

CONTROL GROUP Per Teachers Awards	FY1 (2010-11)	FY2 (2011-12)	FY3 (2012-13)	FY4 (2013-14)	FY5 (2014-15)	Total per Teacher	Distr Assump
Novice (No awards)	-	-	-	-	-	-	16%
Professional							
All Levels % of Educator Salary		1%	1%	1%	1%		77%
Master							
All Levels/Categories % of Educator Salary		13%	13%	13%	13%		4%
Leader							
All Levels/Categories % of Educator Salary		15%	15%	15%	15%		3%
Total Project Cost							
TIF %		100%	100%	100%	100%		
TIF \$							

Non-TIF Funds

Principals - PBCS Awards	FY1	FY2	FY3	FY4	FY5	Total per principal	Distr Assump
Novice	-	-	-	-	-	-	10%
Professional							
Highly Effective % of Educator Salary		6%	8%	10%	12%		5%
Master							
Highly Effective % of Educator Salary		18%	20%	24%	28%		3%
Leader							
Highly Effective % of Educator Salary		20%	22%	28%	32%		2%
Total Project Cost							
TIF %		100%	75%	50%	25%		
TIF \$							

CONTROL GROUP Per Principals Awards	FY1 (2010-11)	FY2 (2011-12)	FY3 (2012-13)	FY4 (2013-14)	FY5 (2014-15)	Total per Teacher	Distr Assump
Novice (No awards)	-	-	-	-	-	-	16%
Professional							
All Levels/Categories % of Educator Salary		1%	1%	1%	1%		77%
Master							
All Levels/Categories % of Educator Salary		13%	13%	13%	13%		4%
Leader							
All Levels/Categories % of Educator Salary		15%	15%	15%	15%		3%
Total Project Cost							
TIF %		100%	100%	100%	100%		
TIF \$							

Professional Development*	FY1	FY2	FY3	FY4	FY5	Total
Cost of three network teams (\$270K/team)						
Total for participating LEAs						

* If NY is awarded RTTT, network teams will not be a TIF expense

Professional Development		FY1	FY2	FY3	FY4	FY5	Total
Release Time							
Evaluation Competition Incentive for 16 schools							
Planning Year Partner							
4 ppl * [redacted] month * 12 months (incl's travel and supplies)							
Evaluation**							
RFP for evaluation services							
<i>**Will not be an expense if selected for Evaluation award</i>							
TOTAL PROJECT COSTS							
TOTAL TIF \$							
Total Other Funds		-	-				

Increasing Share of Non-TIF funds

In budgeting for the annual performance bonuses, we have projected and allocated an increasing share of these costs to non-TIF funds. In year 2, the first year in which we will award performance bonuses, 100% of performance bonus expenditures will be allocated to TIF funds. In year 3, 75% of performance bonus costs will be allocated to TIF funding and 25% to non-TIF funds. In year 4, 50% of performance bonus costs will be allocated to TIF and 50% to non-TIF funds and, in year 5, 25% of costs will be allocated to TIF funds and 75% to non-TIF funds. 100% of non-performance bonus costs are allocated to TIF funds throughout the grant period. These expenditures include services from a planning year partner in years one and two; evaluation services; control group 1% award payments; and professional development release time.